prITs

Proposal Evaluation Guidelines

PRITS-001

Revised on: 10-15-2020

for the Executive Branch of the Government of Puerto Rico

As established by the

Puerto Rico Innovation and Technology Service

By virtue of Act 75-2019

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1 Objectives

The PRITS Proposal Evaluation Guidelines ("PEG" or the "Guidelines") refer to the criteria that the Puerto Rico Innovation and Technology Service ("PRITS") will use to evaluate innovation and technology proposals submitted for approval by the Agencies[1] of the Government of Puerto Rico.

The Guidelines are to be used as a reference to comply with Act 75, as amended, enacted on July 25, 2019 ("Act-75"), creating the PRITS. The Guidelines are published to assist the requesting Agencies and serve as a complement to Circular Letter 2020-003 ("PRITS-2020-003"), published on August 31, 2020. PRITS-2020-003 establishes the process that entities under the purview of Act-75 must follow for the evaluation, authorization, acquisition and implementation of technologies mandated by Act-75.

PRITS is fully aware and recognizes that proposals vary greatly depending on the goods or services being acquired, and therefore, not every criteria will apply to all submissions. Similarly, the Guidelines are non-exclusive, therefore PRITS can incorporate other criteria, if applicable.

The Guidelines were built upon the Government of Puerto Rico's innovation and technology public policy and legal mandates, plus observations and experience gathered by PRITS as related to the wide-ranging deployment of technology solutions at the government. Additionally, it incorporates concepts from the Information Technology Infrastructure Library v4 ("ITIL"). ITIL is a set of detailed practices for IT service management ("ITSM") that focuses on aligning IT services with the needs of the organization. ITIL describes processes, procedures, tasks, and checklists that can be applied by an organization toward strategy, delivering value, and maintaining a minimum level of competency. It allows the organization to establish a baseline from which it can plan, implement, and measure.

To expedite the evaluation process, PRITS strongly recommends Agencies to review the PEG prior to a) creating a procurement document such as an RFI, RFQ, RFP or formal bid, b) directly requesting proposals to prospective vendors, and/or c) submitting Form PRITS-001. PRITS

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[1] Article 3(a) Act-75 defines Agency as any board, bodies, examination board, commissions, public corporations, offices division, administration, bureau, department, authority, official, employee, person, entity or any government instrumentality of the Executive Branch of the Government of Puerto Rico (collectively the "Agency" or "Agencies").

encourages Agencies to review the PEG with their prospective vendors to ensure they are aware and can meet the requirements outlined within this document.

Also, PRITS strongly recommends Agencies to conduct a proper needs and viability assessment and planning phase in accordance to findings and recommendations from the Special Report TI-17-02 of the Office of the Comptroller of the Government of Puerto Rico. This is also emphasized in the PEG.

2 Authority

PRITS is created with the purpose and responsibility of establishing public policy on the preparation, management, development, coordination and effective interagency integration of innovation and technology.

Pursuant to section (ff) of Article 6 of Act-75, PRITS will "review, evaluate and approve any project for the creation, implementation, modification, migration and update of databases, innovation, information and technology to be adopted by the agencies." In addition, Article 15 of the PRITS Act provides that:

> [PRITS] will have the power to review, evaluate and approve any project for the creation, implementation, modification migration and update of databases, innovation, information, and technology to be adopted by the agencies. PRITS will issue in writing the corresponding recommendations and standards, as the case may be, so that the agencies' database, innovation, information and technology projects comply with the purposes of this Act and will forward such communication to the head of the agency and the chief information officer of the agency. The agencies will have to design, develop, adopt, and implement their database, innovation, information, and technology projects in accordance with the parameters and specifications established by PRITS. Likewise, said Office must evaluate and approve any contracting of services or purchase of equipment by the agencies to be used or destined for a database, innovation, information, and technology project.

