

Solicitation DRR10061

CBCRP Disbursement Data Mining Project for Risk Assessment

State of California

Bid DRR10061

CBCRP Disbursement Data Mining Project for Risk Assessment

Bid Number	DRR10061
Bid Title	CBCRP Disbursement Data Mining Project for Risk Assessment
Bid Start Date	Mar 16, 2011 2:14:04 PM PDT
Bid End Date	Apr 18, 2011 2:00:00 PM PDT
Question & Answer End Date	Mar 31, 2011 5:00:00 PM PDT
Bid Contact	Wendy Roberson 916-341-6120 wendy.roberson@calrecycle.ca.gov
Pre-Bid Conference	Mar 24, 2011 10:00:00 AM PDT Attendance is optional Location: Cal/EPA Headquarters 1001 I Street Sacramento, CA 95814
Standard Disclaimer	The State of California advises that prospective bidders periodically check the websites, including but not limited to Bidsync, and /or other state department links for modifications to bid documents. The State of California is not responsible for a prospective bidder's misunderstanding of the bid solicitation or nonresponsive bid due to failure to check these websites for updates or amendments to bid documents, and/or other information regarding the bid solicitations. Failure to periodically check these websites will be at the bidder's sole risk. The information published and/or responded to on these websites is public information. Confidential questions/issues/concerns should be directed to the contact on the ad.

Description

Conduct statistical analyses of California Beverage Container Recycling Program (CBCRP) disbursement participant data and output information in order to develop a model for identifying potentially fraudulent claims and/or application data.

Please refer to the CalRecycle website for further information and Addenda at <http://www.calrecycle.ca.gov/Contracts/>



DEPARTMENT OF RESOURCES RECYCLING AND RECOVERY

Notice to Prospective Proposers

March 17, 2011

You are invited to review and respond to this Request for Proposal (RFP) Secondary, entitled "DRR10061, CBCRP Disbursement Data Mining Project for Risk Assessment". In submitting your proposal, you must comply with the instructions herein.

Note that all Contracts entered into with the State of California will incorporate by reference General Terms and Conditions, Special Terms and Conditions and Contractor Certification Clauses which are referenced in Section II of this package. If you do not have Internet access, a hard copy can be provided by contacting the person listed below.

In the opinion of the Department of Resources Recycling and Recovery (CalRecycle) this RFP is complete and without need of explanation. However, if you have questions, or should you need any clarifying information, the contact person for this RFP is:

Wendy Roberson
contracts@calrecycle.ca.gov
Phone: 916.341.6120
Fax: 916.319.7345

Please note that no *verbal* information given will be binding upon the State unless such information is issued in writing as an official addendum.

Wendy Roberson
Contract Administrator

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Section 1 Overview

General Information

CalRecycle promotes a zero waste California in partnership with local government, industry, and the public. This means managing the estimated 76 million tons of waste generated each year by reducing waste whenever possible, promoting the management of all materials to their highest and best use, and protecting public health and safety and the environment.

CalRecycle Contact Information

Department of Resources Recycling and Recovery

Physical Address: 1001 I Street,
Sacramento, CA 95814
CalRecycle Contracts Unit, MS-19A
Mailing Address: PO Box 4025,
Sacramento, CA 95812-4025
Attn: Contracts Unit, MS-19A

Phone: (916) 341-6120

FAX: (916) 319-7345

EMAIL: contracts@calrecycle.ca.gov

Any documents delivered in person must be received in the Visitor's & Environmental Service Center located in the lobby of the CalEPA Headquarters Building at 1001 I Street, Sacramento, CA 95814.

Service Needed

Conduct statistical analyses of California Beverage Container Recycling Program (CBCRP) disbursement participant data and output information in order to develop a model for identifying potentially fraudulent claims and/or application data. The services will be provided in the City of Sacramento, California.

Contract Budget

There is a current maximum budget of \$150,000. CalRecycle reserves the right to amend the budget for this Contract as needs arise.

Payment Withhold

The provisions for payment under this contract will be subject to a ten percent (10%) withholding per task. The withheld payment amount will be included in the final payment to the contractor and will only be released when all required work has been completed to the satisfaction of CalRecycle.

Liquidated Damages

The selected Contractor, to receive award of this Contract, will be subject to liquidated damages if required deliverables (i.e., reports) are not submitted by the due date(s) outlined in the Scope of Work. See Section II, Commitment, *Special Terms and Conditions* for additional information.

Contract Term

The term of this Contract will span approximately 6 months and is expected to begin in June 2011. CalRecycle reserves the right to amend the term of this Contract as needs arise.

Process Type

Request for Proposal (RFP) (Secondary Method).

Process Schedule

This process will be conducted according to the following tentative schedule where all times are Pacific Time

Advertisement Date	March 15, 2011
Proposer's Conference at 10:00 a.m.	March 24, 2011
Written Questions Due by 5:00 pm	March 31, 2011
Submittal's Due by 2:00 pm	April 18, 2011
Post Notice of Intent to Award	May 10, 2011

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Section II Rules and Conditions

Introduction

There are conditions that this RFP, submitting Proposers, proposals and resulting Contracts are subject to and/or required to comply with.

Commitment

Upon submittal of a Proposal, the Contractor has committed to comply with the following requirements:

- All items noted in RFP documents
- Special Terms and Conditions available for viewing at www.calrecycle.ca.gov/Contracts/Forms/SpeTermsCond.pdf
- General Terms and Conditions (GTCs) available for viewing at www.ols.dgs.ca.gov/Standard+Language.
- Contractor Certification Clauses (CCCs) available for viewing at www.ols.dgs.ca.gov/Standard+Language.

If the proposer fails to meet any of the requirements or comply with CalRecycle requests, CalRecycle can reject, disqualify, or remove the firm from the process. CalRecycle is not committed to awarding a Contract resulting from this RFP.

Antitrust Claims

In submitting a Proposal Package to a public purchasing body, the Proposer offers and agrees that if the Proposal Package is accepted, it will assign to the purchasing body all rights, title, and interest in and to all causes of action it may have under Section 4 of the Clayton Act (15 U.S.C. Sec. 15) or under the Cartwright Act (Chapter 2 [commencing with Section 16700] of Part 2 of Division 7 of the Business and Professions Code), arising from purchases of goods, materials, or services by the Proposer for sale to the purchasing body pursuant to the Proposal Package. Such assignment shall be made and become effective at the time the purchasing body tenders final payment to the Proposer. (See Government Code Section 4552.)

If an awarding body or public purchasing body receives, either through judgment or settlement, a monetary recovery for a cause of action assigned under this chapter, the assignor shall be entitled to receive reimbursement for actual legal costs incurred and may, upon demand, recover from the public body any portion of the recovery, including treble damages, attributable to overcharges that were paid by the assignor but were not paid by the public body as part of the Proposal Package price, less the expenses incurred in obtaining that portion of the recovery. (See Government Code Section 4553.)

Upon demand in writing by the assignor, the assignee shall, within one year from such demand, reassign the cause of action assigned under this part if the assignor has been or may have been injured by the violation of law for which the cause of action arose and (a) the assignee has not been injured thereby, or (b) the assignee declines to file a court action for the cause of action. (See Government Code Section 4554.)

Contractor's Cost

All costs resulting from the contractor's participation in the RFP process are at the firm's expense. No costs incurred by the contractor participating in the RFP process will be reimbursed by CalRecycle.

Information

All information obtained or produced during the course of the Contract will be made available to CalRecycle.

Any information that qualifies as confidential or a trade secret(s) under the Public Records Act (PRA) or the Public Contract Code (PCC) and is thus exempt from disclosure under those statutes must so be marked by the proposer prior to submission to CalRecycle. Any claims of confidentiality or trade secret(s) except as to information that qualifies as such under the PRA or PCC may result in disqualification.

CalRecycle will hold information deemed confidential or trade secret(s) by the proposer to the extent allowable by the California Public Records Act and the Public Contract Code.

Written Questions

The RFP includes a formal question and answer period in which proposers have the opportunity to submit questions regarding the RFP. All questions must be submitted in writing either by mail, fax, or e-mail to CalRecycle Contact as listed in Section I. The questions and answers will be published in an Addendum to the RFP (see below, Addenda).

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Addenda

CalRecycle reserves the right to amend, alter, or change the rules and conditions of this RFP.

Any ambiguity, conflict, discrepancy, omission, or other error discovered in the RFP should immediately be reported to CalRecycle prior to the deadline for submission of written questions. CalRecycle will issue addenda to address such issues.

Modification of Submittals

A Proposal submitted prior to the submittal deadline, can be withdrawn or modified by the submitting proposer. The proposer must:

- Provide a written request
- Identify the requesting individual and their association to the proposer

A Proposal cannot be withdrawn for modification after the submittal deadline has passed.

Errors in Submittals

An error in a Proposal package may be cause for rejection of that proposal.

