

REQUEST FOR PROPOSAL (RFP)

Rocky Mountain Horse Association (RMHA)

Registration Database System Assessment

RFP Number: RMHA-2026-001

Issue Date: [14 July 2026]

Proposal Due Date: [1 August 2026]

Point of Contact: [Mark Smith, SMARK23996@aol.com 256-503-8346]

1. Introduction

The Rocky Mountain Horse Association (RMHA) invites qualified firms and consultants to submit proposals to conduct a comprehensive technical and operational assessment of RMHA's registration database system and associated business processes.

The selected contractor will perform an independent assessment of RMHA's current registration system environment and provide evidence-based findings, risk analysis, and strategic recommendations regarding stabilization, modernization, migration, replacement, or redevelopment options.

The objective of this engagement is to provide RMHA leadership and Board of Directors with a clear understanding of the current system state and a decision-ready roadmap for future investments.

2. Organization Background

RMHA maintains and administers horse registration records, ownership information, pedigree data, transfer history, membership records, and other registry-related information critical to association operations.

RMHA currently experiences operational and technical challenges within its registration system environment. At the commencement of this project, portions of the existing technology stack, hosting environment, integrations, architecture, and documentation may be unknown or incomplete and must be identified during discovery activities.

The registration system contains mission-critical registry information, and preservation of data integrity and operational continuity is essential.

3. Project Objectives

The selected contractor shall:

1. Identify and document the existing technical environment.
2. Assess database architecture and data integrity.
3. Assess application functionality and user workflows.
4. Determine root causes of reported issues.
5. Evaluate performance, scalability, reliability, and maintainability.
6. Assess security controls and access management.
7. Evaluate backup, recovery, and disaster readiness.
8. Identify operational and technical risks.
9. Develop prioritized recommendations and modernization options.
10. Deliver a board-ready executive summary and strategic roadmap.

4. Scope of Work

The selected contractor shall perform a structured assessment that includes stakeholder interviews, documentation review, technical analysis, infrastructure review, workflow evaluation, and validation of findings through objective evidence.

The assessment shall include the following work areas:

4.1 Discovery and System Identification

Activities include:

- Identification of database platform, version, and hosting environment
- Review of application architecture and deployment model
- Documentation of integrations and dependencies
- Assessment of user roles and system usage
- Review of available documentation and administrative access
- Identification of known issues and operational pain points

Discovery Gate Requirement

Discovery serves as a formal project milestone.

If the contractor determines that the system is proprietary, inaccessible, vendor-locked, encrypted, lacks credentials, or otherwise cannot be reasonably assessed without vendor participation, the contractor shall:

- Document all identified blockers
- Provide recommended next steps
- Suspend further technical assessment activities pending written direction from RMHA

4.2 Database Architecture Assessment

The contractor shall evaluate:

- Database schema design
- Table relationships
- Primary and foreign key structure
- Referential integrity controls
- Indexing strategy
- Stored procedures, views, triggers, and scheduled jobs
- Technical debt and architectural risks

4.3 Data Integrity and Data Quality Assessment

The contractor shall assess:

- Duplicate records
- Orphaned records
- Data consistency issues
- Business-rule violations
- Ownership and pedigree data accuracy
- Risks created by manual processes

Where feasible, findings shall be quantified and reproducible.

4.4 Application Assessment

The contractor shall evaluate:

- User interface and usability
- Data entry workflows
- Validation and error handling
- Search and reporting capabilities
- Application performance
- Authentication and authorization controls
- Technology currency and supportability

4.5 Workflow and Business Process Review

The contractor shall document and assess:

- Horse registration processes
- Ownership transfer workflows
- Record correction procedures
- Reporting and export processes
- Audit and history requirements

4.6 Performance and Scalability Assessment

The contractor shall evaluate:

- Workload characteristics
- Query performance
- Resource utilization
- Bottlenecks
- Scalability limitations
- Capacity constraints

The contractor shall not perform resource-intensive testing against production systems without prior written authorization.

4.7 Security Assessment

The contractor shall evaluate:

- User access controls
- Role design
- Authentication mechanisms
- Authorization boundaries
- Logging and auditing
- Encryption practices
- Vulnerability exposure
- Configuration risks

Security findings shall be categorized by severity.