3 Scope

Following PRITS-2020-003, the Guidelines are to be used in the evaluation and authorization request for the acquisition and implementation of the following products and services:

a. Professional services related to:
- Software development and related services
- Infrastructure development and deployment
- Hardware configuration and deployment
- Operating and maintenance agreements services
- Other consulting and professional services performed related to IT projects or any other projects containing an IT component

b. Data centers (hardware, infrastructure and related goods and services)
c. Computers, peripherals and other technology equipment
d. Highly specialized technology equipment
e. Cloud services
f. Telephony systems
g. Network infrastructure
h. IT Security equipment and services
i. Data management and/or analytics platforms
j. Portals and webpages
k. Mobile applications
l. COTS (Commercial Off-the-Shelf)
m. Licensed products
n. Any "as a service" acquisition (e.g. SaaS, PaaS, IaaS etc.)

These are common categories in IT, but the list is non-exclusive as PRITS' scope covers a comprehensive range of information systems, technology and innovation goods or services.

4   Roles and Responsibilities

4.1   Agencies and CIO's

Article 12 of Act-75 outlines the Agency's duties and responsibilities for complying with the requirements of Act-75. Said duties and responsibilities include liaising with PRITS regarding innovation and technology strategy, technology services and standards, among others. In addition, the Agency's Chief Information Officer ("CIO") will be responsible for compliance with Article 13 of Act-75 which outlines their responsibilities as they pertain to leading their respective organization and ensuring compliance. As part of that responsibility, the Agency's CIO is required to evaluate the proposed acquisition prior to the submission to the PRITS for approval.

This means that by filing the PRITS-001, the Agency's CIO certifies that a review of the proposed acquisition has been done, and after careful review, it is in the Government's best interest that the good(s) or service(s) be acquired. No Agency shall file a PRITS-001 without previously reviewing and analyzing the proposed acquisition with their Agency's CIO.

PRITS-2020-003 is clear in that Agencies are responsible for engaging with PRITS as a first step in the process, including prior to publishing RFPs, RFIs, RFQs, or formal bids. Procurement documents that are not approved by PRITS can result in lost efforts due to misalignment with the technology and innovation public policy and might not procure adequate goods or services. Final acquisition approval could be denied. Therefore, Agencies are required to engage with PRITS in the early stage, as established in PRITS-2020-003. The final selection of an RFP, RFI, RFQ or formal bid must also be notified and submitted to PRITS.

According to the goods or services being procured, if no formal procurement document will be published, PRITS requires that form PRITS-001 is submitted together with the selected proposal(s).

It is highly recommended that Agencies allocate or identify funding sources prior to filing PRITS-001, except in the case of projects that don't require additional funds. This is relevant because PRITS must evaluate proposals for technology and innovation projects even when these don't require the use of public funds in order to assure public policy alignment.

Once approved by PRITS, Agencies are fully responsible for following all other acquisition procedures and request the necessary approvals, as applicable. Also, it is important to note that most Agencies also are to be in compliance with the requirements of Act 73, as amended, enacted on July 23, 2019, known as the General Administration for the Centralization of Procurement of the Government of Puerto Rico of 2019 ("Act-73"), to the extent applicable, and/or with any other (local and/or federal) procurement and contracting requirements applicable to the Agency.

4.2   PRITS

PRITS is responsible for evaluating in a timely manner all proposals and PRITS-001 forms submitted in full compliance with PRITS-2020-003 for evaluation. PRITS conducts the internal evaluation and approval procedure, and can request more information or revision if necessary, In the case of a non-authorized proposals, PRITS shall include the issues that failed to be addresses and/or the reasons for the denied request.

Agencies need to be advised that PRITS' approval will have an expiration date to continue with the next step in the acquisition process. Also, the final acquisition shall not vary from the PRITS-001, as specified in PRITS-2020-003.

PRITS' role in evaluating proposals is limited exclusively to the evaluation enclosed by Act-75. Therefore, no authorization from PRITS shall be deemed as a legal review of any proposal or contract. PRITS does not evaluate actual contract documents and does not participate in any way in the Agency's procurement or contracting process. That is the sole responsibility of the Agency.