CalRecycle may make certain corrections, if the Proposer's intent is clearly established based on review of the complete proposal.

Unreliable List

Any contractor or subcontractor currently of CalRecycle Unreliable list, is ineligible to apply for or participate in this contract.

Negotiating State Contracts

This solicitation and any resulting contract or amendments are subject to the conditions set forth in PCC 6611.

If any of the conditions identified in PCC 6611 exist, the Department of General Services may perform contract negotiations, if it is determined to be in the best interest of the State.

Electronic Waste Recycling

If the Contractor or any subcontractors participate in activities that result in the disposition of electronic components, they will comply with the provisions of PRC Chapter 8.5.

Use Tax

If, during the course of the Contract, the Contractor will be involved in the re-sale of goods to the State, they must comply with the requirements of Section 6452.1, 6487, 6487.3, 7101, and 18510 of the Revenue and Taxation Code, in addition to Section 10295.1 of the Public Contract Code.

Small Business (SB) Preference

Any Bidder competing in this process as a California Certified Small Business, or as a non-SB certifying to subcontract a minimum of 25% of the total contract services to a California Certified SB, will receive a five percent (5%) preference. Certification must be provided by the Department of General Services (DGS), Procurement Division (PD), Office of Small Business and DVBE Services (OSDS).

CalRecycle will apply the preference per State law and as described on the DGS website at <http://www.pd.dgs.ca.gov/smbus/sbpref.htm>.

For award based on high score, the incentive is applied by calculating the "earned" score for all bidders: If the highest scored proposal is from a non-certified small business or microbusiness, then:

1. Calculate five percent (5%) of the highest responsible bidder's total score.
2. Add the amount calculated above to the score of each of the bidders eligible for the SB incentive. This new amount is the total score.

Application of the incentive shall not displace an award to a small business with a non-small business.

A copy of the Bidder's SB certification should be included with the Bid Package.

Disabled Veterans Business Enterprise (DVBE) Preference

Any Bidder competing in this process as a California Certified Disabled Veterans Business Enterprise, or as a non-DVBE certifying to subcontract a minimum of 3% of the total contract services to a California Certified DVBE, will receive a preference as shown below:

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1. Five (5%) and above participation level = bid will receive five percent (5%) preference.
2. Four (4%) participation level = bid will receive two percent (2%) preference.
3. Three (3%) participation level = bid will receive one percent (1%) preference.

Certification must be provided by the Department of General Services (DGS), Procurement Division (PD), Office of Small Business and DVBE Services (OSDS).

CalRecycle will apply the preference as follows:

The incentive is applied during the evaluation process and is only applied for responsive bids from responsible bidders proposing the percentage(s) of DVBE participation for the incentive(s) specified above.

For award based on high score, the incentive is applied by calculating the "earned" score for all bidders: If the highest scored proposal is from a non-certified small business or microbusiness, then:

1. Calculate five percent (5%) of the highest responsible bidder's total score.
2. Add the amount calculated above to the score of each of the bidders eligible for the DVBE incentive according to the participation levels. This new amount is the total score.

Application of the incentive shall not displace an award to a small business with a non-small business.

A copy of the Bidder's DVBE certification should be included with the Bid Package

Subcontractors

All subcontractors identified in the proposal, must be experts in their respective disciplines and capable of performing the tasks for which they are hired.

If awarded the Contract, the contractor **must** use all of the SB and DVBE firms identified on the Small Business/DVBE Participation Summary.

CalRecycle reserves the right to approve substitutions of subcontractors, as long as, certified business participation levels remain unchanged.

Confidentiality/Public Records

The Proposer receiving award of this Contract will be required to comply with the following.

The Contractor and CalRecycle understand that each party may come into possession of information and/or data that may be deemed confidential or proprietary by the person or organization furnishing the information or data. Such information or data may be subject to disclosure under the California Public Records Act, commencing with GC § 6250, or the PCC. CalRecycle agrees not to disclose such information or data furnished by Contractor and to maintain such information or data as confidential when so designated by Contractor in writing at the time it is furnished to CalRecycle, only to the extent that such information or data is exempt from disclosure under the California Public Records Act and/or the PCC. Contractor agrees to limit access to all confidential and proprietary documents, information and data furnished to it in the course of this Contract to those individuals whose work on this Contract requires such access. Each of Contractor's employees and each of Contractor's subcontractors and the subcontractors' employees who will have access to any confidential or proprietary documents, information and/or data must execute a confidentiality agreement with Contractor. Contractor must also offer to enter into optional separate confidentiality agreements with the companies to whom it will provide services under this Contract (see Attachments J and K). Upon completion or termination of the Contract, all originals and copies of any confidential or proprietary documents and/or data furnished to the Contractor in the course of this Contract will be returned to the CalRecycle Contract Manager. Contractor may retain copies of aggregations prepared from confidential or proprietary documents, information and/or data, but must ensure that the parties from whom the information or data originated is not identifiable.

Recycled-Content Certification

The Proposer receiving award of this Contract will be required to report all State Agency Buy Recycled Campaign (SABRC) reportable purchases and the recycled content of those purchases. Attachment F

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(CalRecycle 74C) is required to be submitted with each invoice or annually as determined by the CalRecycle Contract Manager.

Payments to the Contractor

CalRecycle does not have statutory authority to make advanced payments. Services rendered must be identified on an invoice, to be billed monthly in arrears.

Travel and Per Diem

Lodging, food, and incidental expenses on trips in support of services will be reimbursed at the following State per diem rates per 24 hour day for the length of the contract. All travel will be reimbursed at the excluded employee travel rates in accordance with the California Code of Regulations Title 2, Division 1, Chapter 3, Subchapter 1, Article 2, Section 599.615.1 et seq..

- Lodging (receipts required) per day–
 - Most locations up to a maximum of \$84 plus tax
 - Counties of Los Angeles and San Diego up to a maximum of \$110 plus tax
 - Counties of Alameda, San Francisco, San Mateo and Santa Clara up to a maximum of \$140 plus tax
- Meals (actual expense) (up to \$6 for breakfast, \$10 for lunch and \$18 for dinner) – up to a maximum of \$34 per day
- Incidentals – up to a maximum of \$6 per day.
- Coach airfare, mid-size/economy rental cars, and fuel – actual costs verified by bills or receipts. First Class or Business Class air travel is not allowed.

Equipment and Software Purchases

Any equipment or software purchased to perform the responsibilities under the contract are considered state property and shall be returned to CalRecycle at the end of the contract.

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Section III Proposal Submittal Requirements

Introduction

Failure to follow the instructions contained in this document may be grounds for rejection of a Proposal.

CalRecycle may reject any Proposal if it is conditional, incomplete or contains irregularities.

CalRecycle may waive an immaterial deviation in a Proposal, if deemed in the best interest of CalRecycle.

Deadline

The proposal package must be received by CalRecycle, at the address listed in Section I, Overview by 2:00 p.m. on April 18, 2011.

Proposals received after the deadline, will be considered late and returned to the Proposer unopened.

Addressing

The proposal package must clearly state that it is in response to this RFP and note the RFP number listed with the direction of "Mailroom – do not open."

Number of Copies

The Proposer is required to submit all required documents in the following format:

- One original, non-bound hard copy marked "Original"
- 3 bound, hard copies marked "Copy"
- One electronic copy on disc or compact disc viewable by Adobe Acrobat Reader. Entire proposal, including any attachments, must be saved as a single document.

It is the submitting Proposer's responsibility to ensure that the electronic copy is formatted in Adobe Acrobat Reader and viewable by CalRecycle.

Document Printing

All documents must be submitted double-sided on paper with a minimum of 100% post-consumer recycled content fiber.

Cover Letter

The cover letter shall be signed by an individual who is authorized to bind the Proposer and shall indicate that person's title or position. The cover letter must be on the Proposer's company letterhead and contain the following information:

- a. Name and address of the Proposer submitting qualifications;
- b. Proposer's Headquarters for purposes of this Contract, if awarded;
- c. Name, telephone number, and e-mail address of a person who can be contacted if further information is required;
- d. Name, title, address, telephone number, and e-mail address of individual(s) with authority to negotiate and execute a binding Contract on behalf of the Proposer;
- e. Statement that personnel who will provide services under the Contract will have the required certifications and that bidder will have qualified personnel available to meet the service needs; and
- f. Statement attesting to the fact of the percentage of post consumer recycled content fiber paper used in the compilation of the CBS package.
- g. Statement stating that the Contractor and any Subcontractors to be used during the performance of the contract are eligible to contract with the State of California, pursuant to PCC 10286.
- h. OSDS Reference number issued to the certified SB by the Department of General Services.

Table of Contents

The information must be organized as presented with corresponding page references.

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Summary

The Proposer must include a brief overview of the project and summarize the Proposer's approach to the work.