4.8 Backup and Disaster Recovery Assessment

The contractor shall review:

- Backup methodologies
- Retention policies
- Backup verification procedures
- Restore testing evidence
- Disaster recovery readiness
- Recovery objectives and dependencies

4.9 Reporting and Data Access Assessment

The contractor shall evaluate:

- Reporting capabilities
- Data export processes
- Data governance controls
- Report consistency and accuracy
- Shadow systems and manual workarounds

4.10 Infrastructure and Hosting Review

The contractor shall assess:

- Server environments
- Network architecture
- Hosting platforms
- Security posture
- Monitoring and alerting capabilities
- Capacity planning practices

4.11 Documentation and Maintainability Review

The contractor shall evaluate:

- Technical documentation
- User documentation
- Maintainability risks
- Knowledge concentration risks
- Long-term supportability

4.12 Root Cause Analysis

The contractor shall:

- Identify root causes of observed issues
- Correlate symptoms with technical and operational factors
- Provide reproducible evidence supporting findings
- Maintain a risk and issue register
- Classify findings using a severity model

5. Strategic Roadmap Requirements

The contractor shall provide three strategic options for RMHA's consideration:

Each option below shall include:

- Benefits and drawbacks

- Risks and mitigation strategies
- Dependencies
- Assumptions and constraints
- Rough Order of Magnitude (ROM) cost estimates
- Timeline estimates
- Major project phases
- Recommended implementation approach

Option 1 – Stabilize Existing System

Short-term corrective actions intended to maintain current operations.

Option 2 – Modernize Existing System

Incremental improvements and architectural enhancements.

Option 3 – Replace System

Migration to a new platform or complete system rebuild.

6. Required Deliverables

The contractor shall provide:

1. Assessment Plan and Evidence Log
2. Current State System Inventory and Architecture Summary
3. Database Schema Review
4. Entity Relationship Diagram (ERD)
5. Database Architecture Findings Report
6. Data Quality and Integrity Assessment Report
7. Frontend Application Assessment
8. Workflow and Business Process Findings Report
9. Performance and Scalability Assessment Report
10. Security Risk Assessment Report
11. Backup and Disaster Recovery Assessment Report
12. Reporting and Data Access Findings Report
13. Infrastructure and Hosting Assessment Report
14. Maintainability and Documentation Report
15. Root Cause Analysis Report
16. Strategic Roadmap
17. Executive Summary
18. Board Presentation Deck
19. Risk and Issue Register

All deliverables shall be provided in editable formats and PDF.

7. Contractor Qualifications

Proposing firms should demonstrate experience in:

- Database administration and architecture
- Legacy system analysis
- Data integrity assessment and remediation
- Cybersecurity and risk assessment
- Data migration planning
- Business systems modernization

Preference may be given to firms with experience assessing membership, registry, nonprofit, agricultural, or association-based systems.

8. Proposal Submission Requirements

Proposals shall include:

Company Information

- Legal company name
- Business address
- Primary contact information
- Years in business

Relevant Experience

- Similar projects completed
- Client references
- Project outcomes

Project Approach

- Methodology
- Discovery process
- Risk management approach
- Deliverable development process

Project Team

- Key personnel
- Roles and responsibilities

- Relevant qualifications and certifications

Schedule

- Proposed timeline
- Key milestones
- Availability

Pricing

- Fixed fee or milestone-based pricing
- Assumptions
- Optional services
- Any reimbursable expenses

9. Evaluation Criteria

Proposals will be evaluated based on:

Criteria	Weight
Relevant Experience	25%
Technical Approach	25%
Qualifications of Project Team	20%
Understanding of Scope	15%
Cost and Value	15%

RMHA reserves the right to request interviews, demonstrations, clarifications, or best-and-final offers.

9A. Mandatory Vendor Response Matrix

To facilitate a consistent and objective evaluation process, all proposers shall complete and submit the Vendor Response Matrix included below as part of their proposal.

Failure to complete the matrix may result in the proposal being deemed non-responsive.

For each requirement, the proposer shall indicate one of the following:

Response	Definition
Comply	Requirements will be fully met as stated.

Partially Comply	Requirements can be met with exceptions, limitations, or modifications.
Does Not Comply	Requirements cannot be met.
Not Applicable	Requirement is not applicable to the proposer's proposed approach.

For all responses marked **Partially Comply** or **Does Not Comply**, the proposer shall provide a detailed explanation.

Vendor Response Matrix

Requirement	Comply	Partially Comply	Does Not Comply	Explanation (if applicable)
Perform Initial Discovery and System Identification				
Produce Current State System Inventory and Architecture Summary				
Conduct Discovery Milestone Feasibility Assessment				
Assess Database Architecture and Schema Design				
Produce Entity Relationship Diagram (ERD)				
Assess Data Integrity and Data Quality				
Quantify Data Quality Findings Where Feasible				
Assess Frontend/Application Functionality				
Review Business Processes and Workflows				
Conduct Performance and Scalability Assessment				
Conduct Security and Access Control Assessment				
Identify Vulnerabilities Using Public Sources Where Appropriate				
Conduct Backup and Disaster Recovery Assessment				
Assess Reporting and Data Access Capabilities				

Conduct Infrastructure and Hosting Review				
Conduct Documentation and Maintainability Assessment				
Perform Root Cause Analysis				
Maintain Risk and Issue Register				
Categorize Findings by Severity				
Provide Strategic Roadmap with Three Options				
Provide Rough Order of Magnitude (ROM) Estimates				
Deliver Executive Summary				
Deliver Board Presentation Deck				
Deliver All Reports in Editable Formats and PDF				
Provide Weekly Status Meetings and Updates				
Conduct Knowledge Transfer Session				
Maintain Confidentiality and Execute NDA				
Comply with Data Handling and Security Requirements				
Operate Under Read-Only Assessment Constraints Unless Authorized				
Refrain from Unauthorized System Changes				
Provide Reproducible Evidence for High and Critical Findings				
Meet Project Timeline Requirements				

Contractor Qualifications Matrix

The proposer shall indicate experience in the following areas and provide supporting examples.

