Solicitation CDI 0845-39

Paperless Workflow Project (PWP)

State of California

Bid CDI 0845-39
Paperless Workflow Project (PWP)

Bid Number CDI 0845-39
Bid Title Paperless Workflow Project (PWP)

Bid Start Date Mar 30, 2009 4:31:34 PM PDT
Bid End Date Jun 15, 2009 2:00:00 PM PDT

Bid Contact Dennis Link
Procurement Official
916-375-4503
Dennis.link@dgs.ca.gov

Description
The purpose of this IFB is to acquire document management and workflow implementation products and services to implement the California Department of Insurance (CDI) Paperless Workflow Project (PWP). The PWP will provide the CDI with a Commercial-Off-The-Shelf (COTS) Electronic Document Management System (EDMS). The project will entail an enterprise-wide deployment of electronic-based forms (eForms) and workflows to support the CDI's internal and external business processes. The contracts resulting from this procurement include:

• Installation, configuration and testing of the necessary document management hardware and software at multiple CDI offices, including redundant hot-site features;
• Installation, configuration and testing of scanning equipment at the three (3) main CDI offices and the West Sacramento warehouse;
• Design, configuration and implementation of an enterprise-wide document management system, including appropriate document repository(s), profiles and indices;
• Design, development, and implementation of eForms;
• Design, development, and implementation of automated process workflows and workflow reports;
• Data conversion of profile data and documents from existing document repositories to the new repository(s) and profile format(s);
• Design, development, and testing of interfaces to the CDI's enterprise systems, to assist with automated document profiling and validations;
• Design, development, and testing of interfaces/data exchanges to the CDI's existing Oracle-based system to provide data captured from paper, eForms and workflows;
• Testing of all document profiles/indices, eForms and workflow processes and reports;
• Providing or developing end user, system design and system administration documentation; and
• End user, system administration, and technical training and knowledge transfer.

The selected Bidder will provide the hardware, software and services described in this IFB, including software licensing, product version upgrades, product warranty, and annual hardware and software maintenance support. The detailed requirements for this project are listed in Appendix E: Detailed Requirements. Responses to this IFB will be evaluated based on the total bid, and award, if made, will be to a single Bidder who will serve as the Prime Contractor.

IMPORTANT NOTICE TO ALL BIDDERS

SOLICITATION NO. IFB CDI 0845-39

This solicitation/acquisition is being conducted under Public Contract Code § 12125, et seq., the Alternative Protest Process.

Submission of a bid constitutes consent of the bidder for participation in the Alternative Protest Process.

Any protests filed in relation to the proposed contract award shall be conducted under the procedures in this document for the Alternative Protest Process.

Any bidder wishing to protest the proposed award of this solicitation must submit a written Notice of Intent to Protest (facsimile acceptable) to the Coordinator before the close of business on the last day of the protest period, which will be established in the Notice of Intent to Award. Failure to submit a timely, written Notice of Intent to Protest waives the bidder's right to protest.

Alternative Protest Process Coordinator/Dispute Resolution
Department of General Services
Procurement Division
Purchasing Authority Management Section
707 Third Street, 2nd Floor South
West Sacramento, CA 95605
Voice: 916 / 375-4587
Fax: 916 / 375-4611

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California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

SECTION I – INTRODUCTION AND OVERVIEW

FINAL

MARCH 26, 2009

Issued By:
STATE OF CALIFORNIA
Department of General Services
707 Third Street
West Sacramento, CA 95605

In Conjunction with:
California Department of Insurance
300 Capitol Mall, 17th Floor
Sacramento, CA 95814

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

Table of Contents

I. INTRODUCTION AND OVERVIEW I-1
I.1. PURPOSE OF THE IFB I-1
I.2. SCOPE OF THE IFB AND BIDDER ADMONISHMENT I-2
I.3. AVAILABILITY I-2
I.4. PROCUREMENT OFFICIAL I-2
I.5. KEY ACTION DATES I-2
I.6. INTENTION TO BID AND CONFIDENTIALITY STATEMENT I-3
I.7. QUESTIONS REGARDING THE IFB I-4
I.8. BIDDERS' LIBRARY I-4
I.9. NO COMMITMENT TO AWARD I-4

List of Tables

TABLE I-1. KEY ACTION DATES I-3

List of Exhibits

EXHIBIT I-A. ADA COMPLIANCE POLICY I-5

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION I – INTRODUCTION AND OVERVIEW

I. INTRODUCTION AND OVERVIEW

This Invitation for Bid (IFB) is being conducted under the policies developed by the State of California Department of General Services (DGS) as provided under Public Contract Code Section 12100 et seq., Acquisition of Information Technology Goods and Services.

I.1. PURPOSE OF THE IFB

The purpose of this IFB is to acquire document management and workflow implementation products and services to implement the California Department of Insurance (CDI) Paperless Workflow Project (PWP). The PWP will provide the CDI with a Commercial-Off-The-Shelf (COTS) Electronic Document Management System (EDMS). The project will entail an enterprise-wide deployment of electronic-based forms (eForms) and workflows to support the CDI's internal and external business processes. The contracts resulting from this procurement include:

- Installation, configuration and testing of the necessary document management hardware and software at multiple CDI offices, including redundant hot-site features;
- Installation, configuration and testing of scanning equipment at the three (3) main CDI offices and the West Sacramento warehouse;
- Design, configuration and implementation of an enterprise-wide document management system, including appropriate document repository(s), profiles and indices;
- Design, development, and implementation of eForms;
- Design, development, and implementation of automated process workflows and workflow reports;
- Data conversion of profile data and documents from existing document repositories to the new repository(s) and profile format(s);
- Design, development, and testing of interfaces to the CDI's enterprise systems, to assist with automated document profiling and validations;
- Design, development, and testing of interfaces/data exchanges to the CDI's existing Oracle-based system to provide data captured from paper, eForms and workflows;
- Testing of all document profiles/indices, eForms and workflow processes and reports;
- Providing or developing end user, system design and system administration documentation; and
- End user, system administration, and technical training and knowledge transfer.

The selected Bidder will provide the hardware, software and services described in this IFB, including software licensing, product version upgrades, product warranty, and annual hardware and software maintenance support. The detailed requirements for this project are listed in Appendix E: Detailed Requirements. Responses to this IFB will be evaluated based on the total bid, and award, if made, will be to a single Bidder who will serve as the Prime Contractor.

The PWP project is divided into three (3) phases which is tied to State funding approval. Through this IFB, the CDI will issue a contract for hardware, software and services, with optional contract extensions. Upon receiving spending authority for each subsequent year, the CDI will authorize

work the next year and phase of the project. The contract terms and conditions are identified in Section V: Administrative Requirements and Appendix A: Contract Terms and Conditions. Additional information about the CDI and its programs is contained in Section III: Current Program and System Overview.

I.2. SCOPE OF THE IFB AND BIDDER ADMONISHMENT

This IFB contains the instructions governing the requirements for a firm bid to be submitted by interested Bidders. The format in which bid information is to be submitted and the material to be included therein are described in Section VIII: Bid Format and Content. The requirements that must be met to be eligible for consideration and the Bidder's responsibilities before and after contract award are discussed in Section V: Administrative Requirements, and Section VI: Functional and Technical Requirements.

The Bidder must take the responsibility to:

- Carefully read the entire IFB;
- If clarification is necessary, ask appropriate questions in a timely manner;
- Review the materials in the Bidders' Library;
- Submit all required responses, complete to the best of the Bidder's ability, by the required dates and times;
- Make sure that all procedures and requirements of the IFB are accurately followed and appropriately addressed; and,
- Carefully reread the entire IFB before submitting a bid.

This procurement is conducted in compliance with the Americans with Disabilities Act (ADA) as further explained in Exhibit I-A: ADA Compliance Policy. If you have any questions or requests pertaining to this compliance, contact the Procurement Official identified in Section I.4: Procurement Official.

I.3. AVAILABILITY

The selected Bidder must meet the requirements of this IFB and be ready to begin work on the Contract Award date specified in Section I.5: Key Action Dates.

I.4. PROCUREMENT OFFICIAL

All communication and questions concerning this IFB, including delivery of bids and copies of questions, shall be directed to the DGS Procurement Official listed below.

Dennis Link, Procurement Official
Department of General Services – Procurement Division
707 Third Street, MS 2-209
West Sacramento, CA 95605
Telephone: (916) 375-4503
Email: Dennis.Link@dgs.ca.gov

I.5. KEY ACTION DATES

This procurement involves submission of a Final Bid with a sealed Cost Bid. Table I-1 below lists the key action dates and times. Changes to any of these dates prior to Final Bid Submission Date

shall be made only through a State-issued addendum to this IFB. The Bidder will have five (5) State business days after issuance of an addendum to request clarification or protest changes to any IFB requirements that were materially affected by the addendum.

ALL DATES SUBSEQUENT TO THE BID SUBMISSION DATE ARE APPROXIMATE AND MAY BE ADJUSTED, AS CONDITIONS DICTATE, WITHOUT ADDENDUM TO THIS IFB.

Table I-1. Key Action Dates

#	ACTION	DATE
1.	Release IFB	March 30, 2009
2.	Last day to submit a Letter of Intent to Bid and Confidentiality Statement (Forms C1 and C2 in Appendix C)	April 9, 2009
3.	Last day to submit final questions for clarification of the IFB	April 9, 2009
4.	Release of Question and Answer Set	April 22, 2009
5.	Last day to request a change to the IFB requirements	May 11, 2009
6.	Last day to request a change to the Contract	May 11, 2009
7.	Last day to protest IFB requirements	May 26, 2009
8.	Submission of Final Bids Bids due by 2:00 p.m. Pacific Daylight Time (PDT) to the Procurement Official listed in Section I.4	June 15, 2009
9.	Public Cost Opening	July 2, 2009
10.	Notification of Intent to Award	July 6, 2009
11.	Last day to Protest Notification of Intent to Award	July 9, 2009
12.	Contract Award*	July 17, 2009
13.	Project Start Date*	July 20, 2009

*Pending control agency approvals. Contract Award will be made only after all required approvals are obtained.

I.6. INTENTION TO BID AND CONFIDENTIALITY STATEMENT

Bidders who intend to participate in the IFB steps must submit a notification of intent to bid on this procurement in accordance with Section II.2.6: Supplier's Intention to Submit a Bid. Only those Bidders that have submitted Form C1: Letter of Intent to Bid (available in Appendix C) acknowledging interest in this IFB will continue to receive additional correspondence throughout this procurement. Interested Bidders should complete Form C1 and Form C2: Confidentiality Statement, and submit the forms to the Procurement Official listed in Section I.4: Procurement Official by the date and time specified in Section I.5: Key Action Dates.

The State is responsible for notifying one (1) contact person designated by the Bidder as their representative for the purposes of this bid. Information related to a Bidder shall be given only to the Bidder's designated contact person. It shall be the Bidder's responsibility to immediately notify the Procurement Official, in writing, regarding any revisions to the Bidder's designated contact information. The State shall not be responsible for bid correspondence not received by the Bidder if the Bidder fails to notify the State, in writing, of any revisions pertaining to the designated contact person.

In addition, to preserve the integrity of the security measures integrated into the State's automated information systems, the selected Bidder must agree that all personnel (including subcontractors) assigned to the project will submit a signed copy of the Form C2: Confidentiality Statement prior to commencing work under the awarded contract.

I.7. QUESTIONS REGARDING THE IFB

All communication and questions concerning this IFB shall be directed the DGS Procurement Official listed in Section I.4: Procurement Official. The DGS Procurement Official will, in turn, provide the questions to the CDI Project Manager to coordinate a written response. All Bidders who have submitted a Letter of Intent to Bid will be notified of the questions and the respective responses without divulging the source of the question. Refer also to Section II.2.4: Questions Regarding the IFB.

I.8. BIDDERS' LIBRARY

The Bidders' Library contains reference materials and other documents supporting this IFB. All potential Bidders are encouraged to review the information in the Bidders' Library. The Bidders' Library can be accessed via the Internet at:

http://www.insurance.ca.gov/paperless

Note that items in the Bidder's Library may be updated from time to time. Therefore, it is the Bidder's responsibility to regularly check the Bidders' Library for updates. The State is not required to issue an addendum to the IFB in order to update items in the Bidders' Library.

Any questions concerning the Bidders' Library web site should be directed to the Procurement Official listed in Section I.4: Procurement Official.

I.9. NO COMMITMENT TO AWARD

Issuance of this IFB in no way constitutes a commitment by the State of California to award a contract. The State reserves the right to reject any or all bids received, if the State determines that it is in the State's best interest to do so. Any assumptions made by the Bidder in responding to this IFB do not obligate the State in any way. Additionally, assumptions made by the Bidder may make the bid conditional and be cause for the Bidder's Bid to be rejected. Bidders should make use of the process described in Section I.7: Questions Regarding the IFB, to obtain any needed clarifications.

Responses to this IFB will be evaluated based on the total Bid, and the award, if made, will be to a single Bidder awarded the highest points as calculated in accordance with the methodology defined in Section IX: Evaluation and Selection.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION I – INTRODUCTION AND OVERVIEW

Exhibit I-A. ADA Compliance Policy

AMERICANS WITH DISABILITIES ACT (ADA) COMPLIANCE POLICY OF NONDISCRIMINATION ON THE BASIS OF DISABILITY

To comply with the nondiscrimination requirements of the Americans with Disabilities Act (ADA), it is the policy of the State to make every effort to ensure that its programs, activities, and services are available to all persons, including persons with disabilities.

For persons with a disability needing a reasonable accommodation to participate in the procurement process, or for persons having questions regarding reasonable accommodations for the procurement process, you may contact the Department Official identified in Section I.4. You may also contact the State at the numbers listed below.

IMPORTANT: To ensure that we can meet your need, it is best that we receive your request for reasonable modification at least 10 WORKING DAYS before the scheduled event (i.e., meeting, conference, workshop) or deadline due-date for procurement documents.

The Procurement Division TTY telephone number is:

Sacramento Office:	(916) 376-1891

The California Relay Service telephone numbers are:

Voice:	1-800-735-2922 or 1-888-877-5379
TTY:	1-800-735-2929 or 1-888-877-5378
Speech to Speech;	1-800-854-7784

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

SECTION II – RULES GOVERNING COMPETITION

FINAL

MARCH 26, 2009

Issued By:
STATE OF CALIFORNIA
Department of General Services
707 Third Street
West Sacramento, CA 95605

In Conjunction with:
California Department of Insurance
300 Capitol Mall, 17th Floor
Sacramento, CA 95814

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

Table of Contents

II. RULES GOVERNING COMPETITION II-1
II.1. IDENTIFICATION AND CLASSIFICATION OF IFB REQUIREMENTS II-1
II.1.1. Requirements II-1
II.1.2. Desirable Items II-1
II.2. BIDDING REQUIREMENTS AND CONDITIONS II-1
II.2.1. General II-1
II.2.2. IFB Documents II-1
II.2.3. Examination of the Work II-2
II.2.4. Questions Regarding the IFB II-2
II.2.5. Bidders' Conference (NOT APPLICABLE) II-2
II.2.6. Supplier's Intention to Submit a Bid II-3
II.2.7. Addenda II-4
II.2.8. Plastic Trash Bag Certification Violations II-4
II.2.9. Bonds II-4
II.2.10. Discounts II-4
II.2.11. Joint Bids II-5
II.2.12. Air or Water Pollution Violations II-5
II.2.13. Fair Employment and Housing Commission Regulations II-5
II.2.14. Exclusion for Conflict of Interest II-5
II.2.15. Seller's Permit II-5
II.2.16. Disclosure of Financial Interests II-6
II.2.17. Unfair Practices Act and Other Laws II-6
II.3. BIDDING STEPS II-6
II.3.1. General II-6
II.3.2. Compliance Phase (NOT APPLICABLE) II-6
II.3.3. Final Phase II-9
II.3.4. Confidentiality II-10
II.3.5. Submission of Bids II-10
II.3.6. Rejection of Bids II-12
II.3.7. Evaluation and Selection Process II-12
II.3.8. Award of Contract II-14
II.3.9. Debriefing II-14
II.4. CONTRACTUAL INFORMATION II-15
II.4.1. Contract Form II-15

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

II.4.2. Specific Terms and Conditions (NOT APPLICABLE) *II-15*
II.4.3. Approval of Proposed Contract (NOT APPLICABLE) *II-15*
II.4.4. Term of Contract *II-16*
II.5. OTHER INFORMATION II-16
II.5.1. Alternative Protest Process *II-16*
II.5.2. Disposition of Bids *II-18*

List of Exhibits

EXHIBIT II-A . COMPETITIVE BIDDING AND BID RESPONSIVENESS II-19
EXHIBIT II-B. CALIFORNIA CODE OF REGULATIONS, TITLE 1, DIVISION 2. ..... II-21

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION II – RULES GOVERNING COMPETITION

II. RULES GOVERNING COMPETITION

II.1. IDENTIFICATION AND CLASSIFICATION OF IFB REQUIREMENTS

II.1.1. REQUIREMENTS

The State has established certain requirements with respect to bids to be submitted by prospective contractors. The use of "shall," "must," or "will" (except to indicate simple futurity) in the IFB indicates a requirement or condition which is mandatory. A deviation, if not material, may be waived by the State. A deviation exists when the response is not in substantial accord with the IFB requirements. The deviation is material when the response provides an advantage to one bidder over other bidders, or has a potentially significant effect on the delivery, quantity or quality of items bid, amount paid to the supplier, or on the cost to the State. Material deviations cannot be waived.

II.1.2. DESIRABLE ITEMS

The words "should" or "may" in the IFB indicate desirable attributes or conditions, but are non-mandatory in nature. Deviation from, or omission of, such a desirable feature, even if material, will not in itself cause rejection of the bid.

II.2. BIDDING REQUIREMENTS AND CONDITIONS

II.2.1. GENERAL

This IFB, the evaluation of responses, and the award of any resultant contract shall be made in conformance with current competitive bidding procedures as they relate to the procurement of goods and services by public bodies in the State of California. A bidder's Final Bid is an irrevocable offer for 180 calendar days following the scheduled date for contract award specified in Section I.5. A bidder may extend the offer in the event of a delay of contract award.

II.2.2. IFB DOCUMENTS

This IFB includes, in addition to an explanation of the State's needs which must be met, instructions which prescribe the format and content of bids to be submitted and the model(s) of the contract(s) to be executed between the State and the successful bidder(s).

If a bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in this IFB, the bidder shall immediately notify the Procurement Official identified in Section I.4 of such error in writing and request clarification or modification of the document.

Modifications will be made by addenda issued pursuant to Section II.2.7: Addenda, below. Such clarifications shall be given by written notice to all parties who have identified themselves as bidders to the Procurement Official identified in Section I.4, without divulging the source of the request for same. Insofar as practicable, the State will give such notices to other interested parties, but the State shall not be responsible therefore.

If the IFB contains an error known to the bidder, or an error that reasonably should have been known, the bidder shall bid at its own risk. If the bidder fails to notify the State of the error prior to the date fixed for submission of bids, and is awarded the contract, the

bidder shall not be entitled to additional compensation or time by reason of the error or its later correction.

II.2.3. EXAMINATION OF THE WORK

The bidder should carefully examine the entire IFB and any addenda thereto, and all related materials and data referenced in the IFB or otherwise available to the bidder, and should become fully aware of the nature and location of the work, the quantities of the work, and the conditions to be encountered in performing the work. Specific conditions to be examined may be listed in the IFB Section V: Administrative Requirements and/or Section VI: Functional and Technical Requirements.

II.2.4. QUESTIONS REGARDING THE IFB

Bidders requiring clarification of the intent or content of this IFB or on procedural matters regarding the competitive bid process may request clarification by submitting questions, in an email or envelope clearly marked "Questions Relating to IFB CDI 0845-39", to the Procurement Official listed in Section I.4. To ensure a response, questions must be received in writing by the scheduled date(s) given in Section I.5. Question and answer sets will be provided to all bidders without identifying the submitters. At the sole discretion of the State, questions may be paraphrased by the State for clarity. Question and answer sets will be published in the Bidders' Library referenced in Section I.8. Bidders that submitted an Intention to Bid will be notified by the Procurement Official when the question and answer set is published. If the State determines that the IFB requirement(s) must be modified or clarified based on Bidder questions, an addendum to the IFB will be published in accordance with Section II.2.7 of this IFB.

A bidder who desires clarification or further information on the content of the IFB, but whose questions relate to the proprietary aspect of that bidder's bid and which, if disclosed to other bidders, would expose that bidder's bid, may submit such questions in the same manner as above, but also marked "CONFIDENTIAL," and not later than the scheduled date specified in Section I.5 to ensure a response. The bidder must explain why any questions are sensitive in nature. If the State concurs that the disclosure of the question or answer would expose the proprietary nature of the bid, the question will be answered and both the question and answer will be kept in confidence. If the State does not concur with the proprietary aspect of the question, the question will not be answered in this manner and the bidder will be so notified.

If the bidder believes that one or more of the IFB requirements is onerous, unfair, or imposes unnecessary constraints to the bidder in proposing less costly or alternate solutions, the bidder may request a change to the IFB by submitting, in writing, the recommended change(s) and the facts substantiating this belief and reasons for making the recommended change. Such request must be submitted to the Procurement Official by the date specified in Section I.5 for submitting a request for change. Oral answers shall not be binding on the State.

II.2.5. BIDDERS' CONFERENCE (NOT APPLICABLE)

~~A Bidders' Conference may be held, during which suppliers will be afforded the opportunity to meet with State personnel and discuss the content of the IFB and the procurement process. Suppliers are encouraged to attend the Bidders' Conference. The time, date and place of such conference, if held, is included in the Key Action Dates~~

~~specified in Section I.5. Written questions received prior to the cutoff date for submission of such questions, as noted in Section I.5, will be answered at the conference without divulging the source of the query.~~

~~The State may also accept oral questions during the conference and will make a reasonable attempt to provide answers prior to the conclusion of the conference. A transcript of the discussion, or those portions which contain the questions and appropriate answers, will normally be transmitted within approximately ten (10) working days to all suppliers who have submitted an intention to bid and those who have submitted a written request to receive the information. Written requests are to be submitted to the Procurement Official identified in Section I.4. If questions asked at the conference cannot be adequately answered during the discussion, answers will be provided with the transcribed data. Oral answers shall not be binding on the State.~~

II.2.6. SUPPLIER'S INTENTION TO SUBMIT A BID

Suppliers who want to participate in the bidding process are asked to state their intention by the date specified in Section I.5: Key Action Dates, with respect to submission of bids. The State is also interested as to a supplier's reasons for not submitting a bid; as, for example, requirements that cannot be met or unusual terms and conditions which arbitrarily raise costs. Suppliers are asked to categorize their intent as follows:

a. Intends to submit a bid and has no problem with the IFB requirements.

b. Intends to submit a bid, but has one or more problems with the IFB requirements for reasons stated in this response.

c. Does not intend to submit a bid, for reasons stated in this response, and has no problem with the IFB requirements.

d. Does not intend to submit a bid because of one or more problems with the IFB requirements for reasons stated in this response.

If a supplier intends to submit a bid, the letter should include additional information identified in Section I.6: Intention To Bid. If suppliers have indicated significant problems with the IFB requirements, the State will examine the stated reasons for the problems and will attempt to resolve any issues in contention, if not contrary to the State's interest, and will amend the IFB if appropriate. All suppliers who have submitted an intention will be advised by the State of any actions taken as a result of the suppliers' responses. If after such actions, a supplier determines that the requirements of the IFB unnecessarily restrict its ability to bid, the supplier is allowed five (5) working days to submit a protest to those IFB requirements or the State's action, according to the instructions contained in Section II.5.1.1.

Hereafter, for the purposes of the instructions of this IFB, all suppliers who have indicated their intent to submit a Final Bid are called bidders until such time that the bidder withdraws or other facts indicate that the bidder has become nonparticipating. Should a bidder not participate in a bid step, the State reserves the right to drop them from the participating bidder list and they will not receive any further correspondence until they contact the Procurement Official to indicate that they would like further correspondence.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION II – RULES GOVERNING COMPETITION

II.2.7. ADDENDA

The State may modify the IFB prior to the date fixed for Contract Award by issuance of an addendum to all bidders who are participating in the bidding process at the time the addendum is issued, unless the amendments are such as to offer the opportunity for nonparticipating bidders or suppliers that submitted an intention to become participating, in which case the addendum will also be sent to those parties. Addenda will be numbered consecutively. If any supplier determines that an addendum unnecessarily restricts its ability to bid, the supplier is allowed five (5) working days to submit a protest to the addendum according to the instructions contained in Section II.5.1.1.

II.2.8. PLASTIC TRASH BAG CERTIFICATION VIOLATIONS

Public Resources Code Section 42290 et seq. prohibits the State from contracting with any supplier, manufacturer, or wholesaler, and any of its divisions, subsidiaries, or successors that have been determined to be noncompliant to the recycled content plastic trash bag certification requirements. This includes award of a State contract or subcontract or renewal, extension, or modification of an existing contract or subcontract. Prior to award the State shall ascertain if the intended awardee or proposed subcontractor is a business identified on the current California Integrated Waste Management Board noncompliant list(s). In the event of any doubt of the status or identity of the business in violation, the State will notify the Board of the proposed award and afford the Board the opportunity to advise the State. No award will be made when either the bidder or a subcontractor has been identified either by published list or by advice from the Board, to be in violation of certification requirements.

II.2.9. BONDS

The State reserves the right to require a faithful performance bond or other security document as specified in the IFB from the supplier in an amount not to exceed the amount of the contract. (Refer to Section V: Administrative Requirements for the bond requirements.) In the event a surety bond is required by the State which has not been expressly required by the specification, the State will reimburse the supplier, as an addition to the purchase price, in an amount not exceeding the standard premium on such bond.

II.2.10. DISCOUNTS

In connection with any discount offered, except when provision is made for a testing period preceding acceptance by the State, time will be computed from date of delivery of the supplies or equipment as specified, or from date correct invoices are received in the office specified by the State if the latter date is later than the date of delivery. When provision is made for a testing period preceding acceptance by the State, date of delivery shall mean the date the supplies or equipment are accepted by the State during the specified testing period. Payment is deemed to be made, for the purpose of earning the discount, on the date of mailing the State warrant or check.

Cash discounts offered by bidders for the prompt payment of invoices will not be considered in evaluating offers for award purposes; however, all offered discounts will be taken if the payment is made within the discount period, even though not considered in the evaluation of offers.

II.2.11. JOINT BIDS

Joint bids are not permitted for this procurement.

II.2.12. AIR OR WATER POLLUTION VIOLATIONS

Unless the contract is less than $25,000 or with a non-competitively bid contractor, Government Code Section 4477 prohibits the State from contracting with a person, including a corporation or other business association, who has been determined to be in violation of any state or federal air or water pollution control law.

Prior to an award, the State shall ascertain if the intended awardee is a person included in notices from the Boards. In the event of any doubt of the intended awardee's identity or status as a person who is in violation of any state or federal air or water pollution law, the State will notify the appropriate Board of the proposed award and afford the Board the opportunity to advise the Department that the intended awardee is such a person.

No award will be made to a person who is identified either by the published notices or by advice, as a person in violation of state or federal air or water pollution control laws.

II.2.13. FAIR EMPLOYMENT AND HOUSING COMMISSION REGULATIONS

The California Government Code Section 12990 requires all State contractors to have implemented a Nondiscrimination Program before entering into any contract with the State. The Department of Fair Employment and Housing (DFEH) randomly selects and reviews State contractors to ensure their compliance with the law. DFEH periodically disseminates a list of suppliers who have not complied. Any supplier so identified is ineligible to enter into any State contract.

II.2.14. EXCLUSION FOR CONFLICT OF INTEREST

No consultant shall be paid out of State funds for developing recommendations on the acquisition of information technology (IT) products or services or assisting in the preparation of a feasibility study, if that consultant is to be a source of such acquisition or could otherwise directly and/or materially benefit from State adoption of such recommendations or the course of action recommended in the feasibility study. Further, no consultant shall be paid out of State funds for developing recommendations on the disposal of State surplus IT products, if that consultant would directly and/or materially benefit from State adoption of such recommendations.

II.2.15. SELLER'S PERMIT

This IFB is subject to all requirements set forth in Sections 6452, 6487, 7101 and 18510 of the Revenue and Taxation Code, and Section 10295 of the Public Contract Code, requiring suppliers to provide a copy of their retailer's seller's permit or certification of registration, and, if applicable, the permit or certification of all participating affiliates issued by the State of California's Board of Equalization. Unless otherwise specified in this IFB, a copy of the retailer's seller's permit or certification of registration, and, if applicable, the permit or certification of all participating affiliates, must be submitted within five (5) State business days of the State's request. Failure of the supplier to comply by supplying the required documentation will cause the supplier's bid to be considered nonresponsive and the bid rejected.

II.2.16. DISCLOSURE OF FINANCIAL INTERESTS

Bids in response to State procurements for assistance in preparation of feasibility studies or the development of recommendations for the acquisition of IT products and services must disclose any financial interests (i.e., service contract, Original Equipment Manufacturer (OEM) agreements, remarketing agreements, etc.) that may foreseeably allow the individual or organization submitting the bid to materially benefit from the State's adoption of a course of action recommended in the feasibility study or the acquisition recommendations. If, in the State's judgment, the financial interest will jeopardize the objectivity of the recommendations, the State may reject the bid.

II.2.17. UNFAIR PRACTICES ACT AND OTHER LAWS

Bidder warrants that its bid complies with the Unfair Practices Act (Business and Professions Code Section 17000 et seq.) and all applicable State and Federal laws and regulations.

II.3. BIDDING STEPS

II.3.1. GENERAL

The procurement process to be used in this acquisition is composed of at least one phase of bid development. **Refer to Section I.5 to determine which phases and steps are included in this IFB. References in this Section II to steps not included in Section I.5 are not applicable to this IFB.** There is always a Final Phase, which may include a Draft Bid and revisions, and will always include a Final Bid. Prior to the Final Phase, there may be a Compliance Phase. The possible steps of the Compliance Phase are a Conceptual Proposal, Detailed Technical Proposal and revisions of either or both. A description of these phases and their steps follows.

The Final Bid is a mandatory step for all bidders; all other steps are optional. However, all bidders are strongly encouraged to follow the scheduled steps of this procurement to increase the chance of submitting a compliant Final Bid. Cost submitted in any submission other than the Final Bid may preclude the bidder from continuing in the process.

II.3.2. COMPLIANCE PHASE (NOT APPLICABLE)

~~The Compliance Phase is an iterative, conversational mode of proposal and contract development. It requires the State, working together in confidence with each bidder, to assess and discuss the viability and effectiveness of the bidder's proposed methods of meeting the State's needs as reflected in the IFB. It is a departure from the rigid "either accept or reject" philosophy of traditional competitive bidding, yet it is highly competitive in nature. It provides the flexibility needed for the bidder to test a solution prior to formal submittal of the Final Bid, and it facilitates the correction of defects before they become fatal to the bid. The steps may include the submission of a Conceptual Proposal and/or a Detailed Technical Proposal by the bidder, Confidential Discussions of the bidder's proposal(s) and written Discussion Memorandum as to the correction of defects and the State's acceptance of such changes.~~

II.3.2.1 Conceptual Proposal (NOT APPLICABLE)

~~The Conceptual Proposal may be included for the purpose of allowing each bidder to provide a general concept of a proposal with just enough detail to enable the evaluators to determine if the bidder is on the right track toward meeting the functional requirements as stated in the IFB; and if not, where the bidder must change a concept. This step invites the bidder to be as innovative as the IFB requirements allow in eliminating unnecessary constraints.~~

II.3.2.2 Detailed Technical Proposal (NOT APPLICABLE)

~~The Detailed Technical Proposal may be included for the purpose of allowing each bidder to provide a detailed technical description of its proposal to determine at an early stage whether the proposal is totally responsive to all the requirements of the IFB, and if not, which elements are not responsive and what changes would be necessary and acceptable.~~

II.3.2.3 Evaluation of Proposals and Discussion Agenda (NOT APPLICABLE)

~~Upon receipt of the Conceptual and Detailed Technical Proposals, the evaluation team will review each proposal in accordance with the evaluation methodology outlined in the IFB Section IX: Evaluation and Selection for the purpose of identifying areas in which the proposal is nonresponsive to a requirement, is otherwise defective, or in which additional clarification is required in order that the State may fully understand the ramifications of an action proposed by the bidder. As a result of this evaluation, the evaluation team will prepare an agenda of items to be discussed with the bidder, and will normally transmit the agenda to the bidder at least two working days before the scheduled meeting. The agenda may also include, in addition to the identification of discovered defects, a discussion of the bidder's proposed supplier support, implementation plans, validation plans, demonstration plans and proposed contracts, as appropriate.~~

II.3.2.4 Confidential Discussion with Each Bidder (NOT APPLICABLE)

~~In accordance with the discussion agenda, the evaluation team will meet with each bidder for the purpose of discussing the Conceptual Proposal or Detailed Technical Proposal (as the case may be) in detail. The bidder may bring to the discussion those persons who may be required to answer questions or commit to changes. As the first order of business, the bidder may be asked to give a short proposal overview presentation. To the maximum extent practical, the bidder will address the major concerns of the evaluation team, as expressed in the Discussion Agenda, and should be prepared to answer any questions that may arise as a result of the presentation. The participants will then proceed to discuss each of the agenda items.~~

~~The State will not make counter proposals to a bidder's proposed solution to the IFB requirements. The State will only identify its concerns, ask for clarification, and express its reservations if a particular requirement of the IFB is not, in the opinion of the State, appropriately satisfied. The primary purpose of this discussion is to ensure that the bidder's Final Bid will be responsive.~~

~~If any contractual items have a bearing on, or are affected by, the content of the proposal, such matters may be discussed in an effort to reach agreement. (As a~~

~~concurrent activity when identified in Key Action Date steps in Section I.5, the bidder and the State may have been working together to negotiate the proposed contract(s) which will become operative if the bidder's Final Bid is accepted by the State. Further discussion of the contractual aspect of this procurement is contained in Section II.4: Contractual Information.)~~

~~Note: In lieu of, or in addition to these Confidential Discussions, Confidential Discussions may be included in the Final Phase. Confidential Discussions will be identified in Section I.5 Key Action Dates.~~

II.3.2.5 Discussion Memorandum (NOT APPLICABLE)

~~Throughout the Confidential Discussion a written record will be kept of all items discussed, their resolution, and any changes the bidder intends to make and the State's acceptance of such changes. If the bidder's proposal, with the agreed-to changes, is acceptable to the State, such acceptance shall be noted. If agreement has not been reached on all matters during the initial discussion, such will be noted with a specific plan for resolution before the next step. These resolutions and agreements will be prepared in final form as a Discussion Memorandum (which will be the official State documentation of the discussion), and will be mailed to the bidder normally within two working days of the discussion. If the discussion is not completed in one meeting and is continued in subsequent meetings, the Discussion Memoranda will follow the meeting at which the discussion is concluded. If a bidder discovers any discrepancy, omission, or other error in the memorandum, the bidder shall immediately notify the Procurement Official in Section I.4 of such error in writing and request clarification or correction. Oral statements made by either party shall not obligate either party.~~

II.3.2.6 Rejection of Bidder's Proposal (NOT APPLICABLE)

~~If, after full discussion with a bidder, the State is of the opinion that the bidder's proposal (Conceptual Proposal or Detailed Technical Proposal, as the case may be) cannot be restructured or changed in a reasonable time to satisfy the needs of the State, and that further discussion would not likely result in an acceptable proposal in a reasonable time, the bidder will be given written notice that the proposal has been rejected and that a Final Bid submitted along such lines would be nonresponsive.~~

II.3.2.7 Submission of Amended Proposal (NOT APPLICABLE)

~~If, at the conclusion of the Confidential Discussion, the State determines that required and agreed-to changes can only be fully confirmed through the submission of an amended proposal (Conceptual Proposal or Detailed Technical Proposal, as the case may be), the State may require the submission of an addendum consisting only of those pages which were in doubt or a complete resubmittal. Similarly, if the bidder wishes confirmation that the changes the bidder intends to make, in accordance with the Discussion Memorandum, are acceptable to the State, the bidder may request and receive permission, if the time permits, to submit such addendum within a reasonable time after the conclusion of the Confidential Discussion. In either event, the State will advise the bidder as to the acceptability of the amended proposal, or may schedule another discussion period, if in the State's opinion, such a discussion is desirable.~~

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION II – RULES GOVERNING COMPETITION

II.3.3. FINAL PHASE

The purpose of the Final Phase is to obtain bids that are responsive in every respect. This phase may include a Draft Bid and will always include a Final Bid, as described below:

II.3.3.1 Draft Bid (NOT APPLICABLE)

~~The purpose of the Draft Bid is to provide the State with an "almost final" bid in order to identify any faulty administrative aspect of the bid which, if not corrected, could cause the Final Bid to be rejected for ministerial reasons.~~

~~The Draft Bid should correspond to submittals and agreements of the Compliance Phase, if required, and must be complete in every respect as required by the IFB Section VIII: Bid Format and Content, except cost. The inclusion of cost information in the Draft Bid may be a basis for rejecting the bid and notifying the bidder that further participation in the procurement is prohibited.~~

~~Review of the Draft Bid by the State may include confidential discussions with individual bidders and will provide feedback to the bidder prior to submittal of the Final Bid. If no such discussion step is included in the Key Action Dates (in Section I.5) then the review of the Draft Bid does not include any assessment of the bid's responsiveness to the technical requirements of the IFB. Regardless of the inclusion of a confidential discussion, the state will notify the bidder of any defects it has detected in the Draft Bid, or of the fact that it did not detect any such defects. Such notification is intended to minimize the risk that the Final Bid will be deemed defective; however,~~ **~~the State will not provide any warranty that all defects have been detected and that such notification will not preclude rejection of the Final Bid if such defects are later found.~~**

~~If the State finds it necessary, the State may call for revised Draft Bid submittals, or portions thereof. The bidder will be notified of defects discovered in these submittals as well. Again~~ **~~the State will not provide any warranty that all defects have been detected and that such notification will not preclude rejection of the Final Bid if such defects are later found.~~**

II.3.3.2 Final Bid

The Final Bid must be complete, including all cost information, required signatures, contract language changes agreed to in writing and corrections to those defects noted by the State in its review of the Draft Bid. Section VIII: Bid Format and Content requires that cost data be submitted under separate, sealed cover. The State reserves the right to determine that all Final Bids are considered Draft Bids if all Bids submitted include material deviations.

If this is determined, the State will provide Bidders a letter listing the defects found in the Bidder's Bid. The letter may also include, in addition to the identification of discovered defects, a discussion of the Bidder's proposed supplier support, implementation plans, validation plans, demonstration plans, and proposed contracts, as appropriate. The intent of this letter is to provide Bidders information that will assist them with submitting a compliant Bid. **The State will not provide any warranty that**

all defects have been detected and that such notification will not preclude rejection of the Final Bid if such defects are later found.

The State will publish an addendum with modified Key Action Dates to allow Bidders to correct defects and submit another Final Bid.

II.3.4. CONFIDENTIALITY

Final bids are public upon opening; however, the contents of all Final Bids, Draft Bids, correspondence, agenda, memoranda, working papers, or any other medium which discloses any aspect of a bidder's bid shall be held in the strictest confidence until Notice of Intent to Award. **Bidders should be aware that marking a document "confidential" or "proprietary" in a Final Bid may exclude it from consideration for award and will not keep that document from being released after Notice of Intent to Award as part of the public record, unless a court has ordered the state not to release the document.** The content of all working papers and discussions relating to the bidder's bid shall be held in confidence indefinitely unless the public interest is best served by an item's disclosure because of its direct pertinence to a decision, agreement or the evaluation of the bid. **Any disclosure of confidential information by the bidder is a basis for rejecting the bidder's bid and ruling the bidder ineligible to further participate. Any disclosure of confidential information by a state employee is a basis for disciplinary action, including dismissal from state employment, as provided by Government Code Section 19570 et seq. Total confidentiality is paramount; it cannot be over emphasized.**

II.3.5. SUBMISSION OF BIDS

The instructions contained herein apply to the Final Bid. They also apply to the Conceptual Proposal, Detailed Technical Proposal, and Draft Bid, except as noted.