Methodology

The proposal must include a Work Plan describing the methods to be employed to accomplish the project objectives. The methodology must be described in sufficient detail to allow CalRecycle staff to evaluate the methods and must address all tasks and items in the Scope of Work.

Proposals must describe how the objectives will be met and the methods the contractor will use. The description must include not only what work will be performed, but how it will be performed.

The tasks described in the Scope of Work outline a general approach for meeting the requirements; however, alternative approaches for some or all of the tasks may be proposed if they meet or exceed the requirements in meeting the project objectives.

Organization

Provide a brief description of the organization's services and activities, including:

- Date of establishment
- History
- Location
- Any known conflicts of interest

Conflict of Interest

Proposers must identify any known conflicts of interest (see Section IV Proposal Submittal Requirements, Organization).

Conflicts of interest include business or other relations between the Proposer and CalRecycle staff, or businesses that may be awarded assistance under the Tire-Derived Product Business Assistance Program.

The following Public Contract Codes identify potential conflicts of interest.

10410. No officer or employee in the state civil service or other appointed state official shall engage in any employment, activity, or enterprise from which the officer or employee receives compensation or in which the officer or employee has a financial interest and which is sponsored or funded, or sponsored and funded, by any state agency or department through or by a state contract unless the employment, activity, or enterprise is required as a condition of the officer's or employee's regular state employment. No officer or employee in the state civil service shall contract on his or her own individual behalf as an independent contractor with any state agency to provide services or goods.
10411. (a) No retired, dismissed, separated, or formerly employed person of any state agency or department employed under the state civil service or otherwise appointed to serve in state government may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements, or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency or department. The prohibition of this subdivision shall apply to a person only during the two-year period beginning on the date the person left state employment.
- (b) For a period of 12 months following the date of his or her retirement, dismissal, or separation from state service, no person employed under state civil service or otherwise appointed to serve in state government may enter into a contract with any state agency, if he or she was employed by that state agency in a policymaking position in the same general subject area as the proposed contract within the 12-month period prior to his or her retirement, dismissal, or separation. The prohibition of this subdivision shall not apply to a contract requiring the person's services as an expert witness in a civil case or to a contract for the continuation of an attorney's services on a matter he or she was involved with prior to leaving state service.

Qualifications and Resources

The prospective contractor must have the experience, qualifications, and resources to perform the required tasks of the project. In addition, the prospective contractor must possess the following:

- Ability and experience in the private and public sector implementing advanced data analytics to detect and deter fraud.
- Ability and experience in assisting California State government departments with risk management and planning.

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- Ability and experience in deriving solution based upon industry best practices and successful implementations of data mining for fraud in other compliance/enforcement organizations.
- Ability and experience to provide training for the staff in the REB/RADM Section on how to interpret the results from the data model(s).
- Ability and experience in the use of advanced statistics to detect unrecognized trends and patterns with CBCRP data.
- Ability and experience in evaluating population of entities to determine if patterns in transaction and/or application data have a statistically valid correlation for "At Risk Behavior".
- Ability and experience with developing reports of frequency distribution, pattern frequency distribution, percentiles and outliers.
- Ability and experience providing rudimentary automation of procedures.

Each proposal must include a description of the resources to be used on the project while demonstrating an individual or team members' abilities to perform the work. The proposals must include resumes for the Project Manager, Personnel and Subcontractors, that include:

- Experience
- Knowledge
- Educational Background
- Appropriate licensing

References

The Proposer's team must provide a minimum of three (3) verifiable references and/or experience that support the above qualifications.

CalRecycle reserves the right to seek references in addition to the client references provided by the Proposer, as it deems necessary.

If a reference or project experience is unable to be verified, it will be disregarded.

Samples of Written Work

The Proposer's team must include a copy of a verifiable written work that is similar in nature to the proposed project and deliverables.

Contractor Eligibility

The Proposer must include a written declaration, stating that the Contractor and any Subcontractors to be used during the performance of the contract are eligible to contract with the State of California, pursuant to PCC 10286.1. Statement may be included in the cover letter.

Qualification/Licenses

The Contractor shall be an individual or firm qualified to do business in California. Required documentation includes the following as applicable:

- A copy of the Proposer's registration with the Secretary of State.
- Additionally, pursuant to the California Business and Professions Code, for services of a "professional" nature requiring a professional license issued by the CA Department of Consumer Affairs, Proposers must submit a copy of the appropriate license(s) for each team member who will provide "professional" services under the contract.

Small Business (SB) Participation

CalRecycle expects a minimum of twenty-five percent (25%) of the project services to be contracted to a California OSDS Certified SB that performs a commercially useful function.

This goal can be achieved by a combined effort of the prime and/or any sub-contractors, which includes:

- If the Proposer is a Certified OSDS SB, as defined in Section V Definitions and Terms, the Participation Summary (see Attachments) must be completed and submitted with the proposal.

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- If the Proposer has identified subcontractors to be utilized to meet this goal, the Participation Summary (see Attachments) must be completed and submitted with the proposal.

Disabled Veteran Business Enterprise Participation (DVBE)

CalRecycle expects a minimum of three percent (3%) of the project services to be contracted to a California OSDS Certified DVBE that performs a commercially useful function.

This goal can be achieved by a combined effort of the prime and/or any subcontractors, which includes:

- If the Proposer is a Certified OSDS DVBE, as defined in Section V, Definitions and Terms, the Participation Summary (see Attachments) must be completed and submitted with the proposal.
- If the Proposer has identified subcontractors to be utilized to meet this goal, the Participation Summary (see Attachments) must be completed and submitted with the proposal.

Enterprise Zone Act (EZA)

If the budget for services outlined in this announcement, exceeds \$100,000, CalRecycle will grant a preference for EZA qualified proposers.

The Proposer must provide reasonable demonstration of contract labor hours and certify that they will comply with the requirements of the EZA.

If the Proposer is qualified for this preference, the EZA Preference Request Form must be included in the proposal submittal.

The form may be downloaded at www.CalRecycle.ca.gov/contracts/forms.

Target Area Contract Preference Act (TACPA)

If the budget for services outlined in this announcement, exceeds \$100,000, CalRecycle will grant a preference for TACPA qualified proposers.

The Proposer must provide reasonable demonstration of contract labor hours and certify that they will comply with the requirements of the TACPA.

If the Proposer is qualified for this preference, the TACPA Preference Request Form must be included in the proposal submittal.

The form may be downloaded at www.CalRecycle.ca.gov/contracts/forms.

Local Agency Military Base Recovery Act (LAMBRA)

If the budget for services outlined in this announcement, exceeds \$100,000, CalRecycle will grant a preference for LAMBRA qualified proposers.

The Proposer must provide reasonable demonstration of contract labor hours and certify that they will comply with the requirements of the LAMBRA.

If the Proposer is qualified for this preference, the LAMBRA Preference Request Form must be included in the proposal submittal.

The form may be downloaded at www.CalRecycle.ca.gov/contracts/forms.

Maximum Combined Preferences and Rules for Award

In combination with any other preferences (TACPA, EZA, LAMBRA, SB, , DVBE, participation, etc), the maximum limit of the combined preferences is 15% of the bid amount and, in no case, more than \$100,000.00 per solicitation.

Preference programs for TACPA, EZA, LAMBRA, or the non-SB subcontracting preference cannot displace a direct award to a certified SB. In the event of a tie between a SB and a firm that is SB and DVBE, the award shall be made to the firm that is SB and DVBE.

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Teleconference Participation

If the Proposer wishes to participate in the Teleconference noted in Section I, Schedule, the Teleconference Participation Form must be submitted, by fax or e-mail (scanned document must be viewable with Adobe Acrobat Reader), to CalRecycle Contact prior to the conference. The conference will be held at the Cal/EPA Headquarters in Room 350.

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Section IV Cost Proposal Submittal

Evaluation

The Contractors cost proposal submittal will be evaluated based on whether the cost breakdown is sufficiently detailed to determine if the proposed expenses are reasonable.

Cost Breakdown

The cost proposal must specify the total cost and include detailed project costs, as required in the Cost Proposal Sheet. The winner proposer's invoices must be itemized as shown in the submitted cost sheet.

The subcontractor commitments must be identified, by task and dollar amount, and included in the task by task cost proposal submittal.

The costs identified, should take into consideration the length of the contract, rise in salaries and administrative overhead costs.

If fringe benefits and/or overhead are not specifically itemized in the Cost Proposal Sheet and if the proposer inserts a \$0, proposer must explain on the Cost Proposal Sheet why these line items are not itemized. A blank space for either fringe benefits or overhead will be grounds for immediate disqualification.

Failure to include on the Cost Proposal Sheet budgeted costs for all tasks included in the Scope of Work will be grounds for disqualification.

The cost proposal sheet is a self-contained document for purposes of calculating cost points and evaluating whether all information required by the RFP has been submitted. Therefore, all information (such as explanations of \$0 instead of itemized costs) must be included on the cost proposal sheet. Incorporation by reference to the proposal is not acceptable.