Qualification Area	Years of Experience	Number of Similar Projects	Reference Project(s)
Database Administration and Architecture			

Data Integrity Assessment and Remediation			
Legacy System Assessment			
Security Assessment			
Data Migration Planning			
Infrastructure Assessment			
Business Process Analysis			

Key Personnel Qualifications

Team Member Role Years of Experience Relevant Certifications

Exceptions and Deviations

The proposer shall identify any exceptions, deviations, assumptions, exclusions, or requested modifications to the RFP, SOW, or sample contract terms.

Failure to disclose an exception in this section shall constitute acceptance of the requirement.

Section Reference Exception or Deviation Requested Reason

Certification

By submitting this matrix, the proposer certifies that the information provided is accurate and that the proposal represents the proposer's intended approach to fulfilling the requirements of this solicitation.

Authorized Representative:

Name: _____

Title: _____

Signature: _____

Date: _____

10. Project Timeline

Anticipated schedule:

Milestone	Target Date
RFP Issued	14 July 2026]
Questions Due	[22 July 2026]
Responses Issued	[30 July 2026]
Proposal Submission Deadline	[1 August 2026]
Vendor Interviews (Optional)	[TBA]
Selection Notification	[15 September 2026]
Contract Execution	[1 October 2026]
Project Kickoff	Within 10 Business Days

Assessment activities are expected to require approximately four to six weeks following kickoff, subject to timely access and stakeholder availability.

11. Confidentiality Requirements

The selected contractor must execute a Non-Disclosure Agreement prior to receiving access to RMHA systems, documentation, or data.

Any approved RMHA data extracts shall:

- Remain encrypted at rest and in transit
- Be accessible only to authorized personnel
- Be used solely for this engagement
- Be destroyed upon request or project completion

RMHA data may not be used for training models or any unrelated purpose.

12. Access and Change Restrictions

Unless expressly authorized in writing, the contractor shall not:

- Modify production data
- Change system configurations
- Alter user permissions
- Install software on RMHA systems
- Export RMHA data outside approved environments

This engagement is limited to assessment activities only.

Implementation, remediation, migration, development, and support services are excluded unless separately authorized.

13. Acceptance Criteria

The project shall be considered complete when:

- All required deliverables have been submitted
- Findings are evidence-based and documented
- Strategic options and recommendations are provided
- A board-ready presentation has been delivered
- RMHA formally accepts the final deliverables

14. Contract and Payment Terms

RMHA reserves the right to terminate the engagement following acceptance of the Discovery Milestone Report.

Suggested payment schedule:

- 25% upon contract execution
- 25% upon Discovery Milestone acceptance
- 25% upon draft report delivery
- 25% upon final report acceptance

Final payment terms shall be negotiated during contract award.

15. Reserved Rights

RMHA reserves the right to:

- Reject any or all proposals
- Waive minor proposal irregularities
- Request additional information
- Conduct interviews
- Negotiate scope and pricing
- Cancel this solicitation at any time

Issuance of this RFP does not obligate RMHA to award a contract.

16. Proposal Submission Instructions

Submit proposals electronically in PDF format to:

[Mark Smith]
[Smark23996@aol.com]
Rocky Mountain Horse Association

Subject Line:

Proposal – RMHA Registration Database System Assessment

Late submissions may be rejected at RMHA's discretion.

17. Ownership of Deliverables

All deliverables produced under any resulting contract shall become the property of RMHA upon payment.

18. Questions Regarding this RFP

Questions regarding this solicitation shall be submitted in writing to the designated RMHA contact no later than the deadline specified in Section 10.

RMHA may distribute responses to all prospective bidders to ensure fairness and consistency.

APPENDIX A

PROPOSAL PRICING FORM

RMHA Registration Database System Assessment

Proposers shall complete and submit this Pricing Form as part of their proposal.

Vendor Information

Item	Response
Company Name	
Primary Contact	
Title	
Email	
Phone	

Pricing Summary

Fixed Price Proposal

Milestone	Amount (USD)
Contract Execution	\$
Discovery Milestone Report	\$
Draft Assessment Report	\$
Final Report and Deliverables	\$
Total Fixed Price	\$

Alternative Pricing Structure (Optional)

If proposing a pricing model other than fixed price, describe below:

Assumptions

Identify assumptions used in developing pricing.

1.

