

# WAUKESHA COUNTY, WISCONSIN



## WORKFORCE MANAGEMENT SYSTEM

### REQUEST FOR PROPOSAL # 1115

Dated: 1/18/11

KEY PROPOSAL DATES	
Questions Due:	10:00 a.m., Monday, March 14, 2011
Contact Name	<i>Diane Knoll, CPPB, Sr. Buyer</i>
Contact E-mail	<a href="mailto:dknoll@waukeshacounty.gov">dknoll@waukeshacounty.gov</a>
Contact Fax	262-548-7668
Pre-Proposal Conference	10:00 a.m., Tuesday March 15, 2011
Final Questions Due:	4:00 p.m., Wednesday, March 16, 2011
Submission of Proposals	2:00 p.m., Tuesday, April 5, 2011

**THIS PAGE INTENTIONALLY LEFT BLANK**

**WAUKESHA COUNTY  
PURCHASING DIVISION  
ADMINISTRATION CENTER, ROOM 310  
515 W. MORELAND BLVD.  
WAUKESHA, WI 53188**

**REQUEST FOR PROPOSAL – 1115 WORKFORCE MANAGEMENT SYSTEM**

**Submission Requirements:**

This RFP is issued on behalf of Waukesha County by the Purchasing Division, which is the sole point of contact during the procurement process.

**\*Sealed proposals for furnishing services as specified below are to be mailed to the Office of the Waukesha County Purchasing Division, Administration Center - Room 310, 515 W. Moreland Blvd. Waukesha, WI 53188 no later than 2:00 p.m. on 4/5/11. NOTE: If you are delivering your response in person, you must enter through the main Courthouse public entrance (Door #2), 515 W. Moreland Blvd and deliver it to the Department of Administration receptionist in Room 310 of the Administration Center to be time-stamped no later than 2:00 p.m. on the opening date. Be sure to allow sufficient time to obtain entry as the County has now instituted a Controlled Access policy. For more information – go to [www.waukeshacounty.gov](http://www.waukeshacounty.gov) and click on the **Waukesha County Security Screening** link located at the bottom of the page.**

**\*Waukesha County will also accept electronic responses. Vendors wishing to do so should reference the Proposal Submission Section.**

**ALL PROPOSALS RECEIVED AFTER THE DATE AND TIME SPECIFIED WILL BE REJECTED**

**PROPOSAL SUBMISSION:**

**One (1) original and eight (8) copies** of the vendor response document, and **one original and one copy of the pricing document** are to be submitted in **SEPARATE SEALED ENVELOPES** to the Waukesha County Purchasing Division **no later than 2:00 p.m. 4/5/11.**

The **two separate proposal envelopes** must be identified in the lower left corner as follows:

**Vendor Response Document for 1115 Workforce Management System OPENING DATE: 4/5/11**

**Pricing Document for 1115 Workforce Management System OPENING DATE: 4/5/11**

Any Proposal received in an envelope not properly and clearly marked as specified above may result in the proposal being rejected. **It is the vendor's responsibility to comply with the above in order to assure its inclusion at the proposal opening.**

**FAX OR EMAIL RESPONSES WILL NOT BE ACCEPTED - ALL FAXED OR EMAIL RESPONSES RECEIVED WILL BE REJECTED.**

Proposals will be opened and the name of the respondents read at the time indicated. Details of each proposal, including proposed fees, shall not be announced at the time of opening. Such information shall be made public after an award has been made and all negotiations are completed.

**All proposals received in response to this request will become the property of the County and will not be returned to the respondents.**

**NOTE: THIS PAGE IS TO BE COMPLETED ONLY IF YOUR FIRM IS NOT RESPONDING TO THIS RFP**

**RFP 1115 Workforce Management System**

In order to assist the Purchasing Division of Waukesha County in evaluating and improving our solicitation process, we are asking that you complete this form and return it to enter buyer via fax (262.548.7668) or e-mail. If we do not receive this form by the opening date of the Bid/RFP, we will assume that you can no longer supply this commodity/service and your name will be removed from our vendor list for this item.

\_\_\_\_\_ 1. The terms and conditions of the Request for Bid/Proposal document were restrictive. Our objections are:

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_ 2. We did not feel we could be competitive.

\_\_\_\_\_ 3. We could not submit a Bid/Proposal because of the marketing or franchising policies of the manufacturing company.

\_\_\_\_\_ 4. We do not furnish the items/services requested in the Request for Bid/Proposal.

\_\_\_\_\_ 5. Insufficient time to respond.

\_\_\_\_\_ 6. We could not meet your required delivery/time schedule.

\_\_\_\_\_ 7. We did not have sufficient staffing at the time.

\_\_\_\_\_ 8. We did not receive subject Invitation to Bid/Request for Proposal.

\_\_\_\_\_ 9. Please remove our name from this category in the vendor list.

\_\_\_\_\_ 10. Other: \_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
PRINTED NAME DATE

\_\_\_\_\_  
SIGNATURE PHONE

\_\_\_\_\_  
COMPANY NAME FAX

**Purchasing Division**  
Administration Center, Room 310  
515 W. Moreland Blvd.  
Waukesha, Wisconsin 53188-2473  
<https://purchasing.waukeshacounty.gov>  
Phone: (262) 548-7888  
Fax: (262) 548-7668

## PROPOSAL SUBMISSION REQUIREMENTS

- A. CLARIFICATIONS** - If additional information is needed to interpret the specifications/requirements, **WRITTEN QUESTIONS MUST BE RECEIVED NO LATER THAN THE TIME/DATE AND ADDRESSED TO THE PERSON NOTED ON THE COVER PAGE.**

**No information provided verbally, or by any other personnel, will be considered binding. All respondents should use this written document and its attachments as the sole basis for proposal at this time.**

Additionally, the County prohibits communication initiated by the respondent to any County official, representative from another entity or employee evaluating or considering the proposals, prior to the time a decision has been made.

- B. CONTENTS OF PROPOSAL** - All attachments, additional pages, addenda, or explanations supplied by the vendor with this proposal will be considered as part of the proposal response.

If an oral presentation/interview is required of selected finalists, it shall be at the respondent's expense. However, an award may be made without discussion with the respondents. Therefore, respondents are cautioned that proposals should be submitted initially on the most favorable terms, from both a technical and cost standpoint. Unnecessarily elaborate brochures or other presentations beyond that required to present a complete and effective proposal are not desired.

- C. NONCONFORMING TERMS & CONDITIONS** - A response that includes contractual terms and conditions that do not conform to the contractual terms and conditions in the RFP document is subject to rejection as nonresponsive. Waukesha County reserves the right to permit the respondent to withdraw nonconforming terms and conditions from its response or negotiate changes to the contractual requirements prior to making a determination of responsiveness.

- D. ALTERNATE PROPOSALS** - An alternate proposal is viewed by the County as a proposal describing an approach to accomplishing the requirements, which differs from the approach set forth in the solicitation. An alternate proposal may also be a second proposal submitted by the same respondent, which differs in some degree from its prime proposal.

The County may consider or reject any or all alternate proposals submitted.

- E. RESERVATIONS** - This RFP does not commit the County to award a contract, to pay any costs incurred in the preparation of a response to this request or to procure or contract for services or supplies. The Purchasing Division reserves the right to accept or reject any or all proposals received as a result of this request, to waive minor irregularities in the procedure, to negotiate with any qualified source, or to cancel in part or in its entirety, this RFP, if it is in the best interest of Waukesha County to do so.

- F. NON-INTEREST OF COUNTY EMPLOYEES AND OFFICIALS** - No official or employee on the evaluation committee shall have any financial interest, either direct or indirect, in the proposal or contract. No official or employee of the evaluation committee shall exercise any undue influence in the awarding of the proposal or contract.