The amount identified on the cost breakdown may not be changed and will remain in effect for the term of the Contract.

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Section V Evaluation and Selection

Introduction

CalRecycle will perform a Pre-Qualification Evaluation process to ensure that the Proposer has included all required documentation in the Proposal submittal.

If a proposal package does not meet all of the requirements set forth in this RFP, it will be considered non-responsive and rejected from further competition.

Those Proposer's submittals that pass this review will be forwarded to the Selection Committee for Evaluation.

Selection Process

The Selection Committee will evaluate and score all proposals, passing the Pre-Qualification Evaluation utilizing the Scoring Criteria identified in this RFP.

Only those proposals that receive a score of at least the minimum requirement identified on the Scoring Sheet will be ranked.

Cost Points

Cost points account for 30% of the total points available (see Proposal Scoring Sheet). Proposers will be awarded Cost Points as follows:

- 1) Lowest cost proposal is awarded the maximum cost points.
- 2) Other proposals are awarded cost points based on the following calculation:

Other Proposer's Cost Points = (factor*) X maximum cost points

* factor is the Lowest Proposer's cost divided by Other Proposer's cost

EXAMPLE

Lowest Proposer's cost = \$10

Other Proposer's cost = \$12

Maximum cost points = 30 cost points

factor = \$10 ÷ \$12 = .83

Cost Points Calculation for Other Proposer's Cost

.83 X 30 cost points = 25 cost points

Final Cost Points Awarded

Lowest cost proposal receives 30 cost points

Other cost proposal receives 25 cost points

Oral Interview

If oral interviews will be conducted as part of this process, the date of said interviews will be within the timeframe identified in Section I, Schedule.

All Proposers invited for an interview, will be notified by CalRecycle of the specific date and time of the interview.

Failure to attend the interview by the Proposer will be grounds for removing the Proposer from the remainder of the process.

Grounds for Rejection

All proposals may be rejected whenever the determination is made that the proposals received are not really competitive, when the cost is not reasonable, or when the cost exceeds the amount expected.

Additionally, a proposal may be rejected if:

- It is received after the due date and time for submittal
- The cost submittal is unsigned
- The proposal cost is not prepared as required by the RFP

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- The Proposer has been prohibited from contracting with the State by the Department of Fair Employment and Housing
- The Proposer has received a substantive negative contract performance from the State
- Any items required by the RFP are not included with the submittal

No proposal may be rejected arbitrarily or without reasonable cause.

Award of Contract

Award of this Contract will be to the highest ranking responsible Proposer meeting all of the RFP requirements.

In the event of a tie, CalRecycle may utilize a tie breaker to determine the winning Proposer. The tie breaker will be determined based on which proposer has the most SB and DVBE participation identified in the bid package.

CalRecycle reserves the right to not award a Contract.

Notice of Intent to Award

CalRecycle will post a notice of intent to award this Contract five (5) working days prior to the award being made.

Notice of the intent to award will be posted on CalRecycle's website at www.CalRecycle.ca.gov/contracts and at the headquarters building noted in Section I. . It is the Proposer's responsibility to check one of these locations for a copy of the Notice of Intent to Award.

Rejection of Award

If the Proposer fails to enter into a satisfactory Contract within a reasonable timeframe after the award is made, CalRecycle may deem that the Proposer has rejected the award.

CalRecycle reserves the right to disqualify the awardee and award the Contract to the next highest ranked Proposer.

Protest of Award

A Proposer may protest the proposed award by filing an official protest with the Department of General Services. The protest must be filed after the notice of intent to award the contract, but before the actual award.

Within five (5) **working** days of the initial protest filing, the Proposer must submit a detailed written statement with information that supports that the Proposer would have been awarded the contract and the grounds for that position.

The Contract will not be awarded until a decision has been made on the filed protest.

The protest documents should be sent via registered mail to the following parties:

Department of General Services
Office of Legal Services
Attn; Protest Coordinator
707 Third Street, 7th floor
Sacramento, CA 95605
Fax (916) 376-5088

CalRecycle
Attn; Contracts Unit
1001 I Street, MS-19A
Sacramento, CA 95814
Fax (916) 319-7582
Email contracts@CalRecycle.ca.gov

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Section VI Description of Work

Work to be Performed

At the CalRecycle Headquarters in Sacramento, California, conduct statistical analyses of California Beverage Container Recycling Program (CBCRP) disbursement participant data and output information in order to develop a model for identifying potentially fraudulent claims and/or application data.

The Department of Resources recycling and Recovery (Department), Compliance and Enforcement Division (CED), and more specifically the Recycling Enforcement Branch (REB) is responsible for administrative compliance and enforcement for California Redemption Value (CRV) disbursements to program participants. The REB Risk Assessment & Data Management Section (RADM) provides support for REB with reporting and analysis. The RADM section is also responsible for using CBCRP disbursement data to identify potential "At Risk Behavior" and provide referrals to the REB Investigations Section for administrative review and action.

The scope of this project includes:

- Approx. \$ 800 million of CRV disbursements
- Approx. 2,000 Recycling Centers
- Approx. 170+ Processors
- Approx. 600,000 shipping report transactions processed per year

The Department is requesting proposals to build statistical model(s) for identifying patterns in CBCRP data with a statistically valid correlation to "At Risk Behavior". At Risk Behavior for CBCRP is the act of making unsupported claims for reimbursement from the Fund. The patterns identified will be used to rank the degree of probability a program participants is engaged in At Risk Behavior. The risk indicator/rating output from the statistical model will be used by the REB in evaluating program participants as potential candidates for administrative review.

Tasks Identified

OBJECTIVES:

- 1.1 Construct a process for generating a Risk assessment score to evaluate reporting ids in the CBCRP (RC, CS, CP, SP).
- 1.2 The Department will engage a contractor with extensive experience in the private and public sector implementing advanced data analytics to detect and deter fraud.
- 1.3 The Department will engage a contractor having previous project experience assisting California State government departments with risk management and planning.
- 1.4 The contractor will derive a solution based upon industry best practices and successful implementations of data mining for fraud in other compliance/enforcement organizations.
- 1.5 The majority of contract dollars will be expensed for professional services of experts; identifying statistically valid patterns in CBCRP data, documenting the statistical model used, and documenting the associated procedures to recreate the results.
- 1.6 Data to be used for the analysis is accessible via a Microsoft SQL Server database. This same information resource is used by staff for various ad hoc queries.
- 1.7 The contractor will provide training for the staff in the REB/RADM Section on how to interpret the results from the data model(s).
- 1.8 The model will be owned, maintained and hosted by the Department.
- 1.9 Outputs from the statistical model indicating the probability of At Risk Behavior should employ balanced scorecard techniques and/or risk matrix for deriving cumulative values.
- 1.10 Implement a documented, structured and unbiased methodology applied consistently for evaluating program participants and applicants, to identify candidates for an administrative review.
- 1.11 Increase count of program participant certifications revoked or applications denied as a result of enforcement activity initiated incorporating outputs from the project solution.
- 1.12 Increase total dollars of findings generated as a result of administrative enforcement activity with the addition of the project's solution to Department's fraud deterrence processes.
- 1.13 Maximum of 30% false positive indicator produced by the repeatable data mining process (project solution). A false positive is when the data mining process identifies a possible unsupported transaction or At Risk program participant and upon review no findings or issues are documented. The percentage of acceptability will have to be identified in the project based upon the degree of accuracy that the model is built to.

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- 1.14 Reduce the quantity of false-positive indications for At Risk transactions and/or applicants, using the current tools and skills available to the Department.
- 1.15 Use statistical mining of CBCRP data to increase the effectiveness of existing resources by increasing REB accuracy in selecting At Risk candidates for an administrative review.
- 1.16 Increase the quantity, consistency and frequency of review of CBCRP data for anomalies, patterns and trends.
- 1.17 Facilitate REB's shifting focus of data analysis/investigation "after the event" to fraud deterrence by identifying potentially unsupported transactions prior to CBCRP monies being disbursed.
- 1.18 Use advanced statistics to detect unrecognized trends and patterns with CBCRP data.
- 1.19 Evaluate a significant population of entities having findings for unsupported claims of CBCRP monies and determine if patterns in transaction and/or application data have a statistically valid correlation to the "At Risk Behavior" population.
 - 1) Initial focus will be on "Anomaly detection"
 - a) Find the outliers:
 - b) These claims need to be "looked at" to validate supporting evidence of claims via shipping reports:
 - c) This is a transfer of material covering logistics & inventory mgmt.
 - 2) Analytic Focus is two parts:
 - a) Application Data
 - b) Claims Data (shipping reports)
- 1.20 To provide a risk rating/indicator for use in evaluating shipping report volumes and/or application information.
- 1.21 Establish a process that REB/RADM can perform on a regularly scheduled basis, that will include some automation and some manual intervention, to Extract data from the DORIis SQL Server Business Views, Transfer the data, and then Load the data into statistical software.
- 1.22 Provide for the analysis of individual participants in the statistical model (user criteria).
- 1.23 Provide for a Global Analysis (re: program wide) of all recycling center reporting IDs to rank, group, and to compare recycling center to recycling center using the statistical model. .
- 1.24 Provide reports of frequency distribution, pattern frequency distribution, percentiles and outliers using DORIis SQL Server Business Views data.
- 1.25 Ensure that the data model solution can be hosted/executed by a desktop statistical application running on a department standard desktop PC.
- 1.26 Provide for the use of 'Off the Shelf' desktop statistical software:
 - 1) CalRecycle will purchase three licenses for the statistical application used in the project and install it on Risk assessment Staff PCs for the project and execution of the implemented solution.
- 1.27 Provide rudimentary automation of procedures necessary for the extraction, transfer, and loading of data into software on a local PC.
- 1.28 Microsoft (MS) integration. To the extent possible, the solution shall be able to integrate with the Department's MS environment (Windows desktop and server environment, .NET, SQL server, VB, VBA, Office suite, Exchange, outlook, SharePoint).