2.

3.

4.

Optional Services (Not Included in Base Proposal)

Service	Description	Estimated Cost
Additional Discovery		\$
Data Cleanup Planning		\$
Migration Planning		\$
Vendor Coordination		\$
Executive Workshops		\$
Other		\$

Expenses

RMHA prefers all-inclusive pricing.

Identify any reimbursable expenses:

Expense Category	Included	Additional Cost
Travel	Yes / No	\$
Lodging	Yes / No	\$
Meals	Yes / No	\$
Other	Yes / No	\$

Cost Validity

Pricing shall remain valid for a minimum of ninety (90) days from proposal submission.

Authorized Representative:

Name: _____

Title: _____

Signature: _____

Date: _____

APPENDIX B

CLIENT REFERENCE FORM

RMHA Registration Database System Assessment

Provide a minimum of three (3) client references for projects of similar scope and complexity completed within the last five (5) years.

Reference #1

Item	Response
Client Organization	
Contact Name	
Title	
Email	
Phone	
Project Name	
Project Duration	
Contract Value	
Completion Date	

Description of Work

Relevance to RMHA Assessment

Reference #2

Item	Response
Client Organization	
Contact Name	
Title	
Email	

Phone
Project Name
Project Duration
Contract Value
Completion Date

Description of Work

Relevance to RMHA Assessment

Reference #3

Item	Response
Client Organization	
Contact Name	
Title	
Email	
Phone	
Project Name	
Project Duration	
Contract Value	
Completion Date	

Description of Work

Relevance to RMHA Assessment

RMHA Reference Evaluation Worksheet

(For Internal Use)

Evaluation Area	Score (1-5)
Technical Competence	
Communication	
Timeliness	
Quality of Deliverables	
Project Management	
Would Rehire Vendor	

Comments:

Evaluator:

Date:

APPENDIX C

SAMPLE CONTRACT TERMS AND CONDITIONS

RMHA Registration Database System Assessment

The following terms are provided for proposal purposes and may be incorporated into the final agreement between RMHA and the selected contractor.

1. Independent Contractor

The Contractor shall perform all services as an independent contractor and shall not be considered an employee, partner, or agent of RMHA

2. Scope of Services

Services shall be performed in accordance with the RFP, the Contractor's proposal, and the executed Statement of Work.

Any work outside the approved scope shall require written authorization from RMHA.

3. Term

The contract shall commence upon execution and remain in effect until completion of all approved deliverables unless terminated earlier in accordance with this agreement.

4. Payment

Invoices may be submitted upon completion and acceptance of milestone deliverables.

RMHA shall remit payment within thirty (30) days of receipt of an approved invoice unless otherwise agreed in writing.

5. Change Orders

No additional work shall be performed without written authorization from RMHA.

Any requested changes shall be documented through a mutually executed change order.

6. Confidentiality

The Contractor shall:

- Protect RMHA Confidential Information.
- Use Confidential Information solely for performance of services.
- Restrict access to authorized personnel.
- Return or destroy confidential information upon request.

Confidentiality obligations shall survive contract termination.

7. Data Security

Contractor shall:

- Apply industry-standard security controls.
- Maintain encrypted storage of approved RMHA data extracts.
- Implement least-privilege access controls.
- Notify RMHA within twenty-four (24) hours of any actual or suspected security incident affecting RMHA data.

Contractor shall not use RMHA information for training artificial intelligence models or any unrelated purpose.

8. Ownership of Work Product

All reports, analyses, findings, diagrams, documentation, and other deliverables produced under this engagement shall become the sole property of RMHA upon payment.

Contractor retains ownership of pre-existing intellectual property, methodologies, tools, and templates used to perform the services.

9. RMHA Intellectual Property Protection

Contractor shall not:

- Reuse RMHA-specific database schemas.
- Reuse RMHA-specific business rules.
- Reuse RMHA-specific registry processes.
- Disclose RMHA data structures.

This restriction shall not prevent Contractor from utilizing general knowledge, experience, or industry best practices that do not reveal RMHA Confidential Information.

10. Non-Disclosure Agreement

Prior to receiving system access or confidential information, Contractor shall execute RMHA's Non-Disclosure Agreement.

11. Access Restrictions

Unless expressly authorized in writing, Contractor shall not:

- Modify production data.
- Execute write operations in production.
- Change configurations.
- Change permissions.
- Install software.
- Export RMHA data outside approved environments.

12. Insurance Requirements

Contractor shall maintain the following minimum insurance coverage during the term of the engagement:

Coverage Type	Minimum Limit
Commercial General Liability	\$1,000,000
Professional Liability / Errors & Omissions	\$1,000,000
Cyber Liability	\$1,000,000
Workers Compensation	As Required by Law

Certificates of insurance shall be provided upon request.

13. Limitation of Liability

Except for:

- Breach of confidentiality.
- Violation of data security obligations.
- Gross negligence.
- Willful misconduct.