- G. AMENDMENT OF PROPOSALS** -

**By County:** Requests for Proposals may be amended by the Purchasing Division in response to need for further clarification, specifications and/or requirements changes, new opening date, etc. Amendments will be posted to the Waukesha County purchasing website, at <https://purchasing.waukeshacounty.gov>. **It is the responsibility of prospective vendors to check this website for any future amendments, questions, revisions, etc., prior to the opening date. All amendments must be acknowledged on the signature page in the area provided. Failure to do so may result in your response being rejected.**

If you are unable to access the Internet, contact the buyer listed within the RFP to request paper copies.

**By Vendor:** Proposals may only be amended after receipt by the Purchasing Division by submitting a later dated proposal that specifically states that it is amending an earlier proposal. No proposal may be amended after the opening date unless requested by the Purchasing Division.

- H. WITHDRAWAL OF PROPOSALS** - Proposals may be withdrawn only in total and only by a written request to the Purchasing Division prior to the time and date scheduled for opening of proposals.
- I. OTHER CONSIDERATIONS** - Factors, which include, but are not limited to, quantity involved, time of completion, purpose for which required, competency and financial capacity of vendor, ability to render satisfactory service and past performance will be considered in determining status as a responsible vendor. The County reserves the right to request additional information as may reasonably be required to make this determination and to further investigate the qualifications of the respondent as deemed appropriate.
- J. RFP TABULATIONS** - RFP Tabulations are available to the public after contract award, approximately 60-90 days from the date of opening. RFP Tabulations can be found at <https://purchasing.waukeshacounty.gov>. If you are unable to access the Internet, you may contact 262-548-7888 for a hard copy. Copies are 15 cents per page plus postage costs if applicable.

### **CONTRACTUAL REQUIREMENTS**

**The successful contractor will be required to execute Appendix A - Waukesha County's Service contract, Appendix B - the Business to Business Network Agreement, Appendix C - Server Access Policy (SOP) required at time of software implementation for maintenance and support, and upon completion of the contract, Appendix D - the IT Data Destruction Document, samples of which are posted at our website along with this solicitation.**

**Request for Proposal (RFP) No. 1115  
Workforce Management System for Waukesha County  
1/18/11**

**I. INTRODUCTION**

The purpose of this Request for Proposal (RFP) is to obtain proposals from qualified firms to provide and implement a Workforce Management System for Waukesha County to replace our existing Time & Attendance and Benefit Accrual system (currently Ceridian Time Professional 6.05). The envisioned system will include capabilities for time and attendance data collection, benefit accruals, scheduling, overtime management, absence management, and reporting. There is no plan to replace the existing Ceridian HR/Payroll (formerly Source 550) system at this time. The County hopes to obtain a solution that is interfaced with our current Payroll/Human Resources Information System, and that can export or import time data to/from various other County applications. Note: For purposes of this RFP, “vendor” or “respondent” refer to the firm responding to this RFP while “Contractor” refers to the successful firm awarded the contract for this RFP.

The documents/Appendices listed below are referenced in this document and can be found by going to the following link: <http://www.waukeshacounty.gov/defaultwc.aspx?id=39151>

Appendix A	Service Contract
Appendix B	Business to Business (B-2-B) Agreement
Appendix C	Standard Operating Procedure Server Access Policy
Appendix D	IT Data Destruction Document
Appendix E	Vendor and Functional Requirements Study
Appendix F	Auxiliary Applications
Appendix G	Waukesha County Governments IT Division Environment
Appendix H	Ceridian Infrastructure Environment Overview
Appendix I	High Level Payroll Process Diagrams
Appendix J	Waukesha County Systems Flow Diagram
Appendix K	Waukesha County Government - IT Division Web Application Development Standards
Appendix L	Information Security Policy
Appendix M	Project Folders Structure
Appendix N	Data Requirements

The other documents posted with this solicitation are:

Response Document – Vendor Response Document General	This General Vendor Response Document requests information on your company’s experience (including staff), as well as your products and services and asks for additional information to further confirm your ability to meet the requirements.
BT Requirements - Vendor Response Document	This Business and Technical (BT) Requirements Document requests more detailed information regarding the business & technical requirements.

Pricing Document – Vendor Response Document	This Pricing Document requests detailed information regarding costs. <b>NOTE: COSTS SHOULD BE PROVIDED IN THE PRICING DOCUMENT ONLY.</b>
---	--

**II. BACKGROUND**

The County employs approximately 1,500 employees, although there can be significant variation during the year due to seasonal employment. Most employees are represented by one of seven collective bargaining units, with about 430 non-represented. A number of County operations (law enforcement, corrections, mental health, etc.) are staffed on a 24/7 basis. Employees are located at a central campus and a number of remote locations. About 44,000 paychecks/direct deposits are processed annually, and about 2,000 IRS forms W-2 are produced. Basic payroll processing is outsourced through the Ceridian HR/Payroll application. Payroll is run on a bi-weekly basis. The County maintains three custom applications for the Ceridian environment to provide additional needed functionality for Back Pay, Compensatory Time, and Disability Pay. The custom application for Disability Pay must interface with the new Workforce Management system. It is the County’s understanding that Compensatory Time is typically part of a new system. However, if not, the Contractor will need to work with Ceridian to create an interface for compensatory time if their system cannot handle its functionality. Back Pay is not required to be interfaced with a new system as the County can continue to access Back Pay through the HR/Payroll system, therefore, Back Pay is not part of the scope of this project. Various County departments maintain a range of different scheduling systems, none of which are currently integrated with the time and attendance system. Departments currently collect and enter time data manually. Various County departments also collect time data for purposes of grant reporting, labor allocation, invoicing, work order management, etc. A solution that will automate the aforementioned data collection is preferred.

The County recently engaged with an outside consultant to review our current processes and systems and make pertinent recommendations for Vendor & Functional Requirements. A portion of that study is included as Appendix E, Vendor and Functional Requirements Study, by way of background.

**III. PROJECT GOALS**

The primary objective of the project is to find a comprehensive solution that can meet the workforce management needs of the County. The intent is to find a solution that can provide capabilities for time and attendance data collection, benefit accruals, scheduling, overtime management, absence management, reporting and connectivity to related systems. Waukesha County has established the following goals for the solution:

- a. Eliminate administrative processes and/or activities that add minimal or no value, such as redundant keying and handling, manual reconciliation steps, manual time recording, etc.
- b. Be capable of allowing several different automated methods of time collection including employee self-entry of time, either through the computer, swipe cards, time clocks, mobile devices, etc.
- c. Maintain and calculate complicated and unlimited number of benefit accruals including vacation, sick time, compensatory time, Fair Labor Standards Act (FLSA) compensatory time, holiday, floating holiday, etc. which have different rules for different types of employees.
- d. Ability to accommodate a comprehensive set of complicated pay rules, pay policies and an unlimited number of pay codes for multiple different groupings of employees.



- e. Ability to automatically calculate Overtime based on scheduled hours, actual hours, and using different rules for FLSA overtime and Contractual Overtime.
- f. Provide employee self-service capability to view real time leave balances, schedules and time worked for both employees and supervisors.
- g. Provide basic and advanced scheduling functionality which can auto-populate time card data. NOTE: Implementation of the advanced scheduling capability may be considered as a later phase. The County estimates a quantity of 30 users for the scheduling function.
- h. Provide automated absence management workflow to allow employees to request time off and subsequently populate the schedule and the time sheet, including the ability to help track and manage both paid and unpaid leave and to validate against current and future available leave balances.
- i. Be capable of handling time and attendance data collection on both a positive and exception based system and be able to pre-populate timecards based on scheduled hours or pay policy.
- j. Be capable of collection and reporting of time and attendance data using multiple levels of labor distribution, projects, tasks, etc.
- k. Includes the configuration and processes necessary to administer the County's Compensatory Time rules, including calculation of balances, payouts and holdovers without need for external custom applications.
- l. Includes the capability to interface with the County's custom disability pay application.
- m. Be able to utilize multiple alternate rates of pay, i.e. shift differentials, equipment rates, officer in charge, etc.
- n. Allow security set up to be flexible based on security groups or individual security and provide an ability to be changed easily due to employee job changes or transfers to other departments.
- o. Be able to perform regular interface or data exchange with the Ceridian HR/Payroll system, including:
  - o Daily import of employee master data from HR/Payroll to time and attendance and other modules, as necessary.
  - o Export of time and attendance data from the time and attendance application to HR/Payroll in the appropriate format for payroll processing.
- p. Improve access to time and attendance information through ad-hoc reporting, on-demand access and export of reports and/or data to other file formats.
- q. Includes the capability to import and store wages and alternate rates.
- r. Provide potential improved interfaces with other County applications with scheduling and/or timekeeping components (refer to Appendix F – Auxiliary Applications).
- s. Provide an ability to effectively manage overtime and the equalization process of offering overtime to employees based on current department requirements, such as seniority or overtime credits earned.