II.3.5.1 Preparation

Bids are to be prepared in such a way as to provide a straightforward, concise delineation of capabilities to satisfy the requirements of this IFB. Expensive bindings, colored displays, promotional materials, etc., are not necessary or desired. **Emphasis should be concentrated on conformance to the IFB instructions, responsiveness to the IFB requirements, and on completeness and clarity of content.**

As stated above, the State's evaluation of Conceptual and Detailed Technical Proposals is preliminary, and the review of Draft Bids is cursory. Therefore, bidders are cautioned to not rely on the State, during these evaluations and reviews, to discover and report to the bidders all defects and errors in the submitted documents. Before submitting each document, the bidder should carefully proof it for errors and adherence to the IFB requirements.

II.3.5.2 Bidder's Cost

Costs for developing bids are the responsibility entirely of the bidder and shall not be chargeable to the State.

II.3.5.3 Completion of Bids

Bids must be complete in all respects as required by the IFB Section VIII: Bid Format and Content. A Final Bid may be rejected if it is conditional or incomplete, or if it

contains any alterations of form or other irregularities of any kind. A Final Bid must be rejected if any such defect or irregularity constitutes a material deviation from the IFB requirements. The Final Bid must contain all costs required by the IFB Section VII: Cost and Section VIII: Bid Format and Content, setting forth a unit price and total price for each unit price item, and a total price for each lump sum price item in the schedule, all in clearly legible figures. If required in the IFB Section VIII: Bid Format and Content, cost data (as identified in the above referenced section) must be submitted under separate, sealed cover. Exhibit II-A at the end of this Section II entitled "Competitive Bidding And Bid Responsiveness" emphasizes the requirements of competitive bidding and contains examples of common causes for rejection of bids. Bidders are encouraged to review this exhibit.

II.3.5.4 False or Misleading Statements

Bids which contain false or misleading statements, or which provide references which do not support an attribute or condition claimed by the bidder, may be rejected. If, in the opinion of the State, such information was intended to mislead the State in its evaluation of the bid, and the attribute, condition, or capability is a requirement of this IFB, it will be the basis for rejection of the bid.

II.3.5.5 Signature of Bid

A cover letter (which shall be considered an integral part of the Final Bid) and Standard Agreement Form 213 (if directed in Appendix A: Contracts Terms and Conditions) shall be signed by an individual who is authorized to bind the bidding firm contractually. The signature block must indicate the title or position that the individual holds in the firm. An unsigned Final Bid shall be rejected.

II.3.5.6 Delivery of Bids

Mail or deliver bids to the Procurement Official listed in Section I.4. If mailed, it is suggested that you use certified or registered mail with return receipt requested as delivery of documents is at the bidder's own risk of untimely delivery, lost mail, etc.

Bids must be received in the number of copies stated in the IFB Section VIII: Bid Format and Content, and not later than the dates and times specified in Section I.5. One copy must be clearly marked "Master Copy." All copies of bids must be under sealed cover which is to be plainly marked "FINAL BID" for IFB CDI 0845-39. Bidders should be aware that marking the Final Bid "confidential" or "proprietary" may exclude it from consideration for award. Final Bids not received by the date and time specified in Section I.5, or not sealed, will be rejected. If required in the IFB Section VIII: Bid Format and Content, all cost data (as identified in the above referenced section) must be submitted under separate, sealed cover and clearly marked "COST BID." If cost data is required to be submitted separately sealed, and is not submitted in this manner, the bid may be rejected. Bids submitted under improperly marked covers may be rejected. If discrepancies are found between two or more copies of the bid, the bid may be rejected. However, if not so rejected, the Master Copy will provide the basis for resolving such discrepancies. If one copy of the Final Bid is not clearly marked "Master Copy," the State may reject the bid; however, the State may at its sole option select, immediately after bid opening, one copy to be used as the Master Copy.

II.3.5.7 Withdrawal and Resubmission/Modification of Bids

A bidder may withdraw its Final Bid at any time prior to the Bid Submission Date and time specified in Section I.5 by submitting a written notification of withdrawal signed by the bidder authorized in accordance with Section II.3.5.5: Signature of Bid. The bidder may thereafter submit a new or modified bid prior to such Bid Submission Date and time. Modification offered in any other manner, oral or written, will not be considered. Other than as allowed by law, Final Bids cannot be changed or withdrawn after the date and time designated for receipt, except as provided in Section II.3.7.4.

II.3.6. REJECTION OF BIDS

The State may reject any or all bids and may waive any immaterial deviation or defect in a bid. The State's waiver of any immaterial deviation or defect shall in no way modify the IFB documents or excuse the bidder from full compliance with the IFB specifications if awarded the contract.

II.3.7. EVALUATION AND SELECTION PROCESS

II.3.7.1 General

Bids will be evaluated according to the procedures contained in the IFB Section IX: Evaluation and Selection. .

II.3.7.2 Evaluation Questions

During the evaluation and selection process, the State may desire the presence of a bidder's representative for answering specific questions, orally and/or in writing. During the evaluation of Final Bids, the State may ask the bidder to clarify their submitted information but will not allow the bidder to change their bid.

II.3.7.3 Demonstration (NOT APPLICABLE)

~~This procurement may require a demonstration of the bidder's response to specific requirements (including benchmark requirements) before final selection in order to verify the claims made in the bid, corroborate the evaluation of the bid, and confirm that the hardware and software are actually in operation; in which case prior notice will be given. The bidder must make all arrangements for demonstration facilities at no cost to the State. The location of the demonstration will be determined by the bidder; however, its performance within California is preferred and will be attended at the State's expense. Demonstration outside California will be attended only if approved by the State and the bidder agrees to reimburse the State for travel and per diem expenses. The State reserves the right to determine whether or not a demonstration has been successfully passed. See Section on Demonstrations for additional information (if applicable).~~

II.3.7.4 Errors in the Final Bid

An error in the Final Bid may cause the rejection of that bid; however, the State may at its sole option retain the bid and make certain corrections.

In determining if a correction will be made, the State will consider the conformance of the bid to the format and content required by the IFB, and any unusual complexity of the format and content required by the IFB.

(1) If the bidder's intent is clearly established based on review of the complete Final Bid submittal, the State may at its sole option correct an error based on that established intent.

(2) The State may at its sole option correct obvious clerical errors.

(3) The State may at its sole option correct discrepancy and arithmetic errors on the basis that if intent is not clearly established by the complete bid submittal,

(a) the Master Copy shall have priority over additional copies,

(b) the bid narrative shall have priority over the contract,

(c) the contract shall have priority over the cost sheets, and

(d) within each of these, the lowest level of detail will prevail.

If necessary, the extensions and summary will be recomputed accordingly, even if the lowest level of detail is obviously misstated. The total price of unit-price items will be the product of the unit price and the quantity of the item. If the unit price is ambiguous, unintelligible, uncertain for any cause, or is omitted, it shall be the amount obtained by dividing the total price by the quantity of the item.

(4) The State may at its sole option correct errors of omission, and in the following four situations, the State will take the indicated actions if the bidder's intent is not clearly established by the complete bid submittal.

(a) If an item is described in the narrative and omitted from the contract and cost data provided in the bid for evaluation purposes, it will be interpreted to mean that the item will be provided by the bidder at no cost.

(b) If a minor item is not mentioned at all in the Final Bid and is essential to satisfactory performance, the bid will be interpreted to mean that the item will be provided at no cost.

(c) If a major item is not mentioned at all in the Final Bid, the bid will be interpreted to mean that the bidder does not intend to supply that item.

(d) If a major item is omitted, and the omission is not discovered until after Contract Award, the bidder shall be required to supply that item at no cost.

The determination of whether an item is minor or major is the responsibility of the State.

(5) If a bidder does not follow the instructions for computing costs not related to the contract (e.g., State personnel costs), the State may reject the bid, or at its sole option, recompute such costs based on instructions contained in the IFB.

If the recomputations or interpretations, as applied in accordance with Section II.3.7.4, result in significant changes in the amount of money to be paid to the bidder (if awarded the contract) or in a requirement of the bidder to supply a major item at no cost, the bidder will be given the opportunity to promptly establish the grounds legally justifying relief from its bid.

It is absolutely essential that bidders carefully review the cost elements in their Final Bid, since they will not have the option to correct errors after the time for submittal.

(6) In the event an ambiguity or discrepancy between the general requirements described in Section IV: Proposed Solution and the specific technical requirements set forth in Section VI: Functional and Technical Requirements is detected after the opening of bids, Section VI, and the bidder's response thereto, shall have priority over Section IV, and the bidder's response thereto. Refer to Section II.2.2 regarding immediate notification to State contact when ambiguities, discrepancies, omissions, etcetera are discovered.

(7) At the State's sole discretion it may declare the Final Bid to be a Draft Bid in the event that the State determines that Final Bids from all bidders contain material deviations. Bidders may not protest the State's determination that all bids have material deviations. If all bids are declared noncompliant, the State may issue an addendum to the IFB. Should this occur, confidential discussions will be held with bidders who are interested in continuing to be considered. Each bidder will be notified of the due date for the submission of a new Final Bid to the State. This submission must conform to the requirements of the original IFB as amended by any subsequent addenda. The new Final Bids will be evaluated as required by Section IX: Evaluation and Selection.

II.3.8. AWARD OF CONTRACT

Award of contract, if made, will be in accordance with the IFB Section IX: Evaluation and Selection to a responsible bidder whose Final Bid complies with all the requirements of the IFB documents and any addenda thereto, except for such immaterial defects as may be waived by the State. Award, if made, will be made within one hundred eighty (180) calendar days after the scheduled date for Contract Award specified in Section I.5; however, a bidder may extend the offer beyond 180 calendar days in the event of a delay of Contract Award.

The State reserves the right to determine the successful bidder either on the basis of individual items or on the basis of all items included in its IFB, unless otherwise expressly provided in the State's IFB. Unless the bidder specifies otherwise in its bid, the State may accept any item or group of items of any bid. The State reserves the right to modify or cancel in whole or in part its IFB.

Written notification of the State's Intent to Award will be made to all bidders submitting a Final Bid. If a bidder, having submitted a Final Bid, can show that its bid, instead of the bid selected by the State, should be selected for contract award according to the rules of Section II.3.7, the bidder will be allowed three (3) working days to submit a protest to the Intent to Award, according to the instructions contained in Section II.5.1.

II.3.9. DEBRIEFING

A debriefing may be held after Contract Award at the request of any bidder for the purpose of receiving specific information concerning the evaluation. The discussion will be based primarily on the technical and cost evaluations of the bidder's Final Bid. A debriefing is not the forum to challenge the IFB specifications or requirements.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION II – RULES GOVERNING COMPETITION

II.4. CONTRACTUAL INFORMATION

II.4.1. CONTRACT FORM

The State has model contract forms to be used by State agencies when contracting for information technology (IT) goods and services. The model contract(s) appropriate for the specific requirements of this IFB are included in the IFB.

II.4.2. SPECIFIC TERMS AND CONDITIONS (NOT APPLICABLE)

~~In traditional competitive bidding, the contract to be awarded is included in the solicitation document in its final form, and any alteration by a bidder will result in rejection of its bid. The State recognizes, however, that the various suppliers of IT goods and services have developed pricing structures and procedures that differ from each other, and that, if the State were to specify the exact language of the contract to be executed, it could result in firms being unwilling to do business with the State of California because of contract statements which are incompatible with their business methods. In recognition of the above, the form of the contract(s) contained in the attached Appendix A permit, where appropriate, the substitution and/or insertion of supplier-specified language by the bidder. All such substitutions and insertions must be approved by the Department of General Services. The Department of General Services may request the Department of Finance's concurrence on the approval of changes involving significant issues. Terms and conditions which do not comply in substance with all material requirements of the IFB, which are contrary to the best interests of the State, or which are in opposition to State policy will not be accepted.~~

~~The State will prenegotiate repetitively used terms and conditions with suppliers at their request. These prenegotiated terms and conditions will be kept on file and bidders may refer to them as their proposed contract language for individual solicitations.~~

II.4.3. APPROVAL OF PROPOSED CONTRACT (NOT APPLICABLE)

~~To comply with the requirements of competitive bidding procedures, the contract must be fixed prior to the submission of the Final Bids; other than as allowed by law no negotiation is permissible after that time. It is required, therefore, that any supplier who intends to bid on this IFB submit its proposed contract to the State in accordance with the schedule contained in Section I.5. If a bidder has prenegotiated language with the State, the bidder may indicate that this is the language proposed and submit only changes to any language that has not been prenegotiated. (For a particular IFB it is possible that prenegotiated language will not be acceptable due to special circumstances. The State will notify the bidder if this is the case and will renegotiate that language for this procurement.) For language that has not been prenegotiated, the proposed contract, or portions thereof, must be submitted in the form of the prescribed model(s), and deviations from the exact language contained in the model(s) must conform to the guidance therein stated. The proposed contract must contain all proposed terms and conditions, and with all blanks filled in, but it must not contain (other than in sample form) any identification of proposed goods or cost data. (Note, however, that the Draft Bid must contain the approved contract with all the blanks filled in except for cost data, as specified in Section II.3.3.1 above.) The proposed contract must be clearly labeled "Proposed Contract" with the IFB identification from the IFB title page (IFB CDI 0845-39). The State will notify the bidder as to which, if any, terms and conditions are not~~

~~acceptable to the State and will arrange an appropriate meeting at a mutually satisfactory time to resolve any differences.~~

~~Appendix A contains a set of instructions to guide the bidder through a step-by-step procedure to develop proposed new language or changes to model contract language, negotiating contract language and securing State approval. Proposed contract language which is not prepared in accordance with these instructions may be returned to the bidder without review by the State.~~

~~It is essential that the bidder's proposed contract be acceptable to the State prior to the Final Bid Submission Date. Such acceptance does not relieve the bidder of providing other necessary information required in the contract. If a bid contains unapproved contract language, the potential for bid rejection is substantially increased.~~

~~Approved contract language for this particular IFB which is not proprietary to the bidder will be available to all bidders shortly after the last day to negotiate contract language.~~

~~Prenegotiated terms and conditions are available at any time.~~

II.4.4. TERM OF CONTRACT

The State intends to retain the required goods and services for at least the period specified elsewhere in this IFB. Ideally, the term of the contract will be for the specified period. If the State requires the contract to be terminated during the contract period, such a requirement will be specified in the IFB Section V: Administrative Requirements. The State will accept a contract for a longer period than specified if, at the sole option of the State, the contract may be terminated at the end of the period specified with or without the payment of termination charges. Such termination charges, if any, must be included in the evaluated cost of the bid.

II.5. OTHER INFORMATION

II.5.1. ALTERNATIVE PROTEST PROCESS

This procurement is being conducted under the provisions of the Alternative Protest Process (Public Contract Code Section 12125, et seq.) By submitting a bid to this procurement, the bidder consents to participation in the Alternative Protest Process, and agrees that all protests of the proposed award shall be resolved by binding arbitration pursuant to the California Code of Regulations, Title 1, Division 2, Chapter 5 (refer to Exhibit II-B). The link to the regulation is:

http://www.oah.dgs.ca.gov/laws/bidprotestRegs.htm#1400

A Notice of Intent to Award for this procurement will be publicly posted in the reception area of the Department of General Services, Procurement Division and sent via facsimile to any bidder who submits a written request for notice and provides a facsimile number.

During the protest period, any participating bidder may protest the proposed award on the following grounds:

1. For major information technology acquisitions – that there was a violation of the solicitation procedure(s) and that the protesting bidder's bid should have been selected; or

2. For any other acquisition – that the protesting bidder's bid should have been selected in accordance with the selection criteria in the solicitation document.

A written Notice of Intent to Protest the proposed award of this solicitation must be received (facsimile acceptable) by the Coordinator before the close of business 5 p.m. PST/PDT on the **third day** after issuing the Notice of Intent to Award, as specified in the solicitation (Section I.5). Failure to submit a timely, written Notice of Intent to Protest waives bidder's right to protest.

The bidder is to send the Notice of Intent to Protest to:

Alternative Protest Process Coordinator/Dispute Resolution
Department of General Services
Procurement Division
Purchasing Authority Management Section
707 Third Street, 2nd Floor South
West Sacramento, CA 95605
Fax: (916) 375-4611

Within seven (7) working days after the last day to submit a Notice of Intent to Protest, the Coordinator must receive from the protesting bidder the complete protest filing including the signed, written detailed statement of protest including exhibits, filing fee and deposit or small business certification as applicable. Untimely submission of the complete protest filing waives the bidder's right to protest.

Protest bond requirement: The bond amount for this Alternative Protest Process shall be 10 percent (10%) of the contract amount as specified in the solicitation. See California Code of Regulations, Title 1, Section 1418.

II.5.1.1 Requirements Protests

Protests regarding any issue other than selection of the successful bidder are "requirements protests" and will be heard and resolved by the Deputy Director of the Department of General Services, Procurement Division, whose decision will be final. Before a requirements protest is submitted, the bidder must make full and timely use of the procedures described in Section II.2.4: Questions Regarding the IFB to resolve any outstanding issue(s) between the bidder and the State. This procurement procedure is designed to give the bidder and the State adequate opportunity to submit questions and discuss the requirements, proposals and counter proposals before the Final Bid is due. The protest procedure is made available in the event that a bidder cannot reach a fair agreement with the State after exhausting these procedures.

All protests to the IFB requirements must be received by the Deputy Director of the Procurement Division as promptly as possible, but not later than the respective time and date in the Key Action Dates in Section I.5 for such protests. Requirements protests must be mailed or delivered to:

Street Address:	**Mailing Address:**
Deputy Director	Deputy Director
Procurement Division	Procurement Division
707 Third Street, 2nd Floor	P.O. Box 989052
West Sacramento, CA 95605	Sacramento, CA 95798-9052

II.5.2. DISPOSITION OF BIDS

All materials submitted in response to this IFB will become the property of the State of California and will be returned only at the State's option and at the bidder's expense. At a minimum, the Master Copy of the Final Bid shall be retained for official files and will become a public record after the Notification of Intent to Award as specified in Section I.5, Key Action Dates. However, materials the State considers confidential information (such as confidential financial information submitted to show bidder responsibility) will be returned upon request of the bidder.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION II – RULES GOVERNING COMPETITION

Exhibit II-A . Competitive Bidding and Bid Responsiveness

The purpose of competitive bidding is to secure public objectives in the most effective manner and avoid the possibilities of graft, fraud, collusion, etc. Competitive bidding is designed to benefit the public body (the State, in the present context), and is not for the benefit of the bidders. It is administered to accomplish its purposes with sole reference to the public interest. It is based upon full and free bidding to satisfy State specifications, and acceptance by the State of the most effective solution to the State's requirements, as determined by the evaluation criteria contained in the IFB.

Competitive bidding is not defined in any single statute but is more in the nature of a compendium of numerous court decisions. From such court decisions, the following rules have evolved, among others:

1. Invitations for Bid/Requests for Proposals must provide a basis for full and fair competitive bidding among bidders on a common standard, free of restrictions tending to stifle competition.
2. The State may modify the IFB, prior to the date fixed for Contract Award, by issuance of an addendum to all parties who are bidders.
3. To have a valid bid, the bid must respond and conform to the invitation, including all the documents which are incorporated therein. A bid which does not literally comply may be rejected.
4. For a variance between the Invitation for Bids and the bid to be such as to preclude acceptance (the bid must be rejected), the variance or deviation must be a material one.
5. State agencies usually have the express or implied right to reject any and all bids in the best interests of the State. Bids cannot, however, be selectively rejected without cause.
6. Bids cannot be changed after the time designated for receipt and opening thereof. Other than allowed by law, no negotiation as to the scope of the work, amount to be paid, or contractual terms is permitted. However, this does not preclude the State from clarifying the bidder’s intent by asking questions and considering answers.
7. A competitive bid, once opened and declared, is in the nature of an irrevocable option and a contract right of which the public agency cannot be deprived without its consent, unless the requirements for rescission are present. All bids become public documents.
8. Bids cannot be accepted "in part," unless the invitation specifically permits such an award.
9. Contracts entered into through the competitive bidding process cannot later be amended, unless the Invitation for Bids includes a provision, to be incorporated in the contract awarded, providing for such amendment.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION II – RULES GOVERNING COMPETITION

Exhibit II–A (Continued)

Since competitive procurement became the required method for securing certain IT goods or services, the State has received a number of bids which were deemed to be nonresponsive to the Invitation for Bids/Requests for Proposals (IFB/RFP) or which could not be considered as valid bids within the competitive bidding procedures. Nonresponsive bids or bids which contain qualifications must be rejected. Many of the causes for rejection arise from either an incomplete understanding of the competitive bidding process or administrative oversight on the part of the bidders. The following examples are illustrative of more common causes for rejection of bids. These examples are listed to assist potential bidders in submission of responsive bids.

1. A bid stated, "The prices stated within are for your information only and are subject to change."
2. A bid stated, "This proposal shall expire thirty (30) days from this date unless extended in writing by the ____ Company." (In this instance award was scheduled to be approximately 45 days after bid submittal date.)
3. A bid for lease of IT equipment contained lease plans of a duration shorter than that which had been requested in the IFB/RFP.
4. A personal services contract stated, "____ , in its judgment, believes that the schedules set by the State are extremely optimistic and probably unobtainable. Nevertheless,__ will exercise its best efforts..."
5. A bid stated, "This proposal is not intended to be of a contractual nature."
6. A bid contained the notation "prices are subject to change without notice."
7. A bid was received for the purchase of IT equipment with unacceptable modifications to the Purchase Contract.
8. A bid for lease of IT equipment contained lease plans of a duration longer than that which had been requested in the IFB/RFP with no provision for earlier termination of the contract.
9. A bid for lease of IT equipment stated, "...this proposal is preliminary only and the order, when issued, shall constitute the only legally binding commitment of the parties."
10. A bid was delivered to the wrong office.
11. A bid was delivered after the date and time specified in the IFB/RFP.
12. An IFB/RFP required the delivery of a performance bond covering 25 percent of the proposed contract amount. The bid offered a performance bond to cover "x" dollars which was less than the required 25 percent of the proposed contract amount.
13. A bid did not meet contract goal for DVBE participation and did not follow the steps required by the bid to achieve a "good faith effort".
14. A bid appeared to meet contract goal for DVBE participation with the dollars submitted, but the supplier had miscalculated the bid costs. When these corrections were made by the State, the supplier's price had increased and the dollars committed for DVBE participation no longer met goal. The supplier had not followed the steps to achieve a "good faith effort".

CHAPTER 5. PROCEDURES FOR CONDUCTING PROTESTS UNDER THE ALTERNATIVE PROTEST PROCESS

ARTICLE 1. GENERAL PROVISIONS

§1400. Purpose; Scope of Chapter.

Protests under the Alternative Protest Pilot Project (AB 1159, Chapter 762 of 1997 Statutes, Public Contract Code Division 2, Part 2, Chapter 3.6 (sections 12125-12130)) shall be resolved by arbitration as defined and established by this chapter.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New chapter 5 (articles 1-3), article 1 (sections 1400-1404) and section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1402. Definitions.

(a) Arbitration, as used in this chapter, means a dispute resolution procedure in which the Department of General Services, Office of Administrative Hearings provides a neutral third party who decides the merits of a protest and issues a binding decision to the Parties.

(b) Awardee includes Proposed Awardee and means the person or entity that was a successful bidder to a Solicitation and has been, or is intended to be, awarded the contract.

(c) Close of Business, as used in this chapter, means 5p.m. Pacific Standard Time (PST) or Pacific Daylight Time (PDT), as applicable.

(d) Contracting Department means either Procurement or the department which has applied and been approved by the Department of General Services to conduct the Solicitation under the Alternative Protest Pilot Project (Public Contract Code sections 12125-12130.).

(e) Coordinator means the person designated as the Alternative Protest Pilot Project Coordinator by the Department of General Services, Procurement Division, to coordinate all aspects of the Solicitation under the Alternative Protest Pilot Project (Public Contract Code sections 12125-12130).

(f) Estimated Contract Value means the value of Protestant's proposal.

(g) Frivolous means a protest with any or all of the following characteristics:

(1) It is wholly without merit.

(2) It is insufficient on its face.

(3) The Protestant has not submitted a rational argument based upon the evidence or law which supports the protest.

(4) The protest is based on grounds other than those specified in section 1410.

(h) Major Information Technology Acquisition means the purchase of goods or services, or both, by a state agency, through contract, from non-governmental sources, that has significant mission criticality, risk, impact, complexity, or value attributes or characteristics. Pursuant to subdivision (e) of Section 11702 of the Government Code, these purchases shall include, but not be limited to, all electronic technology systems and services, automated information handling, system design and analysis, conversion of data, computer programming, information storage and retrieval, telecommunications that include voice, video, and data communications, requisite system controls, simulation, electronic commerce, and all related interactions between people and machines.

(i) OAH means the Department of General Services, Office of Administrative Hearings.

(j) Party means the Procurement Division of the Department of General Services, the Contracting Department, the Awardee, and Protestant(s).

(k) Procurement means the Procurement Division of the Department of General Services.

(l) Protestant means a person or entity that was an unsuccessful bidder to a Solicitation under the Alternative Protest Pilot Project (Public Contract Code sections 12125-12130) and that protests the award.

(m) Small Business means a Certified California Small Business, pursuant to Government Code Division 3, Part 5.5, Chapter 6.5 (commencing with section 14835) and Title 2, California Code of Regulations, section 1896.

(n) Solicitation means the document that describes the goods or services to be purchased, details the contract terms and conditions under which the goods or services are to be purchased, and establishes the method of evaluation and selection.

(o) Solicitation File means the Solicitation and the documents used by the Contracting Department in the Solicitation process, including documents used to evaluate bidders and select a Proposed Awardee. The Solicitation File shall remain available to the public except information that is confidential or proprietary.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Section 11702, Government Code; and Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1404. Notice of Intent to Award Contract.

The Contracting Department shall post a Notice of Intent to Award Contract in a public place specified in the Solicitation, send rejection facsimiles to rejected bidders, and send Notice of Intent to Award Contract facsimiles to any bidder who made a written request for notice and provided a facsimile number. The Contracting Department shall indicate that the Solicitation File is available for inspection. The Contracting Department has the discretion to award a contract immediately, upon approval by the Director of the Department of General Services

and, if the Solicitation was for a Major Information Technology Acquisition, the Director of the Department of Information Technology.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

ARTICLE 2. PROTEST PROCEDURE

§1406. Notice of Intent to Protest; Service List.

(a) An unsuccessful bidder who intends to protest the awarded contract pursuant to this chapter must inform the Coordinator. The Notice of Intent to Protest must be in writing and must reach the Coordinator within the number of days specified in the Solicitation, which shall be not less than 1 working day and not more than 5 working days after the posting of the Notice of Intent to Award Contract, as specified in the Solicitation. Failure to give written notice by Close of Business on that day shall waive the right to protest.

(b) On the day after the final day to submit a Notice of Intent to Protest, the Coordinator shall make a service list consisting of those bidders who did submit a Notice of Intent to Protest, the Awardee, and the Contracting Department. The Coordinator shall include addresses and facsimile numbers on this list and shall forward this service list to those bidders who submitted a Notice of Intent to Protest.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New article 2 (sections 1406-1418) and section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1408. Filing a Protest.

(a) A protest is filed by the submission of: the Detailed Written Statement of Protest and any exhibits specified in section 1412; a check or money order made payable to the Office of Administrative Hearings for the OAH filing fee of $50; and the arbitration deposit as specified in subsection (c) or (d) to the Coordinator by the Close of Business on the 7th working day after the time specified in the Solicitation for written Notice of Intent to Protest under section 1406. A copy of the Detailed Written Statement of Protest and exhibits must also be served on all Parties named in the service list as specified in section 1406. A Protestant who fails to comply with this subsection waives Protestant's right to protest.

(b) Protestant(s) must provide a FAX (facsimile) number. Notification by facsimile is sufficient for service. If the Detailed Written Statement of Protest is sent to the Coordinator by facsimile, Protestant must:

(1) Verify that the pages sent were all received by the Coordinator; and

(2) Remit the required deposit and filing fee to Coordinator by any reasonable means. If sending via carrier, the postmark date or equivalent shall be used to determine timeliness.

(c) Each Protestant not certified as a Small Business shall make a deposit of the estimated arbitration costs, by check or money order made payable to the Office of Administrative Hearings, as determined by the Estimated Contract Value.

(1) For contracts up to $100,000.00, the deposit shall be $1500.00.

(2) For contracts of $100,000.00 up to $250,000.00, the deposit shall be $3,000.00.

(3) For contracts of $250,000.00 up to $500,000.00, the deposit shall be $5,000.00.

(4) For contracts of $500,000.00 and above, the deposit shall be $7,000.00.

(5) Failure to remit a timely required deposit waives the right of protest.

(6) Any refund to Protestant(s) shall be made per section 1436.

(d) Each Protestant certified as a Small Business shall submit a copy of the Small Business Certification in lieu of the deposit specified in subsection (c). If Protestant is a Small Business and the protest is denied by the arbitrator, the Contracting Department shall collect the costs of the arbitration from Protestant. If Protestant does not remit the costs due, the Contracting Department may offset any unpaid arbitration costs from other contracts with Protestant and/or may declare Protestant to be a non-responsible bidder on subsequent solicitations.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1410. Grounds for Protest.

(a) The Public Contract Code, at section 12126(d) provides: Authority to protest under this chapter shall be limited to participating bidders.

(1) Grounds for Major Information Technology Acquisition protests shall be limited to violations of the Solicitation procedures and that the Protestant should have been selected.

(2) Any other acquisition protest filed pursuant to this chapter shall be based on the ground that the proposal or proposal should have been selected in accordance with selection criteria in the Solicitation document.

(b) The burden of proof for protests filed under this chapter is preponderance of the evidence, and Protestant(s) must bear this burden.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1412. Detailed Written Statement of Protest.

(a) The Detailed Written Statement of Protest must include the grounds upon which the protest is made, as specified in 1410(a).

(b) The Detailed Written Statement of Protest shall contain reasons why Protestant should have been awarded the contract.

(1) For Major Information Technology Acquisition protests, the Detailed Written Statement of Protest must specify each and every Solicitation procedure which was violated and the manner of such violation by specific references to the parts of the Solicitation attached as exhibits and why, but for that violation, Protestant would have been selected.

(2) For other acquisition protests, the Detailed Written Statement of Protest must specify each and every selection criterion on which Protestant bases the protest by specific references to the parts of the Solicitation attached as exhibits.

(3) For all protests, Protestant must specify each and every reason that all other bidders who may be in line for the contract award should not be awarded the contract.

(c) The Detailed Written Statement of Protest must be limited to 50 typewritten or computer generated pages, excluding exhibits, at a font of no less than 12 point or pica (10 characters per inch), on 8 1/2 inch by 11-inch paper of customary weight and quality. The color of the type shall be blue-black or black. In addition to a paper copy, the arbitrator may request that a Protestant submit such information on computer compatible diskette or by other electronic means if the Protestant has the ability to do so.

(d) Any exhibits submitted shall be paginated and the pertinent text highlighted or referred to in the Detailed Written Statement of Protest referenced by page number, section and/or paragraph and line number, as appropriate.

(e) The Detailed Written Statement of Protest shall not be amended.

(f) Protestant(s) may not raise issues in hearing which were not addressed in the Detailed Written Statement of Protest.

(g) A Protestant who fails to comply with this subsection waives Protestant's right to protest.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1414. Review by Coordinator.

(a) Within 2 working days after receipt of the Detailed Written Statement of Protest, the Coordinator shall notify the Contracting Department and the Awardee of a potential protest hearing.

(b) The Coordinator shall review the Detailed Written Statement of Protest within 5 working days after receipt to preliminarily determine if the protest is Frivolous and notify Protestant of the option to withdraw or proceed in arbitration.

(1) If Protestant withdraws the protest within 2 working days after the notification by the Coordinator of a preliminary determination of Frivolousness, the Coordinator shall withdraw the preliminary finding of Frivolousness and refund Protestant's deposit and filing fee.

(2) If the Protestant previously filed two protests under the Alternative Protest Pilot Project preliminarily determined Frivolous by the Coordinator but then withdrew or waived them before the arbitration decision, the Coordinator shall make final the preliminary determination of Frivolousness for the Department of General Services.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1416. Review and Response by Contracting Department and Awardee.

(a) The Awardee shall have 7 working days after notification by the Coordinator to submit to the Coordinator and Protestant a response to the Detailed Written Statement of Protest.

(b) The Contracting Department, in conjunction with the Coordinator, shall have 7 days after the filing of the Detailed Written Statement of Protest to send a response to Protestant and Awardee.

(c) Responses shall follow the standards set forth in section 1412(c) and (d).

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1418. Bond Requirement.

(a) If the Coordinator has determined that a protest is Frivolous and the Protestant does not withdraw the protest, the Protestant shall be required to post a bond in an amount not less than 10% of the Estimated Contract Value.

(b) The percentage of the bond shall be determined by the Contracting Department and specified in the Solicitation.

(c) Protestant shall post the bond, pursuant to Chapter 2 (commencing with section 995.010) of Title 14 of Part 2 of the Code of Civil Procedure, within 15 working days of the filing of the Detailed Written Statement of Protest or shall be deemed to have waived the right to protest.

(1) If the arbitrator determines that the protest is Frivolous, the bond shall be forfeited to Procurement and the Coordinator will impose Sanctions.

(2) If the arbitrator determines that the protest is not Frivolous, the bond will be returned to the Protestant and no Sanctions imposed.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 995.010 et. seq., Code of Civil Procedure; and Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

ARTICLE 3. ARBITRATION PROCEDURE

§1420. Arbitration Process.

Within 19 calendar days after the Notice of Intent to Award has been posted, the Coordinator shall consolidate all remaining protests under the Solicitation, and send to OAH:

(a) a copy of all Detailed Written Statements of Protest;

(b) OAH filing fees;

(c) arbitration deposits, and/or notice that any Protestant is a Small Business;

(d) Awardee responses;

(e) Coordinator/Contracting Department responses;

(f) the Solicitation File; and

(g) notice to OAH whether interpreter services will be needed for any Protestant or Awardee. OAH shall arrange interpreter services which shall be paid by the Contracting Department.

NOTE:

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New article 3 (sections 1420-1440) and section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1422. Selection of Arbitrator.

(a) Within 2 working days after receipt of the protest from the Coordinator, OAH shall furnish the names of ten arbitrators to Protestant(s), the Awardee, and the Coordinator. The arbitrator list shall include administrative law judges who are employees of OAH and contract private arbitrators who are not employees of the State of California. Protestant(s), the Awardee, and the Coordinator may each strike two of the ten names and notify OAH within 2 working days. Protestant(s) may also indicate if they prefer a contract arbitrator or an OAH administrative law judge. OAH may then select as arbitrator any name not stricken and shall notify Protestant(s), the Awardee, and the Coordinator within 2 working days. If all names are stricken, the Director of OAH shall appoint an arbitrator.

(b) A proposed arbitrator shall be disqualified on any of the grounds specified in Section 170.1 of the Code of Civil Procedure for the disqualification of a judge.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1424. Authority of Arbitrator.

(a) Arbitrators are authorized to

(1) Administer oaths and affirmations;

(2) Make rulings and orders as are necessary to the fair, impartial, and efficient conduct of the hearing; and

(3) Order additional deposits from Protestant(s) to cover additional estimated costs. If OAH does not receive the required deposit(s) in the time specified, the right to protest will be deemed waived.

(b) The arbitrator shall have exclusive discretion to determine whether oral testimony will be permitted, the number of witnesses, if any, and the amount of time allocated to witnesses.

(c) It shall be in the arbitrator's exclusive discretion to determine whether to

(1) Conduct a prehearing conference; and/or

(2) Permit cross-examination and, if so, to what extent; and/or

(3) Review documents alone for all or part of the protest.

(d) It shall be in the arbitrator's exclusive discretion to determine whether additional responses and rebuttals are to be submitted, and the timelines and page limits to be applied.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1426. Decision Based in Whole or in Part on Documents Alone.

Any Party may request that the arbitrator base the arbitrator's decision on documents alone. It shall be the arbitrator's exclusive discretion to do so.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1428. Prehearing Conference.

(a) If the arbitrator determines that a prehearing conference is necessary, OAH shall set the time and place and notify Protestant(s), the Awardee, and Procurement at least 5 working days prior to the prehearing conference.

(b) The prehearing conference shall be held to identify and define issues in dispute and expedite the arbitration. The parties should be prepared to discuss, and the arbitrator may consider and rule on, any of the following matters applicable to the protest:

(1) Clarification of factual and legal issues in dispute as set forth in the Detailed Written Statement of Protest.

(2) The extent to which testimony shall be permitted and the extent to which cross-examination will be allowed.

(3) Identity of and limitations on number of witnesses, need for interpreters, scheduling and order of witnesses, etc.

(4) Any other matters as shall promote the orderly and efficient conduct of the hearing.

(c) At the prehearing conference, Protestant(s), the Awardee, and Procurement shall deliver a written statement which contains the name of each witness a party wishes to call at hearing along with a brief written statement of the subject matter of the witness's expected testimony. If the arbitrator, in his or her exclusive discretion, allows an expert witness to be called, the party calling the witness shall provide the name and address of the expert along with a brief statement of the opinion the expert is expected to give. The party shall also attach a statement of qualifications for the expert witness.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1430. Scheduling the Hearing.

The arbitrator shall schedule the date, time, and place of hearing and notify all Parties.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1432. Discovery.

The arbitrator has exclusive discretion to issue subpoenas and/or subpoena duces tecum. There shall be no right to take depositions, issue interrogatories, or subpoena persons or documents.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1434. Attendance at Hearings.

The Arbitration hearings shall be open to the public unless the arbitrator, in his or her exclusive discretion, determines that the attendance of individuals or groups of individuals would disrupt or delay the orderly conduct or timely completion of the proceedings.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1436. Arbitrator's Decision.

(a) The final decision shall be in writing and signed by the arbitrator. It shall include a Statement of the Factual and Legal Basis for the decision, addressing the issues raised in the Detailed Written Statement(s) of Protest, and shall include an order upholding or denying the protest(s). The arbitrator's order shall not award a contract.

(b) A copy of the decision shall be sent by regular mail to Procurement, the Contracting Department, the Awardee, and Protestant(s) within 45 calendar days after the filing of the first Detailed Written Statement of Protest. In the arbitrator's exclusive discretion, this timeline may be extended for an additional 15 calendar days. The arbitrator's failure to issue a decision within the time specified by this section shall not be a ground for vacating the decision.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1437. Costs.

(a) For protests not determined Frivolous by Procurement:

(1) If the arbitrator denies the protest, Protestant(s) will be liable for all costs of the arbitration.

(2) If the arbitrator upholds the protest, the Contracting Department shall pay for all costs of the arbitration and Protestant(s) will be refunded the deposit by OAH.

(b) If Procurement determined that the protest was Frivolous and the arbitrator affirms that the protest is Frivolous, the bond shall be forfeited to Procurement, the protest will be denied, and Protestant(s) will be liable for all costs of the arbitration.

(c) If Procurement determined that the protest was Frivolous and the arbitrator determines that the protest is not Frivolous, any bond(s) posted by Protestant(s) shall be returned.

(1) If the arbitrator denies the protest, Protestant(s) shall be liable for half of the costs of the arbitration. The Contracting Department shall pay the remaining half of the arbitration costs.