Neither party shall be liable for indirect, incidental, consequential, special, or punitive damages.

Contractor's aggregate liability shall not exceed the total fees paid under the contract.

14. Termination

RMHA may terminate the agreement:

- For convenience upon ten (10) days written notice; or
- Immediately for cause.

Contractor shall be compensated only for accepted work completed through the termination date.

15. Discovery Milestone Off-Ramp

Following acceptance of the Discovery Milestone Report, RMHA may elect not to proceed with subsequent phases.

In such event:

- Contractor shall provide all completed discovery deliverables.
- Contractor shall invoice only for completed milestones.
- Neither party shall have further obligations except those that survive termination.

16. Compliance With Laws

Contractor shall comply with all applicable federal, state, and local laws and regulations.

17. Record Retention

Contractor shall maintain project records for a minimum of three (3) years following project completion and make such records available upon reasonable request.

18. Governing Law

The agreement shall be governed by the laws of the Commonwealth of Kentucky without regard to conflict-of-law principles.

19. Dispute Resolution

The parties shall first attempt good-faith negotiation to resolve disputes.

If unresolved, disputes may be submitted to mediation prior to litigation.

20. Entire Agreement

The executed contract, RFP, SOW, Contractor proposal, approved change orders, and incorporated exhibits constitute the entire agreement between the parties.

STATEMENT OF WORK (SOW)

Rocky Mountain Horse Association (RMHA)

Registration Database System Assessment

1. Purpose

The purpose of this Statement of Work (SOW) is to engage a qualified contractor to perform a comprehensive technical and operational assessment of the Rocky Mountain Horse Association (RMHA) registration database system.

The assessment includes the database layer, application layer, integrations, hosting/infrastructure, user workflows, security controls, backup and recovery processes, reporting and exports, data integrity, system performance, maintainability, and long-term viability.

The goal of this engagement is to provide RMHA with evidence-based findings and a decision-ready roadmap to stabilize, optimize, migrate, rebuild, or replace the existing system.

2. Background

RMHA maintains a database containing horse registration records, ownership information, pedigree data, transfer history, member information, and other registry data critical to RMHA operations.

RMHA is currently experiencing system issues. At the start of this engagement, the specific database platform, application stack, integrations, hosting model, and overall technical condition may be partially or fully unknown and must be confirmed during discovery.

Because this system contains mission-critical registry information, the contractor shall first identify and document the current technical environment and operational processes and then provide recommendations. The contractor will not make unauthorized changes to production systems or data.

3. Project Objectives

The contractor shall:

1. Identify and document the current database platform, version, hosting environment, integrations, and application architecture.
2. Assess the database schema, relationships, indexing, constraints, and overall data integrity.
3. Assess the application layer (UI, business logic, reporting, and exports) and core user workflows.
4. Identify and validate root causes of reported system issues.
5. Evaluate performance, scalability, availability, reliability, and maintainability.
6. Review authentication, authorization, role design, audit logging, and security risks.
7. Evaluate backup and restore capability, retention practices, and disaster recovery readiness.
8. Identify risks related to unsupported, obsolete, or single-point-of-failure technology and processes.
9. Provide prioritized recommendations with phases (immediate stabilization, short-term improvements, long-term modernization).
10. Deliver a board-ready executive summary and decision roadmap with options, tradeoffs, and estimated effort/cost ranges.

4. Scope of Work

4.0 Engagement Approach (Overview)

The contractor will perform a structured assessment consisting of stakeholder interviews, review of available documentation, read-only technical analysis of the database and application (where feasible), configuration review of the hosting/infrastructure environment, and validation of findings through evidence (e.g., logs, query plans, configuration snapshots, and reproducible test cases). The contractor shall provide weekly status updates and a risk/issue log throughout the engagement.

The contractor shall avoid executing resource-intensive queries against production systems that may impact performance or availability. Where possible, analysis shall be conducted against read replicas, backups, or approved subsets of data.

Definition (minimum standard): “Evidence-based findings” shall include system logs, query execution plans, data samples or outputs, configuration exports, or reproducible test cases. For all High and Critical findings, the contractor shall provide reproducible evidence or documented methodology sufficient for independent validation.