- t. Provide electronic signature approval and workflow with complete audit trail capabilities.
- u. Allow for the conversion of historical time and attendance data from the old system.
- v. Is easy to learn and use, and therefore will have a high acceptance rate by County Employees.

#### **IV. SOLUTION ARCHITECTURE OVERVIEW**

##### **Overview of Waukesha County's Current IT Structure and Standards**

The County's Information Technology and Services are organized as a Division within the Department of Administration. The Information Technology Division operates a centralized technology service for all County Departments through several data centers. Refer to Appendix G - Waukesha County Government's IT Division Environment.

##### **Waukesha County's Current Time and Attendance Processing Environment**

Human Resources Information System (HRIS) and payroll functions are divided between two divisions of the Department of Administration to maintain proper segregation of functions. Hiring, termination and wage rate changes are administered by the Human Resources Division. The Accounting Services Division consolidates time and attendance data collected from the various departments for submission to the payroll processor.

The County's HRIS system is currently Ceridian HR/Payroll (formerly Source 550) v 7.5. The Time and Attendance system is currently Ceridian Time Professional v 6.05. (Reference Appendix H, Ceridian Infrastructure Environment Overview). This is a representation at a very high level.

Most of the County's departments have a specific person (timekeeper) to initially enter the time and attendance data in the Ceridian Time Professional system for further review and processing by the Department of Administration Staff. These employees may also be responsible for updating time data in other applications for a variety of purposes. Most departments utilize a paper timesheet or excel-type spreadsheet to collect the time and attendance data from employees. Some departments use a punch clock to record time and attendance data on a card. The County does not currently utilize employee self-entry of time and attendance data into the time and attendance system. The timekeepers enter the data off the paper/printed timesheets or time cards. (Reference Appendix I, High Level Payroll Process Flow Diagrams)

Custom applications are currently being maintained to process compensatory time and disability pay information. The compensatory time application interfaces with both Time Professional and HR/Payroll to accumulate time earned and subtract time used, generating a payout when accumulation limits as specified by the appropriate collective bargaining agreement are exceeded. The disability pay application also interfaces with Time Professional and HR/Payroll to calculate the taxable and nontaxable portions of disability payouts, track payout history by recipient and incident, and enforce accumulation and payout limits specified by the Risk Management Division of the Department of Administration. Both applications generate specialized reports. (Reference Appendix J, Waukesha County Systems Flow Diagram).

##### 1. System Architecture

The System must be based on one of the following architectures with Web Hosted being the preferred method:

- A. Web Hosted application running on IIS server with a web browser front end (W3C compliant preferred) with a SQL 2008 backend (preferred, SQL 2005 minimum). Mobile devices would use their integrated web browser to access the system.

- B. Client/Server architecture with windows compliant computers connected via a TCP/IP local area network (LAN).

## 2. Application Interfaces

The system should interface with County-owned software (current versions listed below) that are now used in support of County workforce management processes. Specific interface requirements vary by application, detailed in the Business/Technical (BT) Requirements – Vendor Response Document and summarized below:

- A. Ceridian HR/Payroll (formerly Source 550) version 7.5 is mandatory
- B. Disability Pay Application interface is mandatory
- C. Compensatory Time Application interface is mandatory (if not part of your system)
- D. Import / Export capability with MS Excel 2007 and MS Excel 2010 is mandatory
- E. Auxiliary Applications (desirable) – see Appendix F – Auxiliary Applications

## 3. Other Interfaces and Data Exchange Technologies

The system shall be designed to interface with other applications using the following industry standard technologies:

- A. Web Services: The ability to utilize web services to either provide or consume information from other web services or the Waukesha County Enterprise Service Bus.
- B. ODBC Connection: The ability to allow other applications to query directly into the application database for export and the ability to query directly into other applications for import.
- C. File Import/Export: The ability to exchange data with other applications, esp. Microsoft Excel 2007. Other desirable formats include delimited plain text, HTML XML, and Microsoft Word 2007 (Mail Merge).

## **V. SCOPE OF SERVICES**

Services required by the Contractor will include provision of the software, service to aid in transition from the old system, hardware except as noted herein, data extraction/transfer to new system, system training, user guides and documentation, and ongoing support. It is anticipated that once installed, the system will remain in place until the end of its product life cycle, estimated to be a minimum of five (5) years.

The selected vendor(s), herein after Contractor, will be required to provide the expertise, software, automation tools, collection devices and services to migrate current applications, as well as plan, design, create, configure, install, and test the new application and processes software, and all other services required to fully implement a Workforce Management System, hereinafter the system. All pricing is to be submitted on the pricing document posted with this solicitation. All pricing is to include delivery FOB destination. The other documents posted with this solicitation and required to be completed by the proposer are:

- BT Requirements – Vendor Response Document (Requests more detailed information regarding the business & technical requirements)
- Vendor Response Document – General (which requests information on your company's experience (including staff), as well as your products and services.

In addition to the requirements defined in the aforementioned documents, the Contractor will be responsible for the following:

## **A. Hardware Requirements**

Waukesha County will provide the servers, desktop computers, monitors and notebook computers in the standard configuration as described in the Information Technology Division Environment Document (Appendix G), however respondents are being asked to delineate the minimum and optimum configuration for these items to operate the system efficiently.

Although Waukesha County will procure the hardware, respondents will be required to provide all server hardware and OS requirements to assure optimum performance. All hardware must be delineated in the Vendor Response Document – General. This will include make/model/manufacturer, quantity and purpose.

Respondent will also be required to identify mobile devices, collection devices and all related peripherals that will work within their application for the purpose of gathering time and attendance information from field workers.

For the purpose of this RFP, mobile devices are defined as small, handheld devices with web browser, Wi-Fi, or cellular and/or VPN capabilities.

Respondents will be required to provide all collection devices and all related peripherals. This does not include cellular telephones or PDA's. Pricing for collection devices and related peripherals shall be delineated in the pricing document only.

All hardware and peripherals listed by vendor must be non-proprietary, i.e., can be purchased on a competitive basis so that the County can add additional hardware in the future.

## **B. Software Requirements**

The County employs approximately 1,500 employees across 14 departments inclusive of 150 managers and 26 timekeepers. The County's desire is for the ability of all employees to manage their time automatically without the assistance of a timekeeper.

Licenses for mobile/collection devices and wireless notebooks for field workers must include a listing of all software and other components that would be required to connect to the County network. In the response document, you must note the type of licensing provided; i.e. concurrent, named user or site/enterprise. It is highly desirable that a site/enterprise license is provided. If concurrent licensing is quoted, the County is relying on the respondent's expertise to include the proper number of licenses required based on the information provided.

You must also indicate if there are any restrictions in access types with respects to licensing, i.e. internally attached to network vs. web access.

Waukesha County is not interested in partnering with a vendor with the purpose of developing the application software needed to satisfy the needs of the departments. The County requires a proven off the shelf product specifically designed for Workforce Management with a useful life of at least five years. The County will only entertain necessary customizations. The County is willing to modify their processes before seeking a customized solution. Customization of software for purposes of this RFP is defined as changes to the software made at the source code level so that it affects the ability to upgrade or enhance the software in the future. Any changes made to the software that doesn't affect future upgrades and enhancements is acceptable, however, software that meets the requirements without customizing, modifying and/or tailoring the software will be given preference.