PRITS can have a direct involvement in different project phases as necessary, from the initial strategic discussion to supporting operational tasks. This can occur when requested by an Agency, in complex or interagency projects, or as determined by PRITS. PRITS can inquire on project or acquisition status, progress and results as necessary.

4.3 Others

General Services Administration of Puerto Rico ("GSA-PR"), Fortaleza & Office of Management and Budget ("OMB") must verify, per applicable law(s) and regulation(s), that purchases related to innovation and technology have been reviewed and approved by PRITS per PRITS-2020-003 prior to approving any and all related requests that fall within the scope of the policy as listed above in Section 2 and Act-75.

5 Proposal Evaluation Guidelines

PRITS will be seeking to understand supporting details for the following questions to guide the evaluation process and the discussion with the Agency, as applicable.

The following terms are used in this section and are defined below for reference:

- *Proposals*: Form PRITS-001, draft of procurement documents, vendor proposals or quotations for the acquisition of goods or services, and any other documentation submitted for evaluation.

- *Resources*: Personnel, contractors, services, application, systems, infrastructure, data, etc.

- *Solution*: the services, goods, applications, systems, platform, databases, licenses, etc., or the combination of these, being evaluated.

5.1 Public Policy Alignment

- Is this solution aligned with the strategic priorities established by PRITS?

- Is this solution aligned with the IT strategic plan established by the agency?

- Is this solution maximizing existing resources and investment in the same agency?

- Is this solution maximizing existing resources and investment in other Agencies?

- Is this solution contributing to simplify existing government processes?

- Is this solution impacting intra and/or interagency productivity?

- Is this solution maximizing the sharing of intra and interagency information?

- Is this solution contributing to the effective integration and interoperability of information systems?

- Is this solution contributing to minimize information systems redundancy and duplication of investments, efforts and projects?

- Does this solution have the potential to be expanded or leveraged by other Agencies?

- Is this solution in conflict with other projects or solutions in other Agencies?

- Is this solution contributing to simplify and enhance citizen experience and the quality of government services?

- Is this solution helping to promote the use of technology among citizens?

- Is this solution considered innovative or uses innovative technology?

- Is this solution aligned with the goals of developing of an innovation and technology ecosystem in Puerto Rico?

5.2 Needs Assessment, Design and Requirements

- Was a needs assessment completed?

- Are there similar needs identified in other Agencies?

- Were functional requirements identified and clearly documented by functional and subject matter experts? Were these prioritized or categorized as required and nice-to-have?

- Were the processes or services managed within the solution analyzed in their as-is state versus to-be state?

- Were technical requirements identified and clearly documented by qualified experts?

- Were policies, regulations and laws evaluated in the way these could introduce non-negotiable requirements? Does the solution comply with all applicable local, state, and federal laws? For example, does the solution comply with Law 229-2003 and/or Section 508 of the Rehabilitation Act to guarantee information use and access?

- Does the proposal include the complete lifecycle of the solution: analysis, design, development, testing, deployment, support and change/release management?

5.3 Agency Preparedness

- Is the Agency capable to embark in all tasks associated to all phases of the solution?

- Does the Agency have knowledgeable personnel and adequate supervision levels to ensure solution implementation success?

- Has the agency identified a dedicated and knowledgeable project manager(s)?

- Has the agency identified a clear owner responsible of the solution success?

- Are there any identified risks associated with management or administrative changes in the Agency that can hinder success? What is the plan to mitigate them?

5.4 Vendor and Solution Selection

- If a vendor has been selected, how was this selection done? Was more than one vendor/solution evaluated?

- Does the vendor have proven expertise, recognized reputation and/or is a recognized market leader in the type of solution being evaluated?

- Else, is this vendor an emerging start-up or innovator? How would this be beneficial for the government in the acquisition of this type of solution?

- Is the vendor or solution ranked by third-party researchers (Gartner, Forrester Research, etc.)?

- Is there an exclusive reseller agreement associated with the vendor or solution? Is this vendor a sole source for the solution?

- Are there relevant references for the vendor or solutions in other Agencies or government branches?

- Are there relevant references for the vendor or solution in other jurisdictions (municipal, state or federal jurisdictions, or other countries)?