(2) If the arbitrator upholds the protest, the Contracting Department shall pay for all costs of the arbitration and Protestant(s) will be refunded the deposit by OAH.

(d) A Protestant who withdraws his or her protest before the arbitrator's decision has been issued will remain liable for all arbitration costs up to the time of withdrawal. These costs include, but are not limited to, the arbitrator's time in preparation, prehearing conferences, and hearing the protest. If Procurement deemed the protest Frivolous, any bond posted shall be forfeited to Procurement.

(e) Except as provided in (f), if any costs are determined to be payable by Protestant(s), that amount shall be subtracted from deposit(s) of Protestant(s) as ordered by the arbitrator. Any additional costs shall be billed to Protestant(s) and any refunds shall be sent to Protestant(s) by OAH.

(f) If a Protestant is a Small Business, then the Contracting Department shall pay OAH all arbitration costs and collect the amount due from Protestant.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1438. Judicial Review.

The grounds for judicial review shall be as set forth in Chapter 4 of Title 9 of Part III of the Code of Civil Procedure (commencing with section 1285).

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

§1440. Transcripts.

(a) A party desiring a transcript of the proceedings shall contact the OAH Transcript Clerk to make arrangements to pay for preparation of the transcript. Prior to preparation of the transcript, a deposit equal to the estimated cost of the transcript shall be paid. Preparation of the transcript will be arranged by the OAH Transcript Clerk. The deposit shall be applied to the actual cost and any excess shall be returned to the party that submitted the request. Any balance due shall be paid by the party or a representative on behalf of the party requesting the transcript before the transcript is released to the requesting party.

(b) Unless a record of a proceeding or any portion thereof was sealed, any person may request a transcript or a recording of the proceeding. If a record of a proceeding or any portion thereof was sealed, only parties to the proceeding may request a transcript of the sealed portions, and the sealed portions shall not be disclosed to anyone except in accordance with the order sealing the proceeding or subsequent order.

NOTE

Authority cited: Section 12126, Public Contract Code. Reference: Sections 12125-12130, Public Contract Code.

HISTORY

1. New section filed 8-18-98; operative 8-18-98 pursuant to Government Code section 11343.4(d) (Register 98, No. 34).

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

SECTION III – CURRENT PROGRAM AND SYSTEMS OVERVIEW

FINAL

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

Table of Contents

III. CURRENT PROGRAM AND SYSTEMS OVERVIEW III-1
III.1. PROGRAM OVERVIEW III-1
III.1.1. Program Organization III-2
III.2. SYSTEM/BUSINESS PROCESS OVERVIEW III-4
III.2.1. Current Document Handling Processes III-4
III.3. CURRENT VOLUMES III-6
III.4. EXISTING SYSTEMS OVERVIEW III-8
III.4.1. Psigen Scan HQ/Image HQ system III-8
III.4.2. Open Text/Hummingbird DM System III-8
III.4.3. ParaDocs System III-9
III.5. EXISTING TECHNICAL INFRASTRUCTURE III-10
III.5.1. Network III-10
III.5.2. Wide Area Network (WAN) Architecture III-10
III.5.3. Local Area Network (LAN) Architecture III-11
III.5.4. Network Security III-11
III.5.5. Video Conferencing III-12
III.5.6. Voice Over Internet Protocol (VOIP) III-12
III.5.7. LAN/WAN Servers III-12
III.5.8. Existing Software III-14
III.5.9. Existing Systems III-16
III.6. STANDARDS AND METHODOLOGIES III-17
III.6.1. Application Development Methodology III-17
III.6.2. Project Management Methodology III-18

List of Tables

TABLE III-1.CURRENT VOLUMES AND STATISTICS III-6

List of Figures

FIGURE III-1. CDI HIGH-LEVEL ORGANIZATION III-3
FIGURE III-2. CDI WAN ARCHITECTURE III-11

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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III. CURRENT PROGRAM AND SYSTEMS OVERVIEW

This section provides an overview of the California Department of Insurance (CDI), its mission, and key programs and processes. This section also discusses the current systems and infrastructure in place at the CDI.

III.1. PROGRAM OVERVIEW

The Office of the Insurance Commissioner has the responsibility to enforce the insurance laws found in the California Insurance Code, the California Code of Regulations, and other related laws. The role of the Insurance Commissioner is to regulate the insurance industry, thereby protecting California consumers from abusive insurance practices.

The State of California has the largest insurance market in the United States with over $118 billion in direct premiums written in the state. In fulfilling its responsibility to protect California's insurance policyholders, the CDI conducts examinations of insurance companies and producers to ensure that operations are consistent with the requirements of the Insurance Code and that insurance companies are financially viable and able to meet their obligations to policyholders and claimants. The CDI also investigates complaints and responds to consumer inquiries; administers the conservation and liquidation of insolvent and delinquent insurance companies; reviews and approves insurance rates; and is a major contributor in combating insurance fraud.

The CDI is mandated by legislation to regulate California's insurance industry, ensuring that the business of insurance is conducted lawfully and in an open and fair manner. The agency fulfills this mission through six key interlinked regulatory functions:

- Financial Solvency Oversight
- Licensing and Certification of Companies, Agents, and Brokers
- Premium Rate and Insurance Product Examination
- Consumer Services
- Enforcement of Insurance Laws
- Premium Tax Collection

The CDI performs a broad variety of activities as part of regulating the insurance industry, most of which involve detailed analysis and audit of large amounts of data. Currently, most of this data is received in paper format. It is not unusual for the CDI to receive multiple boxes of data for a single audit or analysis. With the steady growth in the insurance industry over the past few years, the amount of paper being received has become burdensome and difficult to manage. The amount of effort required to handle, intake, process and manage the paper has also grown, and has affected staff at all levels of the organization. The CDI seeks to transform its infrastructure and business processes to move away from paper and take advantage of electronic methods for managing its data and documents both within the CDI and when working with external entities, which include insurers, agents and brokers, consumers, law enforcement organizations, and other governmental organizations.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION III – CURRENT PROGRAM AND SYSTEMS OVERVIEW

III.1.1. PROGRAM ORGANIZATION

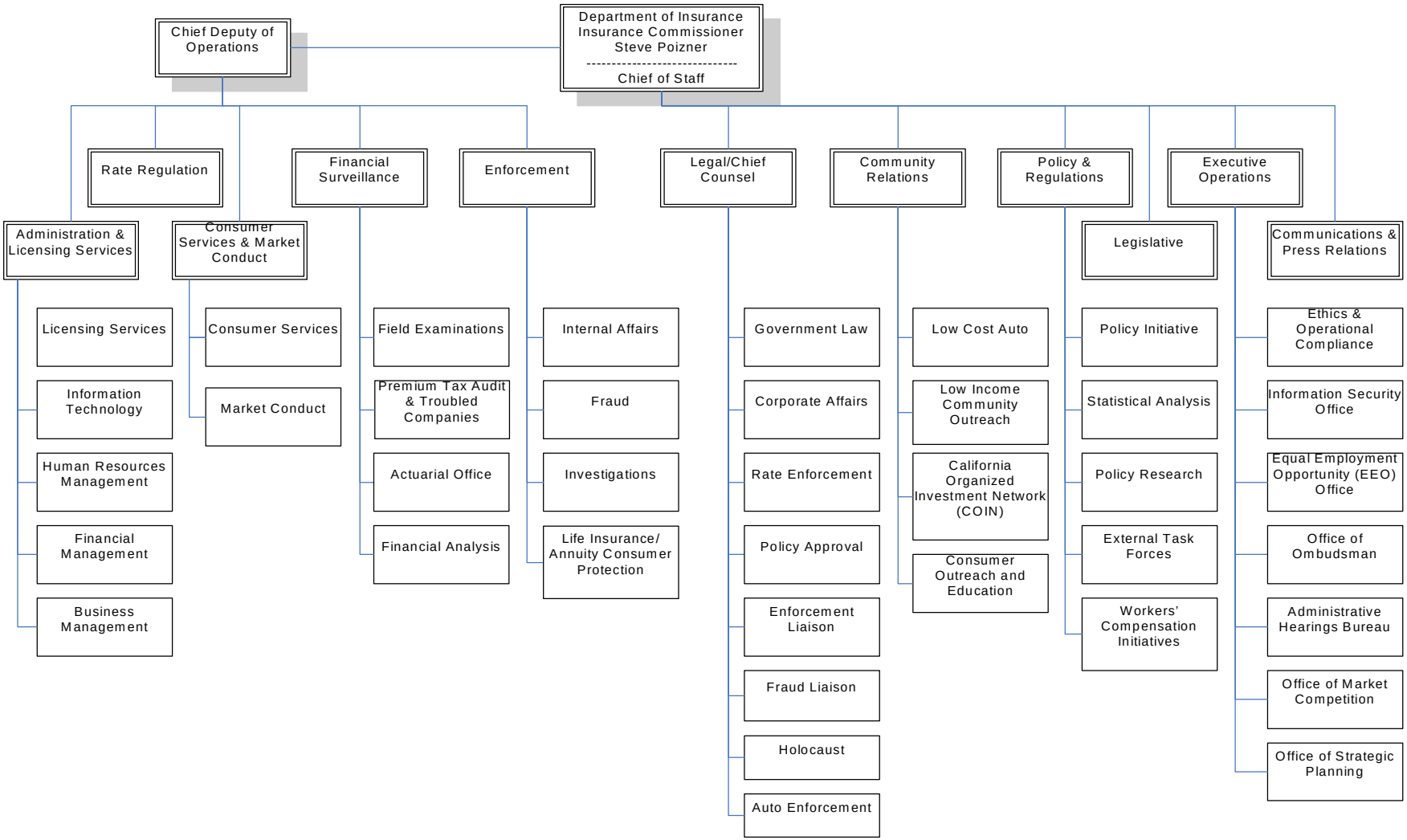
The CDI is organized into 12 business organizations spread across 15 locations throughout California. Each organization consists of multiple divisions, offices, or bureaus. The CDI consists of the following organizations:

- Operations
  - Administration and Licensing Services Branch
  - Consumer Services and Market Conduct Branch
  - Enforcement Branch (including Fraud and Investigation Divisions)
  - Financial Surveillance Branch
  - Rate Regulation Branch
- Office of Policy and Regulations
- Executive Operations
- Office of Communications and Press Relations
- Office of Community Relations
- Legal Branch
- Legislative Office

Figure III-1 provides a high-level view of the CDI's branches, divisions, and bureaus. Each of the organizational units is described in the Feasibility Study Report (FSR) available from the Bidders' Library (refer to Section I.8: Bidders' Library). A larger organizational chart is also available from the Bidders' Library.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION III – CURRENT PROGRAM AND SYSTEMS OVERVIEW

Figure III-1. CDI High-Level Organization



IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION III – CURRENT PROGRAM AND SYSTEMS OVERVIEW

III.2. SYSTEM/BUSINESS PROCESS OVERVIEW

The CDI's business processes are, in general, either of a transactional nature, litigation related or an investigative/analytical nature.

Transactional processes are those that are initiated by the receipt of a contact or document and conclude with a response back to the submitter and/or an update to the CDI's databases. Examples of transactional processes include the processing of license applications and renewals, processing of rate filings, researching consumer complaints, and many of the administrative processes. The challenges with these types of processes is tracking who is working on the transaction, the status of the transaction, recording the contacts and interactions with the submitter, and, in some cases, tracking the deadlines for processing the transaction.

The litigation-related processes are those that involve developing and managing a legal case, responding to a legal case, or hearing and deciding a legal case. These processes involve the CDI's Enforcement Branch, Legal Branch and the Administrative Hearings Bureau under the Executive Operations Branch. These processes frequently span several years and involve numerous boxes of documents and files for the proceedings and evidence of the case. The challenge with these documents is in tracking, organizing, and storing the large volume of data so that documents can be easily identified and retrieved when needed. These processes also require a greater level of security and strict control of materials to ensure items used as evidence are not altered or compromised.

The investigative and analytical processes are those tasks that require analyses, research or work efforts designed to achieve a specific goal. Examples of investigative processes include processing reports of suspected fraud, conducting desk and field audits, and development of studies, policies, legislation and regulations. These processes require accessing and accumulating various types of reference, historical and supporting materials, and organizing the resulting materials into a final product. Automated tools to assist with organizing, searching, and tracking of documents would greatly benefit these processes.

One of the Commissioner's goals is to eliminate paper processing within the CDI. All areas of the CDI have been assessing their operations and working to reduce or eliminate the amount of paper submitted and move to electronic submissions wherever possible. However, the CDI recognizes that there will always be some segment of the public and some entities that will submit documents on paper. In these cases, the documents will need to be scanned, and in many cases, converted from an image to a searchable, text-based document via Optical Character Recognition (OCR).

III.2.1. CURRENT DOCUMENT HANDLING PROCESSES

The majority of CDI users perform manual methods to manage their documents and files. This involves physical processing, storage in file cabinets and off-site warehouses, and routing or shipping boxes of paper documents between various offices. This has lead to delays, duplication, lost files, and rising storage costs.

Most mail is received at the Sacramento office, couriered to the other main offices (Los Angeles and San Francisco), and then couriered to the satellite offices from the main offices. Some mail

is also received directly at the satellite and main offices. Generally, the mailroom opens the mail, unless it is specifically marked as private or confidential, or if it is a payment. Checks and payments are stored unopened in locked tubs and then delivered directly to Accounting for opening and processing. The remaining mail is then sent to the specific bureau or unit for processing.

Some areas, such as Fraud, Investigations, and Legal, have intake units that ensure received items are tracked in a consistent manner and routed to the correct unit or location. The intake units receive the mail, validate the mail item is correct and complete, log the mail item into a tracking database, and distribute the mail to the appropriate satellite office for assignment. For some of these bureaus, there can be a several day delay between when the mail is received by the CDI and when the mail item actually begins to be processed at the appropriate unit or satellite office, due to the physical routing of documents and files. This causes problems for several satellite offices, because for some types of documents the CDI is required to respond to the document within a fixed number of days. Faxing can be used in some cases to allow processing to begin before receipt of the physical document, but in other cases, the amount of attachments or sensitivity of the document prevents use of faxes.

Most of the documents received by the CDI are complex, multi-page documents with various types of attached supporting material, such as:

- Applications for licenses or renewals, and supporting paperwork
- Producer licensing materials specific to education training providers and courses
- Insurance policies or products (e.g., annuities), rates or financial information, annual/quarterly statements and tax returns
- Insurance claims and underwriting information
- Complaints, reports of suspected fraud, reports of suspected violations, and referrals for investigation (such as from district attorneys, legislators, or advocacy groups)
- Public records requests, subpoenas and legal case matters
- Ad-hoc correspondence

These items may come in via mail (as paper documents), faxes, email, or, in some cases, via electronic systems, such as the CDI's website or the National Association of Insurance Commissioners (NAIC's) System for Electronic Rate and Form Filing (SERFF). Many of these documents initiate further investigation and may involve detailed analysis and follow-up with the submitter and/or the insurer, and may require analysis and input from multiple areas of the CDI. If the items are received electronically, CDI staff route these items via email. However, in many cases, the documents consist of several attachments or very large volumes of materials. It is not an exaggeration that for some types of documents, the supporting materials span several (five to ten) boxes of paper documents. Routing of these documents is cumbersome, expensive, and involves risk of damage or loss to the documents. Use of a courier also introduces the risk of improper disclosure or loss of sensitive and/or confidential documents. This could expose the CDI to potential legal liability and civil action, as well as disrupting the chain of custody for legal and enforcement documents.

Most of the CDI's records are stored for a minimum of five (5) years and often the files are stored for much longer. Licensing files are kept for five (5) years after the license has become inactive. In enforcement cases, the files are kept onsite at least until the case is settled which may take several years. Enforcement and Legal cases are notable for requiring numerous boxes of materials due to the amount of evidence seized and the paperwork involved in prosecuting a case. Several of the program areas refer back to prior year's work as part of processing incoming work. For instance, the Financial Analysis Division refers to prior year reports as part of their analysis of the insurer's current financial viability.

Thus, several areas have extensive on-site libraries or storage areas for these working files and reference materials. Some of the offices have installed facility upgrades to support the paper storage areas. The San Francisco office has reinforced the floor under the Legal central files and has installed power-assisted rolling shelving units in order to maximize the amount of storage space within the room. The Sacramento Tech Center office installed rolling shelves to maximize their storage, but some areas have already indicated they will need more storage space. The West Sacramento warehouse which stores, among other things, the producer licensing files expanded and reorganized their space. However at the current growth rate, the warehouse will be full within five (5) years, even with active purging of files. (The warehouse actively purges files based on defined retention criteria.)

III.3. CURRENT VOLUMES

Table III-1 summarizes the current types of files and average volumes of the typical documents received by the CDI, and the wide range of documents processed. While some of documents are periodic (such as the tax returns and license renewals), many are ad hoc with volumes that vary depending on the state of the industry and the economy. For more information on the processes and workflows, refer to Section I.8: Bidders' Library.

Table III-1.Current Volumes and Statistics

ITEM OR ACTIVITY	VOLUME (APPROXIMATE)	PROGRAM AREA
Total Number of CDI Staff	1,300	Department-wide
Number of Staff in Los Angeles Office	575	Includes satellite offices
Number of Staff at Sacramento Office	450	Includes satellite offices
Number of Staff at San Francisco Office	275	Includes satellite offices
Total Number of Active Companies	1,400 (average)	Legal – Corporate Affairs Bureau
Total Number of Active Insurance Providers	290,000 (average)	Producer Licensing Bureau
New Broker-Agent License Applications	70,000 yearly	Producer Licensing Bureau
Broker-Agent License Renewal Applications	110,000 – 120,000 annually	Producer Licensing Bureau

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION III – CURRENT PROGRAM AND SYSTEMS OVERVIEW

ITEM OR ACTIVITY	VOLUME (APPROXIMATE)	PROGRAM AREA
New License Background Checks Opened	300-350 monthly	Licensing Background Bureau
New License Background Checks Referred from Other Areas	800 – 1,000 monthly	Licensing Background Bureau
License Background Checks Referred to Legal	70 monthly	Licensing Background Bureau
Approved Licensing Educational Providers	760	Producer Licensing Bureau
Approved Licensing Educational Courses	13,000	Producer Licensing Bureau
Adjusters and Bail Bonds Files	4,376	Producer Licensing Bureau Warehouse
Producer License Files Stored at the Warehouse	1,000,000 (average)	Producer Licensing Bureau Warehouse
New Producer License Files Sent to the Warehouse to be Stored	200-300 daily	Producer Licensing Bureau Warehouse
Producer License Files Currently Checked Out from the Warehouse (at any given time)	1,700-2,000 (average)	Producer Licensing Bureau Warehouse
Consumer Complaints Filed	35,000 yearly	Consumer Services
Number of Companies with Complaints	800 (average)	Consumer Services
Number of Complaints Disputed by Company	10%	Consumer Services
Number of Phone Calls Received by Consumer Services	300,000 yearly	Consumer Services
Number of Electronic Contacts Received from Consumers	30-50 monthly	Consumer Services
Public Records Act Requests Received	100-150 monthly	Custodian of Records
Subpoenas Received	200 year-to-date (2007)	Custodian of Records
Fraud Referrals Received	25,000 yearly	Enforcement – Fraud
Percentage of Referrals that become Cases	20-25%	Enforcement – Fraud
Percentage of Cases that are Presented for Prosecution	90%	Enforcement – Fraud
Suspected Violation Complaints Received	100-200 monthly	Enforcement - Investigations
Contacts Received by Ombudsman	1,500-2,000 yearly	Ombudsman
Statistical Data Calls Performed	33 yearly	Statistical Analysis
Rate Specialist Data Calls Performed	10 yearly	Rate Specialist

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION III – CURRENT PROGRAM AND SYSTEMS OVERVIEW

ITEM OR ACTIVITY	VOLUME (APPROXIMATE)	PROGRAM AREA
Rate Filings Received	6,000 – 8,000 yearly	Rate Regulation
Tax Returns Processed (CY 2006)	3,300	Accounting
Emails Stored	60,000 - 70,000 monthly	Department-wide
Faxes Received	6,000 – 7,000 monthly	Department-wide

III.4. EXISTING SYSTEMS OVERVIEW

The following section describes the existing document management systems in use at the CDI. It is anticipated that these systems would be replaced by the PWP.

III.4.1. PSIGEN SCAN HQ/IMAGE HQ SYSTEM

The purpose of the Producer Licensing Bureau's (PLB) Psigen Scan HQ scanning system is to automate the processing of producer license renewals, by using scanning and data capture to automatically read data from the form. The PLB sends out renewal notices with an attached coupon that contains appropriate encoding to aid in the scanning. The licensee returns the coupon with a check for the renewal fees.

PLB staff receive the renewals, scan the coupons or form using a high-speed Kodak scanner, verify the scan passes quality checks using the Scan HQ product, and indexes the images with appropriate information to allow retrieval later. The system uses Scan HQ to perform zone OCR to capture the license number and last name of the licensee from the renewal coupons. For non-coupon forms, the scanning operator must key enter the number and last name from the image. The image data is retained on the scanning system. The Image HQ product is used to retrieve and view stored images. The images are indexed by license number and last name. The PLB processes approximately 10,000 renewals per month about 40% of which are received in paper for scanning.

The Psigen Scan HQ system is comprised of Psigen's Scan HQ and Image HQ software products (version 2.21) and a Microsoft Access DB running under Microsoft Windows XP. The Psigen Scan HQ system utilizes a Kodak i280 scanner with a barcode reader. There is one scanning workstation. Scanning and profiling can only be performed on this scanning workstation.

III.4.2. OPEN TEXT/HUMMINGBIRD DM SYSTEM

The purpose of the Open Text/Hummingbird DM product is to manage the documents generated by the Legal Branch and Administrative Hearings Bureau. DM is integrated with the eCounsel legal case/matter management system that is used for tracking the CDI's legal matters and litigation assignments. The DM product may be accessed from within eCounsel, Microsoft

Outlook (to store email), Word, and Excel. It is also used to store PDF files and some scanned images. The CDI originally purchased the product in the 1990s when it was named DocsOpen. It was renamed to Hummingbird DM in 2002, and the product was acquired by Open Text in 2006.

When storing a document to DM, the user is prompted to complete a document profile based on key fields and identifying information (i.e., metadata), such as document name, document type, owner, matter, document date, etc. The file is then stored to the repository. DM allows the user to set security rights for the document and to establish different versions of the document. There is also a feature that allows users to mark documents for posting to the web and an automated process then performs the posting to the CDI Internet site via CommonSpot.

The DM product also is used by the Market Conduct Division to publish their examination reports of insurers to the web. Market Conduct has implemented a simulated workflow review and approval process through DM to speed and track the approvals of the examination reports. Once the examiner completes the development of the report, it is saved to DM and an email is created to route the report to the appropriate supervisors and managers for approval. Upon approval, the report is marked for publishing and posted to the web. Market Conduct does not use DM as a repository for all of their documents due to a limited number of licenses.

The Open Text/Hummingbird DM product runs on Microsoft Server 2003 network platform. The server is maintained in San Francisco. The CDI does not have a dedicated scanning station for the DM system. Staff may scan documents via a flatbed scanner or a multi-purpose copier/printer[1] and then import the document into the database. Files are stored in their native format or in PDF. The database server is located at the Department of Technology Services (DTS) in Rancho Cordova, California. The Open Text/Hummingbird DM Server is version 5.1.0.5 SR6 MR4 and Open Text/Hummingbird Web Publishing 5.1.0.5 SR1, running with an Oracle DB 10g. It is integrated with the Bridgeway eCounsel product 7.3.0.10.

III.4.3. PARADOCS SYSTEM

The Rate Regulation Branch (RRB) uses the ParaDocs system to scan, store, process, and provide public access to the rate filings from insurers. Members of the public may view the rate filings via a PC in the public viewing rooms at the Los Angeles and San Francisco offices or via the Internet.

RRB staff receive and open the filings, verify the filings are complete, and insert bar-coded separator sheets to assist with identifying and profiling the documents. The rate filing package is scanned using a high speed Canon scanner. The scan operator performs a quality check of the images for readability and completeness. Information from the CDI's in-house Oracle DB is downloaded to assist with the identification and profiling step. In most cases, the scan operator must only key enter one to two fields of data for the document profile. It is only on the very large documents that the scan operator has to key enter all of the profile information (large rate

[1] The CDI has a number of multi-purpose copier/printers that are used to perform ad hoc scanning. The copiers are enabled to email the scanned document to a selected CDI user in PDF format.

filings may have up to 18 exhibits and attachments). Once the profile information is entered, the images are stored and made available to the CDI analysts and the public.

The RRB receives between 6,000 – 8,000 filings per year, with about half of the filings being submitted via SERFF. In these cases, they scan a coversheet into ParaDocs to indicate the data is available from SERFF (the SERFF filing is not imported into ParaDocs).

The ParaDocs system is an open source application. ParaDocs runs under Red Hat Enterprise Server 3 and uses a high-speed Canon 9080C scanner. The server is located at the Los Angeles office. There are scanning stations at both the Los Angeles and San Francisco offices. The scanning workstations run Microsoft Windows XP. Scanning and profiling can only be performed on these designated scanning workstations. The product modules include WebExplorer version 4.2, PDImaging version 3.1.55 and PD Batch Scanning Module version 3.1.83. The product is written in Java and PHP with a Postgre SQL DB.

III.5. EXISTING TECHNICAL INFRASTRUCTURE

The following sections summarize the CDI's current technical infrastructure.

III.5.1. NETWORK

The CDI data network supports 164 Intel-based servers and fourteen (14) Sun/Solaris systems, 1600 desktop PCs, and 550 notebook PCs, distributed across the three (3) main offices, eleven (11) satellite offices, and one (1) warehouse location. The CDI's primary applications are hosted on the application servers at the CDI and the database is hosted by the DTS Data Center.

III.5.2. WIDE AREA NETWORK (WAN) ARCHITECTURE

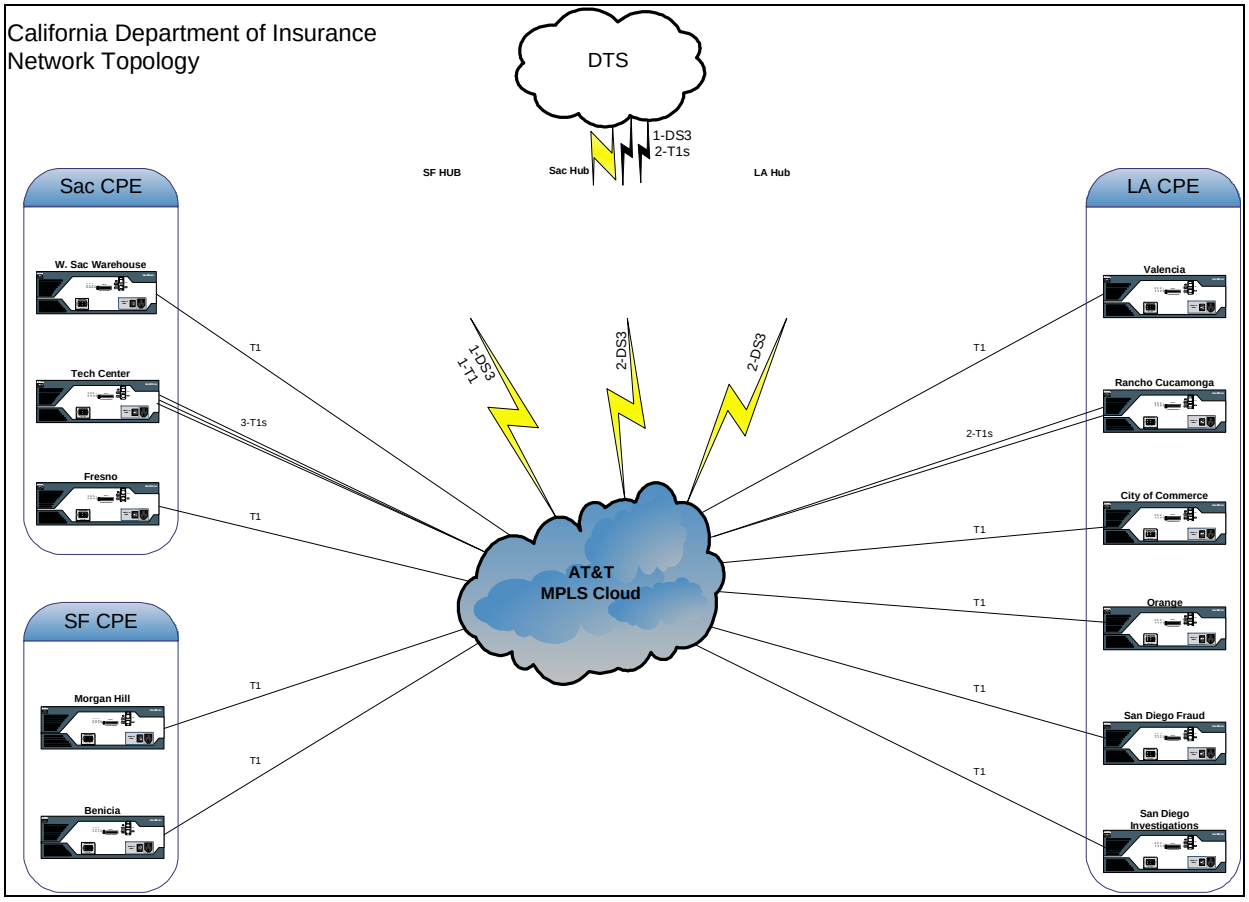
The WAN architecture for the CDI is shown in Figure III-2. An MPLS diagram is available in the Bidders' Library (refer to Section I.8: Bidders' Library). The Sacramento office provides the main connectivity to the DTS via a DS3 data link (up to 45 Mbps) to the Department of Motor Vehicles (DMV) Point of Presence (POP) together with a backup route of two T1 data links to the Department of Finance (DOF) POP. The DTS also provides Internet access for the CDI via a DS3 data link.

The Los Angeles office is connected to the Sacramento office over one DS3 data link, the San Francisco office is connected to Sacramento over one DS3 data link, and there is one DS3 data link between the Los Angeles and San Francisco offices. Any individual DS3 data link outage shifts the traffic to the remaining data links allowing uninterrupted access to the DTS applications. Further, the ring architecture between the three offices provides an alternative route in case the entire data link group fails.

The satellite offices are connected to one of the main offices over T1 data links, though there is no backup provision for these data links. The total number of T1 data links for the WAN data network is 19.

The DTS is responsible for the operation and management of the CDI WAN including the routers and the data links. The routers in the three main offices for the CDI intranet are all Cisco 7509 routers. The external router connecting the CDI intranet to the DTS and the Internet is a Cisco 7204. The satellite offices are connected to the main offices by Cisco 2651 routers.

Figure III-2. CDI WAN Architecture



III.5.3. LOCAL AREA NETWORK (LAN) ARCHITECTURE

The three (3) main CDI offices in Sacramento, Los Angeles, and San Francisco follow a two-tier switched LAN architecture. The core switches are Catalyst 6509s with dual supervisory modules. The access layer switches are stacked layer 3 Cisco Catalyst 3750s in the wiring closet. There is 1 Gbps fiber data links connecting the core switches to the access layer switches. There are 100 Mbps data links connecting the distribution switches to the desktops and servers.

III.5.4. NETWORK SECURITY

The main security for the CDI intranet is provided by dual Cisco ASA 5550 firewalls, arranged in a hot standby failover configuration. WebsenseTM is used to control applications that can traverse the firewall. Currently, the CDI uses Intrushield for network-based intrusion protection and HIPS as the host-based intrusion protection.

The Demilitarized Zone (DMZ) hosts the load-balanced servers for the CDI website and the external File Transfer Protocol (FTP) server. The Virtual Private Network (VPN) server for remote login stands alone. By hosting these publicly accessible resources in the DMZ, the firewall protects the CDI intranet from potential threats.

The CDI intranet uses TrendMicro's product line for virus and Internet security. Functionality in the implemented software includes:

- Antivirus scanning for servers, detecting and removing viruses from files and compressed files in real time before they reach the end user
- Real-time detection and removal of viruses from email and attachments before they reach the desktop
- Protection against the daily threats of file-based and network viruses as well as secure access from intruders, spyware, and other threats
- Internet gateway protection against viruses and malicious code

Any attacks (e.g., Denial-of-Service) must not be able to penetrate the firewall and compromise the intranet.

III.5.5. VIDEO CONFERENCING

The CDI video conferencing WAN network consists of a single T1 data link between the three main offices at Sacramento, Los Angeles, and San Francisco, the Sacramento Tech Center and Rancho Cucamonga offices in a ring configuration. Each office has a video conferencing facility served by the Polycom FXTM IP-based video conferencing system and a dual port Cisco 2610 router.

The CDI video WAN and LAN network are physically separate from the data WAN and LAN networks. The video streams require bandwidth of 384 Kbps. Hence, the T1 data links are only 25% utilized. Further, the WAN data links are used for video conferences only for short periods during the day.

III.5.6. VOICE OVER INTERNET PROTOCOL (VOIP)

The CDI has implemented VOIP as the replacement of its full telecommunications infrastructure. It uses the CDI's existing LAN/WAN as the primary transport system until a call must be moved to the Public Switched Telephone Network (PSTN). All switches supporting IP telephones were upgraded to Cisco model 3750 providing Power over Ethernet (PoE). These upgraded switches were also procured with battery backup devices providing limited continued usage in the event of a facility electrical outage.

III.5.7. LAN/WAN SERVERS

There are a number of servers connected to the LAN in each CDI location. These servers support general data processing functions, such as file and print services, and support specific applications such as Microsoft Exchange and Microsoft SQL Server. The CDI servers are refreshed approximately every four (4) years.

The CDI's IT network infrastructure includes the following components:

- Network Servers – The CDI has 164 network servers installed throughout fifteen physical sites. The current network servers have, at a minimum, XEON processors.
- Database Server (Enterprise) - The CDI leases two SunFire V880 servers with eight processors to support the development, test, and production database environments,

and a SunFire V890 to support CDI's data warehouse. These servers are housed at the DTS.

- Web Servers – The CDI's Internet/intranet websites are supported on Windows 2003 Servers. The CDI's Oracle Internet Application Server also runs Apache Web Server version 2.24 (Unix). There are six web servers running Microsoft Internet Information Server (IIS) version 6, and three web application servers (for the CommonSpot content management system) running Microsoft IIS 6 and ColdFusion 7. The CDI uses the Microsoft FTP protocol on a Windows 2000 server with IIS enabled.
- Email Servers – The CDI is preparing to upgrade to Microsoft Exchange 2007. The upgrade is scheduled to be complete in June 2009.
- Application Servers – The CDI currently has fourteen (14) application servers that support client server and Internet/intranet web-based applications. There are six production servers, three development servers, and three test servers running Solaris 10g with an OAS of 10.1.2.2 on an Oracle 10g database. In addition, there is one production server and one development/test server for Oracle Financials running on Solaris 10 with an OAS of 10.1.2.2 and an Oracle 9.2.0.8.0 database.
- Virtualization Software – The CDI uses VMWare 3.5, update 3.
- Video Servers - There are eight servers: seven Xserve Quad Xeon servers and one Xserve RAID server using the Tiger OSX operating system.
- Network Protocols – The CDI uses TCP/IP for network protocols.
- Office Cabling – All CDI offices are wired using CAT5e cabling as the standard for network connectivity.
- Anti-virus - The CDI uses TrendMicro Office Suite anti-virus software, which includes OfficeScan for the desktop and servers, ScanMail for Microsoft Exchange environment, and Brightmail using Symantec Anti-virus for Internet protection.
- Backup Software - The CDI uses CommVault Galaxy enterprise-wide backup software, and the DTS uses Legato NetBackup for the SunFire V880 database server. Currently, the backup policy for file and print servers is 90 days, with full backups occurring every four weeks. The email policy is 30 days with full backups occurring weekly. Incremental backups are run Mondays through Fridays and full backups occur Friday nights. The CDI also uses an EMC Avamar deduplication appliance for the backup of all Fraud Division satellite office file and print servers.
- Backup Tape Libraries - The CDI uses ADIC backup tape library products in support of backup processes. There are three total libraries – one at each main office, and there is a Gateway (Quantum) superloader at the Sacramento Tech Center location. The EMC Avamar appliance also is located at the Sacramento Tech Center office.
- Failover – Standby units are installed for the CDI's firewall and Microsoft Exchange, and are ready to take control should the active unit fail to perform its functionality.

- Sniffers – The CDI has deployed Netscout appliances to analyze and troubleshoot the network.
- Storage Area Network (SAN) / Network Attached Storage (NAS) - The CDI has installed EMC CLARiiON CX700 Networked Storage System, and Cisco NS500 Network Attached Storage (NAS). The CDI uses EMC Snapview as a backup and recovery accelerator, EMC Celerra Filemover and anti-virus products, and EMC Celerra Network Attached Storage Software. There are 67 drives at 146GB per drive, with SAN currently using approximately 680 MB, and the NAS using approximately 651,399 GB.
- Search Engine Appliance – The CDI uses two Google Minis (Search Engine Appliances). One is used for the CDI Public site and the other is used for the CDI intranet.
- Virtual Private Network (VPN) – The CDI uses the Cisco VPN 3000 concentrator appliance to provide secure network access to remote users. Notebooks that connect to the CDI's internal network are configured with VPN Dialer to provide a secure encrypted data connection. The CDI also utilizes VMWare Virtual Desktop Infrastructure (view) that allows remote users enhanced security through a web browser to virtual machines.
- Desktop PCs – The CDI's network consists of approximately 1600 desktop PCs.
- Notebook PCs – The CDI's network consists of approximately 550 notebook PCs. Approximately 20 laptops are using Cisco softphone technology allowing call center staff to work from home or alternate worksites during emergency or disaster scenarios.
- Printers/Scanners – In addition to the scanners for the Psigen Scan HQ and ParaDocs systems, the CDI's network includes 385 networked printers and 190 scanners (portable, flatbed and/or high-speed scanners). Some of the bureaus are using Canon 9080C scanners on an ad hoc basis. There are also a number of multi-purpose copier/printer/scanners located throughout the CDI that are used for ad hoc scanning.
- Remittance Processor – The CDI uses a Unisys SmartSource Professional series remittance processor to scan and image checks and remittance coupons submitted to the CDI.

III.5.8. EXISTING SOFTWARE

III.5.8.1 Operating System Software

The CDI's IT network infrastructure includes the following operating system software:

- Network Operating System (NOS) – Network servers are currently running Microsoft Windows Server 2003 as its NOS.
- Authentication - The CDI uses an AAA server for Authentication, Authorization, and Accounting services. The devices and applications communicate with the AAA server through the Remote Authentication Dial-In User Service (RADIUS). The CDI

also uses Microsoft Active Directory with Windows Server 2003 as the Domain Functional Level as well as the Forest Functional Level.

- Desktop Operating System (OS) – Network desktops and notebooks are running Microsoft Windows XP Professional.
- Web Server Operating System – Web servers in support of the CDI's public website are running Apache Web Server version 1.3.19 and the Sun Solaris operating system, version 2.8. Microsoft IIS runs on web servers in support of the CDI's intranet, and on the web development servers.
- Application Operating System/Software – The CDI's application servers operate on Sun Solaris v.8 and v.10 utilizing the Oracle's 9 and 10g database software.

III.5.8.2 Database Management Systems

The primary database management system in use at the CDI is Oracle. The CDI currently has versions 9.2.0.8.0 and 10g of the database software in use. The primary databases are located at the DTS on Sun servers.