Deliverable: Assessment Plan and Evidence Log (including interview list, access obtained, environments reviewed, and test approach)

4.1 Initial Discovery and System Identification

The contractor shall identify and document:

- Database engine/platform, edition, and version (including patch level where available)
- Hosting environment (on-premises, cloud, or hybrid), including provider and region if applicable
- Server/VM/container details (OS, CPU/memory/storage) and storage layout
- Application type (web, desktop, client/server, SaaS) and deployment topology
- Programming languages, frameworks, and major dependencies (as identifiable)
- Integration points (imports/exports, APIs, file drops, email workflows, payment processors, etc.)
- User roles, approximate user counts, and usage patterns (peak times, heavy workflows)
- Availability of documentation, source code, vendor contacts, and administrative credentials
- Known issues/pain points, error patterns, and recent changes
- Environment separation (production vs. test/dev) and change/release process (if any)
- Timeline milestones are dependent on timely provision of access, credentials, and stakeholder availability. Delays exceeding three (3) business days may result in schedule adjustments

Deliverable: Current State System Inventory and Architecture Summary

4.1.1 Discovery Gate (Feasibility and Stop-Work)

Discovery is a gating milestone. If, during Initial Discovery, the contractor determines that the underlying system is proprietary, vendor-locked, encrypted, license-restricted, lacks required credentials, or is otherwise not reasonably accessible for technical assessment using standard industry tools (without vendor participation), the contractor shall notify RMHA in writing, document the blockers, and provide recommended next steps (e.g., vendor-assisted export, credential recovery, platform replacement). Upon identifying an access blocker that prevents further assessment work, the contractor shall pause further technical assessment activities until RMHA provides written direction to proceed.

Deliverable: Discovery Milestone Report (platform identified; access method validated; feasibility determination; list of blockers, prerequisites, and options to proceed)

4.2 Database Architecture Assessment

The contractor shall evaluate:

- Core tables, relationships, schema design patterns, and naming conventions
- Primary keys, foreign keys, unique constraints, and referential integrity enforcement
- Indexing strategy (coverage, selectivity, fragmentation/health where available)
- Data types, nullability, default values, and key domain rules
- Normalization/denormalization decisions and their impact
- Use of stored procedures, views, triggers, and scheduled jobs (if applicable)
- Transaction boundaries and concurrency/locking considerations (where observable)
- Obsolete, redundant, or high-risk structures and technical debt hotspots

Deliverables:

- Database Schema Review (findings and annotated notes)
 - Entity-Relationship Diagram (ERD) or equivalent data model diagram based on discovery
 - Database Architecture Findings Report (risks, recommendations, and priorities)
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4.3 Data Integrity and Data Quality Assessment

The contractor shall identify:

- Duplicate records and inconsistent identifiers
- Orphaned records (broken relationships) and referential integrity gaps
- Missing, invalid, or out-of-range data values
- Inconsistencies in ownership, pedigree, and transfer history data
- Constraint violations and business-rule violations (where rules can be established)
- High-risk manual processes that create data quality drift

Where feasible, the contractor shall quantify findings (counts, percentages, and representative examples) and document detection queries/logic so results are reproducible.

Deliverable: Data Quality and Integrity Assessment Report

4.4 Frontend Application Assessment

The contractor shall review:

- User interface usability and accessibility considerations
- Data entry workflows, validation rules, and error handling
- Search, reporting, export functions, and their correctness/performance
- Performance and responsiveness (including high-latency scenarios)
- Application maintainability (code structure, configuration, deployment process if visible)
- Authentication/session management and authorization alignment with business roles
- Dependency on outdated or unsupported technologies (frameworks, libraries, runtimes)

Deliverable: Frontend Application Assessment

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4.5 Workflow and Business Process Review

The contractor shall document workflows including:

- Horse registration (creation, validation, and issuance)
- Ownership transfers (requests, approvals, and effective dating)
- Record updates/corrections (including who can change what, and when)
- Reporting and exports (internal, member-facing, and regulatory/partner needs if any)
- Auditability requirements (history tracking, change logs, and dispute resolution)

The contractor shall identify inefficiencies and risks.

Deliverable: Workflow and Business Process Findings Report

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4.6 Performance and Scalability Assessment

The contractor shall assess:

- Workload characterization (top workflows, peak usage, and heavy reports)
- Query performance (slow queries, timeouts, and execution plan observations where available)
- Indexing effectiveness and missing/unused index indicators (where applicable)
- System bottlenecks (CPU, memory, disk I/O, network, locking/contention)
- Resource limits/quotas and scalability constraints (vertical vs. horizontal options)
- The contractor shall not execute long-running or high-impact queries in production environments without prior written approval.

Deliverable: Performance and Scalability Assessment Report

4.7 Security and Access Control Assessment

The contractor shall evaluate:

- User roles, least-privilege alignment, and administrative access controls
- Authentication methods (local accounts, SSO, MFA capability) and credential hygiene
- Authorization boundaries between application and database
- Logging, auditing, and evidence retention (who did what, and when)
- Encryption practices (in transit and at rest) and secrets management
- Exposure risks (public endpoints, firewall rules, outdated components, known misconfigurations)
- The contractor shall identify known vulnerabilities associated with detected software versions using publicly available sources (e.g., CVE databases), where feasible and non-intrusive.

Findings shall be categorized by severity.