WORK TO BE PERFORMED

- 2.1 Project Initiation: The contractor will conduct a project scoping meeting with the Department's project sponsor(s) and designated staff to confirm the project objectives and approach.
- 2.2 Project Planning: The contractor will then engage the Department in project planning. This initial phase focuses on understanding the project objectives and requirements from a business perspective, and then converting this knowledge into a data mining problem definition, and a preliminary plan designed to achieve the objectives.
- 2.3 Define Project Requirements: Project requirements provide the definitive scope for the project. These will be derived from the stated objectives. This will include Business and Technical requirements, as well as assumptions and constraints for the project/solution.
- 2.4 Develop Data Understanding: Once the project plan and scope (requirements) are defined and documented the next step is to acquaint the contractor with DORIis SQL Server Business Views data. This starts with initial data collection and proceeds with activities in order to get familiar with the data.
- 2.5 Prepare Data for Modeling: After becoming familiar with the data the Department and the contractor will proceed with data preparation phase. This phase covers all activities to construct the final dataset (re: data that will be fed into the modeling tool(s)) from the initial raw data. Data preparation tasks are likely to be performed, multiple times, and not in any prescribed order.
- 2.6 Model the Data: In this phase, the contractor will select the various modeling techniques to be applied and calibrate the associated parameters to optimal values. Typically, there are several techniques for the same data mining problem. Some techniques have specific requirements on the form of data. Therefore, stepping back to the data preparation phase is often needed.
- 2.7 Evaluation/Test Model: The contractor will perform evaluation/test of the models developed. At this stage in the project model(s) are built that appear to have high quality, from a data analysis perspective. Before proceeding to final development of the model, it is important to more thoroughly evaluate the model, and review the steps

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executed to construct the model, to be certain it properly achieves the business objectives. A key objective is to determine if there is some important business issue that has not been sufficiently considered. At the end of this phase, a decision on the use of the data mining results should be reached.

- 2.8 Develop Automated Routine: The contractor will make reasonable attempts at using high-level programing (e.g. macro, VBA, etc...) to automate procedures necessary to perform the data mining process. The primary steps are:
 - 1) Extraction of data for the DORiis SQL Server Business Views to produce the tables/views of data for data models,
 - 2) Transfer of this data into statistical software.
 - 3) Exportation of the results from the statistical software to a table and/or spreadsheet format. (Note: Programing and automation is not the primary goal of this project.)
- 2.9 Deploy the Solution: The contractor will demonstrate the functioning of the developed statistical model(s), reports and process on the identified systems running the statistical analysis software.
- 2.10 Train REB Staff: The contractor will train staff on what actions need to be carried out in order to use of the created models so REB staff can interpret the outputs from the statistical software. It is also desired that the contractor train the REB staff to perform the data mining process manually if necessary. Together the Department and the contractor will develop the training materials to be used.
- 2.11 Test the Deployed Solution: The contractor will provide a testing and acceptance plan for the deployed solution. The Department will work with the contractor to perform the necessary testing.
- 2.12 Conduct Executive Briefing: Upon successful testing of the deployed solution, the contractor will prepare and make a presentation to Compliance and Enforcement Division Executive management.
- 2.13 Close Out Project: The Department's Project Manager will prepare the post project evaluation.

TASKS IDENTIFIED

3.1 Tasks

- 1) Project Initiation and Management
 - a) Identify and Review pertinent background materials
 - b) Identify and interview key participants (SME). Interviews will be conducted in person
 - c) Conduct debriefing sessions with the Department's project sponsor(s) and appropriate staff upon completion of the interviews, to share the findings
 - d) Contractor Responsibilities
 1. Request background materials
 2. Conduct key participant interviews
 3. Establish feedback points with project sponsor
 4. Develop transmittal letters discussing the project and requesting participation of key stakeholders
 - e) Department Responsibilities
 1. Gather background materials that will assist the Contractor in their preparation
 2. Identify participants for interview by contractor
- 2) Conduct Project Planning Meeting
 - a) Understanding the project objectives
 - b) Overview of requirements from a business perspective
 - c) Define the data mining problem
 - d) Preliminary plan designed to achieve the objectives
 - e) Develop project work plan
 - f) Develop project work schedule
- 3) Define the Project Requirements
 - a) The Contractor will facilitate the documentation of project requirements for achieving the objectives
- 4) Develop Data Understanding
 - a) Identify data quality problems
 - b) Discover first insights into the data
 - c) Detect interesting subsets to form hypotheses for hidden information
 - d) Review relevant documentation
 - e) Interview subject matter experts
- 5) Prepare Data for Modeling
 - a) Table, record, and attribute selection
 - b) Transformation and cleaning of data for modeling tools
 - c) Identify available data and filter it for data that will be relevant to the project

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- d) Determine the source and access to the data used in the project
- e) Coding of data, translating the data from its native state to values that can be processed by the software used to model the data
- f) Validate the quality (re: how clean) the available data is and determine if it will have a material impact on the models to be developed
- g) Prepare the final sets of data to use for modeling
- 6) Modeling the Data
 - a) Identify the underlying and interrelated data structure relating to fraud
 - b) Determine the changes in data elements that presage fraud
 - c) Identify the elements that best discriminate between honest and fraudulent transactions
 - d) Conduct Statistical Analysis:
 - 1. Correlation analysis to determine if there is a statically significant relationship between Fraudulent and non fraudulent data as an indicator
 - 2. Discriminant analysis to identify the optimal dimensions that best illustrate group differences and to identify the relative contributions of each variable
 - 3. Means Analysis to identify the direction of the relationship between significant attributes
 - e) Logistic regression to confirm the results of the remainder of the analysis and determine how "good" the model is.
- 7) Evaluation/Test Model(s)
 - a) Determine if there are important business issue that has not been sufficiently considered
 - b) A decision on the use of the data mining results should be reached.
 - c) Calculate the likely predictive success of the fraud model
 - d) Create a sampling plan to create a model and sampling plan to test the model developed in the prior step.
 - e) Update the model with any findings identified during testing
- 8) Automate Procedures
 - a) When possible the contractor should use macro and/or VBA for taking multiple procedures and reducing then to 1 or 2.
- 9) Deploy the Solution
 - a) Implementing a repeatable data mining process
 - b) Determine the most effective solution for hosting the model and providing access by Department staff
 - c) Deploy the working model and associated software for Department staff's use.
 - d) Identify staff and PC that will have the 3 licenses of Statistical software installed
 - e) Purchase the statistical software
- 10) Train REB Staff
 - a) What action will need to be carried out in order to actually make use of the created models?
 - b) How to perform the process of ETL data for the statistical software to use
 - c) How to interpret the reports/outputs from the model
 - d) Develop training material
 - e) Coordinate training sessions
- 11) Test the Deployed Solution
- 12) Conduct Executive Briefing
- 13) Close Out the Project

3.2 Vendor Task Requirements

The Vendor must perform the following tasks or may propose additions, changes, or deletions to these tasks with Department approval, so long as the work objectives are achieved:

- 1) Meet with Department Project Manager to review project scope and objectives, update project work plan and schedule, and prepare agenda for project kick-off meeting, and conduct project kick-off meeting
- 2) Attend meetings and provide weekly reports covering the following areas:
 - a) Project Status — consisting of date of creation, reporting period, submission author, schedule status, significant past accomplishments, planned activities for next reporting period, and updated project schedule reflecting progress and revised planning
 - b) Project Issues — Consisting of issue number, description of issue, date issue identified, assigned individual to close issue, target issue close date, actual close date, actions taken to close issue, and current status of issue
 - c) Issues List

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- 3) Any other items deemed appropriate and important by the Department's Project Manager to report the status of the project and ensure its success.
- 4) Prepare and submit a weekly project status report. Meet weekly with the Department's Project Manager. Reporting must include at a minimum, project status relative to the project plan, issues, risks and recommended mitigation measures, and an updated project plan and schedule.
- 5) Deliver all project deliverables as scheduled.
- 6) Conduct project close out with Department's Project Manager.