III.5.8.3 Email and Personal Productivity Software

All CDI PC workstations and notebooks include a standard set of personal productivity software which may include the following:

- Microsoft Office Applications – The standard application suite installed on the CDI's desktops and notebooks is Microsoft Office 2003 Professional Suite which includes Word, Excel, PowerPoint, and Access.
- E-Mail/Calendaring Software – Microsoft Outlook 2003 is used for e-mail and calendaring functions. The CDI is in the process of upgrading to Microsoft Exchange and Outlook 2007. The upgrade is scheduled to be complete in June 2009.
- Fax Software – RightFax 9.0.2.254 is used to send and receive faxes from user workstations.
- Web Browser Software – Microsoft Internet Explorer version 6 and 7 are the CDI's primary web browser.
- Project Management Software – Microsoft Project 2003 is used for creating and tracking project plans.
- Flowcharting and Diagram Software – Microsoft Visio 2003 is used to prepare flowcharts and diagrams.
- Portable Document Format (PDF) Software – Adobe 8 and 9 products are used in support of PDF files.
- Encryption – The CDI uses GuardianEdge Encryption Plus Hard Disk Version 7.1.3 for encryption of data on mobile computers.

III.5.8.4 Application Development Software

The following are the CDI's standard development tools:

- Application Development Tools – The Oracle Development Suite of applications is used and includes: Oracle Forms, Reports, Designer, Discoverer, JDeveloper 10.1.3.1; Balanced Score Card (BSC), Warehouse Builder, Workflow; TOAD (Tool for Oracle Application Development) v9.6; SQL Navigator; Oracle Portal; Crystal Reports, WebPL/SQL; PL/SQL; Oracle Enterprise Manager, iText 1.1.1.1; Java; JavaScript, Visual Basic (VB) Script; and, for version control, Concurrent Versions System (CVS) running on RedHat Enterprise 5, version 1.11.22.
- Web Content Development and Maintenance - Commonspot 4.6.2 by Paperthin is the CDI's standard for content management, and runs under Windows with an Oracle DB. Cold Fusion, HTML, and Macromedia Dream Weaver MX are also used for web development.
- Monitoring/Content Management Tools – NetTracker is used to track web statistics, LinkScan is used for website analysis, and WebSense is used for Internet filtering. Solarwinds version 7.0 SP3 is used for network monitoring.
- Middleware – Includes Oracle Internet Application Server 9.0.4.3.

III.5.9. EXISTING SYSTEMS

The following sections describe other existing systems that are salient to the PWP. Refer to Section IV: Proposed Solution for more information on how the PWP will affect these systems.

III.5.9.1 CDI's In-house Oracle DB

The CDI has an Oracle DB that is used to store data that is used at the enterprise level. The database contains a variety of data about the CDI's clients and customers, including company names and addresses. The DB runs on Sun Solaris servers that are located at the DTS data center. The schema is approximately 2.2 GB, the CDI production (CDIProd) database is approximately 80 GB (as of Feb 2009) with 102 GB capacity.

The Open Text/Hummingbird DM product interfaces to the in-house Oracle DB to obtain document profile information for validation purposes (company name, company data). The ParaDocs system also interfaces to the DB to obtain profile information for validation purposes.

III.5.9.2 Cosmos Licensing System/Sircon

The Cosmos Licensing System processes licensing applications and renewals for insurance brokers and agents. Cosmos is a COTS application with an Oracle database that is used to manage and track licensing applications and renewals, endorsements and terminations and name changes. The Cosmos system currently stores PDF versions of submitted applications.

The Cosmos system is being replaced by the Sircon COTS system which is an Internet-based application developed in Java and using an Oracle 10.1.2.2 database. The Sircon system is expected to be deployed in August 2009.

III.5.9.3 eCounsel Legal Case/Matter Management System

The Bridgeway eCounsel system is a COTS product used by the CDI's Legal staff for tracking legal matters and legal cases. The eCounsel system currently integrates with the Open

Text/Hummingbird DM product for managing the documentation associated with a legal matter/case. (Refer to Section III.4.2: Open Text/Hummingbird DM System)

III.5.9.4 Online Assistance System for Insurer Submittals (OASIS)

The OASIS system is a custom developed Java web application implemented in 2009 to support the Corporate Affairs Bureau and Financial Analysis Division. OASIS allows insurance companies to upload certain required financial filings (e.g., quarterly and annual filings) in an electronic format via the Internet. Insurance companies register to use the application, upload the required documents, and pay the required filing fees (via a passthrough to a third-party payment processing provider). The uploaded files are routed for processing and approval using the workflow features of the Serena Business Mashups product (2008 R2.7). The electronic files are stored in Serena's MS SQL DB as well as in an Oracle DB. Refer to the Bidders' Library for more information on Serena Business Mashups.

III.5.9.5 Time Activity Reporting System (TARS)

The TARS is used to collect CDI staff time reporting information. Staff report the amount of time spent on specific tasks and cases on a weekly or monthly basis. This information is used for reporting purposes and by some divisions to generate bills to external entities (such as billing an insurance company for CDI staff time spent performing an examination). All CDI staff enter their time into this system. This system was built using Oracle Forms 6i and uses an Oracle 10g database. The system contains approximately 15 years worth of data. TARS is approximately 600 MB, including all tables, procedures and indices.

III.5.9.6 Web Sites

The CDI uses CommonSpot as its Content Management System. Approximately 140 contributors provide content for both the intranet and Internet sites. The contributors create pages and use CommonSpot's workflow features to obtain approval to post the materials. The intranet is treated as a dynamic site with content being made available upon approval. The Internet site is treated as a separate static view. There is a copy process that runs approximately every 15 minutes to refresh the Internet site. This allows the public site to be available, even if the CommonSpot repository is unavailable.

III.6. STANDARDS AND METHODOLOGIES

The following are the CDI's standards and methodologies that the selected Bidder must comply with, as applicable, for any custom (i.e., not out of the box) elements of the proposed solution. These standards and methodologies are available from the Bidders' Library (refer to Section I.8: Bidders' Library).

III.6.1. APPLICATION DEVELOPMENT METHODOLOGY

The CDI IT staff are skilled and knowledgeable to support the existing systems development platform (Oracle) and have expertise in Java Programming.

The CDI has standardized on the Oracle Internet Development Tool Suite as the development software of choice. The IT Division has several development standards that include, but are not limited to, the items listed below. Refer to the Bidders' Library for copies of these standards.

- CDI Content Style Guide
- CDI Web Application Style Guide
- CDI J2EE Design Guidelines
- CDI Java Coding Standards
- CDI Application Template
- CDI System Development Methodology

III.6.2. PROJECT MANAGEMENT METHODOLOGY

The CDI has developed guidelines for project management based on the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK), and on industry best practices. The CDI's Project Management Methodology includes detailed written procedures and standard templates to be used for project management documentation.

The CDI administers a project management oversight program which ensures that IT Projects comply with minimum requirements for IT project management, project risk management, project oversight and project reporting activities at the agency and control agency levels as required by State policy.

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

SECTION IV – PROPOSED SOLUTION

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

Table of Contents

IV. PROPOSED SOLUTION IV-1
IV.1. INTRODUCTION IV-1
IV.2. OVERVIEW OF PROJECT PHASING IV-1
IV.2.1. Phase 1 – Repository and Internal Forms IV-1
IV.2.2. Phase 2 – Internal and External Processes IV-2
IV.2.3. Phase 3 – Scanning Centers IV-3
IV.3. SYSTEM VISION IV-4
IV.3.1. Functional Components IV-4
IV.3.2. Business Processes IV-7
IV.3.3. External Users and Public Access IV-9
IV.4. TECHNICAL VISION IV-9
IV.4.1. Servers IV-9
IV.4.2. Scanners and Profiling Workstations IV-10
IV.4.3. Desktop/Laptop Workstation Configuration IV-10
IV.4.4. Software Components IV-11
IV.4.5. Information Security and Confidentiality IV-11
IV.4.6. Data Conversion IV-12
IV.4.7. System Interfaces IV-12
IV.5. AVAILABILITY OF CDI STAFF IV-13

List of Tables

TABLE IV-1. CDI PROJECT STAFF IV-13

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IV – PROPOSED SOLUTION

IV. PROPOSED SOLUTION

This section describes the CDI's vision for the PWP and is provided to guide the Bidders in designing and proposing a solution for the PWP. The detailed requirements are contained in Appendix E: Detailed Requirements.

IV.1. INTRODUCTION

The selected Bidder will implement an enterprise electronic document management and workflow system[1] which will achieve a paperless workflow environment throughout the CDI. The selected Bidder will perform business process analysis to identify the best strategy for implementing electronic methods internally to reduce the amount of paper handling for the CDI's internal processes. The CDI will convert incoming paper submissions to electronic format at the point of receipt (through scanning technology) and move to an electronic workflow-based system to streamline processing and recordkeeping. Where possible, the CDI will work with external entities to transition to receiving electronic submissions instead of paper submissions.

End users will use the new system in place of the current document management systems and network share drives as the primary repository for documents generated and received by the CDI. Upon creating or importing a document to the repository, users will be prompted to complete an identification profile of metadata information that describes the document to assist with searching and reporting. Where appropriate, workflows will be used to route the document for assignment, processing, review and approval, and will allow tracking of the progress through the workflow. Users will be trained on the use and features of the system, and will be trained on the specific workflows that will be used in their job duties. The system will manage document security based on user role, document type, and organizational rules.

IV.2. OVERVIEW OF PROJECT PHASING

Due to funding requirements, the project will be implemented in three (3) phases. The following sections summarize the expected activities for each phase. The specific requirements and services to be provided are contained in Appendix E: Detailed Requirements. The constraints surrounding the three phases are described in Section V: Administrative Requirements.

Note that the CDI will not convert legacy paper files ("backfiles") as part of this project. However, the system must enable the CDI employees to scan and profile the historical files, as desired and as time permits, once the system is implemented.

IV.2.1. PHASE 1 – REPOSITORY AND INTERNAL FORMS

During the first phase, the selected Bidder will deliver, install and configure the hardware and software components for the document management repository(s), based on the design presented in the selected Bidder's response to this IFB. This includes installing and configuring

[1] In this IFB, the term "document" has been used since that is the current processing method. This term is meant to encompass scanned images, text documents, graphics, sound files, email, and any other electronic file stored to the repository.

hardware at all appropriate locations, as defined by the Bidder's proposed solution, including installing a hot-site at one of the CDI's main offices (expected to be the Los Angeles office).

The selected Bidder will analyze and validate the CDI's business processes and requirements for storage of in-house generated documents, internal and external forms, reports, processes, and incoming paper mail. Based on the analysis, the selected Bidder will design, configure and establish the necessary repository(s) and document profile(s) to meet the CDI's business needs. The analysis will include a review of the security requirements for each business organization within the CDI.

The results of the business process analysis will include a recommended priority for converting each of the CDI's existing forms, processes, and associated reports. The CDI will work with the Bidder to finalize the priority and select the items to be converted in each phase. For the purposes of this IFB, the CDI has established a fixed number of hours that will be used by the Bidder to convert and implement the selected processes. (Refer to Appendix E, Section E.1.3.1, Phase 1 System Design Services for the specific requirements.) The selected Bidder will analyze, redesign, configure and implement the selected forms, reports and processes using the proposed solution's eForms, workflow, and reporting components. Where appropriate, the selected Bidder will interface and/or export data captured from eForms and workflows to the CDI's existing Oracle-based systems for further processing and reporting. For example, some documents will need to be linked to one or more matters in existing case management systems, and document-related data will need to be transferred to one or more case management or tracking systems).

The selected Bidder will analyze certain existing CDI systems (refer to Section IV.4.7: System Interfaces) to determine the best method of integrating with these systems. The selected Bidder also will analyze the current network drive files and legacy document management systems (i.e., Scan/Image HQ, Open Text/Hummingbird DM, ParaDocs) to develop and implement a data conversion plan to transfer the existing files and associated profiles to the new repository(s). The selected Bidder will work with the CDI to determine the best strategy and timeline for converting the legacy documents and related data[2].

The selected Bidder will perform various levels of testing, including performance testing, and will train CDI users and technical staff on the use, operation and maintenance of the system. The selected Bidder will conduct a pilot to allow the CDI to test and verify the correct operation of the system with a small number of users, prior to deploying the system to the entire user community.

IV.2.2. PHASE 2 – INTERNAL AND EXTERNAL PROCESSES

During the second phase, the selected Bidder will focus on implementing the web portal and/or interface to CDI's existing web content management system (CommonSpot), additional internal

[2] The data conversion and interface efforts are anticipated to be split across the fiscal years. However, the CDI may convert all systems at the same time if it is deemed to be more cost effective. The Bidder must provide recommended strategies for converting files currently on the network drives, but is not responsible for converting items from the network drives.

eForms, implementing eForms for external entities, and acceptance of electronic files from the CDI's external partners. The selected Bidder will be responsible for analyzing, designing, testing, and implementing a selection of internal and external forms and workflows based on the fixed number of hours identified by the CDI (refer to Appendix E, Section E.1.3.1, Phase 2 System Design Services) for the number forms to be designed and implemented for Phase 2). The selected Bidder may continue data conversion and interface activities, based on the timelines established and agreed to during Phase 1.

The selected Bidder will conduct a pilot with a select group of users and external entities to test and verify the correct operation of the eForms and workflows. Upon successful completion of the pilot (and correction of any defects and resolution of any anomalies), the eForms and workflows will be deployed to the entire user community and appropriate external entities.

IV.2.3. PHASE 3 – SCANNING CENTERS

For the final phase, the selected Bidder will design and implement scanning centers at the three (3) main CDI offices and the West Sacramento warehouse to address documents received in paper format. The selected Bidder will travel to each of the locations, analyze the facility constraints, and make recommendations for configuring and preparing the site. The selected Bidder will deliver, configure and implement the necessary scanning hardware and software at each location.

The selected Bidder will analyze the current types of paper documents received, and will work with the CDI to redesign the process for handling incoming documents to take advantage of scanning technology, including performing converting imaged documents to text-based documents via Optical Character Recognition (OCR)[3]. The selected Bidder will design, configure, test and implement the appropriate workflows to route the scanned documents for processing, link certain documents with matters in existing case management systems, and may implement additional internal/external processes. The selected Bidder may continue data conversion and interface activities, based on the timelines established and agreed to during Phase 1. Refer to Appendix E, Section E.1.3.1, Phase 3 System Design Services for the fixed number of hours allocated for the additional forms and workflows.

The selected Bidder will conduct a pilot of the scanning operations to test and verify the correct operation of the scanning centers and integration with appropriate workflows. Upon successful completion of the pilot (and correction of any defects and resolution of any anomalies), the scanning centers will transition to production operations and scanning-associated workflows will be deployed.

[3] The majority of the CDI's incoming mail is not forms-based. The selected Bidder must provide recommendations for addressing the varied types of paper documents received and suggest appropriate methods of scanning and data capture to meet business needs. The CDI is pursuing other projects and efforts to expand form filing via the Internet, and does not presently intend to expand data capture from paper forms.

IV.3. SYSTEM VISION

The following sections describe the vision for the proposed solution from a functional component perspective and technical vision.

IV.3.1. FUNCTIONAL COMPONENTS

The proposed solution must address the following minimum components. The specific functional requirements are contained in Appendix E: Detailed Requirements.

IV.3.1.1 Document Repository

The CDI forms and documents will be stored in an electronic document management system and will be profiled so they are easily searchable. The proposed solution may include multiple repositories based on the specific business needs of the organization. However the goal is to promote sharing of information throughout the CDI to the extent permissible by law[4]. The CDI believes that, at a minimum, the Enforcement, Legal, Administration, and Executive Offices may need separate repositories, and it may be beneficial for each branch to have its own repository. The selected Bidder shall be responsible for analyzing the CDI's documents and business needs to determine the appropriate number of repositories.

Where appropriate, documents stored within the repository will be made accessible to the public via the Internet either directly from the repository or by exporting the items for use with CDI's content management system, CommonSpot.

The proposed solution will allow for scanned images, any documents received electronically (e.g., as an email attachment), and all documents generated by the CDI to be stored and profiled in the proposed solution. The system will accommodate storage and standard profiling for documents, email, faxes, voicemail messages, photographs, and video. Any item that is imported into the proposed solution will be categorized and appropriate security and user access controls will be applied.

The proposed solution repository will be integrated with the Microsoft Office suite of programs and Adobe Acrobat. This integration will allow users to open, close, and save documents in the repository directly using standard features of the Microsoft Office suite and Adobe Acrobat. The proposed solution also will automatically manage check-in, check-out, and versioning of documents and will manage the versioning of documents. Document manipulation features will be provided to allow users, where appropriate and permitted, to make annotations, highlights and, if appropriate, manual redactions to a scanned image or PDF document. Annotations to non-image documents (e.g., Microsoft Word, Excel) will be handled by the native application. Users will access the documents in the repository based on the document's profile information. Full-text searching will be enabled for text-based documents and for documents which have been converted for searching via OCR technology.

[4] The CDI does receive and handle documents with personal identification and financial information, as well as sensitive legal and criminal documentation, which may require separate repositories or more stringent access controls.

IV.3.1.2 Document Profiles

When a document is stored or imported into the proposed solution, the user will be required to complete a document profile that summarizes the key information about the document. The profile information will be used for locating documents within the repository. Typical profile information will include the document title, creator and/or submitter, document date (i.e., date on the document), current date (i.e., date first stored in the repository), document type, and security level of the document. For documents that are linked to a matter in a case management system, the profile will also provide certain basic matter information such as the matter name and matter number. For documents that are published on the CDI public website the document profile will include information about web posting status including, but not limited to, the date the document was posted or is scheduled to be posted. Where appropriate, profile fields will be automatically populated by the system, such as via data capture from the scanned form or based on the selection of document type. The profile screen will make use of pulldown lists to reduce keying errors and auto-complete fields to minimize typing.

The proposed solution will manage access to documents based on user role and organization. Each document within the repository must have appropriate security established, as part of completing the document profile information. Access to documents will be controlled based on user roles and organizational area which will be determined upon login to the system. Documents which are considered part of the public record will be marked specifically as being appropriate to the public. Documents which are considered sensitive or confidential will be specifically marked as such, and will be protected from unauthorized access based on user role. If the user is not authorized to access the document, the document will not be presented in search lists or profile listings.

The proposed solution will allow a user to identify the appropriate retention period in the document's profile information or to use the default retention period based on document type. The system will then monitor and manage the retention. When a document reaches the end of its retention period, an alert or periodic report will be generated to allow an appropriate manager to confirm the archiving or deletion of the document. Where appropriate, documents will be archived to other storage media for long-term, but accessible, storage.

IV.3.1.3 Workflows

The proposed solution will provide workflow tools to allow the CDI to create and implement workflows which route documents within the proposed solution to designated users for review, action, and approval. The workflow tools will allow the CDI to automatically route documents based on business rules, system events (e.g., deadlines, elapsed time, receipt of a document, change in document status), and document type, as well as supporting ad hoc routing based on exceptions or special handling (e.g., Commissioner request).

Managers and supervisors will use electronic features to signify approval or disapproval of workflow items. The requestor will be notified of the approval or disapproval via a notification (if approved) or workflow (if corrections or changes are required). The approvals will be tracked and stored to ensure an audit trail is maintained.

The routing of workflow tasks will be recorded and tracked to assist with monitoring required deadlines, and where appropriate, automated notifications or escalation workflows will be used to reduce overdue tasks. The tracking data from the electronic workflow processes will allow the CDI to produce enhanced workload reports and to analyze and redesign inefficient processes.

If appropriate for the external process, the proposed solution will link to the CDI's credit card processor to allow for the payment of processing fees. The proposed solution is not responsible for processing or handling any credit card data.

IV.3.1.4 eForms

The proposed solution will provide features and tools to create eForms which will be used to capture data directly from CDI users and external entities. Existing internal forms will be converted to eForms, and workflow rules and processes will be implemented to route the eForms and documents to the appropriate role or bureau for processing and approval. Where appropriate, the proposed solution will accept documents from external entities (via email, fax or upload) and will route the eForms and external document submissions using electronic workflows. Data captured from the eForms will be provided to the appropriate CDI application for further processing and action. Where required, the eForm could be printed to paper format.

CDI staff working offsite will be able to access the repository remotely via the CDI's VPN and will be able to complete eForms and perform workflow tasks just as if they were working in the office.

IV.3.1.5 Scanning

The selected Bidder will design, deliver, and install scanning equipment to establish scanning centers in each of the CDI main offices (i.e., Sacramento, Los Angeles, and San Francisco) and at the West Sacramento warehouse. The selected Bidder will configure the system so that received mail will be scanned upon receipt, and verified to meet quality checks for readability and completeness. Scanning staff may profile and route the scanned images of the documents electronically via rules-based workflow to the appropriate staff or bureau. In some cases, the scanning staff will route the image to the appropriate staff or bureau for profiling. Although most scanning is planned to be done at the point of receipt, the system must permit scanners located in program area offices to be used for scanning of highly confidential or sensitive documents.

The Accounting bureau has a remittance processor that currently is used to image received checks. These images are intended to be uploaded to and accessible from the repository.

When items need to be routed to other bureaus for assistance or coordination, the document will be routed either via a workflow item or via email (with a link to the appropriate document in the repository).

For a majority of the transactions, data capture and/or OCR will be performed during scanning to convert collected data to usable text data and/or to provide the data to other CDI systems. The proposed solution must provide the ability for select image documents to be converted to a text-based format that will provide for full text searching of the document.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IV – PROPOSED SOLUTION

IV.3.2. BUSINESS PROCESSES

The selected Bidder will perform business process analysis of CDI's processes and develop a strategy for converting the CDI's business processes to electronic methods. All forms and processes will be evaluated and given a priority for conversion. The analysis will define how and when each process will be converted. The goal is to convert as many processes as possible during the project, however, it is anticipated that some less critical processes may be assigned for completion by trained CDI staff after the project has been completed.

The CDI has identified the first five (5) highest priority forms that will be analyzed and redesigned during Phase 1 of the project (refer to Appendix E, Section E.1.3.1, Phase 1 System Design Services). The selected Bidder will perform additional analysis of the remaining internal and external forms, and redesign and convert a fixed number of these processes/forms, based on the selected Bidder's recommended priorities as approved by the CDI. Existing enterprise internal processes to be analyzed for conversion include, at a minimum, the following processes. Refer to the Bidders' Library for a more complete list of the processes along with more detailed information on the processes.

1. Attendance Requests
2. Training Expenditure Requests
3. Acquisition Requests
4. Contract Requests
5. Personnel Requests
6. Benefit Forms
7. Attendance Reports
8. Employee Development Plans
9. Employee Award and Recognition
10. Exam Selection
11. Staff Appointments and Separations
12. Requests for Program Area Services (1 for each Branch)
13. Cellular Phone Usage Certifications
14. Facility Change Requests
15. Form 700 – Statement of Economic Interest
16. Requests for Files from State Records Center, Multiplex, or CDI Warehouse
17. Payroll Requests
18. Invoice Approvals
19. Property Survey/Transfer Requests

20. Incident Reports

21. Travel Requests

22. Premium Tax Return Process

Existing program processes to be analyzed for conversion (some of which involve external entities) include, at a minimum, the following processes. Refer to the Bidders' Library for a more complete list of the processes along with more detailed information on the processes.

1. Requests for Bill Analysis (among CDI program areas)

2. Ombudsman's Request for Assistance (received and routed appropriately among CDI programs)

3. Review and Approval of Exam Reports (generated by Field Examiners, Market Conduct Examiners, or Investigators).

4. Review and Approval of Generated Billings

5. Routing of Suspected Fraudulent Claims

6. Incoming Payments/Revenue

7. Routing of Consumer Complaints

8. Public Access to:

8.a. Consumer Complaint Study

8.b. Exam and Investigation Reports and Rebuttals

8.c. Annual and Quarterly Filings

8.d. Rate Filings and Rate Reports

8.e. Rule Making Files

8.f. Policy Approval Files

8.g. Administrative Hearing Bureau Files

8.h. Press Releases

8.i. Policy Research Reports

8.j. Enforcement Action Documents

8.k. Regulation Documents

9. Review, Audit, Extensions of Premium Tax Returns

10. Penalties and Fines Resulting from Examinations or Data Calls

11. Approval of Press Releases

12. IT Project Initiation and Approval

13. Review and Approval of IT Project Management Forms
14. Approval of Marketing Materials for Consumer/Industry Education and Low Cost Auto
15. Approval of Application to be a Community Development Financial Institution (CDFI)
16. Review and Approval of Licensing Education Providers and Courses
17. Review of Licensing Compliance Referrals
18. Review of Licensing Background Referrals
19. Approval of Grant Applications
20. Review of Search Warrant Plan of Action
21. Approval of Rate Changes
22. Review of Corporate Affairs Applications
23. Review of Licensed Eligible Surplus Line Insurers (LESLI) Applications
24. Review of Policy Approvals
25. Public Records Act/Subpoena Requests
26. Review of Draft Regulations/Legislation
27. Review/Rewrites of Proposed Legal Decisions
28. Legal Case Closings
29. Review/Approval of Investment Products

IV.3.3. EXTERNAL USERS AND PUBLIC ACCESS

CDI staff working remotely in the field must be able to access the repository, complete and submit eForms via workflow, and respond to workflow tasks in the same manner as if they were working in the office. External entities must have the ability to complete eForms and upload attachments and supporting documents to/with the eForm, which will be routed for processing using workflow features.

Also, there are a large number of CDI's documents that should be accessible to the public via the Internet. These documents include a large number of documents that are currently posted automatically to the appropriate webpage based on the type of matter the document is linked to in the eCounsel case management system. The proposed solution must provide a web portal feature or similar method of addressing these needs, and the associated security requirements.

IV.4. TECHNICAL VISION

This information is provided to give the Bidders a framework for proposing a technical solution to meet the CDI's requirements based on the CDI's existing infrastructure and constraints.

IV.4.1. SERVERS

The technical platform will be proposed by the selected Bidder, but will be required to comply with the CDI's technical and security standards. The proposed solution must reside on Windows

servers and will be required to use an Oracle database. The CDI estimates that the total storage needs will be at least 100 TB, which may be phased in over the course of the project.

In addition, the selected Bidder will assess the CDI's recently acquired workflow product, Serena Business Mashups, and determine whether the investment can be leveraged in any way to support the enterprise solution. Refer to Section I.8: Bidders' Library for more information on the CDI's technical standards and current products. If the Bidder elects to use the Serena product, the Bidder must provide the necessary additional licenses to support this project.

The proposed solution will reside at the CDI's Sacramento location with a hot-site to be installed at one of the CDI's other main offices (i.e., San Francisco or Los Angeles) to allow the CDI to shift operations to a separate facility in the event of a disaster at the main site. The Bidder must include the "hot site" configuration as part of the proposed hardware. The proposed solution will require a network storage device(s) that will ensure the integrity of the scanned images for legal and enforcement purposes.

The system must use virtualization in keeping with the CDI's efforts to streamline its infrastructure, and the servers must be licensed accordingly. If data is to be cached at the main offices, the data must be synchronized with the main servers during non-core hours. Core hours are defined as Monday through Friday, 6:00 a.m. through 8:00 p.m.

IV.4.2. SCANNERS AND PROFILING WORKSTATIONS

Scanning centers will be implemented at the three main offices (Sacramento, San Francisco, and Los Angeles) and at the West Sacramento warehouse. The CDI will use its existing mail opening equipment and an estimated 300 square feet will be made available in each main office site for the scanning centers. Each scanning center will include a minimum of two (2) scanners (one high-speed and one flat-bed) and two (2) workstations to support scanning and profiling. The scanning workstations are expected to be dedicated machines connected to the scanners which will be used for validating image quality and results of data capture. The CDI requires the ability for either the scanning operators or staff in the individual bureaus to be able to perform the profiling functions.

The CDI will provide scanners and profiling workstations for the satellite offices, where appropriate, to assist with converting historical files[5]. The proposed solution must permit scanning to be performed at any of the scanning centers, providing the CDI with redundancy in the event of a problem or disaster. The system must permit users to import, profile and route via workflow any images scanned on the CDI's existing copier/scanners.

IV.4.3. DESKTOP/LAPTOP WORKSTATION CONFIGURATION

The proposed solution should not require any changes to the standard workstation configuration (refer the Bidders' Library for the standard workstation configuration). However for those users who perform complex analytical tasks, the CDI will provide a second monitor or larger monitor to facilitate comparison of multiple documents and analysis of several reference documents simultaneously.

[5] The CDI will be responsible for converting the historical ("backfiles") files separately from this project.

IV.4.4. SOFTWARE COMPONENTS

The following summarizes the required software features for the document management system. Specific requirements are contained in Section V: Administrative Requirements and Appendix E: Detailed Requirements.

- Document management software, including
  - Repository(s) for managing the documents
  - Profiling and searching features, including full-text searching of text documents
  - Version control and check-in/check-out features
  - User and document security features
  - File import and export features
  - Web portal features
  - Document manipulation features (e.g., zoom, rotate, highlighting, annotations/notes, date stamping, redaction)
  - Document comparison tools[6]
  - Basic reporting features (for reporting on the contents of the repository)
  - System administration reporting features
  - Retention and archiving features
  - eForm and workflow and routing features, including approvals, automated notifications, and reporting
  - eForm and workflow development and implementation/management tools
- Scanning and quality verification software, including
  - Scan and rescan features, to address image quality concerns
  - File conversion features (e.g., TIFF to PDF, JPG to PDF)
  - Data capture to allow automatic capture of data from eForms and documents
  - OCR features, including tools to convert image documents to text documents

IV.4.5. INFORMATION SECURITY AND CONFIDENTIALITY

The proposed solution must comply with the CDI's information security policies and State policies that are currently in place (refer the Bidders' Library for the policies and standards). Because some of the documents that the CDI receives contain financial and/or personal information, access to the documents will be controlled based on user role, document type and business rules. The system also must have redaction and audit features to log who accessed a document and the date and time of access.

[6] The built-in features of MS Office and PDF are not sufficient to meet the CDI's needs.

IV.4.6. DATA CONVERSION

The proposed solution will replace the CDI's current ParaDocs, Open Text/Hummingbird DM, and Scan HQ systems, and the existing data (both the images and profile data) from those systems will be converted to the proposed solution's repository. This includes maintaining data about the posting of documents to the CDI website(s) and information about the relationship a document has to a matter in existing case management systems, such as eCounsel. Other stored data files, such as from the online licensing application and the network share drives, may also be converted to the system (refer to the Bidder's Library for description of existing systems current profiles and volumes).

IV.4.7. SYSTEM INTERFACES

The proposed solution is expected to be interfaced or integrated with the various CDI Oracle-based systems. At a minimum, the proposed solution will interface with the CDI's in-house Oracle DB, Sircon, and eCounsel. Where appropriate, the CDI will be responsible for making the necessary changes to the existing systems to accept data from the proposed solution, including the systems listed below.

- CDI's In-house Oracle DB – The proposed solution will download information from the Oracle DB to populate fields and pulldown lists used by the proposed solution's profiling features and workflow features.
- Cosmos Licensing System/Sircon – The Sircon system is expected to interface to the proposed solution to allow users to store, retrieve, and view licensing forms and supporting documentation in the repository. The document repository should be accessible from the SIRCON system.
- eCounsel – The proposed solution will replace the current Open Text/Hummingbird DM product. The proposed solution will allow the linking of every Legal Division document with a matter in eCounsel.
- OASIS – The proposed solution will import and store documents and files submitted via the OASIS system, and allow CDI staff to access the files in the repository.
- SERFF – The proposed solution likewise will import and store documents and files downloaded from SERFF, and allow CDI staff to access the files in the repository. The SERFF files also may need to be accessible by members of the public.

The proposed solution will also be required to interface and/or export data captured from eForms, workflows and the scanning process to existing CDI systems. The specific data and systems will be dependent on the forms, reports, and processes prioritized and selected by the CDI in Phase 1. These interfaces/exports are included in the fixed hours assigned for process redesign and conversion.

Import and export features will be provided to allow authorized users to load files from other systems, or to export files to other systems or other media to respond to requests for information or reporting requirements.

The proposed solution will replace the existing workflow and e-publishing features of Open Text/Hummingbird DM that automates the publishing appropriate public documents to the CDI

public website. Where appropriate, documents may be made available to the public via a web portal attached directly to the repository. In other cases, documents would be exported and posted to the Internet via the current CommonSpot product and processes.

IV.5. AVAILABILITY OF CDI STAFF

The CDI will work with the selected Bidder to implement the system for the PWP. The CDI has identified the following staff to participate on the project. The CDI will ensure all CDI tasks are performed in a timely fashion, assuming the selected Bidder has provided sufficient notice of needed information and task dependencies.

Table IV-1. CDI Project Staff

ROLE	NUMBER	AVAILABILITY
Project Sponsor	1	Part-time
CDI IT Project Lead and Contract Manager	1	Full-time
CDI Information Security Officer (ISO)	1	Part-time
CDI Legal Advisor/Privacy Officer	1	Part-time
CDI IT Local Area Network Staff	1	Part-time
CDI IT Wide Area Network Staff	1	Part-time
CDI IT Application Development Staff	1	Full-time
CDI IT Database Administrator/Repository Administrator	1	Full-time
CDI IT Web Services Staff	1	Part-time
CDI IT Help Desk Staff	12	Part-time
CDI Repository Librarian	1	Part-time
CDI Scanning Staff	8	Part-time
CDI Program Subject Matter Experts (SMEs)	40	Part-time

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

SECTION V – ADMINISTRATIVE REQUIREMENTS

FINAL

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

Table of Contents

V. ADMINISTRATIVE REQUIREMENTS V-1
V.1. INTRODUCTION V-1
V.2. OPTIONAL BIDDING PREFERENCES AND INCENTIVES V-1
V.2.1. Target Area Contract Preference (TACPA) *V-2*
V.2.2. Enterprise Zone Act Preference (EZA) *V-2*
V.2.3. Local Area Military Base Recovery Act (LAMBRA) Preference *V-3*
V.2.4. Small Business Preference *V-3*
V.2.5. Disabled Veteran Business Enterprise (DVBE) Incentive *V-4*
V.3. MANDATORY ADMINISTRATIVE REQUIREMENTS V-4
V.3.1. Bidder Responsibility *V-5*
V.3.2. Subcontractors *V-7*
V.3.3. Certifications and Insurance *V-10*
V.3.4. Corporate Experience and Customer Reference Requirements *V-12*
V.3.5. Key Staff and Staff Management Requirements *V-14*
V.3.6. Contract Terms and Conditions *V-17*
V.3.7. Contractor Deliverables *V-25*
V.3.8. Payment Provisions *V-28*

List of Tables

TABLE V-1. PWP CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE MILESTONES V-29
TABLE V-2. MAINTENANCE AND SUPPORT SERVICES CONTRACT PAYMENTS V-32

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION V – ADMINISTRATIVE REQUIREMENTS

V. ADMINISTRATIVE REQUIREMENTS

This section details the administrative requirements of this IFB. Bidders must submit the required information to allow the State to validate and evaluate compliance with the requirements. The Bidder must commit to the administrative requirements by submitting a Form C3: Administrative Requirements Response Matrix in its Bid (Form C3 is available in Appendix C: Bid Response Forms). Refer to Section VIII: Bid Format and Content for more information on complying with the requirements of this section.

V.1. INTRODUCTION

In addition to meeting the functional and technical requirements of this IFB, Bidders must adhere to all the mandatory administrative requirements of this IFB to be responsive. These include:

- The rules in Section II: Rules Governing Competition;
- The schedule specified in Section I.5: Key Action Dates;
- The format specified in Section VIII: Bid Format and Content;
- The completion of cost worksheets specified in Section VII: Cost Requirements; and
- The mandatory administrative requirements contained in this section (Section V: Administrative Requirements).

In this section, the term “Bidder” is used to refer to any company or entity who has expressed an interest in bidding on the PWP project (refer to Section I.6: Intention to Bid and Confidentiality Statement). The term “Contractor” is used to refer to the Prime Contractor who will be awarded the contracts resulting from this IFB and is used when referring to activities that will occur during or after Contract Award.

V.2. OPTIONAL BIDDING PREFERENCES AND INCENTIVES

The following sections summarize optional bidding preferences and incentives that are available to the Bidder. Contracts awarded with applied preferences will be monitored throughout the life of the contract for compliance with statutory, regulatory, and contractual requirements. The State will take appropriate corrective action and apply sanctions, as necessary, to enforce preference programs.

These are preferences and incentives that are available to the Bidder, but are not mandatory requirements. The Bidder must indicate on Form C3: Administrative Requirements Response Matrix whether it is requesting any of the preferences/incentives. (Form C3 is available in Appendix C: Bid Response Forms.) If the Bidder is not claiming these preferences/incentives, the “No” response must be initialed on Form C3 and no further action is required. If the Bidder is claiming a preference/incentive, the “Yes” response must be initialed on Form C3 and the supporting information for the preference/incentive must be included in the Bidder’s bid.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION V – ADMINISTRATIVE REQUIREMENTS

The preferences related to worksite and economic development, if claimed and validated, will be applied as a credit to the Bidder's submitted costs for evaluation purposes only. The maximum credit for each of these preferences is $50,000 and the accumulated maximum credit for all of these preferences is $100,000. The Small Business Preference and Disabled Veteran Business Enterprise (DVBE) Incentive[1], if claimed and validated, will be applied after computing the Bidder's cost score but prior to computing the final bid score. These bidding preferences and incentives will be applied to the Bidder's score as described in Section IX.4.9: Application of Preferences and Incentives.

V.2.1. Target Area Contract Preference (TACPA)

The intent of the Target Area Contract Preference Act (TACPA) is to promote economic development and employment opportunities in distressed areas of the State by offering bidding preferences. Preference will be granted to California-based Bidders in accordance with Government Code Section 4530 whenever contracts for goods or services are in excess of $100,000, and the Bidder meets certain requirements as defined in the California Code of Regulations (Title 2, Section 1896.30) regarding labor needed to produce the goods or provide the services being procured.

Bidder's questions regarding this preference are to be directed to:

Department of General Services
Office of Small Business and DVBE Services (OSDS)
707 Third Street, First Floor
West Sacramento, CA 95606
Phone: (916) 375-4940

Bidders desiring to claim the TACPA preference must submit a fully executed copy of the STD Form 830 and any supporting information in the Bid. The STD Form 830 and related requirements are located at:

http://www.pd.dgs.ca.gov/edip/tacpa.htm

If there is no intention of claiming this preference, the Bidder does not need to submit the STD Form 830.

V.2.2. Enterprise Zone Act Preference (EZA)

The intent of the Enterprise Zone Act (EZA) is to promote economic development and employment opportunities in designated enterprise zones by offering bidding preferences on qualified solicitations.

Government Code Section 7070, et seq., provides that California-based Bidders may be granted a five percent (5%) enterprise zone worksite preference when bidding on State contracts in excess of $100,000 for goods and services, except in situations where the

[1] Note that there is a mandatory requirement for DVBE Participation that must be met (refer to Section V.3.2.4: AR #7: DVBE Participation Requirement). However, the incentive related to DVBE is optional.

worksite is fixed by the provisions of the contract. The California-based company must certify under penalty of perjury that no less than 50% of the labor required to perform the contract shall be accomplished at a worksite or worksites located in a designated Enterprise Zone (California Code of Regulations (CCR), Title 2, Section 1896 et seq.).

Bidders desiring to claim the EZA preference must submit a fully executed copy of the STD Form 831 and any supporting information in the Bid. The STD Form 831 and related requirements are located at:

http://www.pd.dgs.ca.gov/edip/eza.htm

If there is no intention of claiming this preference, the Bidder does not need to submit the STD Form 831.

V.2.3. Local Area Military Base Recovery Act (LAMBRA) Preference

The intent of the Local Area Military Base Recovery Act (LAMBRA) is to promote economic development and employment opportunities in designated military base areas by offering bidding preferences on qualified solicitations.

California Government Code Section 7118 et seq. and California Code of Regulations, Title 2, Section 1896 et seq. provides that California-based Bidders may be granted a five percent (5%) preference when bidding on State contracts in excess of $100,000 if they qualify for and apply for the LAMBRA Preference. The California-based company must certify under penalty of perjury that no less than 50% of the labor required to perform the contract shall be accomplished at a LAMBRA site.