Deliverable: Security Risk Assessment Report

4.8 Backup and Disaster Recovery Assessment

The contractor shall review:

- Backup method, frequency, retention, and integrity verification (e.g., checksums)
- Offsite/immutable backup practices and access controls to backups
- Restore procedures and evidence of restoring testing.
Where feasible, the contractor shall validate backup integrity through documented restore testing or restore simulation.
- Disaster recovery readiness, including estimated RPO/RTO and dependency mapping

Deliverable: Backup and Disaster Recovery Assessment Report

4.9 Reporting and Data Access Assessment

The contractor shall evaluate:

- Available reporting tools and how reports are produced (built-in, ad hoc SQL, external tools)

- Data accessibility (exports, APIs, read-only access patterns) and governance controls
- Report accuracy, performance, and consistency of definitions (e.g., ownership as-of dates)
- Reliance on manual steps or shadow systems (spreadsheets, emailed extracts)
- Opportunities to define a “single source of truth” and standard report catalog

Deliverable: Reporting and Data Access Findings Report

4.10 Infrastructure and Hosting Review

The contractor shall assess:

- Server environment and topology (compute, storage, network segmentation)
- Network configuration (firewall rules, inbound/outbound exposure, VPN/bastion access)
- Hosting platform and SLAs (if applicable)
- Security exposure (patch levels, vulnerability posture, endpoint hardening)
- Monitoring/alerting, logging centralization, and operational runbooks
- Capacity management and growth constraints

Deliverable: Infrastructure and Hosting Assessment Report

4.11 Documentation and Maintainability Review

The contractor shall evaluate:

- Availability, completeness, and accuracy of documentation (technical and user-facing)
- Maintainability of the system (configuration management, deployment repeatability)
- Dependency and “bus factor” risks (single maintainer/vendor, undocumented knowledge)
- Ability to support the system going forward (skills required, licensing, tooling)

Deliverable: Maintainability and Documentation Report

4.12 Root Cause Analysis

The contractor shall:

- Identify root causes of system issues and map symptoms to contributing factors

- Provide evidence-based findings with traceability to logs, configurations, queries, screenshots, or reproducible steps
- Distinguish between technical causes and process/training causes, including quick wins
- Maintain an issue/risk register with severity and recommended remediation
- All findings shall be categorized using a consistent severity model (Critical, High, Medium, Low), with definitions included in the report.

Deliverable: Root Cause Analysis Report

5. Recommendations and Roadmap

The contractor shall provide three decision options with a recommended path forward. Options may include hybrid approaches (e.g., stabilize then migrate) if supported by findings.

Option 1: Stabilize Current System

Short-term fixes to maintain operations

Option 2: Modernize Current System

Refactoring and improvements

Option 3: Replace System

New platform or rebuild

Each option shall include:

- Pros and cons
- Key risks and mitigations
- Dependencies and prerequisites (access, vendor support, infrastructure, data cleanup)
- Assumptions and constraints
- Rough order-of-magnitude (ROM) cost estimate ranges
- Estimated timeline ranges and major milestones/phases
- Recommended path (including phased plan and immediate next steps)
- ROM estimates shall include key cost drivers, assumptions, and a level-of-confidence indicator.

Deliverable: Strategic Roadmap

6. Deliverables Summary

The contractor shall provide:

- Assessment Plan and Evidence Log
- Current State System Inventory and Architecture Summary
- Database Schema Review
- Entity-Relationship Diagram (ERD) or equivalent data model diagram
- Database Architecture Findings Report
- Data Quality and Integrity Assessment Report
- Frontend Application Assessment
- Workflow and Business Process Findings Report
- Performance and Scalability Assessment Report
- Security Risk Assessment Report
- Backup and Disaster Recovery Assessment Report
- Reporting and Data Access Findings Report
- Infrastructure and Hosting Assessment Report
- Maintainability and Documentation Report
- Root Cause Analysis Report
- Strategic Roadmap (Options 1–3 with recommendation)
- Executive Summary (board-ready)
- Board Presentation (slide deck)
- Risk and Issue Register (including ID, description, severity, impact, likelihood, recommendation, and status)

7. Contractor Requirements

The contractor must have experience in:

- Database administration and architecture
- Data integrity remediation
- Legacy system analysis
- Security assessment
- Data migration planning

8. Responsibilities

Contractor Responsibilities

- Perform all assessments
- Maintain confidentiality
- Provide documented findings
- Avoid unauthorized system changes

RMHA Responsibilities

- Provide system access
- Provide documentation
- Assign point of contact
- Review deliverables

8.1 Meetings and Communications

The contractor shall provide (at minimum) one weekly status meeting (30–60 minutes) and a written weekly status update summarizing completed work, next steps, risks/issues, and any access blockers. RMHA will designate a primary point of contact for scheduling, coordination, and consolidated feedback.

The contractor shall conduct at least one structured knowledge transfer session to review findings, deliverables, and recommendations with RMHA stakeholders.