Any customizations, tailoring and/or modifications to the base system will be warranted to function with the current release and must be incorporated to function as designed in future upgrades and versions of the software at no cost to Waukesha County. This provision also applies to any interfaces created by the Contractor.

### C. Standards

All work will be performed in accordance with the Waukesha County Information Technology Web Application Development Standards document for coding, design, naming, and documentation included in Appendix - K (Waukesha County Government IT Division Web Application Development Standards). Documentation must be of a nature that all work performed can be clearly understood by Waukesha County Information Technology personnel.

### D. Reporting

It is highly desirable that the system be designed to allow Crystal Reports to be housed on a Business Objects Enterprise server for report distribution. Contractor support should provide the necessary expertise, tools, and guidance to assist County personnel to develop accurate, detailed reports and help troubleshoot report problems without incurring charges beyond those included in the annual support agreement.

Contractor must provide analysis of need for adhoc reports vs. the standard reports that come with the system. Contractor must create agreed upon critical / essential custom reports to be placed in the appropriate report library for County's use.

### E. Conversion

The Contractor will provide guidance and advice on the feasibility of converting time and attendance data, such as existing data files, and the recommended conversion method, (i.e., automated, manual or a combination of both) based on their experiences in similar situations. The Contractor shall provide the cost (in the pricing document) for converting the data (see outline below) from existing systems and assist the County with the verification of the converted data in the new system. The County reserves the right to award with or without conversion.

1,500 Employees

26 Pay Periods/Year/Employee

Three (3) Time Codes/Time Sheet on average per Employee

Three (3) years worth of history records required to be converted

Where automated data conversion is proposed, the County does have minimum requirements to ensure the accuracy and integrity of the data transfer. It is important that the County Subject Matter Experts (SME), Database Administrator (DBA), and Project Manager (PM) have the proper level of involvement; therefore, County approvals and sign-offs will be required for each critical phase of the conversion plan that will include, at a minimum, these consecutive steps:

- **Data Mapping Plan** – A document created by the Contractor and County SME that indicates where data fields from the current system will be placed in the new system. Data fields from current systems shall be identified by both the text label, as they appear on the user interface, and the table/field name, as they exist in the database. The data types and field lengths from both source and destination shall be noted. Differences of field type and length between source and destination should be noted. The Contractor representative, County SME(s), and County PM, shall approve this document prior to the preliminary test conversion.
- **Preliminary Test Conversion** – A test conversion of at least 5% or 20 records, whichever is greater, into the new system in the test environment. This preliminary test will allow the County SME and PM to examine the format, accuracy, and completeness of the converted data in the new user interface. The County SME and PM shall be given the opportunity to examine all of the converted data in the new user interface. The County DBA shall be given the opportunity to oversee the process and examine system logs. Any issues that are identified resulting from the conversion shall be identified and documented in the Issue Log. The test shall be repeated until all conversion issues are resolved to the satisfaction of the County SME(s), DBA, and PM.
- **Full Test Conversion** – This is the same test as the Preliminary Test Conversion, except that all records shall be converted in the test environment. The County SME and PM shall be given

the opportunity to examine all of the converted data in the new user interface. The County DBA shall be given the opportunity to oversee the process and examine system logs. Any issues resulting from the conversion shall be identified and documented in the Issue Log. The test shall be repeated until all conversion issues are resolved to the satisfaction of the County SME(s), DBA, and PM. A copy of the converted database can be placed into a "training" instance if desired by the County SME so that functionality may be seen/tested with County-specific data. If there are specific test plans, these should be performed in either the Test environment or Training environment if conversion efforts are on-going. If there are software upgrades, updates, patch fixes, or other such enhancements in the time between the Full Test Conversion and the Final Conversion, the Full Test Conversion shall be repeated.

- **Final Conversion to Production System** - This is the same test as the Full Test Conversion, except that all records shall be converted in the production environment.

#### **F. Assistance with Critical Business Processes**

The Contractor will be required to assist the County with adjusting its critical Business Processes to include such things as interfaces, reports, mass-edits or any other administrative functions that were impacted by system's implementation. The Contractor will be also required to provide Waukesha County with thorough documentation outlining sequence of procedures to complete each critical Business Process.

#### **G. Security**

The County requires a system that is sufficiently secure for the information it contains. All users will be uniquely authorized and authenticated to the system, before they are allowed to perform any function or task. In general, the County desires that applications use Microsoft Active Directory for authentication. Role based access and authorization is required in order to ensure that the users' ability to create, view, modify and delete information is commensurate with their business need and approved level of access. Access will be audited and logged, as will successful and unsuccessful logins, password changes and account classification changes (like when a standard user would be elevated to an application or system administrator). Data will be logically separated in a manner that prevents users in one department, division or workgroup from accessing or viewing data from another. System-level administrators shall have access to all system components and data. If Active Directory authentication cannot be used, user IDs and passwords will require specialized security and handling within the application, and passwords must never be stored or transmitted in plain text. All provisions of the County's Information Security Policy will be adhered to, in terms of password strength, change intervals and intruder lockouts. (Reference Appendix L, Information Security Policy)

External access or access to our systems from non-secure network must be protected using encryption technology. These may include, but are not limited to technologies such as SSL, client-based or SSL based VPN. Such protections for access from non-secure networks include all wireless devices – desktop, laptop, PDA, Smartphone, etc. Some data require encryption – both at rest and/or in transit. Factors that might contribute to a need for encryption include but are not limited to protection by law, protection by regulation or compliance guidelines, payment card information, criminal, financial or other information which may be of a protected or sensitive nature. System will include a capability to encrypt data fields, or databases as prescribed by the County. Encryption should meet FIPS 140-2 requirements including the secure storage of encryption keys. Such data might also need to be encrypted in transit, especially when traversing unsecured public networks.

#### **H. Installation**

The Contractor will be required to install all software and hardware procured directly from the Contractor. All costs for installation are to be included in the pricing document. Waukesha County requires that this be done in the presence of IT staff and that knowledge transfer of the processes occurs during this process.

## I. Implementation

A critical factor to the success of the project is a detailed, organized approach to implementing the product solution. The Contractor should give careful consideration to the strategy and approach which will be used. The Contractor is strongly encouraged to suggest an approach that incorporates cultural change management to minimize the risk of failure.

The County expects a comprehensive structured approach to the implementation of the product solution. The implementation plan refers to ALL of the efforts required to provide a complete system to meet the needs of the County and to adequately prepare all designated departments/groups to use the system effectively. The Contractor should place considerable effort in providing instructions and assistance to successfully plan and execute the implementation activity.

Contractor will be required to implement the System. As a part of the implementation, the Contractor will provide specified support. This support may include one-on-one training for specific users, i.e. system administrators, power users, etc., advice on procedural issues and problem resolution. The Contractor is expected to include a reasonable estimate of the number of hours required for this service including any post-implementation you feel is necessary based on past experience to assure a successful implementation. Waukesha County has noted in the pricing document, the minimum requirements it feels are the critical services required for a successful implementation, however, we are relying upon the Contractor's expertise to assure all services required are included to accomplish this goal.

## J. Project Management

Prior to the beginning of the implementation, the Contractor, with the assistance of County personnel, will be expected to develop/deliver a detailed Project Plan and Resource Schedule. This document will be reviewed by the County's Project Manager for acceptance prior to commencement of any work. This detailed Project Plan is essential to the success of the project. The County expects the Contractor to provide guidance and assistance during the project. It is expected that the Contractor will use MS Project (standard and PDF formats) to support the Project Plan, resource management, task scheduling, progress tracking and reporting, and status reports.

This project plan should be presented in a view depicting the overall project. These plans should detail Contractor's estimated start date, timelines, milestones, test schedules, and deliverables. Contractor must include the level of involvement by County staff; i.e., the number of hours and the job title/skill set. Work with Waukesha County to install and implement the system software.