Bidders desiring to claim the LAMBRA preference must submit a fully executed copy of the STD Form 832 and any supporting information in the Bid. The STD Form 832 and related requirements are located at:

http://www.pd.dgs.ca.gov/edip/lambra.htm

If there is no intention of claiming this preference, the Bidder does not need to submit the STD Form 832.

V.2.4. Small Business Preference

Per California Government Code, Section 14835, et seq., Bidders who request and qualify as a California-certified small business will be given a five percent (5%) preference for bid evaluation purposes only.

In addition, a five percent (5%) preference is available to a non-small business claiming 25% California-certified small business subcontractor participation. Bidders claiming this preference must be certified by California as a small business or must commit to subcontract at least 25% of the net bid price with one or more California-certified small businesses.

Completed small business certification applications and required support documents must be submitted to the OSDS no later than 5:00 p.m. on the Bid Submission Date, and the OSDS must be able to approve the application as submitted. Additional information on the small business preference is available at:

http://www.pd.dgs.ca.gov/smbus/default.htm

Bidders desiring to claim the Small Business preference must complete Form C15: Small Business Preference Notification (available in Appendix C), and submit proof of small business certification as described in Section VIII.4.2.2: Small Business Preference Notification. If there is no intention of claiming this preference, the Bidder must complete the appropriate section of the Form C15 and submit the form in its Bid.

V.2.5. Disabled Veteran Business Enterprise (DVBE) Incentive

In accordance with Section 999.5(a) of the Military and Veterans Code, an incentive will be given to Bidders who provide one percent (1%) or more DVBE participation. For contract award evaluation purposes only, the State shall apply an incentive to Bids that include California-certified DVBE participation as identified on the Bidder Declaration Form GSPD 05-105 and confirmed by the State. The incentive amount for awards is based on the amount of DVBE participation obtained. The incentive is given only to those Bidders who are responsive to the DVBE Participation Requirement and propose DVBE participation in the resulting contract. Refer to Section V.3.2.4: Disabled Veteran Business Enterprise (DVBE) Participation Requirement for a related Administrative Requirement, and Section IX.4.9.3: DVBE Incentive for more on how the incentive is applied.

If the Bidder proposes to use a DVBE firm(s), the Bidder must complete the appropriate information on the Bidder Declaration Form GSPD 05-105 to be eligible to receive the DVBE incentive. This form allows Bidders to identify if they are a DVBE and/or identify DVBE subcontractors, its proposed contract function, and the corresponding percentage of participation.

The GSPD 05-105 Form can be found at the following link:

http://www.documents.dgs.ca.gov/pd/poliproc/BidDeclar8-05.pdf

The Disabled Veteran Business Enterprise Declarations (STD. 843) form must be completed by a California-certified DVBE owner and manager of the DVBE who will be participating in the awarded contract. The form must be completed prior to Contract Award, but does not need to be submitted with the Bid.

The STD. 843 Form can be found at the following link:

http://www.documents.dgs.ca.gov/pd/poliproc/STD-843FillPrintFields.pdf

Note: The GSPD 05-105 Form is required even if the Bidder is not claiming this incentive. Refer to Section V.3.2.4: Disabled Veteran Business Enterprise (DVBE) Participation Requirement.

V.3. MANDATORY ADMINISTRATIVE REQUIREMENTS

This section contains the mandatory Administrative Requirements (ARs) for this IFB. These are requirements which the Bidder must meet as part of responding to this IFB, as well as requirements that the Bidder must comply with during the term of the contracts.

The Bidder must include the Form C3: Administrative Requirements Response Matrix (available in Appendix C) in its Bid and must initial each item signifying the Bidder will commit to meeting each requirement. The Bidder must not alter or reword any of the ARs or the corresponding Bid Response Forms (contained in Appendix C). Altering or rewording any AR or Bid Response Form may be considered a material defect, and may result in disqualification of the Bidder's Bid.

Where appropriate for the AR, the Bidder must also submit the additional required forms or supporting information as indicated for the specific AR. Unless otherwise specified in the detail of the AR, the Bidder need only respond once to any AR. The response will cover all phases of the project where the AR applies. If the Bidder identifies any of the submitted information as confidential and the State agrees, the information shall be treated as described in Section II.5.2: Disposition of Bids.

The ARs are pass/fail in nature (meaning that all requested items and provisions are included) and will be evaluated, as detailed in Section IX.4.2: Administrative Requirements Review. If the Bidder fails to commit to fulfilling the ARs (as indicated by initialing each AR in the matrix), the State Evaluation Team may consider the response to be incomplete and a material defect, which may result in disqualification of the Bidder's Bid.

V.3.1. Bidder Responsibility

Prior to award of the contracts, the State must be assured that the Contractor has all of the resources necessary to successfully perform under the contracts. This includes, but is not limited to, financial resources sufficient to complete performance under the contracts, adequate staffing with the skills required, equipment of appropriate type and in sufficient quantity, and experience in similar endeavors.

V.3.1.1 AR #1: Contractor Responsibility

The State requires the contracts resulting from IFB CDI 0845-39 to be issued to one Contractor who shall be responsible for successful performance of this IFB. The selected Bidder shall be responsible for the successful performance of all subcontractors and will be required to assume responsibility for design, development, testing, and implementation of the proposed solution. Furthermore, the State will consider the selected Bidder to be the sole point of contact with regard to contractual matters, and payment of any and all charges resulting from the outsource or purchase of the hardware and software for the term of the contracts.

The selected Bidder must serve as the system integrator for IFB CDI 0845-39 and must coordinate services with other entities, if necessary, for hardware and software testing and the resolution of communication problems. The Bidder must submit the Bid Certification Form (Appendix C, Form C4) agreeing to the terms and conditions of this IFB and accepting responsibility as the Prime Contractor, if awarded the contracts resulting from this IFB.

In addition, the Bidder must provide a Cover Letter for the Bid that commits to fulfilling the requirements of this IFB. The Cover Letter must be signed by an individual who is authorized to bind the company contractually (refer to Section II.3.5.5, Signature of Bid) and

must be on the Bidder's company letterhead stationery. The Cover Letter must include a statement that the Bidder commits to fulfilling the requirements of the IFB. The Cover Letter must not include any cost information.

The Contractor will be responsible for compliance with requirements under the contracts, even if requirements are delegated to subcontractors. All state policies, guidelines and requirements that apply to the Contractor also apply to subcontractors, as applicable to the products and services they provide and to their role as a subcontractor. The Contractor and subcontractors shall not in any way represent themselves in the name of the CDI or the State of California without prior written approval. There shall be no assignment of responsibility to a third party without prior written approval from the DGS.

If the Bid involves the use or modification of one or more products proprietary to another firm, the Contractor shall be responsible for acquiring a proper license for the State's use or modification of such proprietary products. No such license may be accepted without the review and written approval of the State. The Contractor is responsible for the delivery and maintenance of the entire business solution including equipment and services provided by other firms.

The Contractor is responsible for submitting a Bid that is responsive and responsible, meaning that it that clearly substantiates compliance, without material deviation, with all specifications, requirements, and the terms and conditions of the solicitation. [TITLE 2. Administration Division 2. Financial Operations Chapter 3. Department of General Services Subchapter 8. Office of Small Business Procurement and Contracts Article 1. General Provisions]

V.3.1.2 AR #2: Contractor Information and Proof of Responsibility

The Bidder shall provide the State with information on its background and qualifications to allow the State to validate the Bidder's ability to perform under the contracts. The Bidder must submit in its Bid an Executive Summary that describes its background, qualifications, and overview of the proposed solution and approach for implementing the PWP.

The Bidder's company, inclusive of name changes and mergers, must have been in existence for a minimum of five (5) years prior to the Bid Submission Date to ensure corporate stability. The Bidder must complete and submit the Bidder Information and Background form (Appendix C, Form C5). This form will provide the State information regarding company experience, company size, company market focus, company background, and experience in similar or dissimilar industries with projects of the same size and scope.

The Bidder must submit in its Bid a letter from an independent Certified Public Accountant (CPA) attesting that the Bidder's prior three (3) years of financial statements were audited and validate the Bidder's financial viability.

If, during the evaluation process, the State is unable to assure itself of the Bidder's ability to perform under the contracts, if awarded, the State has the option of requesting clarification from the Bidder on any information which the State deems necessary to determine the

Bidder's responsibility. If such information is required, the Bidder will be so notified and asked to clarify the response within five (5) State business days.

If the information submitted by the Bidder, or available from other sources, is insufficient to satisfy the State as to the Bidder's contractual responsibility, the State may ask for additional information or may reject the Bid and select the next most responsive Bid from a responsible Bidder. The State's determination of the Bidder's responsibility, for the purposes of this IFB, shall be final.

V.3.1.3 AR #3: Confidentiality

To preserve the integrity of the security measures integrated into the State's automated information systems, the Bidder agrees that all personnel (including all proposed subcontractors) assigned to the project will submit a signed confidentiality statement prior to commencing work on this project. The Bidder is required to sign the Form C2: Confidentiality Statement (available in Appendix C) and submit it by the date specified in Section I.5: Key Action Dates.

The Contractor engaging in services to the State pertaining to this project and requiring contact with State information will be required to exercise security precautions for data made available and must accept full legal responsibility for the protection of this confidential information. This responsibility includes financial, statistical, personal, technical and all other types of data and information relating to operations at the CDI and its stakeholders, whether expressly made available to the Contractor/subcontractor or encountered coincident to performing work on the contract (such as through programming or testing).

Under no circumstances shall the persons supplied by the Contractor use, publish, sell or otherwise disclose to any third party the contents of any records, data, or reports derived from data submitted for processing without the prior authorization and consent of the State in writing.

Any CDI data that is stored on a Contractor's moveable device[2] must be encrypted using a CDI-approved encryption standard. The current CDI laptop encryption tool is Guardian Edge. The Contractor shall not test or store CDI legacy or production data on its company servers or network.

V.3.2. Subcontractors

Using subcontractors to provide the products and services required by this IFB may enable Bidders to expand their ability to meet the needs of the State. However, use of subcontractors does not relieve the Bidder from any responsibility to the State under the contracts or this IFB.

[2] Moveable devices include laptops/notebook PCs, Blackberry/smartphones, removable storage such as flash drives, etc.

V.3.2.1 AR #4: Bidder Use of Subcontractors

Form C6: Subcontractor List (available in Appendix C) must be completed for the Contractor and all subcontractors. Additionally, the Bidder must identify any subcontractor(s) expected to earn ten percent (10%) or more of the compensation resulting from this IFB. If no subcontractors are being used, the Bidder must check the box on the Form C6 indicating subcontractors will not be used.

All state policies, guidelines and requirements that apply to the Contractor also apply to subcontractors, as applicable to the products and services they provide and to their role as a subcontractor. The Bidder must agree that all administrative requirements of this IFB will be adhered to and that requirements will apply to subcontractors, as applicable to the products and services they provide and to their role as a subcontractor, even if subcontractor concurrence is not specifically defined in the Administrative Requirement.

Upon award to a Contractor, notice shall be given by the State to the subcontractors listed in the Bid of their participation in the contracts. Notification to the subcontractors by the Contractor is encouraged immediately after award of the contracts.

During the term of the contracts, the State reserves the right to contact or consult with any subcontractor's representative, employee, or subcontractor of the subcontractor(s). Any contractual discussions and decisions will be conducted with the Prime Contractor.

V.3.2.2 AR #5: Subcontractor Information

Any subcontractor who is expected to earn ten percent (10%) or more of the compensation resulting from this IFB must agree to the terms and conditions of this IFB and must commit to fulfilling all Functional and Technical Requirements (as described in Section VI: Functional and Technical Requirement) applicable to the subcontracted work.

The Bidder must include the following subcontractor-completed forms in its Bid, for any subcontractor receiving 10% or more of the compensation from the Configuration and Implementation Contract. These forms will be reviewed, but are not used in evaluation of the Bid.

- Cover Letter signed by the subcontractor and committing to the requirements applicable to its work on the contract(s);
- Form C2: Confidentiality Statement;
- Form C4: Bid Certification Form; and
- Form C5: Bidder Information and Background.

V.3.2.3 AR #6: Subcontractor Replacement

The Contractor must have written approval from the State prior to replacement or substitution of any subcontractor, regardless of whether the replacement or substitution occurs before or after Contract Award. The Contractor must notify the State at least five (5) State business days prior to replacement or substitution of any subcontractor.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION V – ADMINISTRATIVE REQUIREMENTS

For any proposed replacement or substitution before or after Contract Award, the Contractor must provide the State with subcontractor references and resumes, in addition to meeting all other applicable requirements, and submission of all applicable forms in this IFB. The State shall have the right to contact references and evaluate the information provided and determine if the substitution or replacement is acceptable. Any substitution or replacement subcontractor shall have equal or better qualifications when compared to the subcontractor that is being replaced.

V.3.2.4 AR #7: DVBE Participation Requirement

The State has established a DVBE participation goal of three percent (3%) for this procurement. If the Bidder documentation shows participation of less than 3%, a Good Faith Effort or approved Business Utilization Plan must be documented. Refer to Section VIII.4.2.3: Disabled Veteran Business Enterprise (DVBE) Forms for the specific documentation that is required.

The Bidder must fully comply with DVBE Participation Program requirements. Failure to submit a complete response may result in a non-responsive determination, causing the Bidder's Bid to be rejected. More information about the DVBE Participation Program requirements and options to satisfying the requirement can be found at:

http://www.pd.dgs.ca.gov/publications/resource.htm

NOTE: In a Good Faith Effort, advertisement(s) must be published at least fourteen (14) days prior to the Bid Submission Date for a period of fourteen (14) days.

It is important to note that all participation commitments are to be captured on the Form STD 840 California Disabled Veteran Business Enterprise (DVBE) Program Requirements. The STD 840 form is available at:

http://www.documents.dgs.ca.gov/pd/poliproc/Std840webproof5.pdf

The GSPD-05-105 Form can be found at the following link:

http://www.documents.dgs.ca.gov/pd/poliproc/BidDeclar8-05.pdf

If a DVBE is used, the Form STD 843 Disabled Veteran Business Enterprise (DVBE) Declarations must be completed by the California-certified DVBE owner and/or manager who will be participating in the awarded contract. This form must be completed prior to Contract Award, but does not need to be submitted as part of the Bid. The STD 843 Form can be found at the following link:

http://www.documents.dgs.ca.gov/pd/poliproc/STD-843FillPrintFields.pdf

The OSDS offers program information and may be reached at:

OSDS
707 Third Street, 1st Floor, Room 400
West Sacramento, CA 95605
Homepage: http://www.pd.dgs.ca.gov/smbus
24-hour information and document request system: (916) 322-5060
Receptionist: (916) 375-4940
Fax: (916) 375-4950

The Form STD 840 and GSPD 05-105 are required even if the Bidder is not proposing to use a DVBE in the performance of the contracts resulting from this IFB.

V.3.2.5 AR #8: Commercially Useful Function (CUF)

Government Code Section 14387 et seq., requires all small businesses, microbusinesses, and DVBEs perform a "commercially useful function" in any contract they perform for the State.

A business that is performing a commercially useful function is one that does all of the following.

- The company is responsible for the execution of a distinct element of the work of the contract.
- The company will carry out its obligation by actually performing, managing, or supervising the work involved.
- The company is performing work that is normal for its business, service and function.
- The company will not further subcontract a portion of the work that is greater than that expected to be subcontracted by normal industry practices.

The Bidder must complete and submit in its Bid a Form C7: Commercially Useful Function Statement (available in Appendix C) for any and all small businesses, microbusinesses and DVBEs participating in the Bid. On the Form C7, the Bidder must provide a written statement detailing the role, services and/or goods the small business, microbusiness, and/or DVBE will provide to meet the Commercially Useful Function (CUF) requirement. If a small business, microbusiness, or DVBE is not being proposed, a Form C7 is not required in the Bid.

V.3.3. Certifications and Insurance

V.3.3.1 AR #9: Certification with the State of California

If required by law, the Contractor must be certified with the Secretary of State (SOS) of California to do business in the State of California. If the Bidder does not currently have this certification, the company must be certified before Contract Award can be made, and must

provide information in the Bid to support the status of its application to be certified to do business in the State of California.

Corporations, Limited Liability Companies (LLCs) and Limited Partnerships (LPs) must be registered with the California Secretary of State to be awarded the contracts. The SOS may be contacted as follows:

California Secretary of State
Division of Corporate Filing and Services
1500 Eleventh Street, Third Floor
Sacramento, CA 95814-5701

The required document(s) may also be obtained thru the Certification Unit at (916) 657-5251 or through the following web site:

http://kepler.ss.ca.gov/list.html

V.3.3.2 AR #10: Seller's Permit

If required by law, the Contractor must be certified with the Board of Equalization (BOE) to sell products within the State of California. If the Bidder does not currently have this certification, the company must be certified before Contract Award can be made, and must provide information in the Bid to support the status of its application to be certified to sell products in the State of California.

More information is available from the BOE at:

Board of Equalization
450 N Street
Sacramento, CA, 95814
1-800-400-7115
http://www.boe.ca.gov/info/reg.htm

The Bidder must submit in its Bid a completed Form C8: Seller's Permit Number (available in Appendix C).

V.3.3.3 AR #11: Nondiscrimination Compliance Statement

The Bidder must include in its Bid a completed Form C9: Nondiscrimination Compliance Statement - STD 019 (available in Appendix C).

V.3.3.4 AR #12: Payee Data Record

The State will make payment only to the Contractor who is awarded the contracts resulting from this IFB. The Bidder's Bid must contain a fully executed copy of the Payee Data Record, Form STD. 204 (Appendix C, Form C10). The name of the company listed on Form C10 must match the name of the Bidder listed on the Cover Letter.

V.3.3.5 AR #13: General Liability Insurance

The Bidder and any subcontractor receiving ten percent (10%) or more of the compensation from the Configuration and Implementation Contract must maintain in force (as required by State law) a valid Commercial General Liability Insurance Policy. The Bidder and subcontractor(s) agree to furnish the State with satisfactory evidence thereof in the Bid and at any time the State may request, either before or after Contract Award.

Bidders must provide proof of a General Liability Insurance Policy in the amount of at least $1,000,000 for the Bidder and any subcontractors receiving ten percent (10%) or more of the compensation from the Configuration and Implementation Contract, which must be included in the Bid. The Proof of Insurance must indicate the insured's name, issuing agent/company, policy limit, an indication that the policy is for liability insurance, and the effective dates of the policy.

V.3.3.6 AR #14: Workers' Compensation Insurance Policy

The Bidder must maintain in force (as required by State law) a valid Workers' Compensation Insurance Policy for all employees engaged in the performance of the contracts. The Bidder agrees to furnish the State with satisfactory evidence thereof in the Bid and at any time the State may request, either before or after Contract Award.

Bidders must provide proof of a Workers' Compensation Insurance Policy in the amount of at least $1,000,000 for all Bidder employees proposed in the performance of these contracts which must be included in the Bid. The Proof of Insurance must indicate the insured's name, issuing agent/company, policy limit, an indication that the policy is for workers' compensation insurance, and the effective dates of the policy.

V.3.4. Corporate Experience and Customer Reference Requirements

The Bidder must meet certain minimum qualifications to assure the State the Bidder has the experience and qualifications to perform the work required by this IFB.

V.3.4.1 AR #15: Corporate Customer Reference Requirements

The purpose of the Corporate Customer Reference requirement is to provide the State the ability to verify the performance claims made in the Bid by the Bidder. The Bidder must submit in its Bid at least three (3) completed Corporate Experience Reference Forms (Form C11, available in Appendix C) for completed projects which meet the requirements described below[3].

For the purposes of this section, "successfully completed" is defined as the system has been in use as the "system of record" for at least six (6) months as of the Bid Submission Date (as specified in Section I.5: Key Action Dates).

[3] The Bidder must submit as many references as necessary to ensure the customer reference requirements are met, with three (3) being the minimum number of references.

1. All of the Bidder's corporate references must be for successfully completed projects which were implemented within the past eight (8) years.

2. All of the Bidder's corporate references must be for work performed by the Bidder. Subcontractor references shall not count towards the corporate experience requirements.

3. All of the Bidder's corporate references must be for new system implementations. Upgrades, enhancements and additions to existing systems shall not be counted towards the corporate experience requirements. Also, references for maintenance and operations (M&O) projects shall not be counted towards the corporate experience requirements.

4. The Bidder must submit in its Bid at least one (1) corporate reference for a successfully completed project that implemented a document management and workflow system (including eForms) where the total project cost was at least $5 million.

5. The Bidder must submit in its Bid at least one (1) corporate reference for a successfully completed project that implemented a document management and workflow system (including eForms) where the total number of users was at least 1,300 named users.

6. The Bidder must submit in its Bid at least one (1) corporate reference for a successfully completed document management and workflow system (including eForms) which involved a user base spread across at least three (3) geographically separate office locations (i.e., separate office buildings).

7. The Bidder must submit in its Bid at least one (1) corporate reference for a successfully completed project that implemented a document scanning system that included installation and configuration of scanning equipment, image quality check software, data capture and Intelligent Character Recognition/Optical Character Recognition (ICR/OCR), and routing of scanned images for processing.

8. The Bidder must submit in its Bid corporate references that demonstrate at least five (5) years' worth of experience (across all references) implementing document management and workflow projects.

9. The Bidder must submit in its Bid corporate references that demonstrate at least two (2) years' worth of experience (across all references) implementing IT projects for State of California departments, agencies, boards or commissions.

A single reference may be used to meet more than one requirement, if the reference fulfills all of the criteria for the requirements.

The Bidder must include reference contact information on each Form C11 to allow the State to validate the project reference information provided. **Additional points may be granted for one (1) reference which meets the desirable requirement contained in Appendix E, Section E.2.1: Desirable Corporate Experience Requirements.** If the Bidder is claiming a

Desirable Corporate Experience Requirement, the Bidder must include in its Bid a completed Form C11 describing the project which meets the desirable requirement.

The State Evaluation Team may contact the references using the information provided to validate the reference information. The State Evaluation Team will make up to three (3) attempts to contact each provided reference. If a reference cannot be contacted or is unable to verify the reference information, the reference will not be counted towards the Corporate Customer Reference requirement.

The State Evaluation Team must be able to contact and validate the customer references. Refer to Section IX.4.3.1: Mandatory Corporate Experience Reference Requirements Review for additional information on evaluation of customer references.

V.3.5. Key Staff and Staff Management Requirements

V.3.5.1 AR #16: Project Staffing

The Bidder must propose a project team organization appropriate to the requirements of the project and the capabilities of the proposed staff. The State has designated seven (7) positions as Key Staff. These Key Staff represent roles within the project that require certain levels of experience and skill that are critical to the success of the PWP (refer to Section V.3.5.2: AR #17: Key Staff Minimum Experience Requirements).

The State has set forth minimum experience requirements only for Key Staff. However, the Bidder is responsible for proposing additional staff with the appropriate skill sets to support and assist the Key Staff in successfully completing the project described in this IFB.

The Bidder must propose in its Bid named individuals for each of the following Key Staff positions:

1- Project Manager

2- System Architect

3- Lead Developer/Designer

4- Database Administrator (DBA)

5- Configuration Manager (refer to Appendix D for a definition of this position)

6- Test Lead

7- Business Process Analyst

The Contractor shall provide all personnel required to design, configure, develop, test, train, implement and support the PWP. The Contractor's actual project team must, at a minimum, include the Key Staff stipulated in its Bid.

V.3.5.2 AR #17: Key Staff Minimum Experience Requirements

The State has specified certain minimum experience requirements for the Key Staff in Appendix E, Section E.1.6: Key Staff Minimum Experience Requirements. The Bidder must submit in its Bid a completed Form C12: Resume Summary Form and a current resume for each of the Key Staff Positions (designated in Section V.3.5.1: AR #16: Project Staffing).

A single individual must be proposed for each of these positions. An individual cannot be proposed for more than one (1) of the Key Staff positions. **Additional points may be granted for staff experience that meets the desirable requirements included in Appendix E, Section E.2.2: Desirable Key Staff Experience Requirements.**

NOTE: If only month/year or year only is provided (i.e., if day is NOT provided), the State will evaluate the Key Staff experience based on the last day of the starting month or year to the first day of the ending month or year.

V.3.5.3 AR #18: Key Staff Reference Checks

The Bidder must include reference contact information on Form C12: Resume Summary Form for each project used to meet the minimum staffing requirements to allow the State to validate the proposed staff's experience and qualifications. References must be for a client external to the Bidder's organization, parent company, and subsidiaries.

The State Evaluation Team may contact any or all of the proposed Key Staff's references to validate the claims made by the Bidder and to discuss proposed Key Staff performance at the State's discretion.

The State Evaluation Team will make up to three (3) attempts to contact the provided reference. If a reference cannot be contacted or is unable to verify the reference information, the related project will not be counted towards the experience requirement, and may cause the staff to fail the related minimum experience requirement.

Incomplete forms or forms which contain unverifiable or inaccurate information (as determined by the State's Evaluation Team during bid evaluations) will be deemed non-responsive and the Bidder will fail this Administrative Requirement. The Key Staff will be scored based on their level of experience as described in Section IX.4.3.2: Mandatory Key Staff Minimum Experience Requirements Review.

V.3.5.4 AR #19: Staff Availability and Replacement

The Bidder must commit to the continuing availability of the Key Staff, to the extent of the Bidder's control, for the duration of the project or for the Key Staff's proposed period of involvement (as defined in the WBS/Project Schedule).

The State recognizes that some staff identified in the Bid may be unavailable at time of Contract Award; however, this does not relieve the Bidder's responsibility to meet the requirements for the proposed Key Staff when the contracts are awarded. It is the Bidder's responsibility to replace Key Staff with equal or greater competency at no increase in cost. All other personnel not included in the Bid must be approved by the CDI Project Manager before beginning work on this project.

The Bidder must submit in writing the reason for the change and provide a resume and references for the substitute personnel. The Bidder agrees that the State has the right to approve or reject replacement project team members. If the substitution is rejected and a qualified substitute is not provided, the selected Bidder will be in default under the terms of the contracts.

After the start of the project, the State recognizes that a resignation or other such event may cause Key Staff not to be available to the Contractor. The Contractor will not be allowed extra time or money to replace personnel. The replacement project team member must possess the same or a greater level of technical expertise and experience than the original staff person leaving the project. In support of the Contractor's compliance with this provision, the Contractor must notify the CDI Project Manager of personnel vacancies and provide resumes of replacement staff within fifteen (15) State business days of notice that the Key Staff will no longer be available.

The State reserves the right of approval for any staff replacements. The CDI Project Manager will provide the Contractor with a Letter of Approval/Disapproval within ten (10) State business days of receipt of the Contractor's written request for replacement and the proposed replacement's qualifications documentation. The State reserves the right to interview the proposed replacement staff and conduct reference checks to validate the proposed replacement's experience and qualifications. Reference checks must result in a positive reference and demonstrate a strong probability of successful performance on this project as determined by the State.

If the proposed replacement is rejected and a qualified replacement is not provided, the Contractor will be in default under the terms of the contracts. The State shall not compensate the Contractor for any time or effort required to prepare a new staff member for work on the project.

The State reserves the right to require the Contractor to replace, for cause, any assigned staff at any time. The State will notify the Contractor in writing when exercising that right, providing the Contractor with the cause. In the event the State requires the Contractor to replace a staff member, the Contractor shall have fourteen (14) calendar days (from the date of such notification) to provide a replacement candidate that meets or exceeds the requirements as defined in this IFB/Statement of Work.

V.3.5.5 AR #20: Access to Records

The PWP will involve staff and stakeholders from various organizations within the State, including consultants. The Contractor must provide access to the system and records associated with the contracts resulting from this IFB, as requested by State oversight agencies including, but not limited to, the Department of Finance (DOF), the Office of the State Chief Information Officer (OCIO), the Independent Project Oversight Consultant (IPOC), the Independent Verification and Validation (IV&V) Consultant, and the Project Management Consultant (PMC), as applicable.

In addition, the Contractor shall cooperate with other consultants engaged by the CDI and shall provide access to the system and records related to the contracts resulting from this IFB to ensure coordination with other CDI projects and efforts (e.g., business process re-engineering efforts, policy review/update efforts).

V.3.5.6 AR #21: Work Location

The CDI will provide the Contractor with an office space of approximately 20ft by 16ft on-site at the CDI Sacramento headquarters (HQ) location. Conference rooms and access to general office equipment (copiers, fax machines) are available throughout the building and can be utilized by Contractor staff. VPN access may be provided, if appropriate.

The Contractor must perform 50% of configuration, customization and implementation work on-site at the CDI HQ location in Sacramento to facilitate knowledge transfer to State staff. (Refer to Appendix E, Section E.1.3.1 for more information on the required knowledge transfer sessions.) In addition, the Contractor must conduct all requirements gathering / validation meetings, design walkthroughs, code walkthroughs and test reviews on-site at the appropriate CDI location to facilitate knowledge transfer to State staff.

V.3.5.7 AR #22: Contractor Workstations and Laptops

The CDI will provide up to six (6) desktop workstations for Bidder staff use while on-site on the project. If the Contractor requires additional computers, the Contractor must provide its own computers and equipment necessary for use by its proposed staff. These items shall not be chargeable to the State.

For any Contractor-provided machines that will be connected to the CDI's network, the Contractor will be required to install the applicable security software and submit to security scans on the Contractor's machines to ensure compliance and compatibility with the CDI's standard operating environment. Contractor staff that will be accessing the CDI's network will be required to complete security compliance and acknowledgment forms acknowledging that they will comply with the following policies (available in the Bidders' Library):

- CDI's Information Security Policies
- CDI's Software Management Plan

V.3.6. Contract Terms and Conditions

The following sections describe the terms, conditions and provisions of the contracts to be awarded from this IFB. The State expects to award five (5) contracts: one (1) for Configuration and Implementation services and COTS Software Purchase, one (1) for Hardware Purchase, and three (3) contracts for Maintenance and Support Services (one for each phase of the project). All five of these contracts will be awarded to a single Bidder.

In addition and as applicable, the State will execute software license contracts with each third-party software provider for product licensing and warranty support once the system has been accepted and the license(s) transfer to the State. Refer to Section V.3.6.2.4: AR #32: Third-Party Software Licensing for more information on these third-party contracts.

V.3.6.1 General Terms

V.3.6.1.1 AR #23: Incorporation of Contract Language

The contract terms and conditions to be awarded are included in this solicitation document in its final form, and any alteration by a Bidder will result in rejection of its Bid. The specific

contractual terms, conditions, and provisions that apply to this procurement are included in the Bidders' Library, by reference to the DGS websites. Refer also to Appendix A: Contract Terms and Conditions for the contract form DGS Standard Agreement (Form STD 213) and the Statements of Work.

If a Bidder wishes to request a change to the contract language, the request must be submitted to the Procurement Official by the date identified for requesting contract language changes listed in Section I.5: Key Action Dates. The request for change must identify the specific language to be changed, the reason that the language must be changed and the specific wording that the Bidder suggests. Areas for potential flexibility are noted at the following web site:

http://www.documents.dgs.ca.gov/pd/TAS/GSPD401IT4-2007SOWmarked.pdf

If the requested change is acceptable to the State, the IFB will be amended so that the language applies to all Bidders.

V.3.6.1.2 AR #24: Contract Extensions

The Bidder agrees that the State shall have the sole option of exercising the contract extension(s) for the Configuration and Implementation Contract, and the Maintenance and Support Services contracts. Any extensions shall be exercised through a contract amendment. The Bidder agrees to accept the contract extension(s) should the State exercise any or all of its options.

V.3.6.1.3 AR #25: Dispute Resolution (First Level)

Should the Contractor Project Manager and the CDI Project Manager not be able to agree on a resolution to any particular issue, the Contractor and the CDI agree to participate in a first level dispute resolution process. In the first level of dispute resolution, the Contractor Project Manager, the CDI Project Manager, and the CDI's IV&V Project Manager shall be convened and an issue resolution decided within five (5) State business days from the date the group convened. Either the Contractor Project Manager or the CDI Project Manager may request initiation of the first level dispute resolution process.

The first level dispute resolution committee will convene in person or by telephone within three (3) State business days of such a request. The first level dispute resolution committee will use whatever resources it deems necessary to seek a rapid and just resolution to an issue at the first level dispute resolution process. If a resolution cannot be reached at the first level of the dispute resolution process within the time frame prescribed above, the Contractor and the CDI agree to participate in a second level of dispute resolution by escalating the issue to the executive level.

V.3.6.1.4 AR #26: Executive Committee and Escalation of Dispute (Second Level)

The CDI's Information Technology Executive Committee (ITEC) shall serve as the ultimate decision making body for the project. The ITEC shall be tasked with providing strategic direction, making the ultimate acceptance decision for the project, and resolving any escalated issues.

Should the Contractor Project Manager and the CDI Project Manager not be able to agree on a resolution to any particular issue and the first level of the dispute resolution process has not resulted in issue resolution, the Contractor and the CDI agree to raise the issue to the ITEC prior to the assertion of rights under the Contract's Dispute provisions (GSPD-401T – General Provisions - Information Technology, Paragraph 41). When escalated issues are to be decided, the ITEC will invite the Contractor's Project Manager and two (2) senior executives from the Bidder's company to attend the meetings to assist with timely resolution of the escalated issue.

The ITEC and Contractor's representatives shall convene in person or by telephone conference call within three (3) State business days of request. The ITEC and Contractor's representatives shall commit to a resolution within five (5) State business days from the date that the Committee is convened.

The ITEC and Contractor's representatives will use whatever resources it deems necessary to seek a rapid and just resolution to an issue at the Committee level. If resolution cannot be reached at the Committee level within the time frame prescribed, either party may assert its other rights and remedies as provided by the contracts. The Contractor agrees that, the existence of a dispute notwithstanding, it will continue without delay to carry out all its responsibilities under the contracts.

V.3.6.1.5 AR #27: Data Ownership

The Bidder must agree that the State shall have exclusive ownership of all data gathered or developed resulting from this IFB. All such data shall be designated as "confidential", and must be protected as specified within the contracts. At the end of the contracts, the State shall own all database and data storage design documents, schema, documentation, licensing, and end-user documentation developed to support the system, including any Computer-Based Training (CBT) modules.

V.3.6.2 AR #28: Configuration and Implementation Contract

The State intends to award a contract to a single Contractor (joint bids shall not be accepted for this procurement) for the configuration and implementation of the proposed solution. The one-time configuration and implementation services will include the purchase of COTS software and the implementation services needed to fully implement the PWP.

The term of the contract shall be for one (1) year with two (2) optional one-year extensions. The optional extension is subject to State funding approvals.

The Contractor shall perform the activities and services necessary to design, configure, develop, test, train, implement and deploy the PWP proposed solution. The minimum implementation services requirements are listed in Appendix E, Section E.1.3.1: Configuration and Implementation Services Requirements. The Contractor must provide COTS software and contract deliverables for the PWP, as described in Appendix E, Section E.1.3.2: Configuration and Implementation Contract Deliverable Requirements.

V.3.6.2.1 AR #29: PWP Production Acceptance and System Warranty

The PWP will be implemented in a phased approach that builds upon functionality delivered in the previous release. Each phase will include a pilot with a limited number of users at a small number of offices prior to deploying to all remaining CDI locations. The system must operate without critical incident for a period of at least five (5) State business days to be considered successful. At the completion of the pilot, the Contractor shall collect any user feedback and shall work with the CDI to develop a plan and schedule for any corrections. After the successful completion of the pilot and correction of any defects/anomalies encountered during the pilot, the solution (for that phase) will be deployed to the remaining CDI locations.

When each phase has been deployed successfully and put into production at all CDI offices, the PWP Production Acceptance Period for that phase shall commence. The purpose of the PWP Production Acceptance Period is to monitor the system under actual production conditions for a period of at least ninety (90) calendar days to ensure the system is stable and operating as designed, prior to accepting the system. If the PWP experiences a critical outage or incident (such as data corruption, system failure/repetitive crashes, or inability to meet performance requirements) that is attributable to the PWP application, the PWP Production Acceptance Period may be halted. After the necessary corrections have been made, the PWP Production Acceptance Period will restart from the beginning and continue for a least ninety (90) calendar days until a successful completion is reached.

After the system has been in production for ninety (90) calendar days without critical incident (as described above), the CDI Project Manager will make a recommendation to the PWP Executive Committee, based on input from the system users and administrators, whether to accept the system for that phase (based on any outstanding issues and/or deliverables). The PWP Executive Committee will make the final acceptance decision. The CDI Project Manager will provide written notification to the Contractor of the Executive Committee's decision to accept the system for that phase, which will constitute the completion of the PWP Production Acceptance Period.

Upon successful completion of the PWP Production Acceptance Period and acceptance of the system, the warranty period shall commence. The warranty period shall be one (1) year, beginning on the date of the System Acceptance Letter provided to the Contractor. The warranty shall address failure to meet any functional and technical requirements and any security flaws. If the Contractor requires any additional hardware, software or software upgrades in order to correct a defect identified during the warranty period, the cost of the additional item and/or upgrade shall be borne by the Contractor. The Contractor shall be responsible for correcting any defects detected during the warranty period, even if the resolution extends beyond the end of the warranty period.

V.3.6.2.2 AR #30: COTS Software Purchase

The Bidder shall propose the COTS software necessary to meet the CDI's functional and technical requirements described in Appendix E: Detailed Requirements.

The State shall have the option to purchase the COTS software at the price provided in the Bidder's Cost Bid. The State may, at its sole option, purchase the COTS software outside of this contract. Refer also to Section V.3.6.2.4: AR #32: Third-Party Software Licensing for specific terms which apply to third-party software after system acceptance, if the third-party software is provided by the Bidder.

The Bidder must propose only commercially supported and licensed software. Open source, freeware and proprietary COTS software are not allowed. The Bidder must propose and deliver COTS products that are of the current commercially available version, or the immediately prior version if the current version was released within the past twelve (12) calendar months as of the Bid Submission Date (as listed in Section I.5: Key Action Dates).

The Bidder must clearly and completely describe, on Form C14: PWP Hardware and Software Proposed (available in Appendix C), all COTS software required to develop, test, implement and operate the PWP proposed solution per the requirements contained in Appendix E: Detailed Requirements, for all phases of the project. COTS software must be used "as-is" and shall not be modified to meet the CDI's business needs.

The Bidder must include on Form C14 any tools or third-party software required for the configuration, development, test, training, implementation or support of the system. The Bidder must indicate on Form C14 when the specific software items are needed according to the Proposed WBS/Project Schedule (which is submitted as part of the Bid; refer to Section V.3.7.4: AR #40: Planning Documents in the Bid Submission). The Contractor shall provide perpetual COTS software licenses, version upgrades, and software support for the Configuration and Implementation Contract period. The Contractor shall hold all software licenses until system acceptance for the phase. After system acceptance for the phase and approval by DGS of the licenses, the licenses shall automatically pass to the State. Enterprise and repository based licensing models are preferred, when possible.

Should the Bidder's proposed solution require any COTS software that was not identified in its Bid on Form C14: PWP Hardware and Software Proposed, the cost of such COTS software shall be borne by the Contractor.

V.3.6.2.3 AR #31: Productive Use and Current Versions

The purpose of the Productive Use requirement is to allow time for the Bidder to correct defects that could prevent new software from performing correctly in support of State programs. The State requires that each software component proposed as part of an automated system must have been installed in productive use, in substantially the configuration bid, for a paying customer external to the Bidder's organization, for at least the number of months indicated as follows:

- Critical Software is software that is required to control the overall operation of a database management system, language interpreters, assemblers and compilers, communications software, and all other essential system software. The State requires that critical software proposed as part of an automated system must have been installed and in productive use in substantially the same configuration as the

bid for a paying customer external to the Bidder's organization for at least six (6) months prior to the Bid Submission Date.