- Are there relevant references for the vendor or solution in the private sector?

- Are there any identified risks associated with the vendor and/or the solution selection? What is the plan to mitigate them?

- Are there any identified conflict of interest with the vendor and/or the solution selection? What is the plan to mitigate them?

5.5 Cost

- Is the cost of the solution reasonable in relationship to its specialized nature?

- Is the cost of the solution reasonable in comparison to other alternatives?

- What is the financial/cost model? Is it based on time and materials, fixed monthly or annual rate, by subscription fees, by deliverables, by transactions, by usage volume, etc.?

- If the solution is implemented in other Agencies, has the cost been compared and negotiated to guarantee the best rate?

- What are the initial costs or setup fees of this solution?

- Are there any licensing costs associated with the solution? If yes, are they perpetual or recurring? If recurring, can the Agency guarantee long-term budget?

- In case of licensing or other services in existing government master contracts, is it benefiting from negotiated prices?

- In case of licensing, can the needs be fulfilled with available licenses administered by PRITS?

- Have maintenance, upgrade and support costs for the solution been considered? Can the Agency guarantee long-term budget for these? Can the solution be sustained without recurring budget for these concepts?

5.6 Implementation Timeline

- What is the high-level implementation timeline?

- Is the solution optimizing the time to deliver desired value? Will it use agile methodologies for rapid value delivery?

- Is this solution ready to be deployed? What needs to happen for rapid implementation in case of readily available solutions?

- Is this solution based on new development? Will development be done with existing components or will it be developed from scratch? Why is custom development needed instead of acquiring proven solutions that minimize inherent risks of new development?

5.7 Service Level Agreements (SLAs) and Warranties

- What are the SLAs related to the solution? As an example, consider uptime and incident response time.

- Is service availability and response time adequate according to Agency requirements and or according to industry standards?

- What are the penalties for SLA breaches?

- What are the warranties to assure expected service delivery?

- Are there scheduled downtime/maintenance time windows?

- What are the warranties for the goods provided by the vendor? Are all good repairs and/or maintenance covered during the contracted period?

5.8 Knowledge Transfer

- What is the knowledge transfer plan to train and enable government employees?

- How will employees be certified in the solution?

- How will training manuals, user guides, maintenance procedures and other relevant documentation be delivered and stored?

- Does the documentation follow known methodologies and/or standards?

- Have the key employees who will be trained been identified?

- What is the process to transfer knowledge at service termination?

5.9   Interoperability and Ecosystem

- Does the solution provide documented Application Programming Interface ("API")?

- What are the types of API protocols available? For example, SOAP, REST, GraphQL?

- How are APIs secured and how is access managed? How is API traffic throttled?

- Does the solution provide public and open APIs to be leverage by other systems?

- What plug-ins or extensions exists or have been considered for the solution to leverage existing ecosystems?

5.10 Security Design and Monitoring

- What is the solution's design to ensure confidentiality, integrity and availability of information and service?

- What testing has been performed to validate the security controls in place?

- What is the process to report information security incidents?

- Who will be monitoring security advisories and implementing corrective actions?

- Has the agency identified dedicated and knowledgeable technicians and support staff for tasks related to security measures and configuration of the solution?

- What is the access management process? How will authorized users be defined and configured?

- How will transfer or removal of accesses occur at service termination?

5.11 Metrics

- Which are the Key Performance Indicator ("KPI") to ensure the solution is adding value and is delivering the desired results from the functional perspective?

- Which are the KPIs focused on tracking system capacity, availability, security, and performance?

- Which are the KPIs focused on tracking the operational aspects of the solution that aids in the daily operational optimization?

- Which are the KPIs focused on assuring the desired ROI of public funds, focusing on anticipated benefits to citizens?

- Who will be measuring these KPIs and how these will be monitored and reported?

5.12 Quality Assurance, Service Validation and Testing

- Has a Proof of Concept (PoC) been performed? What were the results?

- What is the testing plan? Consider details for functional, integration, stress, and regression testing.