Availability of Waukesha Staff is as follows:

	Role	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Tracy B.	Payroll Coordinator	75%	75%	75%	75%	75%	75%	75%	75%	75%	10%
Paul B.	Sr. Financial Analyst	10%	50%	60%	75%	50%	75%	75%	75%	75%	40%
Terri S.	HR Coordinator	50%	50%	50%	50%	50%	50%	50%	50%	50%	50%
Lana L.	Project Manager / BA	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%
Larry D.	Project Sponsor	35%	35%	35%	35%	35%	35%	35%	35%	35%	35%
Rich H.	Network Professional	25%	25%	25%	25%	10%	10%	20%	25%	25%	10%
John H.	Ceridian SME	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%
Donn H.	Business Services Administrator	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%
Al M.	Infrastructure Mgr.	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%
Jane S.	DBA	50%	50%	50%	50%	50%	50%	50%	50%	50%	50%

Strong project management is one of the key success factors for successful system implementation. The Contractor is required to dedicate effective, experienced project management staff to oversee the project.

It shall be understood by the Contractor must complete bi-monthly status reports in association with the County's Project Manager. The Contractor is also required to update the Project Plan to reflect changes in the nature and timing of project activities, when required. The Contractor is expected to use a formal Change Management process. The County expects the Contractor to use a Quality Management process, which assures the successful delivery and implementation of its product solution.

#### **K. Interface Plan**

As previously noted, the County will require interfaces to support existing processes and external systems that currently interface with County based applications/systems, specifically, but not limited to Ceridian HR/Payroll, custom disability pay application and the compensatory time application (reference Section IV, 2. Application Interfaces). This also includes all interfaces which extract data from both HR/Payroll and Time Professional. The Contractor should be aware that they will work with Ceridian on the development and testing of these interfaces. The Contractor will provide any interfaces needed to satisfy the requirements identified herein. This will include identifying and resolving data translation issues, developing alternatives and recommending a strategy and an approach. The plan should include a sequence in which the interfaces should be developed and implemented.

The Contractor will be responsible for developing the program specifications, coding and system unit testing for the interfaces, based on the Interface Plan.

#### **L. Technical Support**

The County expects the Contractor to undertake the technical tasks associated with installing, configuring, and tuning the Workforce Management product solution. The County does not have the technical resources with application-specific knowledge that are required of the Contractor.

##### **1. Software Installation and Configuration**

The County anticipates the Contractor will install the required software on the server(s) and mobile/collection devices and train County personnel in the backup/restore and system maintenance activities. It is the County's intent to install and, if necessary, configure the workstation software, if required. It is the Contractor's responsibility to provide the County with sufficient documentation and training to accomplish the workstation installation and configuration to perform this backup/restore and system maintenance. Contractor, with County's assistance will create separate databases for testing and production applications.

##### **2. Performance Testing and System Tuning**

The County understands that not all installations are identical. Therefore, the Contractor will be responsible for conducting the Performance Testing and System Tuning for the installed configuration. The County understands that Performance Testing and System Tuning activities will take place at various stages in the process.

In the event that modifications are made to the Workforce Management product solution to meet the County's requirements, it is expected that the Contractor will review and adjust the database configuration to ensure acceptable performance.

##### **3. Business Requirements Validation**

The Contractor will conduct a thorough validation of the Workforce Management System business and technical requirements for all functionality. The purpose of this validation, performed with participation by County personnel, is to ensure that the requirements are fully understood by the Contractor. During this validation process, the County's business requirements will be compared to the Contractor's proposed product solution to determine precisely if modifications and/or enhancements are required to satisfy the County's requirements. During this process, the Contractor will be required to identify and measure



opportunities to minimize modifications. Based on this information, the Contractor will be expected to provide estimates of the required effort and timeframes for completing the necessary modifications. Any changes, additions, or reductions to the licensing requirements or scope of services as a result of the Business Requirements Validation shall be negotiated.

The Contractor will be responsible for completing all modifications to the proposed product solution that are agreed upon during the Business Requirements Validation. The County expects the Contractor to use a fully developed structural approach for developing and implementing modifications to the software product solution.

#### **4. Custom Development**

As previously noted, customization is not desired however, if needed, the County does not require a specific system development methodology. The County expects the Contractor to use a standard methodology for all custom developed modules.

#### **5. Additional Consulting Services**

The County may need additional skills and resources beyond those available under the contract. This assistance may be required to support additional implementation activities associated with the product solution or other initiatives as determined by the user departments and the IT Division outside of the initial scope.

Any additional consulting services beyond the scope of this RFP will be contracted for at the hourly rates noted in the pricing document.

Contractor agrees that if further integration, interface, or other services are required, they will work cooperatively with other vendors authorized by Waukesha to create interfaces as directed by the County at a scope and cost to be mutually agreed. A non-Disclosure Agreement will be a prerequisite to the release of any proprietary information.

#### **M. Training**

The Contractor will be required to provide sufficient training to ensure that County personnel can effectively utilize and maintain the proposed system. This includes technical/system administration, application administration, and end-user training required to facilitate the operation of the product solution. Sufficient training is defined as that level of training for a “reasonably” competent person to be able to perform the duties associated with the utilization and maintenance of the system. All instructors provided by the Contractor are expected to be highly skilled and qualified to instruct County staff. The County will rely upon the suggestions of the Contractor to recommend optimal session sizes and length of instruction.

All training will be done at our facilities. Waukesha County has a training room with a teacher workstation, 12 end user workstations, and an LCD overhead projector that can be used for this purpose. Waukesha County requires training for three role-based groups; System Administrators, Application Administrators, and End Users.

**System administration** must be designed for a minimum of 3 (6 maximum) IT staff to effectively support the technical aspects of the system. This includes:

- Archival/Backup/Restore procedures
- Basic common system commands
- Database startup and termination
- Data file backup and recovery procedures
- Diagnostic tools for hardware and software
- File maintenance requirements
- Peripheral system support requirements
- Procedures for database recovery

- Procedures for reloading a workstation (i.e., local versus network)
- Re-boot procedures – server and PC
- Switch over or hot stand-by procedures
- System software upgrades, updates, patch fixes, and enhancements.
- Other items required by the system as defined by Contractor

**Application administration** must be designed for a minimum of 3 (6 maximum) individuals to administer the system on a day-to-day basis. This includes:

- Business Rule setups
- Benefit Accruals setup
- Customizing user interface layout
- Adding new pay codes, business rules, pay rates, benefit accruals and reporting categories.
- Creating, modifying and removing reports
- Security administration within the application
  - Adding and removing users
  - Resetting passwords
  - Managing permissions for users and groups
- Managing interfaces with the payroll system and other applications.
- Other items required by the system as defined by Contractor

**End User training** must be designed for the end-users of the system, including supervisors and employees. This will include training the individuals on the functions and features of each module applicable to their role to assure they can effectively utilize the system. Train-the-trainer training will be required for end-user training only. End User Training for all employees may be considered as an option.

Contractor will be required to prepare training manuals for each of the training sessions noted above. Include one paper copy and one electronic copy on CD ROM. Waukesha County reserves the right to reproduce for internal purposes only.

#### **N. Documentation**

In addition to the training materials noted above, Contractor must also provide two complete sets and electronic copies of both end user and technical documentation. End user documentation should include at a minimum system overviews and detailed user procedures specific to the individual system functions and features, tailored to Waukesha County business processes. The documentation should provide layouts and descriptions of all screens, commands, file updates, transaction processing, display features and reporting in an easy to understand manner.

The County's standard requirements for technical documentation are as follows:

- System overviews – workflow diagrams, Data Dictionary, and Glossary of Terms.
- Business rules that apply to the application/modules
- Logical design – End user layouts and descriptions of all screens, commands, file updates, transaction processing and display features
- System interface architecture – web services, import/export, flat file, direct DB access, etc.
- Archival/backup/restore methodology
- Identify the software development and version control best practices

It is also highly desirable to have all documentation be available online.