- All information technology equipment and Commercial Off The Shelf (COTS) software proposed as part of an automated system must have been installed and in productive use in substantially the same configuration as the bid for a paying customer external to the Bidder's organization for at least four (4) months prior to the Bid Submission Date.

Substantial design changes in required system control modules or in components critical to the processing requirements of the State's workload are also subject to the Productive Use requirement.

The Bidder must propose hardware and COTS software which has been commercially available[4] and in use for at least four (4) months prior to the Bid Submission Date (listed in Section I.5: Key Action Dates). The Bidder must include in its Bid a completed Form C13: Productive Use Customer Reference for an organization currently using the proposed product(s) in a substantially similar configuration as proposed for this Bid.

V.3.6.2.4 AR #32: Third-Party Software Licensing

The Bidder must clearly and completely describe on Form C14: PWP Hardware and Software Proposed, all Third-Party Software required to develop, test, implement and operate the proposed solution for the PWP per the requirements contained in Appendix E: Detailed Requirements. All Third-Party Software not purchased by the State must be purchased by and licensed to the Contractor. After system acceptance for the phase and approval by DGS of the licenses, the licenses shall automatically pass to the State. Enterprise and repository based licensing models are preferred, when possible.

The Bidder must only work with Third-Party Software providers that have an approved Software License Contract with the State **or** are willing to agree to the State's Third-Party COTS General Provisions contract language that can be found at:

http://www.documents.dgs.ca.gov/pd/TAS/SICOTSSWGPs071508.pdf

The software providers that have approved Software License Contracts with the State can be found at:

http://www.pd.dgs.ca.gov/masters/SLPContracts.html

The Bidder shall inform the Third-Party Software provider(s) of the contract, located in Appendix A: Contract Terms and Conditions, between the State and Contractor. The Bidders also shall inform the Third-Party Software provider(s) of the contract that the State will enter into with the Third-Party Software provider(s) upon system acceptance, which is provided for purposes of information in Appendix A and includes:

- DGS Form STD. 213 for Third-Party Software;

[4] "Beta" versions of products are not considered commercially available.

- State's Third Party COTS General Provisions; and
- Commercial Licensing Terms of the Third-Party Software provider(s) (not included in Appendix A).

The Bidder agrees to provide to the State copies of the commercial licensing terms of the Third-Party Software provider(s) no later than thirty (30) State business days prior to system acceptance for the phase. DGS shall review the commercial licensing terms for approval prior to system acceptance for the phase to ensure that the commercial licensing terms are acceptable to the State.

The State may waive this requirement in whole or in part, in its sole discretion, at any time.

V.3.6.2.5 AR #33: Additional Third-Party Software after Contract Award

After Contract Award, all Third-Party COTS Software that was not identified in the proposed solution, and therefore not included in the Cost Bid, that is required to meet the Functional and Technical Requirements in the IFB, shall be purchased by and licensed to the Contractor at the Contractor's expense. Additionally, the Contractor shall provide a signed, written acceptance by the Third-Party Software provider of the contract located in Appendix A: Contract Terms and Conditions, that includes, as agreed to by the State and the Contractor:

- DGS Form STD. 213 for Third-Party Software;
- State's Third-Party COTS General Provisions; and
- Commercial Licensing Terms of the Third-Party Software provider.

The Bidder agrees to provide to the State copies of the commercial licensing terms of the Third-Party Software provider(s) no later than thirty (30) State business days prior to system acceptance for the phase. DGS shall review the commercial licensing terms for approval prior to system acceptance for the phase to ensure that the commercial licensing terms are acceptable to the State.

The State may waive this requirement in whole or in part in its sole discretion at any time.

V.3.6.3 AR #34: Hardware Purchase Contract

The Bidder shall propose the hardware configuration necessary to meet the CDI's Functional and Technical Requirements described in Appendix E: Detailed Requirements. The Bidder must clearly and completely describe, on Form C14: PWP Hardware and Software Proposed, all hardware required to develop, test, implement and operate the PWP, for all locations (including the hot site) and all phases, including storage[5], backup device(s), scanners, racks and UPS. The Bidder must indicate on Form C14 when the specific hardware items are needed according to the Proposed WBS/Project Schedule (which is submitted as part of the Bid; refer to Section V.3.7.4: AR #40: Planning Documents in the Bid Submission). The

[5] The CDI currently estimates 100TB for data storage will need to be purchased to support all three phases of the project.

Bidder must deliver the hardware no earlier than thirty (30) calendar days prior to the scheduled need date[6].

The Bidder must propose hardware that is commercially available from multiple sources. Proprietary, single-source products are not permitted. The Bidder must propose and deliver products that are of the current commercially available model/version, or the immediately prior model/version if the current model/version was released within the past twelve (12) calendar months as of the Bid Submission Date (as listed in Section I.5: Key Action Dates). Additionally, the Bidder must deliver hardware that is new and free from defect. Used, refurbished, prototype models, demonstration models, discontinued models, and shopworn products are not acceptable.

The State shall have the option to purchase the hardware at the price provided in the Bidder's Cost Bid. The State may, at its sole option, purchase the hardware outside of this contract.

The Contractor shall be responsible for maintenance and support of the hardware under the Configuration and Implementation Contract until the respective phase as been accepted. The warranty provisions are described in the State's General Terms and Conditions, paragraph 18. Refer to the Bidders' Library for a link to the terms.

Should the Bidder's proposed solution require any hardware that was not identified in its Bid, on Form C14: PWP Hardware and Software Proposed, the cost of such hardware shall be borne by the Contractor.

V.3.6.4 AR #35: Maintenance and Support (M&S) Services Contract

The Bidder awarded the contracts resulting from this IFB shall be responsible for providing maintenance and support of the PWP, upon acceptance of the system (for the phase) by the CDI. The M&S Contracts includes hardware maintenance, perpetual software product licensing, version upgrades, and software support. One (1) M&S Contract shall be executed for each phase of the project, to ensure support for the accepted components, while the remaining phases complete. The term of each M&S Contract shall be for one (1) year with two (2) optional one-year extensions which shall commence upon system acceptance for the respective phase.

The Contractor shall perform the activities and services necessary to maintain and support the PWP proposed solution. The minimum maintenance and operations services are listed in Appendix E, Section E.1.5: Maintenance and Support Services Contract Requirements.

In addition, the Phase 3 M&S Contract (expected to be Fiscal Year (FY) 2011/2012) shall include hardware and software consulting services as requested by the CDI. The maximum amount for the consulting services is $100,000. Any request for software consulting services will be authorized by the CDI via a work authorization (refer to Section V.3.8.7: AR #47: Unanticipated Tasks).

[6] Note that due to the phased approach, it is likely that hardware will be delivered in an incremental approach over the course of the project.

V.3.6.4.1 AR #36: Transition at the End of the Contract

Upon completion of the Maintenance and Support Contracts resulting from this IFB, the Contractor will transition the operation, maintenance, and support of the system to an entity of the State's choice. The Contractor shall work cooperatively with the State to transition maintenance and support activities to the CDI technical staff and/or a subsequent vendor.

The Contractor shall provide current system documentation and data files (e.g., help desk tickets, defect tickets, change requests, test data, regression tests, and software version information) in such format and on such media as may be requested by the CDI. If requested by the CDI, the Contractor shall provide additional technical training or knowledge transfer sessions to ensure staff are capable of operating and maintaining the system. The additional training/knowledge transfer sessions will be authorized through a work authorization (refer to Section V.3.8.7: AR #47: Unanticipated Tasks).

V.3.7. Contractor Deliverables

The requirements specified in this section summarize the specific deliverables the Contractor must provide and the conditions for deliverable submittal, review, and acceptance by the State.

For purposes of this section, the term "deliverable" includes all items listed in mandatory requirement CD-1 (contained in Appendix E, Section E.1.3.2: Configuration and Implementation Contract Deliverable Requirements)[7].

V.3.7.1 AR #37: Deliverable Preparation and Submission

The Contractor must prepare the specified deliverables identified in Appendix E, Section E.1.3.2: Configuration and Implementation Contract Deliverable Requirements, as part of the contract.

Each deliverable submitted by the Contractor must be complete, clear, explicit and precise in manner, without any errors, omissions or inconsistencies. Each deliverable shall include, as necessary or appropriate, such additional materials as flow charts, diagrams, project management charts and explanatory tables to assist the CDI in thoroughly understanding and evaluating the Contractor's respective deliverables. Deliverable documents greater than ten (10) pages must have a Table of Contents and page numbers.

The Contractor must deliver all contract correspondence and deliverables in a format that is compatible with the CDI standard desktop software suite, currently consisting of MS Office 2003, MS Visio 2003, and MS Project 2003. The Contractor is required to establish and maintain compatibility with the CDI standard suite of desktop software tools (as listed above) at no cost to the CDI, even if the CDI upgrades the standards to a higher/newer version of the software.

[7] Section V.3.8.4: AR #44: Hardware Purchase Payment describes the process for handling hardware deliverables.

The Contractor must submit one (1) copy of each deliverable electronically, unless specifically requested on paper by the CDI. The Contractor must submit the electronic version of the deliverable in its native format (e.g., MS Word, MS Excel). Where appropriate, a PDF copy may also be submitted to assist with review and routing.

The Contractor must include a signed transmittal letter with all deliverable submissions. The deliverable transmittal letter, signed by the Contractor Project Manager, must contain the following certification: "I certify that this deliverable has been prepared in accordance with the relevant terms and conditions of the contract." The Contractor must submit deliverables by the scheduled dates for completion as approved by the CDI in the Contractor's WBS/Project Schedule.

In the event the CDI agrees to accept, on an interim basis, a deliverable document with one or more parts left incomplete, the Contractor must provide to the CDI a document indicating the date for completion, the basis for the incomplete portions, and the impact of any incomplete portions of the document on the contract milestones.

Unless otherwise agreed to prior to deliverable submission, the CDI shall have a minimum of two (2) weeks for review and approval of draft and final deliverables. (Refer also to Section V.3.7.2:AR #38: Deliverable Expectation Documents (DEDs) and Section V.3.7.3: AR #39: Deliverable Acceptance Process)

V.3.7.2 AR #38: Deliverable Expectation Documents (DEDs)

Prior to submission of each deliverable, the Contractor must propose a format and outline for each deliverable, and obtain CDI approval prior to deliverable preparation. The approval process must include submission of a Deliverable Expectation Document (DED). A DED template is included in the Bidders' Library.

The goal for the use of the DED is to ensure a common understanding exists between the CDI and the Contractor regarding the scope, format (number of copies, electronic format) and content (depth and breadth) of the deliverable prior to the Contractor beginning work on the deliverable. The complexity of the DED will be proportional to the complexity of the deliverable.

Where appropriate, the DED will reference applicable State and industry standards for content that must be met, such as the standards from the Institute of Electrical and Electronics Engineers (IEEE) and the Software Engineering Institute (SEI). The DED must summarize the key content of the deliverable including, where appropriate, key figures, diagrams and tables that will be included in the deliverable. In addition, the DED includes the completion and acceptance criteria that must be met before the CDI will approve the deliverable (signifying task completion), the due date for the deliverable, the reviewers and the amount of time for State review of the deliverable. Unless otherwise indicated by the State in the approval of the DED, the State's review period shall be a minimum of five (5) State business days.

V.3.7.3 AR #39: Deliverable Acceptance Process

The CDI Project Manager will be responsible for reviewing and approving each deliverable. The CDI will review each deliverable and will notify the Contractor of deliverable acceptance via a Deliverable Acceptance Document (DAD) in not less than five (5) State business days, unless otherwise agreed to in the Deliverable Expectations Document (DED). A sample DAD is provided in the Bidders' Library.

The CDI's acceptance of deliverables shall be based upon the following criteria:

1. The deliverable must address all components required by the contract and any areas agreed upon subsequently through meetings and planning sessions.

2. The deliverable must address and be consistent with all components included in the annotated outline as approved by the CDI in preparation for development of the deliverable.

3. Deliverable documents must be organized in a structured manner and be professional in presentation.

4. Deliverable documents must be consistent throughout in style and quality. This means if the document is the composite work of many people within the Contractor's organization, the document must be edited for style and consistency.

If revisions to the deliverable are required, the Contractor will receive written notice from the CDI of said changes. The CDI and the Contractor shall define the revised deliverable due date in consideration of the scope of the changes. In general, the revisions should be made within five (5) State business days of Contractor receipt of the list of changes. When the CDI requires deliverables to be revised, the Contractor must clearly identify the revisions in the revised deliverable. The Contractor shall not change a deliverable that has been accepted by the CDI without the approval of the CDI.

V.3.7.4 AR #40: Planning Documents in the Bid Submission

Certain planning documents are required with the submission of the Bid (refer to Section VIII.4.1.7: Proposed Plans) to allow the State to evaluate the Bidder's specific approach to management and implementation of the proposed solution. The documents that must be submitted with the Bid are listed below. Refer to Section IX.4.5: Proposed Solution Requirements Review for more information on the expected content of each planning document.

- Proposed Work Breakdown Structure (WBS) and Project Schedule
- Proposed Project Management Plan
- Proposed Business Process Analysis Plan
- Proposed System Description
- Proposed System Architecture Design Document

The proposed plans will be evaluated and scored as described in Section IX.4.5: Proposed Solution Requirements Review.

After Contract Award, the information contained in these proposed plans will be updated and used to create the draft versions of the respective deliverables that will be submitted to the CDI for approval. Once approved by the CDI Project Manager, the plans will be considered final and shall serve as the basis for managing the project. The plans will be incorporated into the Configuration and Implementation contract once the CDI Project Manager and Contractor Project Manager have signed the DAD. Refer to the Bidders' Library for a sample Deliverable Acceptance Document.

V.3.8. Payment Provisions

The following sections describe the payment provisions for the contracts resulting from this IFB.

V.3.8.1 AR #41: Maximum Contract Amounts

The total cost for the contracts resulting from this IFB cannot exceed the amount in the approved FSR:

- The maximum amount for Phase 1 is $1,582,400.
- The maximum amount for Phase 2 is $1,909,253.
- The maximum amount for Phase 3 is $1,748,415.
- The maximum amount for the Hardware Purchase contract is $983,000.
- The maximum amount for each Maintenance and Support Services contracts is $399,880 per year[8].

V.3.8.2 AR #42: Performance Bond/Letter of Bondability

In order to receive progress payments, the Bidder shall provide proof of bondability in its Bid. The proof of bondability must state that the bonding company will bond the Bidder for thirty percent (30%) of the value of the Configuration and Implementation contract and that this bond shall be held in effect until the successful completion of the Phase 3 PWP Production Acceptance Period (refer to Section V.3.6.2.1, PWP Production Acceptance and System Warranty). The bonding company must be a surety insurer, licensed to do business in the State of California. The proof of bondability must be valid until at least twenty-one (21) calendar days after the Contract Award date listed in Section I.5: Key Action Dates.

The Contractor shall supply a performance bond in the amount of thirty percent (30%) of the Configuration and Implementation contract award amount. This bond must be delivered to the State within twenty-one (21) calendar days of Contract Award and shall be held in effect until the successful completion of the Phase 3 PWP Production Acceptance Period (refer to Section V.3.6.2.1). This bond shall be returned to the Contractor upon successful completion of the Configuration and Implementation Contract. If the optional contract year(s) are executed, the bond must be adjusted to address the changes in contract amount.

[8] This amount does not include the $100,000 for consulting services that will be added to final M&S Contract (expected to be FY 11/12).

Note: Within twenty-one (21) calendar days after Contract Award (unless submitted with the Bid), the Contractor MUST submit the instrument satisfying the Performance Bond Requirement. Failure to submit the required document within 21 calendar days may be cause for termination of the contract.

No performance bond is required for the Hardware Purchase and Maintenance and Support Services contracts.

V.3.8.3 AR #43: Deliverable-based Progress Payments

The PWP will be implemented using a phased approach with progress payments based on completion of significant project deliverables. The deliverables associated with payment are defined in Table V-1. The dates associated with these deliverable milestones shall be included in the Bidder's Proposed WBS/Project Schedule, which will be submitted to the State in its Bid. Approximately thirty (30) calendar days after Contract Award, the Contractor must submit an updated WBS/Project Schedule that includes the updated dates for these deliverable milestones based on the actual contract start date.

The State will withhold ten percent (10%) of each milestone payment amount until Phase 3 system acceptance. Table V-1 lists the payment components for each deliverable milestone. The actual payment amounts will be taken from the Bidder's Cost Bid, Form VII-1: Total Cost Summary.

The Contractor may invoice for a milestone payment after completion of the milestone activity, delivery of the specified deliverable, and written acceptance of the deliverable by the CDI Project Manager. The Contractor may invoice for the total withhold amount after receiving written acceptance of the Phase 3 system by the CDI Project Manager. Refer to Section V.3.8.4: AR #44: Hardware Purchase Payment for the timelines for hardware payments.

Table V-1. PWP Configuration and Implementation Contract Deliverable Milestones

Payment #	Description of Payment Milestone Activity	Associated Deliverable	Payment Amount
1	Successful Completion of the Planning and Analysis Activities for Phase 1	CD-14: System Requirements Specification for Phase 1 and CD-12: Business Process Analysis Plan for Phase 1	15% of Phase 1 Services Costs
2	Successful Completion of the Design Deliverables for Phase 1	CD-15: System Architecture Design Document for Phase 1, CD-16: Interface Requirements Specification for Phase 1, and CD-17: Detailed Design Document for Phase 1	15% of Phase 1 Services Costs

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION V – ADMINISTRATIVE REQUIREMENTS

PAYMENT #	DESCRIPTION OF PAYMENT MILESTONE ACTIVITY	ASSOCIATED DELIVERABLE	PAYMENT AMOUNT
3	Successful Completion of Phase 1 User Acceptance Test	CD-24: Phase 1 User Acceptance Test Results Report	25% of Phase 1 Services Costs
4	Successful Completion of Phase 1 Pilot	CD-24: Phase 1 Pilot Results Report	25% of Phase 1 Services Costs
5	Successful Completion of Deployment and Approval for Phase 1 System Acceptance	CD-62: Phase 1 System Configuration Report	Payment for Phase 1 COTS Software and Remaining 20% of Services Costs for Phase 1
6	Successful Completion of the Planning and Analysis Activities for Phase 2	CD-14: System Requirements Specification for Phase 2 and CD-18: Detailed Business Process Documentation Plan for Phase 2	15% of Phase 2 Services Costs
7	Successful Completion of the Design Deliverables for Phase 2	CD-15: System Architecture Design Document for Phase 2, CD-16: Interface Requirements Specification for Phase 2, and CD-17: Detailed Design Document for Phase 2	15% of Phase 2 Services Costs
8	Successful Completion of Phase 2 User Acceptance Test	CD-24: Phase 2 User Acceptance Test Results Report	25% of Phase 2 Services Costs
9	Successful Completion of Phase 2 Pilot	CD-24: Phase 2 Pilot Results Report	25% of Phase 2 Services Costs
10	Successful Completion of Deployment and Approval for Phase 2 System Acceptance	CD-62: Phase 2 System Configuration Report	Payment for COTS Software and Remaining 20% of Services Costs for Phase 2

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION V – ADMINISTRATIVE REQUIREMENTS

PAYMENT #	DESCRIPTION OF PAYMENT MILESTONE ACTIVITY	ASSOCIATED DELIVERABLE	PAYMENT AMOUNT
11	Successful Completion of the Planning and Analysis Activities for Phase 3	CD-14: System Requirements Specification for Phase 3 and CD-18: Detailed Business Process Documentation Plan for Phase 3	15% of Phase 3 Services Costs
12	Successful Completion of the Design Deliverables for Phase 3	CD-15: System Architecture Design Document for Phase 3, CD-16: Interface Requirements Specification for Phase 3, and CD-17: Detailed Design Document for Phase 3	15% of Phase 3 Services Costs
13	Successful Completion of Phase 3 User Acceptance Test	CD-24: Phase 3 User Acceptance Test Results Report	25% of Phase 3 Services Costs
14	Successful Completion of Phase 3 Pilot	CD-24: Phase 3 Pilot Results Report	25% of Phase 3 Services Costs
15	Successful Completion of Deployment and Approval for Phase 3 System Acceptance	CD-62: Phase 3 System Configuration Report	Payment of COTS Software and Remaining 20% of Services Costs for Phase 3
16	Release of 10% Payment Withhold (for all system phases)	CD-61: Phase 3 System Configuration Report	Release of Contract Withhold

V.3.8.4AR #44: Hardware Purchase Payment

Payment for the hardware shall be made after the equipment has been delivered, installed and tested. The hardware shall be delivered based on the current phase, and just prior to its need date. The CDI may witness the hardware verification tests. The Bidder must include in the Proposed WBS/Project Schedule (submitted with its Bid) the activities and dates associated with the Hardware Purchase Contract payment milestones.

The Contractor may invoice for payment of the hardware purchase for the phase after written acceptance of the specific hardware by the CDI Project Manager. The payment amount shall be taken from the Bidder's Cost Bid, Form VII-5: Hardware Purchase Costs.

V.3.8.5 AR #45: Maintenance & Support Services Contract Payment

Payment for the M&S contracts shall be made as described in Table V-2. The consulting services for the Phase 3 M&S contract shall be authorized via a work authorization that shall be paid only upon completion and approval by the CDI Project Manager.

Table V-2. Maintenance and Support Services Contract Payments

PAYMENT #	DESCRIPTION OF PAYMENT MILESTONE ACTIVITY	PAYMENT FREQUENCY
1	Technical Support via Phone and Internet	Annually in advance
2	On-site Hardware Maintenance	Monthly in arrears
3	Software Upgrade and Patch Support Services	Monthly in arrears
4	COTS Software Licensing for Bidder-provided Software	Annually in advance

The Bidder shall specify in its Cost Bid a fixed price for providing the maintenance and support services described in Appendix E, Section E.1.5: Mandatory Maintenance and Support Services Contract Requirements. The payment amount shall be taken from the Bidder's Cost Bid, Form VII-6: Contractor Maintenance and Support Services Costs, and Form VII-3: Contractor-Provided COTS Software Costs, Table B.

V.3.8.6 AR #46: Travel

Travel costs to the CDI Sacramento Headquarters location from the Contractor's location(s) are the responsibility of the Contractor and will not be reimbursed by the State under this paragraph.

All travel costs to and from the CDI Headquarters location in the greater Sacramento, CA area and other CDI sites, as required by the CDI, are in addition to proposed Contractor fees and will be invoiced to the CDI monthly up to a maximum of $10,560 per year. Currently, the CDI estimates three (3) trips to each of the offices shall be needed during the Configuration and Implementation contract: one trip during the business analysis and requirements validation process; one trip during the User Acceptance Testing process; and one trip during the deployment and training process. Travel will also be needed during the Maintenance and Support Services Contract in order to perform hardware (e.g., scanner) maintenance and deployment of software upgrades.

Travel costs pursuant to this paragraph will be reimbursed in accordance with the following:

- Travel expenses will be charged utilizing State rates for Bargaining Unit 1.

- Travel expenses will be submitted by invoice to the CDI Project Manager for reimbursement.
- The Contractor shall obtain prior approval from the CDI Project Manager prior to traveling to a regional or satellite office.
- The Contractor must provide appropriate receipt(s) showing proof of payment for all travel expenses in order to receive reimbursement.

V.3.8.7 AR #47: Unanticipated Tasks/Work Authorizations

In the event of unanticipated tasks, the Contractor shall prepare a work authorization describing:

- The proposed approach to the additional element(s) of work;
- The hours and staff classifications needed to perform the work, including any CDI resource needs;
- The deliverables that will be created and/or updated;
- The schedule for delivery of the products and services identifying key milestones and tasks requiring CDI participation;
- The impacts to any other work currently in progress; and
- The overall cost the Contractor is proposing for the work.

The CDI Project Manager must review and approve the estimated hours and costs for any unanticipated tasks prior the Contractor beginning work on the item.

The unanticipated tasks shall be paid on a time and materials basis using the labor rates specified by the Bidder in its Cost Bid on Form VII-7: Bidder Labor Rates. The Contractor may invoice for the work authorization following completion, successful testing/verification, and written acceptance of the services and deliverables specified in the work authorization by the CDI Project Manager.

The Bidder agrees to honor such rates for additional services for the duration of the Configuration and Implementation Contract and the M&S Contracts, and any extensions thereof. The price escalation from year to year (specified in the Bidder's Cost Bid) cannot exceed three percent (3%).

A fixed amount of $100,000 has been budgeted for unanticipated consulting services during the Phase 3 M&S Contract. In no event shall the total amount paid for unanticipated tasks exceed ten percent (10%) of the total contract cost as proposed by the Bidder. The selected Bidder must provide timesheets and justification for all work performed as part of a work authorization.

The State of California's IT Personal Services Special Provisions define the high-level work authorization process (refer to the Bidders' Library). A work authorization shall in no way constitute a contract, and shall not amend or supersede any other provision of the contracts.

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

SECTION VI – FUNCTIONAL AND TECHNICAL REQUIREMENTS

FINAL

MARCH 26, 2009

Issued By:
STATE OF CALIFORNIA
Department of General Services
707 Third Street
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In Conjunction with:
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300 Capitol Mall, 17th Floor
Sacramento, CA 95814

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

Table of Contents

VI. FUNCTIONAL AND TECHNICAL REQUIREMENTS VI-1
VI.1. DETAILED REQUIREMENTS VI-1
VI.1.1. Mandatory Functional and Technical Requirements VI-2
VI.1.2. Mandatory Services and Deliverables Requirements VI-3
VI.1.3. Desirable Requirements VI-4

List of Tables

TABLE VI-1. BIDDER RESPONSE CODES VI-3

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VI – FUNCTIONAL AND TECHNICAL REQUIREMENTS

VI. FUNCTIONAL AND TECHNICAL REQUIREMENTS

This section of the IFB describes the Functional and Technical Requirements for the PWP. These requirements support the business needs as defined in Section III: Current Program and Systems Overview and the vision described in Section IV: Proposed Solution. The requirements pertaining to the PWP proposed solution are divided into the following components:

- Section E.1.1: Mandatory Functional Requirements;
- Section E.1.2: Mandatory Technical Requirements
- Section E.1.3: Mandatory Configuration and Implementation Contract Requirements
- Section E.1.4: Mandatory Hardware Purchase Contract Requirements
- Section E.1.5: Mandatory Maintenance and Support Services Contract Requirements
- Section E.1.6: Mandatory Key Staff Minimum Experience Requirements
- Section E.2.1: Desirable Corporate Experience Requirements
- Section E.2.2: Desirable Key Staff Minimum Experience Requirements

Refer to Section II: Rules Governing Competition, Section V: Administrative Requirements, and Section VIII: Bid Format and Content for other requirements that must be met in order to be considered responsive to this IFB.

VI.1. DETAILED REQUIREMENTS

The entire list of system requirements can be found in Appendix E: Detailed Requirements which includes the requirements response matrices the Bidder must complete and submit in its Bid. The Bidder's response to all requirements in Appendix E: Detailed Requirements will be incorporated into the contracts.

The Bidder must not retype or edit the requirements, except to enter requested information. Making a material change to a requirement may make the Bid unacceptable to the State and may cause the Bid to be excluded from further consideration.

Bidders are to propose solutions that adhere to the mandatory requirements as described in this IFB. Responses to requirements in this section must be stated in terms of the total system. Responses must not include descriptions of features and capabilities not available in the proposed solution due to limitations imposed on one system component by another component. Proposed components must be compatible for use with each other as well as with the systems with which they must interface as defined in this IFB.

If the Bidder believes that any of the mandatory requirements are onerous or unfair, the Bidder may propose a question as described in Section II.2.4: Questions Regarding the IFB, and/or may protest the requirement as described in Section II.5.1.1: Requirements Protest.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VI – FUNCTIONAL AND TECHNICAL REQUIREMENTS

VI.1.1. Mandatory Functional and Technical Requirements

All requirements contained in Appendix E, Section E.1 are mandatory. To be responsive, the Bidder must agree to meet every mandatory requirement contained in Appendix E, Section E.1. The State will not tailor these needs to fit a pre-built solution that a Bidder may have available. Rather, the Bidder shall propose a solution that meets the State's needs as defined in this IFB. The proposed solution must meet these mandatory requirements as delivered, without requiring the State to purchase additional programming services, modules or licenses at a later time in order to fulfill the requirement. Bidders should also review IFB Section IV: Proposed Solution for further clarification of the CDI's concept for the PWP.

It is the Bidder's responsibility to ensure its Bid is submitted in a manner that enables the State Evaluation Team to easily locate all responses and exhibits (as applicable) for each requirement in this IFB.

Within Section E.1.1 and E.1.2, the information provided by the State is:

- Requirement Number – This denotes the unique number for each requirement provided by the State.
- Requirement Text – This denotes the specific requirement provided by the State.
- Requirement Type – This denotes if the requirement is mandatory or desirable. Refer to Section II.1: Identification and Classification of IFB Requirements, for further information.
- State Comment – This column will be used during evaluations to document any State comments to the requirement or Bidder response. This column is not provided for Section E.1.2.

The information to be included in the Bidder's response for requirement Section E.1.1 is:

- Bidder Response Code – For each requirement, the Bidder must indicate how the requirement will be met. The response codes are listed in Table VI-1.
- Product/Module Used to Meet the Requirement – For each requirement, the Bidder must indicate what product will be used to meet the requirement. If the Bidder will use custom developed code to meet the requirement, enter "Custom".
- Bid Reference (Volume, Section, Page) – For each requirement, the Bidder should provide a reference to the section of its Bid that further describes how the requirement will be met (e.g., the Proposed Project Management Plan, Proposed System Description, Proposed System Architecture Design Document).

No response is required from the Bidder for the mandatory technical requirements in Section E.1.2.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VI – FUNCTIONAL AND TECHNICAL REQUIREMENTS

Table VI-1. Bidder Response Codes

RESPONSE CODE	DEFINITION
A – Out of the Box	The requirement will be met by the "out of the box" functionality provided by the primary COTS product/modules. Note: This includes standard configuration mechanisms that do not involve modification to the standard database schema and application code. The Bidder is responsible for performing all configuration needed to achieve the requirements.
B – Third-Party Product	The requirement will be met by integrating a designated third-party product with the primary COTS product/modules. Note: The Bidder is responsible for performing all integration needed to achieve the requirements.
C – Customization	The requirement will be met by custom development. Note: The Contractor is not permitted to modify the base COTS application in order to meet a requirement. All custom development must be handled through Application Programming Interfaces (APIs), web services, XML, etc.

VI.1.2. Mandatory Services and Deliverables Requirements

Appendix E, Section E.1 also includes the required services and deliverables for the Configuration and Implementation Contract, the deliverables for the Hardware Purchase Contract, and the required services for the Maintenance and Support Services Contract. All the items listed in these sections are mandatory. To be responsive, the Bidder must agree to meet every mandatory requirement contained in Appendix E, Section E.1. The Bidder must include the costs necessary to provide all of the mandatory services and deliverables as part of its Cost Bid, including all configuration and customization costs, as applicable.

Within Section E.1.3 through E.1.6, the information provided by the State is:

- Requirement Number – This denotes the unique number for each requirement provided by the State.
- Requirement Text – This denotes the specific requirement provided by the State.
- Requirement Type – This denotes if the requirement is mandatory or desirable. Refer to Section II.1: Identification and Classification of IFB Requirements, for further information.
- Corresponding Deliverable – In Section E.1.3.1, this item provides a reference to the specific deliverable description contained in Section E.1.3.2 that relates to the service being described.
- Phase/Frequency – In Section E.1.3.2, this item indicates when (i.e., what phase(s)) the deliverable must be delivered or the frequency of delivery, as appropriate.

No response is required from the Bidder for the mandatory requirements in Sections E.1.3 through E.1.5. The Bidder must respond to the requirements in Section E.1.6 by completing the Form C12: Resume Summary Forms, but does not need to respond to the requirements within the Appendix E matrix.

VI.1.3. Desirable Requirements

The State has identified certain additional qualifications as desirable for this project. These "desirable requirements" are contained in Appendix E, Section E.2. All requirements in Section E.2 are optional and, if met by the Bidder, the State shall award additional points to the Bidder's evaluation score. The types of desirable requirements for this IFB include:

- Section E.2.1: Desirable Corporate Experience Requirements
- Section E.2.2: Desirable Key Staff Minimum Experience Requirements

If the Bidder elects to meet any desirable requirement, the Bidder must provide the appropriate reference and/or resume information to substantiate its claim of experience (on Form C11: Corporate Experience Reference Form or Form C12: Resume Summary Form, as appropriate). If the content of the Bidder's Bid does not substantiate the Bidder's claim to meet the desirable requirement, the points will not be awarded for the desirable requirement.

The Bidder must not retype or edit desirable requirements. Making a material change to a desirable requirement may make the Bidder's Bid unacceptable to the State and may cause the points associated with the desirable requirement to not be awarded.

Within Section E.2, the information provided by the State is:

- Requirement Number – This denotes the unique number for each requirement provided by the State.
- Requirement Text – This denotes the specific requirement provided by the State.
- Requirement Type – This denotes if the requirement is mandatory or desirable. Refer to Section II.1: Identification and Classification of IFB Requirements, for further information.
- Available Points – This denotes the amount of points to be awarded to the Bidder if, in the opinion of the State Evaluation Team, the Bidder meets the desirable requirement.

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

SECTION VI I – COST REQUIREMENTS

FINAL

MARCH 26, 2009

Issued By:
STATE OF CALIFORNIA
Department of General Services
707 Third Street
West Sacramento, CA 95605

In Conjunction with:
California Department of Insurance
300 Capitol Mall, 17th Floor
Sacramento, CA 95814

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

Table of Contents

VII. COST REQUIREMENTS VII-1
VII.1. INTRODUCTION VII-1
VII.2. COST CATEGORIES VII-2
VII.2.1. One-Time Costs VII-2
VII.2.2. Ongoing Costs VII-4
VII.2.3. Other Costs VII-4
VII.3. COST WORKSHEETS VII-5
VII.3.1. Total Cost Summary Worksheet (Appendix B, Form VII-1) VII-6
VII.3.2. Contractor Configuration and Implementation Services Costs Worksheet (Appendix B, Form VII-2) VII-6
VII.3.3. Contractor-Provided COTS Software Purchase Costs Worksheet (Appendix B, Form VII-3) VII-7
VII.3.4. Third-Party Software Purchase Costs Worksheet (Appendix B, Form VII-4) VII-8
VII.3.5. Hardware Purchase Costs Worksheet (Appendix B, Form VII-5) VII-8
VII.3.6. Contractor Maintenance and Support (M&S) Services Costs Worksheet (Appendix B, Form VII-6) VII-9
VII.3.7. Bidder Labor Rates Worksheet (Appendix B, Form VII-7) VII-9

List of Tables

TABLE VII-1. COST WORKBOOK COMPONENTS VII-1

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VII – COST REQUIREMENTS

VII. COST REQUIREMENTS

VII.1. INTRODUCTION

The State intends to acquire the PWP based on the selection criteria as set forth in this IFB. As part of its Bid, the Bidder is responsible for including the costs necessary for meeting the requirements stipulated to implement and deliver the PWP. This section defines the cost components that must be included in each Bid, as well as the required format. Additional formatting instructions are provided in Section VIII: Bid Format and Content.

Bidders must provide proposed costs for all the components and requirements of the PWP. Bidders must submit cost information using the forms in Appendix B: Cost Workbook, in a separate, sealed envelope/package that is clearly marked "Volume II: Cost Bid". The list of required cost forms and their respective descriptions can be found in Table VII-1.

Table VII-1. Cost Workbook Components

WORKBOOK COMPONENT	FORM #	FORM TITLE
Total Costs	VII-1	Total Cost Summary
One-Time Costs	VII-2	Contractor Configuration and Implementation Services Costs
One-Time Costs and Ongoing Costs	VII-3	Contractor-Provided COTS Software Purchase Costs
One-Time Costs and Ongoing Costs	VII-4	Third-Party Software Purchase Costs
One-Time Costs	VII-5	Hardware Purchase Costs
Ongoing Costs	VII-6	Contractor Maintenance and Support Services Costs
Other Costs	VII-7	Bidder Labor Rates

Cost Bids will not be opened and evaluated until after the State Evaluation Team has determined the Bidder's Bid is fully compliant with the format and mandatory requirements of this IFB, and the Team has completed the scoring of the Bid's Administrative and Technical sections (to the extent that evaluation can be done without opening the Cost Bid). To maintain objectivity, the scored evaluation of the cost component of each Bid will not be conducted until the completion of other scored components. Bidders may refer to Section IX: Evaluation and Selection, for additional information on the scoring of Bids.

All proposed system components must be included in the Bidder's Bid and accounted for in the Bidder's Cost Bid. Any proposed system component that is not specifically priced or identified in the Bidder's Cost Bid, or that is identified after Contract Award as being necessary to meet the requirements of this IFB, shall be included by the Bidder at no additional cost. (Refer to Section II.3.7.4: Errors in the Final Bid.)

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VII – COST REQUIREMENTS

VII.2. COST CATEGORIES

In order to identify the project costs, various cost categories are included in the cost worksheets in Appendix B: Cost Workbook. A summary of the relevant cost categories is provided below. General instructions for completing the cost worksheets are included in Section VII.3: Cost Worksheets.

VII.2.1. One-Time Costs

The one-time costs are those costs that are required to analyze, configure, develop, test, train, implement, and deploy the PWP. The one-time costs are comprised of the following components.

VII.2.1.1 Contractor Configuration and Implementation Services Costs

The Bidder shall include the cost of ALL proposed services pertaining to its role as the Prime Contractor for this project including, but not limited to, those services required to perform the analysis, design, configuration, customization/development, installation, deployment, documentation, testing, training and knowledge transfer to CDI staff, and so forth. The Bidder shall indicate the one-time cost and estimated hours for these services according to the categories described in the worksheet, which are organized by phase and activity.

The State has provided an estimated number of staff hours that will be used for the design, installation and configuration/development services for the implementation of the eForms, workflows and associated reports and interfaces to existing systems. These hours will be used to implement the forms, reports and processes selected from the prioritization review of the business processes. Refer to Section IV.2.1: Phase 1 – Repository and Internal Processes for more on the prioritization and selection of processes.

VII.2.1.2 Contractor-Provided COTS Software Purchase Costs

The Bidder shall enumerate all one-time Contractor-provided COTS software purchase costs required for the PWP, including software for:

- Document management and workflow system;
- eForms creation, implementation and management;
- Web portal;
- Scanning, image quality verification, and rescan;
- Development, test and training toolset(s); and
- Any software required for the operation and support of the system.

These costs shall reflect the Bidder's price for providing the software items and associated licenses proposed for the project. The Bidder must describe all proposed software, including purpose, quantity, manufacturer, product name, licensing model (e.g., per database/-repository, per server) and version number for the items being proposed. These software

items shall be purchased by the Contractor (unless otherwise directed by the State) and the Contractor shall hold all software licenses until system acceptance for the applicable phase.

The Bidder must include the three (3) years of perpetual software licensing, software maintenance, and version upgrades for the Configuration and Implementation Contract in the one-time Contractor-provided COTS software purchase price (that is, the cost of the product licensing and version upgrades for the period of development, testing, etc.). The software items listed on this cost worksheet must correspond to the items listed on Form C14: PWP Hardware and Software Proposed, Table B, and must have been described in the Proposed System Description and/or the Proposed System Architecture Design Document.

VII.2.1.3 Third-Party Software Purchase Costs

The Bidder shall enumerate all third-party COTS software purchase costs required for the PWP. These software items shall be purchased by the Contractor (unless otherwise directed by the State) and the Contractor shall hold all software licenses until system acceptance for the applicable phase. The costs shall reflect the Bidder's price for purchasing the third-party software items and associated licenses proposed for the project. The Bidder must describe all proposed third-party software, including purpose, quantity, manufacturer, product name, licensing model (e.g., per database/repository, per server) and version number for the items being proposed.