- How will the solution be validated against the original intent of the needs and requirements?

- Does the solution include any type of automated testing?

- Who will be responsible of documenting and executing test cases and test scripts? Where will this evidence be stored?

- Who will be responsible for validating and signing off on the test results?

5.13 Release Management and Change Management

- What is the process to implement configuration changes and/or minor changes that don't require a formal release/go-live?

- What is the process to develop, test, validate, and coordinate go-live deployments? Who will be performing these tasks?

- What training will need to occur for end-users and operating staff for new releases? How will documentation be updated with every new release?

- What is the process for hypercare post deployment?

- Will there be development, test and production environments?

- How will the source code for custom development be stored, managed, versioned and documented?

5.14 Service Continuity and Disaster Recovery

- What is the backup or replication mechanism?

- What is the disaster recovery plan? Does the plan take into account different types of disasters? For example, data loss, system loss, connectivity loss, data center loss.

- How often will the plan be tested and revised for this solution?

- What is the Recovery Time Objective (RTO) for the solution?

- What is the Recovery Point Objective (RPO) for the solution?

5.15 Data Architecture, Access and Ownership

- What is the data architecture for the solution?

- How is the data schema documented?

- What is the data governance process? Who can use the data? How can the data be used?

- How is data integrity and confidentiality guaranteed?

- Is the ownership of the data clearly established?

- How are audit logs stored? What type of detailed data is stored in these logs?

- How long is the data retained?

- How is data made available in case of audits and investigations?

- How will data be managed, or transferred if necessary, at service termination?

- In the case of SaaS, PaaS, IaaS or related models, how will data be accessed if there is no active subscription?

- Is the solution aligned with the Open Data Law (Act 122-2019)?

5.16 Infrastructure and Delivery Model

- Was existing infrastructure analyzed? Is the solution maximizing existing infrastructure capabilities?

- Will the solution be provided as Software-as-a-Service ("SaaS"), Platform-as-a-Service ("PaaS") or Infrastructure-as-a-Service ("IaaS")?

- In the case of SaaS, PaaS, IaaS or other related models, is the vendor committed to the continued investment, improvement and innovation of the solution? Has the vendor shared a product road map?

- In the case of SaaS, PaaS, IaaS or related models, is the vendor open to incorporate feedback and new requirements?

- In the case of SaaS, PaaS, IaaS or related models, are there configurations that can be administered directly by Agency?

- Will the solution be hosted in a public or private cloud or on-premise government-owned infrastructure? In what geography will the solution be hosted?

- Does the solution incorporate highly-scalable and highly-available design principles?

- Who is responsible for monitoring and implementing changes to hardware, system patches, and other infrastructure components?

- Are all components and versions of the solution properly tracked and documented, for example, with a configuration management database (CMDB) tool?

- Will the solution be under the main government portal and domain, pr.gov, as required for all digital services and transactions?

5.17 Monitoring, Support, Service Desk and Operational Model

- What's the plan for monitoring the end-to-end health of the solution once it's implemented?

- Has the agency identified dedicated and knowledgeable technicians and support staff for monitoring and support tasks?

- How will warranties be enforced for incidents and issues that come up after go-live?

- How will issues be reported, tracked, and fixed?

- What KPIs will be in place for problem and incident resolution?

- What is the continuous service improvement method?

- Who is responsible for monitoring, avoiding, and curing obsolescence?

5.18 Emergency Proposals

- What is the type of emergency? Cybersecurity threat/attack? System failure? Infrastructure damage? Is it related to a localized or to widespread event or disaster?

- Why is this solution needed to support the emergency?

6 Document Maintenance

The Chief Innovation & Information Officer of the Government of Puerto Rico is the authority on any changes to this document. The Guidelines shall be reviewed from time to time, as technology and innovation procedures evolve. Recurrent revisions in the short and medium term might be expected as PRITS continue to incorporate requirements and refine the criteria based on best practices and recognized standards, incorporate tools to optimize the process, and as feedback is incorporated. Documents, such as PRITS-2020-003 and PRITS 001, can be found on prits.pr.gov.