#### **O. Standards of Testing, Performance & Acceptance**

This section establishes a standard of testing and performance, which must be met before the system is accepted by Waukesha County and any final payment is made under this contract. This also includes

all modifications required to meet the system requirements. The performance period will be for a ninety (90) days. A minimum of 25% will be retained until the system has been tested and accepted.

In order to affirm compliance with the requirements, the Contractor and the County will create a User Acceptance Test Plan to include specific test cases and a schedule for testing. The testing schedule will be developed in 30-day blocks. The County will be relying on the expertise of the Contractor to assist in developing scenarios for testing each process, regardless of when it normally occurs; i.e. bi-weekly, monthly, quarterly or annually.

Testing will be done by Waukesha County personnel in accordance with User Acceptance Test Plans/Test Cases developed. Contractor will assist with the Acceptance Testing for the interfaces at applicable times during the testing phases. The test cases will be used to determine if the system performs as follows:

1. In accordance with the requirements as defined in this Scope of Services, as well as the Business/Technical in the Vendor Response Documents.
2. In accordance with the test scenarios provided by the County.
3. In accordance with the manufacturers published specifications.

At the end of each thirty (30) day period, County will notify the Contractor in writing the tests that were scheduled and performed, including whether they passed or failed. Detailed information will be provided for all test cases that fail acceptance testing. If all scheduled tests pass performance testing, or if testing is delayed through no fault of the Contractor, payment of 1/3 of 25% of the total cost of the project (less support) will be made.

If any of the scheduled tests fail, Contractor will take whatever corrective is necessary and notify the County that the system is ready for re-testing. The County will then have another thirty (30) days to test. County will endeavor to notify the Contractor sooner if it completes successful testing prior to the end of the thirty (30) day period.

If the system fails to meet the standards of performance after one hundred and eighty ninety- (180) calendar days, Waukesha County may elect one of the following and so notify the Contractor in writing of such election:

1. Waukesha County may terminate the license agreement and request the removal of the software and hardware with no charges or penalties and all monies paid to date returned to the County.
2. Waukesha County may terminate the license agreement, request the removal of the software and hardware, and reinstall/restore the County's previous system with no charges or penalties and all monies paid to date returned to the County.
3. Waukesha County may terminate the license agreement and request the removal of the software and hardware, and Contractor agrees, to install a direct replacement of the software and/or hardware causing the failure. Such direct replacement shall be subject to all provisions of this section.

**The system shall not be deemed accepted until the foregoing standard of performance is met. Warranty shall not commence until system has been accepted.**

#### **P. Support/Maintenance**

Respondents must include pricing for support/maintenance on a 5 x 8, 8:00 a.m. to 4:00 p.m. Central Standard Time (CST) basis, inclusive of remote diagnostics, if available, and all upgrades and enhancements aimed at achieving efficient operation of the system and providing safe and adequate services at all times. Support services shall include a toll-free number for service issues, a support email address, a support website and remote diagnostic capability. The County plans to utilize the Contractor's established support center to answer technical systems related questions and address

problems. Guidance and assistance will be needed from the Contractor in the use of their web site. If any of these services are not included in the support/maintenance agreement, it should be noted in the area provided in the pricing document.

Acknowledgement of support/maintenance calls must be within two hours after receipt. The County's standard for problem resolution is as follows:

- Priority 1 – Entire system is inoperative. Commands the highest level of priority and fastest repair, but no later than 4 hours after acknowledgement of call.
- Priority 2 – System disabled; major function inoperative or component failure. Repair needed ASAP, but no later than one business day after acknowledgement of call.
- Priority 3 – Minor system issue or redundant component failure. Routine but repaired as quickly as practical but no later than two business days after acknowledgement of call.

**First year of paid support will not commence until after system acceptance.** Pricing for support must be fixed for the first year of service. Thereafter, pricing may not increase by more than 3% for the prior one-year period or the Employment Cost Index, Private Industry Wages and Salaries, 12 month percent change, not seasonally adjusted for the Midwest Area, whichever is less.

## VI. OTHER

1. Controlled access screening is mandatory for all vendors seeking access to the Courthouse and Administration Center.

Vendors who will be visiting either the Courthouse or Administration Center (515 W. Moreland Blvd.) are to enter and exit the facilities through the main Courthouse public entrance (Door #2), 515 W. Moreland Blvd. Screening will take place in the lobby of the Courthouse. A corridor near the Courthouse lobby connects both buildings together.

The County's internet website [www.waukeshacounty.gov](http://www.waukeshacounty.gov) has been updated to include a quick link for Security Screening. More detailed information regarding the screening process can be viewed on this site. A map of the Government Center campus identifying public access points and parking areas is included in this link.

2. The County will be the sole owner of any and all information contained in the system to include but not be limited to data and images. The contractor will have absolutely no claim whatsoever to this information.
3. Depending on the extent of modifications, customizations, and/or the Contractor's financial stability, Contractor may be required to escrow source code.
4. All subcontractors must be identified in your proposal response. If subcontractors are used, Waukesha County will consider the proposing vendor to be the Prime Contractor and to be solely responsible in all contractual matters, including payment of any and all charges resulting from such subcontractor arrangements.

The Prime Contractor will be fully responsible for the acts, errors, and omissions of the Sub-Contractor. The Contractor shall cause appropriate provisions of its proposal to be inserted in all subcontracts ensuing to ensure fulfillment of all contractual provisions by subcontractors.

5. Contractor shall establish and maintain procedures and controls for the purpose of assuring that no information in its records or obtained from Waukesha County or from others in carrying out its functions under the contract shall be improperly used or disclosed by it. If information and/or records are requested of the successful Contractor(s) by anyone other than Waukesha County personnel, Waukesha County shall be notified immediately. Waukesha County will address all

requests. Waukesha County reserves the right to review such procedures to ensure acceptability to Waukesha County.

Contractor agrees that all data in paper and/or electronic format, including test data, or other information submitted to the Contractor during testing phase, demonstration phase, and/or prior to production mode, and post production mode shall be immediately returned to Waukesha County or destroyed by Contractor in a secure and confidential manner upon Waukesha County's acceptance of work performed by Contractor. Any such data kept electronically by Contractor shall be deleted from Contractor's information system in a manner compliant with the most current industry standards of care which ensures that data erasure and destruction techniques is permanent and all data is removed and unrecoverable. (Reference Appendix D - IT Data Destruction Document posted with this solicitation)

6. It is understood the Contractor will review Waukesha County's Project Management Standards as referenced in the IT Standards and the IT Business Services Project Portfolio Forms Chart documents. Reference Appendix M – Project Folders Structure. County and Contractor will mutually agreed upon a project approach and deliverables.
7. Background Checks: Contractor shall complete background checks at Contractor's expense on all personnel prior to starting any activity for the County. Contractor shall confirm in writing to Waukesha County that they have successfully conducted the background checks prior to the commencement of work and that Contractor will not use any personnel for whom background checks have revealed factors that make them unsuitable for the activity to be undertaken for the County. This includes replacement personnel.

At a minimum, resources to be checked should include, but are not limited to, civil (<http://wcca.wicourts.gov/index.xsl>) and criminal records (<http://wi-recordcheck.org/index.html>), Department of Transportation motor vehicle/licensing records (<http://www.dmv.org/wi-wisconsin/departement-motor-vehicles.php>). In order to do so, Contractor must obtain certain information for each of the Contractor's employees expected to be performing work for Waukesha County. At a minimum, the information shall include full name (including middle initial), date of birth and social security information. Additional information that is helpful in completing background checks includes maiden name, sex, race, driver's license number, and issuing state and places of residence for the last three years. NOTE: If the individual has resided outside of the State of Wisconsin within the last three (3) years, you will have to do similar research within the state they resided in.

All costs associated with the background checks are to be borne by the Contractor. All records received as a result of background checks are to be retained by the Contractor for a period of three (3) years after contract expiration.

Waukesha County reserves the right to request the results of the background checks and/or to do additional background checks on their own.