The Bidder must include the first three (3) years of perpetual software licensing, software maintenance, and version upgrades for the Configuration and Implementation Contract in the one-time third-party software purchase price (that is, the cost of the product licensing and version upgrades for the period of development, testing, etc.). The software items must correspond to the items listed on Form C14: PWP Hardware and Software Proposed, Table B, and must have been described in the Proposed System Description and/or the Proposed System Architecture Design.

VII.2.1.4 Hardware Purchase Costs

The Bidder shall identify the cost of any and all hardware required to implement the PWP, for all environments (i.e., development, test, and production) and locations, including the hot-site. The Bidder must specify all hardware to be provided including racks, UPS, hot-site equipment, scanners, backup devices, and the estimated amount of storage required to support the database and document repository(s). The CDI has estimated that at least 100TB of storage will be needed, which may be phased in over the course of the project. The Bidder must describe all proposed hardware, including purpose, quantity, manufacturer, model, and brand name for the items being proposed. The hardware specifications and costs should be based on or consistent with the California Strategic Sourcing Initiative products. These items must correspond to the hardware listed on Form C14: PWP Hardware and Software Proposed, Table A, and must have been described in the Proposed System Architecture Design.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VII – COST REQUIREMENTS

VII.2.2. Ongoing Costs

The ongoing costs are those costs which will continue on an annual basis to support the operations and maintenance of the PWP after the system is accepted. The ongoing costs are comprised of the following components.

VII.2.2.1 Contractor Maintenance and Support (M&S) Services Costs

The Bidder shall identify the costs for providing ALL required services for the M&S Contract, as defined in Section V.3.6.4: Maintenance and Support Services Contract, and Appendix E, Section E.1.5: Mandatory Maintenance and Support Services Requirements. The Bidder shall indicate the yearly cost for providing M&S services according to the categories described in the worksheet, which includes technical support via phone and Internet, hardware maintenance (including scanning hardware maintenance), software upgrade and patch support services, and (for the final contract year) system transition services.

VII.2.2.2 COTS Ongoing Software Licensing and Version Upgrades Costs

The Bidder shall identify all recurring annual costs (e.g., licensing, software maintenance, version upgrades[1]) for any Contractor-provided COTS software or tools required for the PWP. These costs will include the market price for perpetual software licensing for all Contractor-provided COTS software proposed for the system. This worksheet shall capture the annual costs for the period of the M&S contract. The licensing and upgrade costs for the Configuration and Implementation Contract period must be included in the software purchase costs.

VII.2.2.3 Ongoing Third-Party Software Licensing and Version Upgrades Costs

The Bidder shall identify all recurring annual costs (e.g., licensing, software maintenance, version upgrades) for any third-party COTS software or tools required for the PWP. These costs will include the market price for perpetual software licensing for all third-party COTS software proposed for the system. After system acceptance of the phase by the State, the State intends to execute individual software license agreements with each software supplier. This worksheet shall capture the annual costs for the period of the M&S contract. The licensing and upgrade costs for the Configuration and Implementation Contract must be included in the software purchase costs.

VII.2.3. Other Costs

The remaining costs are related to services which are at the State's option to purchase during the course of the contracts. These costs will be used, if needed, to execute work authorizations for specific elements of work.

[1] The cost of providing/subscribing to the version upgrades and patches is included in the Ongoing Software Licensing and Version Upgrades Costs. The cost for the services to analyze, test and apply the version upgrades and patches is included in the Contractor Maintenance and Support Services Costs.

VII.2.3.1 Bidder Labor Rates

During the contracts period, the State may require unanticipated assistance in implementing the PWP. The State also may request assistance from the Bidder after system acceptance in order to perform software maintenance and support tasks. This support shall be structured in terms of a fixed hourly rate by staff classification for consulting services that will be used to support hardware maintenance services, software version upgrade/patch analysis and implementation, and unanticipated software modifications and enhancements that result from legislative and/or program changes. These fixed hourly rates will be used to create work authorizations for specific tasks, as needed, on a time and materials basis, using the fixed labor rate for each staff classification identified.

For evaluation purposes, the State has established an approximate number of hours for unanticipated work. These hours are in no way binding and are not intended to commit the State to actual amounts of work required in the future, nor does it commit or limit the State to a specific number of hours per year.

VII.3. COST WORKSHEETS

The State has made available a cost workbook in Microsoft Excel format referenced in Appendix B: Cost Workbook. The pre-formatted workbook contains the following forms (one form per worksheet/tab):

- Form VII-1, Total Cost Summary Worksheet – A summary of the total system costs;
- Form VII-2, Contractor Configuration and Implementation Services Costs Worksheet – For specification of all service costs associated with delivery of the proposed solution;
- Form VII-3, Contractor-Provided COTS Software Purchase Costs Worksheet - For specification of all one-time, Contractor-provided COTS software purchase costs and ongoing software licensing;
- Form VII-4, Third-Party Software Purchase Costs Worksheet – For specification of all one-time, third-party software purchase costs and ongoing software licensing;
- Form VII-5, Hardware Purchase Costs Worksheet – For specification of the purchase costs for the hardware the Bidder is proposing;
- Form VII-6, Contractor Maintenance and Support Services Costs Worksheet – For specification of all service costs associated with the Maintenance and Support Services Contracts; and
- Form VII-7, Bidder Labor Rates Worksheet – For specification of Bidder staff firm fixed hourly rates for application modifications, support, and unanticipated tasks.

Bidders are responsible for entering cost data in the format prescribed by the cost workbook. Pre-set formulas must not be altered.

Completion of each worksheet in the cost workbook is mandatory. The Bidder’s firm fixed price must include training, configuration, customization/-development, testing,

documentation development, other services provided by the Bidder, and any and all expenses associated with the delivery and deployment of the proposed PWP.

Formulas (highlighted in blue within the worksheet) have been inserted in the appropriate cells of the worksheets to automatically calculate summary numbers. However, it is the sole responsibility of the Bidder to ensure all cost data and mathematical calculations are correct in the Bid. In the event errors are found in the preset formulas, the Bidder shall notify the Procurement Official (identified in Section I.4) immediately and the State will amend the IFB to correct the error.

In most cases, costs must be entered by specific phase of the project. Items which were delivered in a previous phase do not need to be restated in subsequent phases. For example, development and test tools identified in Phase 1 do not need to be included in Phases 2 and 3. It is understood that these items will continue to be available, if the ongoing cost for the item is provided.

If the Bidder is proposing a tool or product that is only needed for a single phase and will not be needed after that phase is accepted, the Bidder should include the one-time purchase and licensing costs and enter zero (0) for the ongoing costs. In this case, the Bidder should clearly indicate in its Bid (either in a Notes section, or in its Proposed Plans) why the item is not needed on an ongoing basis.

Specific instructions and explanatory notes are included at the bottom of each Excel worksheet.

VII.3.1. Total Cost Summary Worksheet (Appendix B, Form VII-1)

The Total Cost Summary Worksheet must contain the Bidder's total price to provide the system and services as proposed, including hardware, Contractor-provided COTS software, third-party software, configuration and implementation services, and M&S services. All overhead or other cost items must be built into and included within the total price proposed by the Bidder. These costs, when entered on worksheets VII-2 through VII-7, will be calculated and displayed automatically on this worksheet in Table A.

Table B summarizes the Configuration and Implementation Contract payment milestones based on the costs entered on worksheets VII-2 through VII-4, and after applying the required ten percent (10%) payment withhold (refer to Section V.3.8.3: Deliverable-based Progress Payments).

The Bidder shall not enter any data on this worksheet, but should verify the numbers and totals are as expected based on data entered on the other worksheets. The Bidder's costs cannot exceed the approved contract limits, as specified in Section V.3.8.1: Maximum Contract Amounts.

VII.3.2. Contractor Configuration and Implementation Services Costs Worksheet (Appendix B, Form VII-2)

The Contractor Configuration and Implementation Services Costs Worksheet must contain the Bidder's firm fixed price for providing the various services associated with configuring, customizing, developing, implementing and deploying all the products and services required

for the project. This worksheet is designed to collect the Bidder's estimated hours and costs, by phase, for the Configuration and Implementation Contract services, including any other overhead costs.

The State has provided an estimated number of staff hours that will be used for the design, installation and configuration/development services for the implementation of the eForms, workflows and associated reports and interfaces. These numbers must not be altered. For these rows, the Bidder must provide a price only, based on the number of hours provided by the State.

The Bidder must provide a price and estimated hours for both direct delivery training to end users, as well as for train-the-trainer training for CDI Trainers (to train the end users). The State will select one (1) of these methods at Contract Award, and adjust the contract price appropriately. The Bidder's costs cannot exceed the approved contract limits, as specified in Section V.3.8.1: Maximum Contract Amounts. The Bidder may choose to use the CDI's training facilities (there is a classroom at each of the three (3) main offices), or may propose use of its own training facilities, whichever is more cost effective. Refer to Appendix E, Section E.1.3.1, Training General for additional requirements surrounding training and the size of the CDI's training facilities at each main office.

VII.3.3. Contractor-Provided COTS Software Purchase Costs Worksheet (Appendix B, Form VII-3)

The Contractor-Provided COTS Software Purchase Costs Worksheet must contain the Bidder's firm fixed price for any and all Contractor-provided, pre-existing software products, including utilities and tools, and the associated licenses proposed for the PWP. The Bidder must enter in Table A of Form VII-3 the costs for the software purchase, software maintenance, and software licenses and version upgrade costs by phase for the Configuration and Implementation Contract period (estimated at three (3) years). The Bidder must include in Table A of Form VII-3 all proposed software products by purpose, product name, manufacturer, license model and quantity, and version/release number for the items being proposed. The State reserves the right to instruct the Bidder prior to Contract Award to provide the proposed software or to obtain the proposed software from another provider.

Table B of Form VII-3 must contain the ongoing annual market price for perpetual software licensing, software maintenance, and version upgrades for any and all Contractor-provided COTS software required for the operation of the system. The annual costs will be computed for the period of the M&S contract, including the extensions, based on the number of licenses required once the system is in production.

NOTE: The software listed on this worksheet (Form VII-3) must match the information provided on Form C14: PWP Hardware and Software Proposed, Table B, and must have been described in the Proposed System Description and/or the Proposed System Architecture Design Document.

VII.3.4. Third-Party Software Purchase Costs Worksheet (Appendix B, Form VII-4)

The Third-Party Software Purchase Costs Worksheet must contain the Bidder's firm fixed price for any and all third-party, pre-existing software products, including utilities and tools, and the associated licenses proposed for the PWP. The Bidder must enter in Table A of Form VII-4 the costs for the software purchase, software maintenance, and software licenses and version upgrade costs by phase for the Configuration and Implementation Contract period (estimated at three (3) years). The Bidder must include in Table A of Form VII-4 all proposed software products by purpose, product name, manufacturer, license model and quantity, and version/release number for the items being proposed. The State reserves the right to instruct the Bidder prior to Contract Award to provide the proposed software or to obtain the proposed software from another provider.

Table B of Form VII-4 must contain the ongoing annual market price for perpetual software licensing, software maintenance, and version upgrades for any and all third-party COTS software required for the operation of the system. The annual costs will be computed for the period of the M&S contract, including the extensions, based on the number of licenses required once the system is inn production. After system acceptance of each phase, the State intends to execute individual software license agreements with each third-party software supplier.

NOTE: The software listed on this worksheet (Form VII-4) must match the information provided on Form C14: PWP Hardware and Software Proposed, Table B, and must have been described in the Proposed System Description and/or the Proposed System Architecture Design Document.

VII.3.5. Hardware Purchase Costs Worksheet (Appendix B, Form VII-5)

The Hardware Purchase Costs Worksheet must contain the Bidder's specifications for the hardware proposed by the Bidder for the PWP. The Bidder must describe all proposed products by product name, manufacturer, model, and any additional necessary specifications for the items being proposed (e.g., processor, RAM, OS).

The Bidder must indicate the phase and system environment where the hardware will be used. The Bidder also must include the cost of any supplies necessary for scanner hardware maintenance including cleaning kits and replacement parts in accordance with the scanner manufacturer's recommended maintenance schedule. The Bidder may choose to phase in equipment over the course of the project, particularly in the case of data storage. The State reserves the right to instruct the Bidder prior to Contract Award to provide the proposed hardware or to obtain the proposed hardware from another provider.

NOTE: These costs must NOT include hardware necessary for the Bidder's staff. The Bidder is responsible for providing all necessary hardware and software for its staff. Refer to Section V.3.5.7: Contractor Workstations and Laptops.

NOTE: The hardware listed on this worksheet (Form VII-5) must match the information provided on Form C14: PWP Hardware and Software Proposed, Table A and must have been described in the Proposed System Architecture Design Document.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VII – COST REQUIREMENTS

VII.3.6. Contractor Maintenance and Support (M&S) Services Costs Worksheet (Appendix B, Form VII-6)

The Contractor M&S Services Costs Worksheet must contain the Bidder's firm fixed price for providing the M&S services requested by the State, including technical support, hardware maintenance (including scanner maintenance and scanner supplies/cleaning kits), software upgrade and patch support services, and system transition services. The Bidder's annual costs for the M&S Contract may include a price escalation, not to exceed three percent (3%) per year.

The Bidder must specify the estimated hours and annual cost of providing these services for each year of the M&S contract, including the optional years.

NOTE: The $100,000 for consulting services in the final year shall not be included in the cost worksheet. The State will apply this amount to the contract total at Contract Award.

VII.3.7. Bidder Labor Rates Worksheet (Appendix B, Form VII-7)

The Bidder Labor Rates Worksheet shall include the Bidder's firm fixed hourly rate for analysis of project changes, hardware and software maintenance, and software modifications and enhancements to the system as requested by the State, including unanticipated tasks and support. These fixed rates shall apply throughout the term of the Configuration and Implementation Contract, and the M&S Contracts periods and any extensions thereof. The Bidder must enter the hourly rates by staff classification.

The State has provided an estimated number of hours which must not be modified by the Bidder. The projection of labor costs based on the State's estimated hours will be used for evaluation purposes only. This is not a commitment from the State to procure any additional work. The State may, at its discretion, procure additional services from any or all of the Bidder Staff Classifications at the rates proposed. These hours are in no way binding and are not intended to commit the State to actual amounts of work required in the future, nor does it commit or limit the State to a specific number of hours per year.

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

SECTION VIII – BID FORMAT AND CONTENT

FINAL

MARCH 26, 2009

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

Table of Contents

VIII. BID FORMAT AND CONTENT VIII-1
VIII.1. INTRODUCTION VIII-1
VIII.2. BID SUBMISSION REQUIREMENTS VIII-1
VIII.3. FORMAT REQUIREMENTS VIII-2
VIII.4. BID CONTENT REQUIREMENTS VIII-3
VIII.4.1. Volume I – Response to Requirements VIII-4
VIII.4.2. Volume II – Cost Bid VIII-14
VIII.4.3. Volume III – Contracts VIII-18
VIII.4.4. Volume IV – Supporting Literature (optional) VIII-19

List of Tables

TABLE VIII-1. BID SUBMISSION REQUIREMENTS VIII-1
TABLE VIII-2. FORMAT REQUIREMENTS VIII-2
TABLE VIII-3. VOLUME I, TAB 1 – COVER LETTER REQUIREMENTS VIII-5
TABLE VIII-4. VOLUME I, TAB 2 – TABLE OF CONTENTS REQUIREMENTS VIII-6
TABLE VIII-5. VOLUME I, TAB 3 – EXECUTIVE SUMMARY REQUIREMENTS VIII-6
TABLE VIII-6. VOLUME I, TAB 4 – RESPONSE TO ADMINISTRATIVE REQUIREMENTS VIII-6
TABLE VIII-7. VOLUME I, TAB 5 – PROOF OF PAST EXPERIENCE REQUIREMENTS VIII-9
TABLE VIII-8. VOLUME I, TAB 6 – RESPONSE TO FUNCTIONAL AND TECHNICAL REQUIREMENTS VIII-11
TABLE VIII-9. VOLUME I, TAB 7 – PROPOSED PLANS REQUIREMENTS VIII-12
TABLE VIII-10. VOLUME II, TAB 1 – COST WORKSHEET REQUIREMENTS VIII-15
TABLE VIII-11. VOLUME II, TAB 2 – SMALL BUSINESS PREFERENCE NOTIFICATION REQUIREMENTS VIII-15
TABLE VIII-12. VOLUME II, TAB 3 – DVBE FORMS REQUIREMENTS VIII-16
TABLE VIII-13. VOLUME II, TAB 4 – PROOF OF BONDABILITY REQUIREMENTS VIII-17
TABLE VIII-14. VOLUME III – CONTRACT REQUIREMENTS VIII-18
TABLE VIII-15. VOLUME IV – SUPPORTING LITERATURE REQUIREMENTS VIII-19

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

VIII. BID FORMAT AND CONTENT

VIII.1. INTRODUCTION

These instructions prescribe the mandatory Bid format and the approach for the development and presentation of Bids. Format instructions must be followed, requirements and questions in the IFB must be answered, and requested information must be supplied. Each Bidder is responsible for providing sufficient information and documentation for the Bid to be thoroughly evaluated. Failure to do so may result in rejection of the Bid.

Bids must address the requirements in Section V: Administrative Requirements, Section VI: Functional and Technical Requirements, and Section VII: Cost Requirements in the order and format specified in this section.

VIII.2. BID SUBMISSION REQUIREMENTS

This section describes the Bid Submission Requirements (SRs) that must be followed when submitting the Bid and associated Cost Bid to ensure proper handling and to maintain confidentiality. Refer also to Section II.3: Bidding Steps that describes the general submission process.

Table VIII-1. Bid Submission Requirements

SR #	REQUIREMENT TEXT
SR-1	All Bids shall be submitted to the Procurement Official listed in Section I.4: Procurement Official.
SR-2	All copies of the Bid must be submitted by the dates and times specified in Section I.5: Key Action Dates.
SR-3	Each Bid submission container must be labeled with: • Name of the Bidder • Bidder's address • IFB identifier "IFB CDI 0845-39" • Identification of the type of submission (Bid or Cost Bid) • Submission due date (from Section I.5: Key Action Dates)
SR-4	The Bid must be composed of the following volumes, each submitted in separate binders: • Volume I – Response to Requirements • Volume II – Cost Bid • Volume III – Contracts • Volume IV – Literature (optional)
SR-5	The Bid submission container(s) containing Volumes I, III and IV must be completely sealed.
SR-6	Volume II – Cost Bid must be submitted in a sealed container that is separate

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

SR #	REQUIREMENT TEXT
	from the other Bid volumes. Note: The Cost Bid **must** be sealed and submitted separately from the rest of the Bid. Bidders must make sure that no cost information of any type is shown in its Bid, except in the sealed "Cost Bid" package. **The inclusion of cost data in any fashion or format in any other place in the Bid may result in immediate rejection of the Bid.**
SR-7	One (1) complete set of all volumes must be clearly marked "MASTER COPY".
SR-8	Two (2) CDs must be enclosed with Volume I of the Bid, with each CD containing the complete set of electronic files for Volume I, III and IV
SR-9	The electronic files for Volume I, III and IV must be provided in searchable PDF format or Microsoft Word 2003 (or compatible) format.
SR-10	The electronic version of the Proposed Work Breakdown Structure (WBS)/Project Schedule must be submitted as a Microsoft Project 2003 (or compatible) file.
SR-11	Any product supporting literature containing costs or rates (such as catalogs, maintenance service rates, etc.) submitted as part of the Bid must have cost figures redacted or replaced with "XXX". This applies to both the paper and electronic versions of Volume IV.
SR-12	Two (2) CDs (separate from the CDs containing Volumes I, III and IV) must be enclosed with the separately sealed Cost Bid package, with each CD containing the complete set of electronic files for Volume II: Cost Bid.
SR-13	The electronic version of the Cost Workbook in Volume II must be provided in Microsoft Excel 2003 (or compatible) format.
SR-14	The electronic version of Volume II, except for the Cost Workbook must be provided in searchable PDF format or Microsoft Word 2003 (or compatible) format.

VIII.3. FORMAT REQUIREMENTS

The following are the Format Requirements (FRs) that apply to each bid volume.

Table VIII-2. Format Requirements

FR #	REQUIREMENT TEXT
FR-1	The pages in the Bid must be standard 8.5" x 11" paper, except for charts, diagrams, etc., which may be foldouts. If foldouts are used, the folded size must fit within the 8.5" x 11" format.
FR-2	Each volume of the Bid submission must be provided separately in an

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

FR #	REQUIREMENT TEXT
	appropriately sized 3-ring binder.
FR-3	The following must be shown on each page of the Bid, unless otherwise specified: • Name of Bidder • IFB CDI 0845-39 • Bid or Cost Bid • Submission due date • Volume number • Bid part, section or exhibit number • Page number
FR-4	The Master Copy of each Bid volume must contain an original signature or initial wherever a signature or initial is required from the Bidder or subcontractor(s). Note: Bidders are requested to provide signatures and initials in blue ink, to allow the original to be distinguished from copies.
FR-5	Original signatures are preferred, but not required for the Proof of General Liability Insurance, Proof of Workers' Compensation Insurance and the Proof of Bondability in the Master Copy.

It is the Bidder's responsibility to ensure its Bid is submitted in a manner that enables the State Evaluation Team to easily locate response descriptions and exhibits for each requirement of this IFB. This includes such conventions as:

- Page numbers located in the same page position throughout the Bid;
- Figures, tables, charts, etc. assigned index numbers and referenced by these numbers in the Bid text and in the Bid's Table of Contents;
- Figures, etc. placed as close to the text references as possible; and
- Double-sided printing is preferred for the paper copies.

There is no intent to limit the content of the Bid. Additional information deemed appropriate by the Bidder should be included. **However, cluttering the Bid with non-relevant material only makes the evaluation more difficult and if this material is in conflict with the State's best interest, may be cause for rejection.**

VIII.4. BID CONTENT REQUIREMENTS

The Bid must be structured in the manner shown below. The following sections describe the specific Content Requirements (CRs) for each section.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

Volume I – Response to Requirements — 5 paper copies + 1 Master Copy

- Tab 1 - Cover Letter
- Tab 2 – Table of Contents
- Tab 3 – Executive Summary
- Tab 4 – Response to Administrative Requirements
- Tab 5 – Proof of Past Experience
- Tab 6 – Response to Functional and Technical Requirements
- Tab 7 – Proposed Plans
- 2 CDs containing Volume I, III and IV in electronic format

Volume II – Cost Bid (sealed) — 2 paper copies + 1 Master Copy

- Tab 1 – Cost Worksheets
- Tab 2 – Small Business Preference Notification
- Tab 3 – Disabled Veteran Business Enterprise (DVBE) Forms
- Tab 4 – Proof of Bondability with completed cost information
- 2 CDs containing Volume II in electronic format

Volume III – Contracts — 1 Master Copy

- Four (4) signed copies of the DGS Form STD 213 for the Configuration and Implementation Contract
- Four (4) signed copies of the DGS Form STD 213 for the Hardware Purchase Contract
- Four (4) signed copies of the DGS Form STD 213 for the Maintenance and Support (M&S) Services Contract

Volume IV – Supporting Literature (optional) — 5 paper copies + 1 Master Copy

- Product Literature, as applicable for the proposed products

VIII.4.1. Volume I – Response to Requirements

The Bidder's response for Volume I must be organized by sections, in the order and format indicated in the following subsections. Each page must be numbered in a manner of the Bidder's own choosing to facilitate easy referencing and identification.

This volume must also contain two (2) CDs with the electronic versions of Volume I, III, and IV.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

VIII.4.1.1 Tab 1 – Cover Letter

The following are the requirements for the Cover Letter.

Table VIII-3. Volume I, Tab 1 – Cover Letter Requirements

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-1.1.1	The Bidder must submit five (5) paper copies plus one (1) Master Copy of Volume I of its Bid.	n/a
CR-1.1.2	Volume I, Tab 1 of the Bid must contain an original signed Cover Letter on the Bidder's official business letterhead stationery.	V.3.1.1: AR #1 Contractor Responsibility
CR-1.1.3	The Cover Letter must state that the Bidder commits to fulfilling the requirements of the IFB.	V.3.1.1: AR #1 Contractor Responsibility
CR-1.1.4	Cost information must not be included in the Cover Letter.	V.3.1.1: AR #1 Contractor Responsibility
CR-1.1.5	The Cover Letter must contain a statement that substantiates that the person who signs the letter is authorized to bind the Bidder's firm contractually.	II.3.5.5: Signature of Bid
CR-1.1.6	The Cover Letter's signature block must indicate the title or position that the individual holds in the firm.	II.3.5.5: Signature of Bid
CR-1.1.7	If any subcontractor will receive ten percent (10%) of more of the compensation from the contracts, the Bidder must include a Cover Letter from the subcontractor(s) receiving 10% or more of the compensation.	V.3.2.2: AR #5 Subcontractor Information
CR-1.1.8	The subcontractor's Cover Letter must commit to fulfilling the requirements of the IFB that are applicable to the products and services it is providing.	V.3.2.2: AR #5 Subcontractor Information
CR-1.1.9	The subcontractor's Cover Letter must be signed by an individual who is authorized to bind the subcontractor contractually.	V.3.2.2: AR #5 Subcontractor Information

VIII.4.1.2 Tab 2 – Table of Contents

The following are the requirements for the Table of Contents.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

Table VIII-4. Volume I, Tab 2 – Table of Contents Requirements

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-1.2.1	Volume I, Tab 2 of the Bid must contain a Table of Contents.	n/a
CR-1.2.2	Major parts of the Bid, including forms, must be identified by volume, tab and page number in the Table of Contents.	n/a

VIII.4.1.3 Tab 3 – Executive Summary

The following are the requirements for the Executive Summary.

Table VIII-5. Volume I, Tab 3 – Executive Summary Requirements

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-1.3.1	Volume I, Tab 3 of the Bid must contain an Executive Summary.	V.3.1.2: AR #2 Contractor Information and Proof of Responsibility
CR-1.3.2	The Executive Summary must describe the salient features of the proposed solution, including an overview of the hardware, software and services being proposed.	V.3.1.2: AR #2 Contractor Information and Proof of Responsibility
CR-1.3.3	The Executive Summary must contain an overview of the Bidder's company background and qualifications.	V.3.1.2: AR #2 Contractor Information and Proof of Responsibility
CR-1.3.4	Cost information must not be included in the Executive Summary.	n/a

VIII.4.1.4 Tab 4 – Response to Administrative Requirements

The following are the requirements for the Response to Administrative Requirements.

Table VIII-6. Volume I, Tab 4 – Response to Administrative Requirements

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-1.4.1	Volume I, Tab 4 of the Bid must contain a Form C3: Administrative Requirements Response Matrix.	V.3: Mandatory Administrative Requirements
CR-1.4.2	The Bidder must initial the appropriate response (either Yes or No) to each Bidding Preference in the Form C3.	V.2: Optional Bidding Preferences and Incentives

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-1.4.3	If the Bidder is requesting a Bidding Preference, the Bidder must submit the appropriate supporting forms and documentation as required by DGS.	V.2: Optional Bidding Preferences and Incentives
CR-1.4.4	The Bidder must initial the appropriate response (either Yes or No) to each Administrative Requirement in the Form C3.	V.3: Mandatory Administrative Requirements
CR-1.4.5	The Bidder must not reword or alter the wording of the Bid Response Forms from Appendix C.	V.3: Mandatory Administrative Requirements
CR-1.4.6	The Bidder must submit a completed Form C4: Bid Certification Form.	V.3.1.1: AR #1 Contractor Responsibility
CR-1.4.7	The Bidder must submit a completed Form C5: Bidder Information and Background form.	V.3.1.2: AR #2 Contractor Information and Proof of Responsibility
CR-1.4.8	The Bidder must submit a letter from an independent Certified Public Accountant (CPA) attesting that the Bidder's prior three (3) years of financial statements were audited and validate the Bidder's financial viability.	V.3.1.2: AR #2 Contractor Information and Proof of Responsibility
CR-1.4.9	The Bidder must submit a completed Form C6: Subcontractor List indicating if any subcontractors are being utilized.	V.3.2.1: AR #4 Bidder Use of Subcontractors
CR-1.4.10	If any subcontractor will receive ten percent (10%) of more of the compensation from the contracts, the Bidder must include a subcontractor-completed Form C2: Confidentiality Statement from the subcontractor(s) receiving 10% or more of the compensation.	V.3.2.2: AR #5 Subcontractor Information
CR-1.4.11	If any subcontractor will receive ten percent (10%) of more of the compensation from the contracts, the Bidder must include a completed Form C4: Bid Certification Form from the subcontractor(s) receiving 10% or more of the compensation.	V.3.2.2: AR #5 Subcontractor Information

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-1.4.12	If any subcontractor will receive ten percent (10%) of more of the compensation from the contracts, the Bidder must include a subcontractor-completed Form C5: Bidder Information and Background form from each of the subcontractor(s) receiving 10% or more of the compensation.	V.3.2.2: AR #5 Subcontractor Information
CR-1.4.13	The Bidder must include in its Bid a Certificate of Status from the California Secretary of State, if the Bidder is a corporation, Limited Liability Company (LLC), or a Limited Partnership (LP).	V.3.3.1: AR #9 Certification with the State of California
CR-1.4.14	If the Bidder is not currently registered with the California Secretary of State, the Bidder must include in its Bid proof of application submittal to the Secretary of State.	V.3.3.1: AR #9 Certification with the State of California
CR-1.4.15	The Bidder must include in its Bid a completed Form C8: Seller's Permit listing its permit information from the California Board of Equalization.	V.3.3.2: AR #10 Seller's Permit
CR-1.4.16	If the Bidder does not currently have a permit number, the Bidder must include in its Bid proof of application submittal to the Board of Equalization.	V.3.3.2: AR #10 Seller's Permit
CR-1.4.17	The Bidder must include in its Bid a completed Form C9: Nondiscrimination Compliance Statement – STD 019.	V.3.3.3: AR #11 Nondiscrimination Compliance Statement
CR-1.4.18	The Bidder must include in its Bid a completed Form C10: Payee Data Record – STD 204.	V.3.3.4: AR #12 Payee Data Record
CR-1.4.19	The name of the Bidder's company listed on the Form C10 must be the name of the company that will be awarded the contracts.	V.3.3.4: AR #12 Payee Data Record
CR-1.4.20	The Bidder must include in its Bid proof of General Liability Insurance in the amount of $1,000,000 that is currently valid (i.e., not expired).	V.3.3.5: AR #13 General Liability Insurance
CR-1.4.21	The Bidder must include in its Bid proof of General Liability Insurance from each subcontractors receiving more than ten percent (10%) of the compensation from the Configuration and Implementation Contract in the amount of $1,000,000 (for each subcontractor) that is currently valid (i.e., not expired).	V.3.3.5: AR #13 General Liability Insurance

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-1.4.22	The Proof of General Liability Insurance must indicate: • Insured's name • Issuing agent/company • Policy limit • An indication that the policy is for liability insurance • Effective dates of the policy.	V.3.3.5: AR #13 General Liability Insurance
CR-1.4.23	The Bidder must include in its Bid proof of Workers' Compensation Insurance (covering all employees proposed for the resulting contracts from this IFB) in the amount of $1,000,000 that is currently valid (i.e., not expired).	V.3.3.6: AR #14 Workers' Compensation Insurance Policy
CR-1.4.24	The Proof of Workers' Compensation Insurance must indicate: • Insured's name • Issuing agent/company • Policy limit • An indication that the policy is for Workers' Compensation insurance • Effective dates of the policy.	V.3.3.6: AR #14 Workers' Compensation Insurance Policy

VIII.4.1.5 Tab 5 – Proof of Past Experience

The following are the requirements for the Proof of Past Experience.

Table VIII-7. Volume I, Tab 5 – Proof of Past Experience Requirements

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-1.5.1	Volume I, Tab 5 of the Bid must contain at least three (3) completed Corporate Reference Forms (Form C11) for successfully completed projects that meet the requirements stated in Section V.3.4.1: AR #15 Corporate Customer Reference Requirements.	V.3.4.1: AR #15 Corporate Customer References
CR-1.5.2	The Bidder must include reference contact information on each Form C11 to allow the State to validate the project reference information provided.	V.3.4.1: AR #15 Corporate Customer References
CR-1.5.3	If the Bidder is claiming a Desirable Corporate Experience Requirement, the Bidder must include in its Bid a completed Form C11 describing the project that meets the desirable requirement.	V.3.4.1: AR #15 Corporate Customer References
CR-1.5.4	The Bidder must submit in its Bid a completed Form	V.3.5.2: AR #17 Key

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

CR #	REQUIREMENT TEXT	RELATED REQMT
	C12: Resume Summary Form for each of the Key Staff Positions identified in Section V.3.5.1: AR #16 Project Staffing.	Staff Minimum Experience Requirements
CR-1.5.5	The Bidder must submit in its Bid a current resume for each staff member proposed for a Key Staff Position.	V.3.5.2: AR #17 Key Staff Minimum Experience Requirements
CR-1.5.6	A single individual must be proposed for each of the Key Staff positions (i.e., the Bidder cannot submit multiple resumes for a position).	V.3.5.2: AR #17 Key Staff Minimum Experience Requirements
CR-1.5.7	An individual cannot be proposed for more than one (1) of the Key Staff positions.	V.3.5.2: AR #17 Key Staff Minimum Experience Requirements
CR-1.5.8	The Bidder must include reference contact information on the Form C12: Resume Summary Form for each project used to meet the minimum staffing requirements to allow the State to validate the proposed staff's experience and qualifications.	V.3.5.3: AR #18 Key Staff Reference Checks
CR-1.5.9	Reference contact information must be for a client external to the Bidder's organization, parent company, and subsidiaries.	V.3.5.3: AR #18 Key Staff Reference Checks
CR-1.5.10	If the Bidder elects to provide or meet a Desirable Key Staff Minimum Experience Requirement, the Bidder must submit the information on the Form C12: Resume Summary Form describing the project that meets the requirements, including reference contact information.	V.3.5.2: AR #17 Key Staff Minimum Experience Requirements
CR-1.5.11	The Bidder must include in its Bid a completed Form C13: Productive Use Customer Reference for an organization currently using the proposed product(s) in a substantially similar configuration as proposed for this Bid.	V.3.6.2.2: AR #30 COTS Software Purchase

VIII.4.1.6 Tab 6 – Response to Functional and Technical Requirements

The following are the requirements for the Response to Functional and Technical Requirements.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

Table VIII-8. Volume I, Tab 6 – Response to Functional and Technical Requirements

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-1.6.1	Volume I, Tab 6 of the Bid must include a copy of the completed Form C14: PWP Hardware and Software Proposed.	V.3.6.2.2: AR #30 COTS Software Purchase
CR-1.6.2	The Bidder must clearly and completely describe, on Form C14: PWP Hardware and Software Proposed (available in Appendix C), all COTS software required to develop, test, implement and operate the PWP per the requirements contained in Appendix E: Detailed Requirements, for all phases of the project.	V.3.6.2.2: AR #30 COTS Software Purchase
CR-1.6.3	The Bidder must indicate on Form C14 when the specific software items are needed according to the Proposed WBS/Project Schedule (which is submitted as part of the Bid).	V.3.6.2.2: AR #30 COTS Software Purchase
CR-1.6.4	The Bidder must clearly and completely describe on Form C14: PWP Hardware and Software Proposed, all Third-Party Software required to develop, test, implement and operate the proposed solution for the PWP per the requirements contained in Appendix E: Detailed Requirements for all phases of the project.	V.3.6.2.4: AR #32 Third-Party Software Licensing
CR-1.6.5	The Bidder must clearly and completely describe, on Form C14: PWP Hardware and Software Proposed, all hardware required to develop, test, implement and operate the PWP per the requirements contained in Appendix E: Detailed Requirements, for all phases of the project and for all appropriate office locations, including the hot-site.	V.3.6.3: AR #34 Hardware Purchase Contract
CR-1.6.6	The Bidder must indicate on Form C14 when the specific hardware items are needed according to the Proposed WBS/Project Schedule (which is submitted as part of the Bid).	V.3.6.3: AR #34 Hardware Purchase Contract
CR-1.6.7	Volume I, Tab 6 of the Bid must contain a completed copy of Appendix E, Section E.1.1: Mandatory Functional Requirements.	VI.1: Detailed Requirements
CR-1.6.8	The Bidder must not retype or alter the wording of the requirements contained in Appendix E.	VI.1: Detailed Requirements
CR-1.6.9	The Bidder must enter the appropriate response code and	VI.1.1: Mandatory

CR #	REQUIREMENT TEXT	RELATED REQMT
	applicable product for each Functional Requirement in the Appendix E, Section E.1.1, and indicate where within the Bid supporting information is located.	Functional and Technical Requirements

VIII.4.1.7 Tab 7 – Proposed Plans

The following are the requirements for the Proposed Plans.

Table VIII-9. Volume I, Tab 7 – Proposed Plans Requirements

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-1.7.1	Volume I, Tab 7 of the bid must contain the following Proposed Plans: • Proposed Project Management Plan • Proposed WBS/Project Schedule • Proposed Business Process Analysis Plan • Proposed System Description • Proposed System Architecture Design Document	V.3.7.4: AR #40 Planning Documents in the Bid Submission
CR-1.7.2	The Proposed Plans must describe the Bidder's specific approach to implementing and delivering the proposed solution for the PWP.	V.3.7.4: AR #40 Planning Documents in the Bid Submission
CR-1.7.3	The Proposed Project Management Plan must describe the Bidder's approach to managing and delivering the proposed solution, and must address the elements indicated with an asterisk (*) in requirement CD-3 (contained in Appendix E, Section E.1.3.2).	V.3.7.4: AR #40 Planning Documents in the Bid Submission
CR-1.7.4	If subcontractors are being used, the Bidder must indicate in its Proposed Project Management Plan how it will manage and control the work of any and all subcontractors.	V.3.2.1: AR #4 Bidder Use of Subcontractors
CR-1.7.5	The Proposed WBS/Project Schedule must contain the elements indicated with an asterisk (*) in requirement CD-4 (contained in Appendix E, Section E.1.3.2).	V.3.7.4: AR #40 Planning Documents in the Bid Submission
CR-1.7.6	The Proposed WBS/Project Schedule must summarize the activities, work products and milestones necessary to design and deploy all three (3) phases of the project.	Appendix E, Section E.1.3.2, #CD-4
CR-1.7.7	The Proposed WBS/Project Schedule must be detailed to at least the third level, where:	Appendix E, Section E.1.3.2, #CD-4

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

CR #	REQUIREMENT TEXT	RELATED REQMT
	• The first level is the major milestones/project components (e.g., data conversion, planning, training); • The second level is the high-level tasks (e.g., develop data conversion plan, develop format standards for conversion); and • The third level is the subtasks (e.g., conduct interviews, analyze data sources, internal quality assurance (QA) review of plan, submission of plan for CDI review).	
CR-1.7.8	The Proposed WBS/Project Schedule must present a high-level view of the schedule which depicts the detailed tasks to be performed by month.	Appendix E, Section E.1.3.2, #CD-4
CR-1.7.9	The Proposed WBS/Project Schedule must include the proposed dates (by month) for each progress payment.	V.3.8.3: AR #43 Deliverable-based Progress Payments
CR-1.7.10	The Proposed WBS/Project Schedule must include the proposed dates (by month) for delivery of the hardware components for each phase and the associated payment milestones.	V.3.8.4: AR #44 Hardware Purchase Payment
CR-1.7.11	The Proposed Business Process Analysis Plan must describe the Bidder's approach to analyzing the CDI's current processes and methods for conversion to electronic processing methods, and must include the elements indicated with an asterisk (*) in requirement CD-12 (contained in Appendix E, Section E.1.3.2).	V.3.7.4: AR #40 Planning Documents in the Bid Submission

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-1.7.12	The Proposed System Description must describe the Bidder's high-level approach to the project from a cradle-to-grave business/functional perspective, including the elements indicated below: • Description of the features and functionality provided by the proposed products • Description of how different modules and products will integrate and work together (from a user perspective) • Description of how users would perform the following activities using the proposed solution: • Complete internal eForms and initiate workflows for processing • Receive eForms completed by external entities and use workflow for processing • Receive and scan incoming mail, and route it for processing • Scan a received paper document and convert to text-based document via OCR • Make documents available to public partners via the Internet • Redact information from a document received from an external entity • Description of the tools used to create, test, and maintain the eForms and workflows Note: This item is not considered a contract deliverable and is for evaluation purposes only.	V.3.7.4: AR #40 Planning Documents in the Bid Submission
CR-1.7.13	The Proposed System Architecture Design Document must provide a technical description of the Bidder's proposed solution, including the elements indicated with an asterisk (*) in requirement CD-15 (contained in Appendix E, Section E.1.3.2).	V.3.7.4: AR #40 Planning Documents in the Bid Submission

VIII.4.2. Volume II – Cost Bid

Refer to the submission requirements described in Section VIII.2: Bid Submission Requirements for special handling instructions related to Volume II: Cost Bid. This volume will not be opened or reviewed until after the evaluation of the other volumes has completed.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

VIII.4.2.1 Tab 1 – Cost Worksheets

The following are the requirements for the Cost Worksheets.