3.3 Deliverables:

Deliverables must be prepared and submitted to the Contract Manager by the agreed upon scheduled completion date. The deliverables must comply with contractual requirements. The Contract Manager is responsible for reviewing and approving each deliverable.

Deliverables	
1	Implementation Plan
2	Executive Summary
3	Requirements analysis
4	Key Action Dates
5	Communication Plan
6	Testing and Acceptance plan
7	Training plan
8	Training Materials
9	Contract Management Plan
10	Maintenance & Operations Plan
11	Design documentation
12	Process & Procedure Documentation
13	Data Model
14	Automation of ETL

- 1) Implementation Plan
 - a) As described in the Technical Requirements, the contractor(s) shall provide an implementation plan. The implementation plan shall include, at a minimum, the following items:
 1. Executive Summary
 2. Requirements Analysis
 3. Key Action Dates
 4. Communication Plan
 5. Testing and Acceptance Plan
 6. Training Plan
 7. Contract Management Plan
- 2) Executive Summary

One or two page document that summarizes the complete implementation plan
- 3) Requirements Analysis
 - a) Business needs/requirement
 - b) Assumptions
 - c) Constraints
 - d) Staffing
 - e) Hardware
 - f) Software
 - g) Office space
 - h) Supplies misc.

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- 4) Key Action Dates
Those Key Action Dates that are tied to a task and/or deliverable that are reoccurring (i.e., reports, meetings, audits, common configuration refresh, etc.) over the term of the resulting contract.
- 5) Communication Plan
The Communication Plan shall provide, at a minimum, who needs what information, when they need this information, and how will this information be given to them. This shall also include scheduled meetings with the Contractor Manager.
- 6) Testing and Acceptance Plan
The contractor shall provide a testing and acceptance plan on how the contractor and governmental agencies will mutually agree upon a testing and acceptance criteria for the delivered and installed IT goods. This plan shall not violate any provision in the resulting contract and shall be in compliance with the OEM recommended installation procedures.
- 7) Training Plan
 - a) Training for Department staff identified as users of the repeatable data mining process outputs
 - b) The State and Contractor will mutually determine the appropriate combination of specific types and structure for the training and the actual number of employees who will receive each type of provided training. Training materials, including electronic copies, shall become the property of the State of California upon completion of the training. Unrestricted rights must be granted to the Department for duplication, modification, and distribution of any part of these materials. The State's right to deliver, re-use, and customize Contractor provided training materials shall continue for as long as the contract is in place.
- 8) Training Materials
- 9) Contract Management Plan
The Contractor is responsible for the contract management plan
- 10) Maintenance and Operation Plan for the Statistical Model
Plan for maintaining the repeatable data mining process
- 11) Design Documentation
 - a) Documentation for the models developed, from a statistical perspective
 - b) Documentation for the outputs from the repeatable data mining process
 - c) Documentation for evidentiary quality of the outputs from the repeatable data mining process
 - d) Documentation for how to interpret the outputs of the repeatable data mining process
- 12) Process & Procedure Documentation
- 13) Data Model
 - a) Use CBCRP data to produce statistically valid evaluation of transaction data. Identifying patterns of data associated with participants having Department findings for submitting unsupported claims is the objective of the evaluation.
 - b) Risk assessment score for reporting ids in the CBCRP program (RC, CS, CP, SP)
- 14) Automation of Extract, Transact and Load (ETL)
 - a) Automated routine/executable that extracts CBCRP data from the DORIIS Data Mart and loads it into statistical application running on a pc work station. It can include manual procedures in the process.

3.4 Performance Measurement and Completion Criteria

- 1) The contractor's performance will be evaluated on a regular basis, primarily through the weekly status reports and the quality and completeness of the deliverables. The Department will be the sole judge of the acceptability of all work performed and all work products produced by the contractor as a result of this SOW and associated contract
- 2) Acceptance Criteria
 - a) The Department will be the sole judge of the completion and acceptability of all deliverables produced by the Contractor as a result of this RFO. Acceptance criteria consist of the following:
 - b) Department's Project Manager must approve the format and content of all other deliverables in advance.
 - c) All deliverables must be completed, as specified, and approved by the Department in writing.
- 3) The Department will notify the contractor in writing of deliverable non-acceptance by identifying the specific inadequacies and/or failures in the services performed and/or the products produced by the contractor.
- 4) The contractor will respond to the Department by submitting:
 - a) A detailed explanation describing precisely how the identified services and/or products actually adhere to and satisfy all applicable requirements and/or

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- b) A corrective action plan to address the specific inadequacies and/or failures in the identified services and/or products delivered.
- 5) Department will notify the contractor in writing whether it accepts or rejects the explanation and/or plan. If the Department rejects the explanation and/or plan, the contractor will submit a revised corrective action plan.
- 6) The Contract Manager is responsible for approving and accepting work and/or deliverables. The Contract Manager for the contract is: Christopher Reed.

3.5 Contractor Responsibilities

- 1) Submit weekly status reports to and attend weekly project meetings with the Contract Manager;
- 2) Hold a planning meeting with Department technical and business stakeholders;
- 3) Develop and maintain a detailed project work plan;
- 4) Meet with departmental staff members to determine their needs related to data confidentiality, privacy and security;
- 5) Conduct a collaborative review and obtain feedback from departmental staff members on the draft security plan.
- 6) Finalize the implementation plan and obtain buyoff from key stakeholders;
- 7) Present, as necessary, to Executive Staff
- 8) Complete the tasks according to an agreed upon scope of work and project plan.
- 9) Employ qualified/certified professional staff. Changes in the Vendor's project staff must be approved in advance by the Department's Project Manager.
- 10) Supervise Vendor's staff.
- 11) Provide work tools and equipment as needed.
- 12) Make any necessary travel arrangements.
- 13) Employ quality assurance in development, completion, and delivery of all contract deliverables.

3.6 State's Responsibilities

- 1) Provide the contractor access to the Department business staff, technical staff and any other relevant stakeholders;
- 2) Schedule all meetings with Department personnel.
- 3) Approve changes in Vendor's project staff and verify staff qualifications and certifications.
- 4) Coordinate review of interim and key deliverables in a timely manner.
- 5) Approve key deliverables.
- 6) Approve change orders.
- 7) Receive, approve, and ensure timely payment of Vendor's invoices upon acceptance of key deliverables.
- 8) Coordinate timely resolution of contract issues, disputes, and any other contract/performance issues
- 9) .Provide the contractor access to applicable Department computer systems as appropriate to execute this agreement;
- 10) Provide the contractor access to applicable information and documentation of current Department security policies, guidelines, practices, processes and procedures;
- 11) Review the contractor's draft deliverables within two (2) to five (5) state business days (depending on the size and complexity of the section) and provide issues, comments, and requests for changes;
- 12) Review the contractor's final deliverables within five (5) state business days and provide issues, comments, and requests for changes; and
- 13) Provide appropriate office space, communications, equipment, and software for up to two (2) contract staff. Identification of contractor requirements will be subject to a negotiated agreement between the Department and the vendor prior to the start of contract work.
- 14) Clarify the work to be done.

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Contract/Task Time Frame

	Contract/Task Time Frame	Working days	Start	End
1	Project Initiation and Management	5	Wed June 29	Tue Jul 05
2	Project Planning meeting	5	Wed Jul 06	Tue Jul 12
3	Define Project Requirements	10	Wed Jul 13	Tue Jul 26
4	Develop data understanding	10	Wed Jul 27	Tue Aug 09
5	Prepare data for modeling	10	Wed Aug 10	Tue Aug 23
6	Model the data	15	Wed Aug 24	Tue Sep 13
7	Evaluation/Test model	10	Wed Sep 14	Tue Sep 27
8	Develop automated routine	10	Wed Sep 28	Tue Oct 11
9	Deploy the solution	10	Wed Oct 12	Tue Oct 25
10	Train Risk Assessment Staff	5	Wed Oct 26	Tue Nov 01
11	Test the deployed solution	5	Wed Nov 02	Tue Nov 08
12	Executive Briefing	5	Wed Nov 09	Tue Nov 15
13	Close out project	5	Wed Nov 16	Tue Nov 22
	Total working days	105		

Control of Work

1. CalRecycle Contract Manager has the authority to determine the quality and acceptability of the following:
 - Work to be performed
 - Rate and progress of the work
 - Fulfillment of the services provided by the Contractor
 - Compensation for services provided by the Contractor

These decisions will be deemed final and enforceable by CalRecycle Contract Manager when the Contractor fails to complete orders required by this Contract.