8. Compliance with Federal Immigration Laws and Regulations: Waukesha County supports the Immigration and Nationality Act (INA), which includes provisions addressing employment eligibility, employment verification, and non-discrimination. The filing of a proposal in response to this RFP is considered certification that the proposer is in compliance with the INA and has established appropriate procedures and controls so that no services under this contract will be performed by a worker who is not legally eligible to perform such services.
9. All personnel working on-site shall be required to wear an ID badge, dress appropriately and maintain proper hygiene. Failure to do so can be cause for removal of the individual from Waukesha County's account.

10. The County shall be entitled to request the removal of individuals working on any project for any of the following grounds, provided that such request be in writing and shall specify the reasons for the County's dissatisfaction: (i) unsatisfactory performance that causes negative operational impact at the County or causes the County to commit additional resources to avoid operational impact; (ii) dishonesty or belligerent conduct; (iii) lack of compatibility with County staff; or (iv) violation of County rules or policies. Upon such written request, the County and CONTRACTOR shall decide on a course of action to cure any such problems, provided that there shall be no cure opportunity required for problems involving categories (ii) or (iv) in the preceding sentence.

In the event CONTRACTOR does not cure the problem within (7) days from the date of notice, CONTRACTOR shall remove such person and shall promptly provide a qualified replacement. The County will be liable for payment of services only up to the time of removal and provided then only if services rendered meet the minimum requirements of the County. If the removal occurs within a two (2) week period after commencement, there will be no cost incurred by the County.

The Contractor is responsible for ensuring that any substitute personnel have comparable skills and experience. Resumes must be submitted for approval by Waukesha County for substitute personnel. The County reserves the right to interview substitute personnel prior to commencement of activity on the project.

## **VII. ASSUMPTIONS**

Assumptions associated with the proposed work plan are as follows:

1. County will have a designated project manager.
2. Vendor is responsible for activities directly related to the development of deliverables as determined in the Project Management Plan.
3. County will assist in the identification of departmental representatives.
4. County will assist in coordinating access to departmental representatives on a timely basis.
5. Contractor will provide appropriate introduction and preparatory materials in coordination with the County's project manager to departmental representatives during project initiation to ensure these stakeholders are informed and educated prior to project commencement.

## **VIII. FINANCIAL STABILITY**

The Contractor, including any subcontractors, must have the financial capability to undertake the requirement. In order to demonstrate its financial capability, Waukesha County **may require** the submission of some or all of the financial information detailed below by both the Contractor and subcontractor if applicable. The requested information must be provided within five (5) working days of Waukesha County's written request.

- A) Audited Financial Statements for the Respondent's last three (3) fiscal years or for the years that the Respondent has been in business if this is less than three (3) years, including as a minimum the Balance Sheet, Statement of Retained Earnings, Income Statement and any notes to the statements.
- B) If the date of the Financial Statements provided in A) above is more than three (3) months from the date on which Waukesha County requests this information, the Respondent must also provide Interim Financial Statements consisting of a Balance Sheet and year to date Income Statement, as of two (2) months prior to the date of Waukesha County's request.
- C) Evidence by certification from the Chief Financial Officer or an authorized signing officer of the Respondent, regarding the accuracy of any financial information provided.

- D) Formal certification on proposer's stationary signed by the owner or authorized officer of the company indicating the proposing firm has not filed for bankruptcy in any form, nor are there any current intentions of filing any type of bankruptcy proceedings. In the event a proposer has or is considering filing bankruptcy of any type, formal certification will take on the form of a written explanation of such filing, complete with history and current status.
- E) A confirmation letter from the Respondent's financial institution(s) outlining the total of lines of credit granted and the amount of credit that remains available and not drawn upon as of one month prior to the date of Waukesha County's request.
- F) If any proposal is submitted by a joint venture, then the specific financial information requested may be required from each member of the joint venture depending on the magnitude and impact of their role in the joint venture.
- G) If the Contractor or subcontractor is a subsidiary of another company, then the specific financial information requested is also required from the parent company.

In an effort to reduce risk, Waukesha County desires a money back guarantee or a Letter of Credit. The Contractor is required to include, as part of their response, their policy regarding a money back guarantee for failed implementations and/or language that supports evidence of your firm's ability to provide a Letter of Credit (LOC) in the event of an unsuccessful implementation.

The required Contractor's LOC will be an amount equal to the total cost of the solution. The amount of the LOC will be reviewed on a yearly basis to reflect the status of the project (in terms of the amount completed and accepted).

Said letter of credit shall be maintained for a minimum of one year to a maximum of five years after system acceptance. If for one year, the LOC must be renewed annually. The Letter of Credit must be in effect before the Contract is executed.

**This requirement may be waived by the County, in the event the Contractor can demonstrate strong financial stability/condition to the County.**

## **IX. INSURANCE**

The successful contractor shall agree that it will, at all times during the term of the agreement, keep in force and effect insurance policies required by the contract as noted below. Insurance certificates must be issued by a company or companies authorized to do business in the State of Wisconsin and that are satisfactory to the County. Such insurance shall be primary. Prior to execution of the written contract, the successful contractor shall furnish the County with a Certificate of Insurance issued and upon request, certified copies of the required insurance policies. The Certificate shall reference the contract and provide for thirty (30) days advance notice of cancellation or non-renewal during the term of the agreement.

Failure to submit or maintain the insurance requirements can make the contract void at the County's discretion. Minimum requirements are as follows:

Worker's Compensation and Employer' Liability Insurance – Statutory worker's compensation benefits and employers' liability insurance with a limit of liability not less than \$100,000 each accident. Contractor shall require subcontractors not protected under its insurance to take out and maintain such insurance.

Commercial General Liability Insurance (including errors and omissions) – Policy shall provide coverage for premises and operations, products and completed operations, personal injury and blanket contractual coverage. Errors and omissions shall not be excluded or a separate policy covering such exposure shall be maintained. Limits of liability are not less than \$1,000,000 per occurrence and aggregate.

Waukesha County, its boards, commissions, agencies, officers, employees and representatives must be named as additional insured with respects to the General Liability and so stated on the certificate of insurance.

Automobile Liability Insurance – Business automobile policy covering all owned, hired and non-owned private passenger autos and commercial vehicles. Limit of liability not less than \$500,000 combined single limit.

#### **X. CONTRACT TERM, PRICING AND PAYMENT**

It is the County's desire to begin the project as soon after contract execution as possible. Respondents will be required to submit a project plan as part of their response.

Waukesha County intends on keeping the system for its product life. All costs to provide software, hardware, and peripherals, install, implement, train and provide ongoing support is to be provided in the pricing document. For purposes of cost evaluation, cost will be based on a five-year life cycle including all of the aforementioned items.

All pricing is to be submitted on the pricing document posted with this solicitation. All pricing is to include delivery FOB Destination and installation where applicable. The cost proposal should include a "not to exceed" fee for the project, inclusive of items which are normally referred to as **reimbursable expenses**, i.e., travel, meals, lodging and overtime work requiring higher than regular rate for which no additional compensation will be due.

Payment terms will be tied to specific deliverables with a minimum of 25% retained until the County has accepted the system.

Should additional services be required of the Contractor after implementation is completed, such as integration, interface, or other services, Contractor must provide them at the hourly rates quoted in this RFP. The rates quoted will be firm for a period of one-year from contract execution. Thereafter, hourly rates may be adjusted in accordance with the Employment Cost Index, Private Industry Wages and Salaries, Management, Business and Financial (excluding incentive paid) based on the percentage of change from the contract year to the year the services are required.

#### **XI. CLARIFICATIONS/PRE-PROPOSAL CONFERENCE**

Any questions concerning this RFP must be submitted in writing by **10:00 a.m. on March 14, 2011** to:

**Waukesha County Department of Administration  
Purchasing Division  
Attn: Diane Knoll  
Administration Center, Room 310  
515 West Moreland Blvd.  
Waukesha, WI 53188**

Questions may also be submitted by fax to 262-548-7668 or via email to [dknoll@waukeshacounty.gov](mailto:dknoll@waukeshacounty.gov). Questions submitted either by fax or mail must be marked **"QUESTIONS FOR #1115– Workforce Management System**.