9. Access and Change Control

Unless explicitly authorized in writing by RMHA, the contractor shall not:

- Modify production data or run write operations against production systems
- Change system configurations, firewall rules, or user permissions
- Install software agents/tools on RMHA systems without approval
- Export or remove RMHA data from RMHA-controlled environments without explicit approval and documented handling requirements
- The contractor shall not perform remediation, implementation, or system changes unless explicitly authorized under a separate written agreement.

All changes require written authorization.

10. Confidentiality

All data and findings are confidential.

The contractor must sign a Non-Disclosure Agreement prior to access.

10.1 Data Handling and Security Requirements

- RMHA data shall be accessed on a least-privilege basis and limited to what is required to perform the assessment.
- If RMHA approves any data extract, the contractor shall store it only in encrypted form, restrict access to authorized personnel, and use it solely for purposes of this engagement.
- The contractor shall not use RMHA data to train models or for any purpose unrelated to the engagement.
- Upon RMHA request (or at project completion), the contractor shall securely delete/destroy extracted data and provide written confirmation.

11. Ownership

All deliverables become property of RMHA upon payment.

12. Timeline

- Kickoff: within 10 business days of contract execution
- Assessment activities: 4 to 6 weeks from kickoff (subject to timely access and stakeholder availability)
- Draft report delivery: within 10 business days after completion of assessment activities
- RMHA review period: 5 business days (or as agreed)
- RMHA may request a decision workshop following draft report delivery to evaluate strategic options prior to finalization.
- Final report delivery: within 5 business days after RMHA provides consolidated feedback

13. Acceptance Criteria

The project is complete when:

- All deliverables listed in Section 6 are submitted in agreed formats (e.g., PDF/Word for reports, PPTX for slide deck) and are internally consistent.
- Findings are evidence-based, include severity/prioritization where applicable, and document assumptions/constraints.
- A clear recommendation and decision roadmap is provided, including at least three options and a recommended path.
- A board-ready presentation is delivered (live or recorded) and RMHA accepts the final report in writing.

14. Payment Terms

14.1 Stop After Discovery Milestone (Off-Ramp)

RMHA may elect to stop the engagement after acceptance of the Discovery Milestone Report (Section 4.1.1) by providing written notice to the contractor. In that event, the contractor shall deliver all Discovery Milestone artifacts produced to date, and RMHA will pay only for milestones completed (and any approved, documented expenses if applicable). Any work beyond Discovery (including vendor coordination, data extraction, remediation, migration, rebuild, or replacement implementation) is out of scope for this SOW and shall require a separate change order or new SOW.

Suggested structure (invoiced upon milestone completion; payment terms to be defined in the contract):

- 25% at contract execution
- 25% after acceptance of the Discovery Milestone Report
- 25% after draft report
- 25% upon final delivery

15. Exclusions

This SOW does not include:

- System rebuild

- Data migration
- Implementation work
- Ongoing support

16. Assumptions

- RMHA will provide access and documentation
- The system may require reverse engineering; however, if the platform/data is proprietary or inaccessible, RMHA may stop after the Discovery Milestone and pursue vendor-assisted export or replacement under a separate SOW.
- No major changes during assessment

17. Approval

This SOW becomes effective upon signature.

18. Limitation of Liability

The contractor shall be responsible for damages arising from gross negligence, willful misconduct, or unauthorized changes to RMHA systems.

Except for breaches of confidentiality, data handling obligations, or gross negligence/willful misconduct, neither party shall be liable for indirect, incidental, special, or consequential damages, including loss of revenue or business interruption.

Total liability of the contractor under this SOW shall not exceed the total amount paid under this SOW.

19. Access Control and Account Management

All access provided to the contractor shall be unique to the individual contractor, logged where technically feasible, and limited to the least privilege necessary.

Upon completion or termination of the engagement: (1) all contractor access shall be revoked; (2) all credentials shall be disabled or deleted; and (3) the contractor shall confirm in writing that no access remains.

20. Deliverable Standards

All deliverables shall include clear written findings and supporting evidence (e.g., logs, screenshots, query results, or configuration exports). Where applicable, the contractor shall provide reproducible queries/scripts or methods used to produce findings. Diagrams (ERD, architecture, or workflow) shall be included where relevant.

All deliverables shall be provided in editable formats (Microsoft Word, Excel, PowerPoint, or equivalent) in addition to PDF.

For all High and Critical findings, reproducible queries, scripts, or documented methodologies shall be included.

21. Data Model and Intellectual Property Protection

The contractor shall not reuse, distribute, or incorporate RMHA-specific database structures, schemas, registry/business rules, or RMHA data models developed or discovered during this engagement into other client engagements without RMHA's prior written consent. All RMHA data structures and business rules are considered confidential intellectual property.

This section does not restrict the contractor from using general technical knowledge, skills, and experience that do not disclose RMHA Confidential Information or RMHA-specific structures/business logic.

RMHA Representative

Name: _____

Signature: _____

Date: _____

Contractor

Name: _____

Company: _____

Signature: _____

Date: _____