2. The Contractor will designate a Project Manager who holds the following authority:
 - Act as the Contractor's Representative for work to be provided under this Contract
 - Act as the Contractor's Representative regarding contractual matters relating to this Contract

If during the course of the Contract, it is deemed necessary to replace the Project Manager, CalRecycle Contract Manager approval is required.

Section VII Definition and Terms

General

Unless the context otherwise requires, wherever in this RFP or addenda, the following abbreviations and terms, or pronouns in place of them, are used, the intent and meaning shall be interpreted as provided in this Section.

Working titles having a masculine gender, such as "draftsman" and "journeyman" and the pronoun "he", are utilized in these provisions for the sake of brevity, and are intended to refer to persons of either sex.

Abbreviations

CALRECYCLE	California Department of Resources Recycling and Recovery
CCR	California Code of Regulations
DVBE	Disabled Veteran Business Enterprise
GC	Government Code
PCC	Public Contract Code
RFP	Request for Proposals
SB	Small Business
SOW	Scope of Work
OSDS	The Department of General Services (DGS), Procurement Division (PD), Office of Small Business and DVBE Services (OSDS)

CALRECYCLE Staff

Staff of the Department of Resources Recycling and Recovery involved in the implementation of this contract or representatives of Consultant to the Department of Resources Recycling and Recovery as designated in the Work Orders.

Consultant

The person or persons, firm, partnership, corporation, or combination thereof, which may enter into this Contract with CalRecycle to provide work pursuant to this RFP or his or their legal representatives

Contract

A legally binding agreement between the state & another entity, public or private, for the provision of goods or services; the written agreement covering performance of the work and furnishing of labor, materials, tools, and equipment in providing the work. The agreement shall include the RFP, Proposal, general and specific terms and conditions, Work Orders, and supplemental agreements which may be required to complete the work in a substantial and acceptable manner.

Contract Manager

A person designated by the responsible state agency or department to manage performance under a contract.

Contractor

A party contracting with the awarding agency. Vendor is often used synonymously with contractor.

Director

The Director of CalRecycle, or his/her designees. Any references to Executive Officer shall mean the Director and/or designated officer.

Disabled Veteran Business Enterprise (DVBE Certified)

A business that meets all of the following criteria: (1) at least 51% of the business is owned by one or more disabled veterans or, in a business whose stock is publicly held, at least 51% or more of the stockholders are disabled veterans (2) the management and control of the business are exercised by one or more disabled veterans; (3) the business is domestically owned and its home office is in the United States; and (4) the business has been certified as a DVBE by the State of California, Department of General Services (DGS), Procurement Division (PD), Office of Small Business and DVBE Services (OSDS).

Legal Holiday

Those days designated as State holidays in the Government Code.

Project Manager

Department of Resources Recycling and Recovery
RFP (S) Number DRR10061

Contractor's representative for all work performed under this Contract. All official correspondence, reports, submittals, billings, and other work done under this Contract shall be reviewed and signed by the Project Manager prior to submittal to CalRecycle.

Scope of Work

The description of work required of a contractor by the awarding agency.

Small Business (Certified)

A business that has been certified by the Department of General Services (DGS), Procurement Division (PD), Office of Small Business and DVBE Services (OSDS), as a small business as defined in GC 14837 and 2 CCR 1896.

State

The State of California.

State Contract Law

The Public Contract Code and other applicable laws that form and constitute a part of the provisions of this Contract to the same extent as if set forth herein in full.

Subcontractor

A person or entity which contracts with the Contractor to perform all or a portion of the work as specified in the Scope of Work.

Attachments

Attachment A

Cost Proposal Sheet
Data Analytics for Fraud Detection and Prevention
DRR10061

Complete this form and submit the original in accordance with the requirements of this RFP.
Any invoices submitted by contractor will identify line item costs and corresponding task number.

Contractor/Company Name: _____

Task #	Personnel Services: (Do not include travel or overhead) estimated # of hrs needed for contract services multiplied by the individual or position rates per hr.. (Include name/position title and hours)				Fringe Benefits (Identify fringe benefit costs citing actual benefits or as a percentage of personal services costs)	Operating Expenses (operating expenses related to the services provided in this Contract, including rent and supplies, as applicable)	Equipment Costs (Include a description of equipment)	Travel Expenses (Include travel expenses and per diem. Rates are set at the rate specified by DPA for excluded employees)	Overhead (This information must be provided)	Other (any other specific breakdown required to sufficiently explain the budget costs)	Total by Task
	Name/ Position	\$/Hr	Hrs	Total \$							
Total by Line Item	(Sum of Total \$)										GRAND TOTAL

Attachment A

Acknowledgement/Authorization

The undersigned acknowledges the submittal of this proposal constitutes an irrevocable offer for a ninety (90) day period for CalRecycle to award a Contract. Additional acknowledgement is made of receipt of all competitive documents, including Addenda, relating to this Contract.

The undersigned acknowledges that the Proposer has read all of the requirements set forth in CalRecycle documents and will comply with said provisions.

The undersigned hereby authorizes and requests any person, firm, agency, or corporation to furnish any information requested by CalRecycle in verification of the recitals comprising this Proposal and also hereby authorizes CalRecycle to contact such persons, firms, etc., in order to obtain information regarding the undersigned.

The undersigned acknowledges that there are no potential conflicts of interest, as defined in Public Contract Code (PCC) 10410, 10411, and Government Code (GC) 87100, by the submitting firm and/or any subcontractors listed in the Proposal.

I declare under penalty of perjury that the foregoing is true and correct.

Name & Title of Authorized
Representative:

Contractor Name:

Address:

Telephone #:

City, State Zip:

Email:

Signature of Authorized Representative:

Date Signed:

If fringe benefits and/or overhead are not specifically itemized in the Cost Proposal Sheet and if the proposer inserts a \$0, the proposer must explain why these line items are not itemized. A blank space for either fringe benefits or overhead will be grounds for immediate disqualification.

Attachment B

Proposal Scoring Sheet
CBCRP Disbursement Data Mining Project for Risk Assessment
DRR10061

Proposers must score a minimum of 80 percent of the possible points in the first 4 sections in order to qualify for further consideration.

Contractor/Company Name: _____

	Proposer's Score
1. Overall Approach and Organization – Maximum Score 25 Points	
a. Format of proposal (5)	_____
b. Overall approach and understanding of problems, issues and required tasks. (5)	_____
c. Addresses all items in RFP. (10)	_____
d. Clarity of proposal (5)	_____
2. Methodology – Maximum Score 15 Points	
a. Soundness of proposed methodology. (5)	_____
b. Appropriateness of proposed methodology. (5)	_____
c. Feasibility of work plan and schedule. (5)	_____
3. Qualifications/Resources – Maximum Score 15 Points	
a. Assigned staff's knowledge and educational background of the particular project involved. (5)	_____
b. Assigned staff's experience and background in similar projects. (5)	_____
c. Assigned staff's ability to conduct the necessary research with proficiency and accuracy without omission. (5)	_____
4. Past Work – Maximum Score 15 Points (References will be consulted.)	
a. Similarity between previous projects and the project contained in this RFP. (5)	_____
b. The success (including level of completion) of past projects and any related work record. (5)	_____
c. Recommendations by Project Review Panel of previous projects. (5)	_____
	SUBTOTAL _____
5. Cost Proposal – Maximum Score 30 points	_____
	TOTAL SCORE _____

Attachment C

Small Business/Disabled Veteran Business Enterprises (DVBE) Participation Summary

MARK ONE FOR EACH FIRM USED			NAME OF FIRM	NATURE OF WORK	TOTAL AMOUNT OF WORK (Mark one for each firm used)		IS CERTIFICATION FORM ATTACHED?
PRIME BIDDER	SUBCON-TRACTOR	SUPPLIER			SMALL	DVBE	
					\$	\$	
					\$	\$	
					\$	\$	
					\$	\$	
					\$	\$	
					\$	\$	
					\$	\$	
					\$	\$	

The appropriate certification letter issued by the Office of Small Business and Disabled Veteran Business Enterprise Services (OSDS) can be attached for each Small and DVBE business identified.

ATTACHMENT D

Darfur Contracting Act

Pursuant to Public Contract Code section 10478, if a bidder or proposer currently or within the previous three years has had business activities or other operations outside of the United States, it must certify that it is not a "scrutinized" company as defined in Public Contract Code section 10476.

Therefore, to be eligible to submit a bid or proposal, please complete only one of the following three paragraphs (via initials for Paragraph # 1 or Paragraph # 2, or via initials and certification for Paragraph # 3):

1. _____
Initials We do not currently have, or we have not had within the previous three years, business activities or other operations outside of the United States.

OR

2. _____
Initials We are a scrutinized company as defined in Public Contract Code section 10476, but we have received written permission from the Department of General Services (DGS) to submit a bid or proposal pursuant to Public Contract Code section 10477(b). A copy of the written permission from DGS is included with our bid or proposal.