Vendors are expected to raise any questions, exceptions, or additions they have concerning the RFP document prior to the submission of the proposal.

If a vendor discovers any significant ambiguity, error, conflict, discrepancy, omission, or other deficiency exists in the RFP, the vendor should immediately notify the above of such error and request modification or clarification of the RFP document. In the event that it becomes necessary to provide additional clarifying data or information, that revises any part of this RFP, supplements or revisions will be provided to all recipients of this initial RFP via written amendment.



Vendors are also invited to attend a pre-proposal conference to be held on **March 15, 2011 @ 10:00 a.m.** in Room 255/59 of the Administration Center (Please review Section VI, Item 1 for details on Waukesha County's controlled access policy).

## **XII. PROPOSAL SUBMISSION & FORMAT – VENDOR RESPONSE**

### **A. Format**

In order for the committee to adequately compare proposals and evaluate them uniformly and objectively, firms must complete **ONLY** the County's Vendor Response and Pricing documents **regardless of whether you are submitting hard copy or electronically**; i.e. do not submit the Vendor Response documents in another form/format. The Vendor Response documents are posted on Waukesha County's website along with this RFP and identified as **1115 Workforce Management System - Vendor Response Document and BT Requirements Document**.

**Failure to use the County's Response Documents may result in your response being rejected. If both our Vendor Response documents and another submittal format are received, only the Vendor Response documents will be evaluated.**

Although additional documents/attachments may be submitted with either your hard copy or electronic response, they should not be excessively long or submitted in an elaborate format. Additional or attached documents are not to be used in place of responding to the questions in the vendor response document; i.e. do not respond with "Reference Attachment". Unnecessary attachments beyond those sufficient to present a complete, comprehensive and effective response should not be included. Proposals will not be evaluated on the aesthetics of the package.

The Vendor Response Documents may be submitted hard copy or electronically – **DO NOT SUBMIT BOTH AN ELECTRONIC AND A HARD COPY OR BOTH MAY BE SUBJECT TO REJECTION**. See below for detailed instructions for both methods.

### **B. Vendor Response Submission - Hard Copy:**

Respondent shall be required to mail\* one (1) original, **UNBOUND**, clearly marked and identified as such, and eight (8) copies of the Vendor Response Document no later than 2:00 P.M. CST on **April 5, 2011** to:

**Waukesha County Purchasing Division  
Administration Center, Room 310  
515 W. Moreland Boulevard  
Waukesha, WI 53188**

Each **HARD COPY** should be double-sided and bound, with the exception of the original, which should be double-sided but not bound. The copies should be bound by staple, binder clip or in a three-ring binder. Spiral, wire or comb bound copies are not acceptable.

**\*NOTE: If you are delivering your response in person, you must enter through the main Courthouse public entrance (Door #2), 515 W. Moreland Blvd and deliver it to the Department of Administration receptionist in Room 310 of the Administration Center to be time-stamped no later than 2:00 p.m. on the opening date.**

**Be sure to allow sufficient time to obtain entry as the County has now instituted a Controlled Access policy. For more information – go to [www.waukeshacounty.gov](http://www.waukeshacounty.gov) and click on the **Waukesha County Security Screening** link located at the bottom of the page.**

Responses should be identified in the lower left corner as follows:

**VENDOR RESPONSE, RFP #1115 Workforce Management System - OPENING DATE: April 5, 2011**

Envelopes, which are not properly identified or received after the above date and time, will be rejected.

**C. Pricing/Signature Document Submission - Hard Copy:**

Pricing must be submitted on the forms provided. Failure to do so may result in your proposal being rejected. **NOTE: If you are submitting your proposal in hard copy format, you must also include an electronic copy of your pricing document in CD format with your proposal.**

The Signature Document should be printed, completed in its entirety (with the exception of the tracking ID field; this field is only required for electronic submissions), and signed. **Note: Be sure to acknowledge any amendments issued, if applicable, in the box located above the signature area.**

The signature document along with one (1) original clearly marked and identified as such, and one (1) copy of the Pricing Document should be mailed\* no later than 2:00 P.M. CST on **April 5, 2011** to:

**Waukesha County Purchasing Division  
Administration Center, Room 310  
515 W. Moreland Boulevard  
Waukesha, WI 53188**

**\*NOTE: If you are delivering your response in person, you must enter through the main courthouse public entrance, 515 W. Moreland Blvd. and deliver it to the Department of Administration receptionist in Room 310 of the Administration Center to be time-stamped no later than 2:00 p.m. on the opening date. Be sure to allow sufficient time to obtain entry as the County has now instituted a Controlled Access policy. For more information – go to [www.waukeshacounty.gov](http://www.waukeshacounty.gov) and click on the Waukesha County Security Screening link located at the bottom of the page.**

Proposal should be identified in the lower left corner as follows:

**Pricing Document, RFP #1115 Workforce Management System - OPENING DATE: April 5, 2011**

Envelopes, which are not properly identified or received after the above date and time, will be rejected.

**D. Response Submission - Electronic Submission:**

Respondents may use the Purchasing website for submission by creating an electronic response following the directions contained therein (<https://purchasing.waukeshacounty.gov>). **Fax or email responses are not considered electronic submissions.**

The following documents will need to be downloaded and saved to your computer to provide an electronic response:

- ✓ 1115 Workforce Management System - Vendor Response Document General
- ✓ 1115 Workforce Management System - BT Requirements - Vendor Response Document
- ✓ 1115 Workforce Management System – Pricing Document

Once you have made your response final, you must print out the signature document and fax it the Purchasing Division (262-548-7668) prior to the opening date and time. This document will now have a tracking ID associated with it. **Note: Be sure to acknowledge any amendments issued, if applicable, in the box located above the signature area.**

### XIII. EVALUATION OF PROPOSALS

Proposals will be evaluated in accordance with the criteria listed below. Award will be made to responsive, responsible Contractor who complies with the requirements and scores the highest total on the evaluation criteria as it pertains to the overall needs of the Waukesha County. Cost will be based on a five-year life cycle to include all upfront purchase and implementation costs, as well as ongoing support.

Firm's experience, qualifications, and demonstrated ability to provide service and maintain a Workforce Management System.	5%
Experience and qualifications of project team including the installation personnel, support personnel and any others critical to the provision of service, including subcontracted personnel.	20%
Response to Scope of Services including project approach/transition plan and ongoing support (Vendor Response Document- General).	30%
Response to BT Requirements - Vendor Response Document – Completeness, thoroughness, and quality of the content of your response to the BT requirements.	20%
Cost	25%

### XV. PROPOSAL DATES

The following dates are provided for your information and planning purposes. Although every effort will be made to follow this schedule, we reserve the right to modify the dates as necessary.

RFP Release Date:	No later than March 7, 2011
Questions Due:	10:00 a.m., Monday, March 14, 2011
Pre-proposal Conference:	10:00 a.m., Tuesday, March 15, 2011
Amendment Posted:	No later than close of business, Thursday, March 17, 2011
Proposals Due:	2:00 p.m., Tuesday, April 5, 2011
Evaluation of Proposals:	April 6 – April 21, 2011
**Interviews/Demos:	May 4 & 5 and the week of May 9-12, 2011
Notice of Award:	No later than May 13, 2011
Finance Committee Approval:	June 22, 2011
Contract Execution:	July 1, 2011

\*\*The County anticipates sending written notification by **April 22, 2011** to the proposers selected for the interview/demonstration process. Proposers not selected will be notified that their proposal will no longer be considered unless the Committee finds, after the completion of interviews, that additional proposers should be interviewed.

**Please set aside May 4, 2011 thru May 12, 2011 for the interview/demonstration process – NO EXCEPTIONS/EXTENSIONS WILL BE GIVEN.**

**END OF DOCUMENT**