OR

3. _____
Initials
+ certification
below We currently have, or we have had within the previous three years, business activities or other operations outside of the United States, but we certify below that we are not a scrutinized company as defined in Public Contract Code section 10476.

CERTIFICATION For # 3.

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective proposer/bidder to the clause listed above in # 3. This certification is made under the laws of the State of California.

<i>Proposer/Bidder Firm Name (Printed)</i>	<i>Federal ID Number</i>
<i>By (Authorized Signature)</i>	
<i>Printed Name and Title of Person Signing</i>	
<i>Date Executed</i>	<i>Executed in the County and State of</i>

YOUR BID OR PROPOSAL WILL BE DISQUALIFIED UNLESS YOUR BID OR PROPOSAL INCLUDES THIS FORM WITH EITHER PARAGRAPH # 1 OR # 2 INITIALED OR PARAGRAPH # 3 INITIALED AND CERTIFIED.

ATTACHMENT E

STATE OF CALIFORNIA
Department of Resources Recycling and Recovery
CALRECYCLE 74C (Revised 1/10 for Contracts)

To be completed by Contractor	
Name of Contractor:	
Contract #::	Work Order #:

Recycled-Content Certification

☐ Check this box if no products, materials, goods, or supplies were purchased with contract dollars and submit to your CalRecycle contract manager.

This form may be completed by contractor, vendor, bidder, buyer, state-contracting officer, or state purchasing agent. The form must be completed and returned to CalRecycle with a row completed for each product purchased with contract dollars. Attach additional sheets if necessary. Information must be included, even if the product does not contain recycled-content material. Product labels, catalog/website descriptions, or bid specifications may be attached to this form as a method of providing that information.

Contractor's Name _____ Date _____
Address _____ Phone _____
Fax _____ E-mail _____ Web site _____

Product Manufacturer	Product Description / Brand	Purchase Amount (\$)	¹ Percent Postconsumer Material	² SABRC Product Category Code	Meets SABRC

Public Contract Code sections 12205 (a) (1) (2) (3) (b) (1) (2) (3)

I certify that the above information is true. I further certify that these environmental claims for recycled content regarding these products are consistent with the Federal Trade Commission's Environmental Marketing Guidelines in accordance with PCC 12205.

Print name _____ Signature _____ Company _____ Date _____

(See footnotes on the back of this page.)

ATTACHMENT E

1. *Postconsumer material comes from products that were bought by consumers, used, then recycled. For example: a newspaper that has been purchased and read, next recycled, and then used to make another product would be postconsumer material.*

If the product does not fit into any of the product categories, enter "N/A." Common N/A products include wood products, natural textiles, aggregate, concrete, electronics such as computers, TV, software on a disk or CD, telephone

2. *Product category refers to one of the product categories listed below, into which the reportable purchase falls. For products made from multiple materials, choose the category that comprises most of the product by weight, or volume.*

Note: For reused or refurbished products, there is no minimum content requirement.

For additional information visit www.CalRecycle.ca.gov/BuyRecycled/.

Code	Description	Minimum content requirement
Product Categories (11)		
1	Paper Products - Recycled	30 percent postconsumer fiber, by fiber weight
2	Printing and Writing - Recycled	30 percent postconsumer fiber, by fiber weight
3	Compost, Co-compost, and Mulch - Recycled	80 percent recovered materials. i.e., material that would otherwise be normally disposed of in a landfill
4	Glass - Recycled	10 percent postconsumer, by weight
5	Rerefined Lubricating Oil - Recycled	70 percent re-refined base oil
6a	Plastic - Recycled	10 percent postconsumer, by weight
6b	Printer or duplication cartridges	a. Have 10 percent postconsumer material, or b. Are purchased as remanufactured, or c. Are backed by a vendor-offered program that will take back the printer cartridges after their useful life and ensure that the cartridges are recycled and comply with the definition of recycled as set forth in Section 12156 of the Public Contract Code.
7	Paint - Recycled	50 percent postconsumer paint (exceptions when 50 % postconsumer content is not available or is restricted by a local air quality management district, then 10% postconsumer content may be substituted)
8	Antifreeze - Recycled	70 percent postconsumer material
9	Retreated Tires - Recycled	Use existing casing that has undergone retreading or recapping process in accordance with Public Resource Code (commencing with section 42400).
10	Tire- Derived - Recycled	50 percent postconsumer tires
11	Metals - Recycled	10 percent postconsumer, by weight

ATTACHMENT F

Proposal Completion Checklist

Please use this checklist to assist in the preparation of your Proposal package to ensure that all required items are included.

-
- ☐ Cover Letter with contact information and statements as required in the RFP.
 - ☐ Organizational information and Personnel Information (Resumes)
 - ☐ Proposal (detailed Work Plan)
 - ☐ Cost Proposal Sheet
 - ☐ Samples of Written Work
 - ☐ Client References
 - ☐ Copy of Required License(s) (Secretary of State)
 - ☐ Contractor Status Form
 - ☐ Small Business/Disabled Veteran Business Enterprise (DVBE) Participation Summary *Form must be submitted even if participation levels are zero (write zero participation on form).*
 - ☐ Darfur Contracting Act Certification
-

The following number of PROPOSAL packages must be submitted as the Contractor's response to this RFP:

- ☐ One (1) unbound reproducible original Proposal package marked "Original"
 - ☐ 3 bound copies of the Proposal package marked "Copy".
 - ☐ One (1) Electronic copy of Proposal Package in Adobe Acrobat format with all documents in a single file, including all attachments.
-

The following form is only required upon submittal as applicable pursuant to the provisions outlined in Section III, Submittal Requirements:

- ☐ Certification of Enterprise Zone Act Preference
 - ☐ Certification of Target Area Contract Preference Act
 - ☐ Certification of Local Military Base Recovery Area Act Preference
-

The following forms are not required at the time of the proposal submission but will be required by the successful contractor during the contract period:

- ☐ Recycled Content Certification (Attachment E)
 - ☐ Payee Data Record (Standard Form 204)
-

Please note that if any of the items are missing from the Proposal package, the package will be considered incomplete and will be disqualified from the process.

ATTACHMENT G

Contractor Status Form

Contractor's Name: _____ County: _____

Address: _____ Phone Number: _____

Federal Employer Identification Number: _____ Fax Number: _____

STATUS OF CONTRACTOR PROPOSING TO DO BUSINESS

☐ Individual ☐ Limited Partnership ☐ General Partnership ☐ Corporation ☐ Other

If Individual or sole proprietorship, state the true name of sole proprietor: _____

If a Limited or General Partnership, list each partner and state their true name and interest in the partnership:

If a Corporation, state place and date of incorporation: _____

President: _____ Vice President: _____

Secretary: _____ Treasurer: _____

Other Officer: _____ Other Officer: _____

Provide explanation if claiming Other:

SMALL BUSINESS PREFERENCE

Are you claiming preference for small/micro business?

☐ YES – Attach approval letter from Office of Small Business Certification and Resources
☐ NO

Are you claiming preference for DVBE?

☐ YES – Attach approval letter from Office of Small Business Certification and Resources
☐ NO

NOTE: THIS FORM MUST BE COMPLETED OR YOUR BID MAY BE REJECTED

ATTACHMENT H

Client References

List at least three (3) client references that can attest to the Bidder's qualifications to fulfill the requirements of the Scope of Work. List the most recent first. Client references must also be provided for any subcontractors identified in the Bidder's response. Duplicate and attach additional pages as necessary.

BIDDER / SUBCONTRACTOR'S NAME:**REFERENCE 1**

Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Cost of Service	
Brief Description of Service Provided			

REFERENCE 2

Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Cost of Service	
Brief Description of Service Provided			

REFERENCE 3

Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Cost of Service	
Brief Description of Service Provided			

If three references cannot be provided, explain why:

ATTACHMENT I

Teleconference Participation Notification Form

All contractors interested in participating in the teleconference must notify the contact person for this RFP by 5:00 p.m. on March 23, 2011 by submitting this form. The completed notification shall be faxed, e-mailed or mailed to:

-Wendy Roberson
916.341-6120--phone
916.319-7345--fax
contracts@CalRecycle.ca.gov

Failure to provide this notification by the specified date and time, or failure to include the necessary information will result in the contractor being restricted from participating in the teleconference.

Company Name _____

Contact Person _____

Company Address _____

Telephone Number _____

E-mail Address _____

The undersigned hereby authorizes the above named company representative to participate in the teleconference for this RFP.

Authorized Signature

Date

Question and Answers for Bid #DRR10061 - CBCRP Disbursement Data Mining Project for Risk Assessment

OVERALL BID QUESTIONS

There are no questions associated with this bid. If you would like to submit a question, please click on the "Create New Question" button below.

Question Deadline: Mar 31, 2011 5:00:00 PM PDT