Table VIII-10. Volume II, Tab 1 – Cost Worksheet Requirements

CR #	Requirement Text	Related Reqmt
CR-2.1.1	The Bidder must submit two (2) paper copies plus one (1) Master Copy of Volume II of its Bid.	n/a
CR-2.1.2	Volume II, Tab 1 of the Bid must contain the completed Cost Worksheets (Form VII-1 through VII-7) from Appendix B.	VII.3: Cost Worksheets
CR-2.1.3	The Cost Workbook must be completed in MS Excel 2003 (or compatible) format.	VII.3: Cost Worksheets
CR-2.1.4	The Bidder must not retype or alter the format or formulas presented in the Cost Worksheets. The Bidder may add more lines as needed to contain all the necessary products and licensing for the PWP.	VII.3: Cost Worksheets
CR-2.1.5	If an item has no cost, the Bidder should enter the numeral ‘0’, rather than leaving the item blank.	n/a
CR-2.1.6	The non-cost portions of the Cost Workbook must be completed including hardware and software specifications, licensing information, and any other explanatory or clarifying information.	n/a

VIII.4.2.2 Tab 2 – Small Business Preference Notification

The following are the requirements for the Small Business Preference Notification.

Table VIII-11. Volume II, Tab 2 – Small Business Preference Notification Requirements

CR #	Requirement Text	Related Reqmt
CR-2.2.1	Volume II, Tab 2 of the Bid must contain the Form C15: Small Business Preference Notification.	n/a
CR-2.2.2	The Bidder must indicate on the Form C15 if the Small Business Preference is being requested or that no Small Business will be utilized.	n/a

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-2.2.3	If the Small Business Preference is being requested, the Bidder must include a copy of the Small Business' DGS Approval letter showing the Small Business number, expiration date, and approved categories of products and services.	V.2.4: Small Business Preference
CR-2.2.4	If the Small Business Preference is being requested, the Small Business' DGS Approval letter must be valid (i.e., not expired).	V.2.4: Small Business Preference
CR-2.2.5	If the Small Business Preference is being requested, the Bidder must include a completed Form C7: Commercially Useful Function Statement for each small business being utilized.	V.3.2.5: AR #8 Commercially Useful Function
CR-2.2.6	If the Small Business Preference is being requested, the data on the Form C7: Commercially Useful Function Statement must be consistent with the approved categories of products and services listed on the Small Business Approval Letter from DGS.	V.3.2.5: AR #8 Commercially Useful Function

VIII.4.2.3 Tab 3 - Disabled Veteran Business Enterprise (DVBE) Forms

The following are the requirements for the DVBE forms.

Table VIII-12. Volume II, Tab 3 – DVBE Forms Requirements

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-2.3.1	Volume II, Tab 3 of the Bid must contain the completed STD 840 and GSPD 05-105 Forms. Note: These forms are required even if the Bidder is not using a DVBE.	V.3.2.4: AR #7 DVBE Participation Requirement
CR-2.3.2	The Bidder must indicate the percentage of DVBE participation on the GSPD 05-105 Form.	V.3.2.4: AR #7 DVBE Participation Requirement
CR-2.3.3	If a DVBE is being used, the Bidder must include a copy of the DVBE's DGS Approval letter showing the DVBE number, expiration date, and approved categories of products and services.	n/a
CR-2.3.4	If s DVBE is being used, the DVBE's DGS Approval letter must be valid (i.e., not expired).	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-2.3.5	If a DVBE is being used, the Bidder must include a completed Form C7: Commercially Useful Function Statement for each DVBE being utilized.	V.3.2.5: AR #8 Commercially Useful Function
CR-2.3.6	If a DVBE is being used, the data on the Form C7: Commercially Useful Function Statement must be consistent with the approved categories of products and services listed on the DVBE Approval Letter from DGS.	V.3.2.5: AR #8 Commercially Useful Function
CR-2.3.7	If a Good Faith Effort is being claimed, the Bidder must include the appropriate supporting documentation (as described on the Form STD 840), including: • DGS Form STD 840, with option B selected, and Sections A through C completed • Signed DGS Form GSPD 05-105 • Copies of email, faxes or web results from organizations contacted • Copies of published advertisements in an accepted trade paper AND a DVBE focus paper. • Copies of proof of contact and consideration, including as appropriate, delivery confirmations, written invitations, and responses from contacted firms	DGS Form STD 840
CR-2.3.8	If the Bidder has an approved Business Utilization Plan on file with DGS, the Bidder must submit the DGS Approval Letter for the Plan.	DGS Form STD 840

VIII.4.2.4 Tab 4 – Proof of Bondability

The following are the requirements for Proof of Bondability.

Table VIII-13. Volume II, Tab 4 – Proof of Bondability Requirements

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-2.4.1	Volume II, Tab 4 of the Bid must contain a letter showing Proof of Bondability.	Section V.3.8.2: AR #42 Performance Bond/Letter of Bondability
CR-2.4.2	The Letter of Bondability must be from a surety insurer licensed to do business in the State of California.	Section V.3.8.2: AR #42 Performance Bond/Letter of Bondability

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-2.4.3	The Letter of Bondability must state the bonding company will bond the Bidder for the amount of thirty percent (30%) of the Bidder's proposed one-time project costs for the Configuration and Implementation Contract, if the Bidder is awarded the contracts resulting from this IFB. Note: The proposed one-time project costs are the costs from the Bidder's Cost Bid, Form VII-1 – Total Cost Summary, cell B9.	Section V.3.8.2: AR #42 Performance Bond/Letter of Bondability
CR-2.4.4	The Letter of Bondability must indicate the bond will be held in effect until the successful completion of the Phase 3 PWP Production Acceptance Period.	Section V.3.8.2: AR #42 Performance Bond/Letter of Bondability
CR-2.4.5	The Letter of Bondability must be valid for at least twenty-one (21) calendar days after the Contract Award date listed in Section I.5: Key Action Dates of the IFB.	Section V.3.8.2: AR #42 Performance Bond/Letter of Bondability
CR-2.4.6	The Bidder must submit the terms and conditions of the performance bond as part of its Bid.	Section V.3.8.2: AR #42 Performance Bond/Letter of Bondability

VIII.4.3. Volume III – Contracts

The following are the requirements for Volume III: Contracts. These pages will be used in assembling the actual contract should the Bidder be awarded the contract.

Table VIII-14. Volume III – Contract Requirements

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-3.1	The Bidder must submit a single Master Copy of Volume III of its Bid in paper format.	n/a
CR-3.2	The Bidder must submit in its Bid four (4) copies of the STD 213 Contract Form (contained in Appendix A) for each of the Contracts: 1- Configuration and Implementation Contract 2- Hardware Purchase Contract 3- Maintenance and Support Services Contract	n/a
CR-3.3	The Bidder must complete the following fields on each copy	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

CR #	REQUIREMENT TEXT	RELATED REQMT
	of the STD 213: 1-Item 1b (Contractor's Name) 2-Contractor Identification Block • Contractor's Name • Signed By • Date Signed • Printed Name • Title of Person Signing • Address	
CR-3.4	The Bidder must provide an original signature on each copy of the STD 213 forms for each contract.	II.3.5.5: Signature of Bid
CR-3.5	The Bidder's representative who signs the STD 213 must be the individual identified in the Bidder's Cover Letter as being authorized to bind the Bidder's firm contractually.	II.3.5.5: Signature of Bid
CR-3.6	The Bidder must reproduce the STD 213 Forms for each contract on single-sided pages.	n/a
CR-3.7	The Bidder must reproduce the STD 213 Forms for each contract on plain pages without the Bidder's logo or letterhead markings, volume and IFB number (i.e., without the items indicated in requirement FR-3 above).	n/a
CR-3.8	The Bidder must not retype or alter the wording of the STD 213 Forms.	n/a
CR-3.9	The Bidder must not include any cost information on the STD 213.	n/a

VIII.4.4. Volume IV – Supporting Literature (optional)

The following are the requirements for Volume IV: Supporting Literature. This volume is suggested, but not mandatory.

Table VIII-15. Volume IV – Supporting Literature Requirements

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-4.1	If provided, the Bidder must submit five (5) paper copies plus one (1) Master Copy of Volume IV of its Bid.	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION VIII – BID FORMAT AND CONTENT

CR #	REQUIREMENT TEXT	RELATED REQMT
CR-4.2	If provided, the Bidder must submit only supporting literature for the products, tools and services proposed for the PWP. Future release brochures and optional products not proposed for this project shall not be included. Note: Supporting literature includes manufacturer's specifications, product feature brochures, service descriptions, etc.	n/a
CR-4.3	The Bidder must not include any cost information in Volume IV. If the preprinted literature contains costs, the Bidder must redact or replace the information with "XXX" in both the paper and electronic copies.	n/a

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

SECTION IX – EVALUATION AND SELECTION

FINAL

MARCH 26, 2009

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

Table of Contents

IX. EVALUATION AND SELECTION IX-1
IX.1. INTRODUCTION IX-1
IX.2. RECEIPT OF BIDS IX-1
IX.3. STATE EVALUATION TEAM IX-1
IX.4. EVALUATION OF BIDS IX-1
IX.4.1. Submission Requirements Review (Pass/Fail) IX-2
IX.4.2. Administrative Requirements Review (Pass/Fail) IX-2
IX.4.3. Bidder Past Experience Requirements Review (Pass/Fail and Scored Components) IX-2
IX.4.4. Functional and Technical Requirements Response Review (Scored Components) IX-5
IX.4.5. Proposed Solution Requirements Review (Pass/Fail and Scored Components) IX-6
IX.4.6. Computation of Technical Score IX-15
IX.4.7. Cost Assessment (Scored Component) IX-15
IX.4.8. Summary of Overall Evaluation Scoring Process IX-16
IX.4.9. Application of Preferences and Incentives IX-18
IX.5. SCORING EXAMPLE IX-19
IX.5.1. Worksite Preference Example IX-21
IX.5.2. Small Business Preference Example IX-21
IX.5.3. DVBE Incentive Example IX-22
IX.6. SELECTION OF CONTRACTOR IX-23

List of Tables

TABLE IX-1. DESIRABLE REQUIREMENTS IX-4
TABLE IX-2. FUNCTIONAL REQUIREMENTS RESPONSE RATING SCALE IX-5
TABLE IX-3. PROPOSED PLANS RATING SCALE IX-7
TABLE IX-4. PROPOSED PROJECT MANAGEMENT PLAN COMPONENTS IX-8
TABLE IX-5. PROPOSED WORK BREAKDOWN STRUCTURE/PROJECT SCHEDULE COMPONENTS IX-9
TABLE IX-6. PROPOSED BUSINESS PROCESS ANALYSIS PLAN COMPONENTS IX-11
TABLE IX-7. PROPOSED SYSTEM DESCRIPTION COMPONENTS IX-12
TABLE IX-8. PROPOSED SYSTEM ARCHITECTURE DESIGN DOCUMENT COMPONENTS IX-13
TABLE IX-9. SUMMARY OF SCORING PROCESS IX-16
TABLE IX-10. CONFIRMED DVBE PARTICIPATION INCENTIVE IX-19
TABLE IX-11. SCORING SCENARIO EXAMPLE IX-19
TABLE IX-12. EXAMPLE OF TECHNICAL SCORE COMPUTATION IX-20
TABLE IX-13. EXAMPLE OF WORKSITE PREFERENCE APPLIED IX-21
TABLE IX-14. EXAMPLE OF BIDDER POINTS WITH SMALL BUSINESS APPLIED IX-22
TABLE IX-15. EXAMPLE OF BIDDER POINTS WITH SMALL BUSINESS AND DVBE INCENTIVE APPLIED IX-23
TABLE IX-16. EXAMPLE OF FINAL SCORING AND CONTRACTOR SELECTION IX-24

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IX – EVALUATION AND SELECTION

IX. EVALUATION AND SELECTION

This section describes the process the State will follow in evaluating Bids submitted by Bidders in response to this IFB. The purpose of competitive bidding is to secure public objectives in the most value-effective manner and avoid the possibilities of graft, fraud, collusion, etc. Competitive bidding is designed to benefit the State and is not for the benefit of the Bidders. It is administered to accomplish its purposes with sole reference to the public interest. It is based upon full and free bidding to satisfy State specifications, and acceptance by the State of the most value-effective solution to the State's requirements, as determined by the evaluation criteria contained in the IFB.

IX.1. INTRODUCTION

The evaluation process is a multi-step process comprised of a thorough review of each Bid to determine the responsible and responsive Bid that is the most value effective for the State. The most value effective Bid is the Bid that meets all of the mandatory requirements set forth in this IFB and offers the State the best combination of value and cost as determined through the evaluation process specified in this section. The process includes an evaluation of the Bids for adherence to Administrative and Technical Requirements, followed by the evaluation of the Cost Bids. The point structure for evaluation of the final score is 50% technical points for the proposed solution and 50% for cost, with a maximum of 1,000 points, prior to applying preferences and incentives.

IX.2. RECEIPT OF BIDS

Complete Bids must be delivered by the dates and times specified in Section I.5: Key Action Dates. Each Bid will be date and time marked as it is received. DGS staff will verify that all responses are submitted under an appropriate cover, sealed and properly identified. Bids must meet all requirements specified in Section VIII: Bid Format and Content, and if not, may be rejected and deemed non-responsive.

IX.3. STATE EVALUATION TEAM

The State will establish a State Evaluation Team comprised of individuals selected from State management and staff that will be responsible for the review and evaluation of the Bids. The DGS Procurement Official or designee will provide guidance and oversight for the evaluation process.

The State may engage additional qualified individuals, termed "Subject Matter Experts (SMEs)", during the evaluation process to assist the State Evaluation Team in gaining a better understanding of technical, financial, legal, contractual, project or program issues. The SMEs will not have voting privileges or responsibility for the evaluation process. The State Evaluation Team will use consensus to determine pass/fail status of the Bidder's responses, and to arrive at evaluation scores for each Bid.

IX.4. EVALUATION OF BIDS

The evaluation of Bids will consist of the following steps.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IX – EVALUATION AND SELECTION

IX.4.1. SUBMISSION REQUIREMENTS REVIEW (PASS/FAIL)

The first step of the evaluation consists of a screening of each Bid for compliance with the Submission, Format and Content Requirements defined in the IFB, Section VIII: Bid Format and Content. Note that Volume II: Cost Bid shall remain sealed until the non-cost evaluation has been completed.

The DGS Procurement Official and/or assigned staff will review each Bid for the presence of the proper number of Bid copies and required information in conformance with the Submission, Format and Content Requirements of this IFB. The Bidder will be given a "pass" score if the required information is included in the Bid and it meets the requirements of this IFB. The Bidder will be given a "fail" score if the required information does not meet the requirements of this IFB, is incomplete, or is missing.

If a Bid fails to meet any of the Submission and Format Requirements from Section VIII.2: Bid Submission Requirements and Section VIII.3: Format Requirements, the State Evaluation Team will determine if the deviation is material (in accordance with the definition provided in Section II.1.1: Requirements). If the deviation is determined to be material, the Bid will be considered non-responsive and excluded from further consideration.

IX.4.2. ADMINISTRATIVE REQUIREMENTS REVIEW (PASS/FAIL)

The State Evaluation Team will review each Bid to determine whether it meets all of the Administrative Requirements contained in Section V: Administrative Requirements of this IFB. The State Evaluation Team will also determine whether the Bidder has provided the required responses to specific Administrative Requirements.

The Bidder will be given a "pass" score if the required information is included in the Bid and it meets the Administrative Requirements of this IFB. The Bidder will be given a "fail" score if the required information does not meet the Administrative Requirements of this IFB, is incomplete, or is missing.

If a Bid fails to meet any of the mandatory Administrative Requirements from Section V: Administrative Requirements or the Content Requirements from Section VIII.4: Bid Content Requirements, the State Evaluation Team will determine if the deviation is material (in accordance with the definition provided in Section II.1.1: Requirements). If the deviation is determined to be material, the Bid will be considered non-responsive and excluded from further consideration.

If any differences are identified between the IFB requirements as issued by the State and the requirements as returned in the Bidder's response, the requirement as issued by the State shall prevail, whether identified by the State as part of the evaluation process, before, or after Contract Award.

IX.4.3. BIDDER PAST EXPERIENCE REQUIREMENTS REVIEW (PASS/FAIL AND SCORED COMPONENTS)

The assessment of the Bidder's past experience consists of a mandatory pass/fail component and a scored component. The Bidder will be given a "pass" score if the required information and references are included in the Bid, and it meets the Administrative Requirements of this IFB.

The Bidder will be given a "fail" score if the required information does not meet the Administrative Requirements of this IFB, if the reference cannot/did not validate the Bidder's claims, is incomplete, or is missing.

If a Bid fails to meet any of the mandatory requirements from Section V.3.4: Corporate Experience and Customer Reference Requirements, Section E.1.6: Mandatory Key Staff Minimum Experience Requirements, or the Content Requirements from Section VIII.4: Bid Content Requirements, the State Evaluation Team will determine if the deviation is material (in accordance with the definition provided in Section II.1.1: Requirements). If the deviation is determined to be material, the Bid will be considered non-responsive and excluded from further consideration.

If the Bid receives a "pass" score and if the Bidder is committing to meet a Desirable Requirement, the State Evaluation Team will score the Desirable Corporate Experience and Desirable Key Staff Minimum Experience Requirements. The following sections describe the specific process for evaluating and scoring the Bidder's past experience.

IX.4.3.1 Mandatory Corporate Experience Requirements Review

The purpose of the Corporate Experience and Customer Reference Requirements is to provide the State the ability to assess the Bidder's prior record and experience in providing similar or relevant services to other organizations. The descriptions of prior projects must be detailed and comprehensive enough to permit the State to assess the similarity of those projects to the work anticipated for the contracts resulting from this IFB. The State's determination of similarity of the projects included as references to the project specified in this IFB, for the purposes of this IFB, shall be final. All references must be specific to the products and services proposed for this project. References must include the information specified on Form C11: Corporate Reference (available in Appendix C) and must meet the requirements specified in Section V.3.4: Corporate Experience and Customer Reference Requirements.

During the evaluation and selection process, the State may contact the specified references. If references are contacted, the State will make up to three (3) attempts to contact the reference. If the State is unable to reach the reference, the State may request the Bidder to confirm the contact information. If the reference cannot be reached after the Bidder confirms the contact information, the reference will be considered failed. Failure to provide verifiable references may cause the Bid to be rejected. Negative feedback provided by a reference also may cause a Bidder's Bid to be rejected.

IX.4.3.2 Mandatory Key Staff Minimum Experience Requirements Review

The purpose of the Key Staff Minimum Experience Requirements is to provide the State the ability to assess the Bidder's proposed Key Staff's qualifications and experience with similar or relevant services to other organizations. The descriptions of the projects provided on the Key Staff's resume and on Form C12: Resume Summary Form (available in Appendix C) must be detailed and comprehensive enough to permit the State to assess the similarity of those projects and the type of work experience attained to the work anticipated for the contracts resulting from this IFB. The State's determination of similarity of the projects and work experience included as

references to the project specified in this IFB, for the purposes of this IFB, shall be final. All references must be specific to the products and services proposed for this project. References must include the information specified on Form C12: Resume Summary Form and must meet the requirements specified in Appendix E, Section E.1.6: Mandatory Key Staff Minimum Experience Requirements.

During the evaluation and selection process, the State may contact the specified references. If references are contacted, the State will make up to three (3) attempts to contact the reference. If the State is unable to reach the reference, the State may request the Bidder to confirm the contact information. If the reference cannot be reached after the Bidder confirms the contact information, the reference will be considered failed. Failure to provide verifiable references may cause the Bid to be rejected. Negative feedback provided by a reference also may cause a Bidder's Bid to be rejected.

IX.4.3.3 Desirable Requirements Review

Maximum Score = 100 Points

The Desirable Requirements will be assessed and scored based on the Bidder past experience with similar projects and products. Table IX-1 lists the types of desirable experience requested for this IFB, the section where the requirements are detailed, and the points available to the Bidder should it possess the additional qualifications.

Table IX-1. Desirable Requirements

REQMT TYPE	REQUIREMENTS SECTION	AVAILABLE POINTS
Desirable Corporate Experience	Appendix E, Section E.2.1: Desirable Corporate Experience Requirements	44
Desirable Key Staff Minimum Experience	Appendix E, Section E.2.2: Desirable Key Staff Minimum Experience Requirements	56
Total Points Available for the Desirable Requirements		100

The Bidder must clearly describe, for each of the desirable requirements that they agree to provide, how the desirable requirements will be met by submitting the appropriate information. For Desirable Corporate Experience requirements, the information must be submitted on Form C11: Corporate Experience Reference form. For Desirable Key Staff Minimum Experience requirements, the information must be submitted on Form C12: Resume Summary Form and must be described on the Key Staff's resume.

If the Bidder meets the desirable requirement, the State Evaluation Team shall award the desirable points to the Bidder. The State will award desirable points in the amount indicated in Section E.2. If the Bidder submits multiple references that meet the desirable qualifications, the State shall award the desirable points only for the first successfully validated desirable reference. The State Evaluation Team will not award partial points for a desirable requirement.

If the Bidder claims to meet the requirement and the associated description is not included or does not adequately describe how the requirement will be met, in the opinion of the State Evaluation Team, the Bidder will not be awarded the points associated with the requirement, but the Bidder will be required to meet that requirement.

IX.4.4. FUNCTIONAL REQUIREMENTS RESPONSE REVIEW (SCORED COMPONENTS)

Maximum Score = 150 Points

The purpose of this component is to allow the State to assess the level of integration and cohesiveness of the proposed solution. The CDI has identified the mandatory requirements for the PWP proposed solution in Appendix E, Sections E.1.1. The Bidder must indicate for each requirement in this section how the requirement will be met or addressed by completing the Response Code field and Product Used to Meet the Requirement field. The State Evaluation Team will review the Bidder's response and assess the following points based on the Bidder's Response Code.

Table IX-2. Functional Requirements Response Rating Scale

RATING	DESCRIPTION	AVAILABLE POINTS
A – Out of the Box	The requirement will be met by the "out of the box" functionality provided by the primary COTS product/modules. Note: This includes standard configuration mechanisms that do not involve modification to the standard database schema and application code. The Bidder is responsible for performing all configuration needed to achieve the requirements.	3
B – Third-Party Product	The requirement will be met by integrating a designated third-party product with the primary COTS product/modules. Note: The Bidder is responsible for performing all integration needed to achieve the requirements.	2
C – Customization	The requirement will be met by custom development. Note: The Contractor is not permitted to modify the base COTS application in order to meet a requirement. All custom development must be handled through Application Programming Interfaces (APIs), web services, XML, etc.	1

The State reserves the right to determine if the Bidder's response to a requirement, as detailed in its Bid and/or supporting literature, supports or contradicts the Bidder's Response Code. If the Bidder's Response Code for a requirement conflicts with the information provided in other areas of its Bid (e.g., the Proposed System Description, Proposed System Architecture Design

Document, Volume IV: Supporting Literature), the State Evaluation Team shall adjust the Bidder's Response Code to match the information provided in the narrative response. The State will document in the evaluation documentation any instances where the State Evaluation Team adjusts the Response Code. If the Bidder does not provide a Response Code for a particular requirement, the requirement may be assessed zero (0) points for that requirement. The Bidder's proposed solution must satisfy all mandatory requirements or the Bid will be deemed nonresponsive.

The State Evaluation Team shall sum the available points for each requirement based on the Bidder's Response Code (or adjusted Response Code, if appropriate). The Bidder's Response Code Total will then be scaled based on the Total Available Response Code Points. The Total Available Response Code Points is the total number of functional requirements (138) multiplied by the highest possible rating for each requirement (taken from Table IX-2), thus 414 (138*3). There is a maximum of 150 points available for this component. The following formula will be applied to achieve the score for this component:

$$\frac{\text{Bidder's Response Code Total}}{\text{Total Available Response Code Points}} * 150 \text{ points available} = \text{Bidder's Functional Requirements Response Score}$$

IX.4.5. PROPOSED SOLUTION REQUIREMENTS REVIEW (PASS/FAIL AND SCORED COMPONENTS)

The purpose of the proposed solution review is to provide the State an understanding of the Bidder's overall approach to delivering the PWP including the management, high-level schedule, methodology, functional and technical approaches.

The assessment of the Bidder's proposed solution consists of a mandatory pass/fail component and a scored component. The Proposed Project Management Plan, Proposed WBS/Project Schedule, and Proposed Business Process Analysis Plan will be assessed on a "pass/fail" basis. The Bidder will be given a "pass" score if the required information is provided in the Bid, and it meets the requirements of this IFB. The Bidder will be given a "fail" score if the required information does not meet the requirements of this IFB, if the Bidder does agree to provide or meet any requirement, is incomplete, or is missing.

If a Bid fails to meet any of the mandatory requirements from Section VI: Functional and Technical Requirements; Appendix E, Section E.1: Mandatory Requirements; or the Content Requirements from Section VIII.4: Bid Content Requirements, the State Evaluation Team will determine if the deviation is material (in accordance with the definition provided in Section II.1.1: Requirements). If the deviation is determined to be material, the Bid will be considered non-responsive and excluded from further consideration.

If the Bid receives a "pass" score, the State Evaluation Team will score the Bidder's remaining Proposed Planning Documents. The Planning Documents that will be scored are:

- Proposed System Description
- Proposed System Architecture Design Document

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IX – EVALUATION AND SELECTION

These plans will be scored using the following rating scale and based on the Bidder's specific approach to implementing and delivering the PWP, as defined in the requirements contained in Appendix E.

Table IX-3. Proposed Plans Rating Scale

RATING	DESCRIPTION
Meets the Requirements (100% of the available points for the component)	The narrative response: • Is compliant and consistent with the requirements of the IFB; and • Addresses all components of the requirement.
Partially Meets the Requirements (70% of the available points for the component)	The narrative response: • Is partially compliant with the requirements of the IFB, but not all aspects of the requirements are addressed; and • Is consistent with the requirements of the IFB (for the portion of the requirement that has been described).
Does Not Meet the Requirements (0% of the available points for the component)	The narrative response: • Fails to address the requirements of the IFB; • Is inconsistent with the requirements of the IFB; or • Does not provide the State Evaluation Team an understanding of how the requirements will be met for the PWP.

A zero (0) score for any individual component (i.e., section) within a proposed plan shall not be cause for failure or disqualification, as long as the overall rating for the plan is not zero (0). Each proposed plan must achieve at least a seventy (70%) total score for the overall plan components, or it may be considered non-responsive.

The following sections describe the specific process for evaluating and scoring the Bidder's proposed plans.

IX.4.5.1 Proposed Project Management Plan

Pass/Fail

The State Evaluation Team will review the Proposed Project Management Plan to assess how the Bidder will manage its efforts on the PWP. The Proposed Project Management Plan will be assessed based on the Bidder's description of the components listed in Table IX-4 (and as indicated by an asterisk (*) in CD-3 in Appendix E, Section E.13.2).

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IX – EVALUATION AND SELECTION

Table IX-4. Proposed Project Management Plan Components

#	TOPIC
1.	Project management methodology and approach, including • Scope management, including how scope issues will be resolved • Schedule management, including how status will be quantified and reported, and how schedule delays will be resolved • Resource management, including how resource shortages will be resolved • Escalation process for resolving issues (within the Contractor's team and for presenting issues to the CDI for resolution)
2.	Structure of the Contractor's project team, including • Organization charts • Depiction and description of authority and reporting • Staff roles and responsibilities • Staff management/communication plan, including • Contractor's management structure and its methods for ensuring adequate oversight and executive direction for the contracts • Description of how the Contractor team will interact and communicate with State personnel • Approach to managing Contractor and subcontractor staff • Coordination of staff at multiple, remote locations, including handling of meetings and status (if applicable)
3.	Contractor's methodology for installing, configuring, customizing/developing and implementing the proposed solution, including • Description of the System/Software Development Life Cycle (SDLC) to be used • Description of the configuration, customization/development approach • Description of the implementation and deployment approach
4.	Mapping of contract deliverables to the Contractor's methodology
5.	Specific risks to the project (in terms of scope, schedule, and resources) and recommended mitigation/contingency plans

The Proposed Project Management Methodology and Approach (item 1) must describe the Bidder's standard methodology for project management, as well as the specific activities that will be performed for this project. In particular, the Bidder must describe how it will manage and control the scope, schedule and resources for the project and how it will notify and work with the CDI to resolve any concerns or problems. For example, the Bidder must describe how it will detect, analyze and resolve schedule delays and how the CDI will be notified of the problem and possible impacts.

The Structure of the Contractor's Team (item 2) must describe and depict the roles and reporting relationships for the Bidder's organization and how subcontractors are integrated into the

organization (if appropriate). The Bidder must describe its staff roles and indicate responsibilities and authority levels within the organization. The Bidder must describe how it will coordinate, communicate, and manage staff interactions within its team, including any subcontractors, as well as with State staff. Particular emphasis must be placed on communication methods for staff at off-site locations (i.e., staff not located at the CDI), and how activities will be coordinated between locations, and when multiple phases are in progress at the same time.

The Contractor's Methodology (item 3) must describe the Bidder's methodology and approach for delivering the proposed solution, including how the products will be installed and configured, how any customizations or development will be performed (if custom development is needed), and the preliminary strategy for implementation and deployment, including coordination and management of the pilot for each phase. The Bidder should describe the recommended approach to training end users (i.e., direct delivery vs. train-the-trainer), and the timing of training in relation to the pilot and deployment.

The Mapping of Project Deliverables (item 4) must list the contract deliverables required by the IFB (as described in Appendix E, Section E.1.3.2) and any other deliverables that may be produced as part of the Bidder's standard development methodology. In cases where the Bidder's methodology uses different terms or multiple documents to address a contract deliverable, the Bidder must include a mapping of the contract deliverables to the Bidder's methodology and documents.

The Specific Risks (item 5) must include a summary of the risks associated with the Bidder's proposed solution and approach to delivering the project, and describe initial mitigation and contingency plans to address those risks.

The Bidder must respond to each of these items in order to receive a "pass" score. If the Bidder does not respond to the item, or if the response is incomplete or in conflict with the requirements of the IFB, the Bidder will be given a "fail" score for this component. The State Evaluation Team will determine if the deviation is material (in accordance with the definition provided in Section II.1.1: Requirements). If the deviation is determined to be material, the Bid will be considered non-responsive and excluded from further consideration.

IX.4.5.2 Proposed Work Breakdown Structure (WBS)/Project Schedule

Pass/Fail

The State Evaluation Team will review the Proposed WBS/Project Schedule to assess the Bidder's proposed timeline for implementing and deploying the PWP. The Proposed WBS/Project Schedule will be assessed based on the Bidder's description of the components listed in Table IX-5 (and as indicated by an asterisk (*) in CD-4 in Appendix E, Section E.1.3.2).

Table IX-5. Proposed Work Breakdown Structure/Project Schedule Components

#	TOPIC
1.	Proposed Work Breakdown Structure depicting all three (3) phases of the project, to at

#	TOPIC
	least the third level, where where: • The first level is the major milestones/project components (e.g., data conversion, planning, training), • The second level is the high-level tasks (e.g., develop data conversion plan, develop format standards for conversion), and • The third level is the subtasks (e.g., conduct interviews, analyze data sources, internal QA review of plan, submission of plan for CDI review).
2.	Proposed High-Level Project Schedule, including • Detailed Tasks by Month • Task Dependencies • Task Durations • Task Start and End Dates • Task Ownership, including Contractor and CDI tasks • Key Project Milestones • Contract Deliverable Submission Milestones • Hardware Delivery Milestones • Payment Milestones (based on Section V.3.8.3 and V.3.8.4) Note: Refer to Section IV.5 for the State staff availability.

The Proposed WBS (item 1) must decompose the work necessary for the project to the third level to allow the CDI to understand the Bidder's approach to performing the work associated with the PWP.

The Proposed Project Schedule (item 2) must list the tasks required to implement the Bidder's proposed solution, including the deliverable milestones and payment milestones. The Proposed Project Schedule must clearly identify those tasks that are the responsibility of the CDI.

The Bidder must respond to each of these items in order to receive a "pass" score. If the Bidder does not respond to the item, or if the response is incomplete or in conflict with the requirements of the IFB, the Bidder will be given a "fail" score for this component. The State Evaluation Team will determine if the deviation is material (in accordance with the definition provided in Section II.1.1: Requirements). If the deviation is determined to be material, the Bid will be considered non-responsive and excluded from further consideration.

IX.4.5.3 Proposed Business Process Analysis Plan

Pass/Fail

The State Evaluation Team will review the Proposed Business Process Analysis Plan to assess the Bidder's proposed approach to analyzing and prioritizing the CDI's processes and forms for

conversion to electronic methods. The Proposed Business Process Analysis Plan will be assessed based on the Bidder's description of the components listed in Table IX-6 (and as indicated by an asterisk (*) in CD-12 in Appendix E, Section E.1.3.2).

Table IX-6. Proposed Business Process Analysis Plan Components

#	TOPIC
1.	Strategy and methodology for conducting the high-level business process analysis
2.	Approach to analysis of processes and forms
3.	Approach to prioritization of the processes and forms
4.	Criteria for performing the prioritization

The Strategy and Methodology (item 1) must describe the methods the Bidder is proposing for conducting the high-level business process analysis. The Bidder should discuss the strategy for analyzing internal vs. external forms and processes, the strategy for analyzing incoming mail for scanning, and methods of engaging and working with CDI staff.

The Approach to Analysis of Processes and Forms (item 2) must discuss the specific analysis activities and considerations for converting manual processes and paper forms to electronic methods. The Bidder should discuss data gathering methods, key data points to be obtained, considerations for combining or eliminating forms, and ways to address location specific process customizations.

The Approach to Prioritization (item 3) must describe the process and analysis that will be performed to develop the criteria and perform the recommended prioritization that will be presented to the CDI.

The Criteria for Performing Prioritization (item 4) must describe the key criteria and considerations that will be used to recommend priorities for the process and form conversion. The Bidder should discuss the criteria, the rationale for the criteria, and key considerations when prioritizing the processes and forms.

The Bidder must respond to each of these items in order to receive a "pass" score. If the Bidder does not respond to the item, or if the response is incomplete or in conflict with the requirements of the IFB, the Bidder will be given a "fail" score for this component. The State Evaluation Team will determine if the deviation is material (in accordance with the definition provided in Section II.1.1: Requirements). If the deviation is determined to be material, the Bid will be considered non-responsive and excluded from further consideration.

IX.4.5.4 Proposed System Description

Maximum Score = 100 Points

The State Evaluation Team will review the Proposed System Description to assess the Bidder's proposed approach to the PWP from a business/functional (cradle-to-grave) perspective. The Proposed System Description will be assessed based on the Bidder's description of the components listed in Table IX-7.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IX – EVALUATION AND SELECTION

Table IX-7. Proposed System Description Components

#	TOPIC	AVAILABLE POINTS
1.	Description of the features and functionality provided by the proposed products	25
2.	Description of how different modules and products will integrate and work together (from a user perspective)	25
3.	Description of how users would perform the following activities using the proposed products: • Complete internal eForms and initiate workflows for processing • Receive eForms completed by external entities and use workflow for processing • Receive and scan incoming mail, and route it for processing • Scan a received paper document and convert to text-based document via OCR • Make documents available to public partners via the Internet • Redact information from a document received from an external entity	25
4.	Description of the tools used to create, test, and maintain the eForms and workflows	25

The Description of Features and Functionality (item 1) must describe the Bidder's proposed products and how these products address the features and functionality required by this IFB. The Bidder should indicate the phase in which the product will be delivered, and how the products will be configured.

The Description of Modules and Product Integration (item 2) must describe, from a user perspective, how the products and modules integrate. For instance, how the products are accessed, what are the integration points, what is the user interface (i.e., look and feel).

The Description of User Activities (item 3) must describe how the users will perform the identified tasks using the proposed solution. The Bidder should indicate the products used and how the users will interact with the products, including management reviews and approvals (where appropriate), workload and performance reporting features, business edits and validations and security considerations.

The Description of Tools (item 4) must describe the features and tools that will be used to create, test and maintain the eForms and workflows for the proposed solution. The Bidder should describe the features of the tool and best practices for creating, testing and maintaining the workflows.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IX – EVALUATION AND SELECTION

The Proposed System Description will be scored using the rating scale described in Table IX-3 and based on the Bidder's specific approach to addressing the PWP Functional and Technical Requirements, as defined in Appendix E.

IX.4.5.5 Proposed System Architecture Design Document

Maximum Score = 150 Points

The State Evaluation Team will review the Proposed System Architecture Design Document to assess the Bidder's proposed technical approach to meeting the functional and technical requirements of the PWP. The Proposed System Architecture Design Document will be assessed based on the Bidder's description of the components listed in Table IX-8 (and as indicated by an asterisk (*) in CD-15 in Appendix E, Section E.1.3.2).

Table IX-8. Proposed System Architecture Design Document Components

#	TOPIC	AVAILABLE POINTS
1.	Description of the proposed hardware for each environment and the hot-site, including storage	12
2.	Description of the proposed software and the purpose of each item (including configuration/development tools, languages, technology, software versions, database, COTS products, middleware, reporting tools, administration tools and all other software modules and tools)	12
3.	Proposed network design, including firewalls	13
4.	System architecture for each environment (i.e., development, test, and production) and the hot-site	12
5.	Approach to interfaces, including interfaces to existing CDI systems	13
6.	Approach to COTS software integration, as applicable	12
7.	Approach and considerations for designing the repository(s) and profile(s)	13
8.	Approach to reports and ad hoc queries	12
9.	Approach to eForms and workflows	12
10.	Approach to scanning and data capture	13
11.	Description of proposed system security architecture	13
12.	Approach to capacity management, including • Performance modeling calculations and assumptions • Calculations used to size the PWP hardware and solution • Approach to addressing growth during and after the contract period	13

The Description of the Proposed Hardware (item 1) must elaborate on the hardware listed on Form C14: Proposed PWP Hardware and Software to describe each hardware component and its purpose within the system architecture. The Bidder must indicate the scanning equipment selected and the specifications and features of the scanners.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IX – EVALUATION AND SELECTION

The Description of the Proposed Software (item 2) must elaborate on the software listed on Form C14: Proposed PWP Hardware and Software to describe each software component and its purpose. The Bidder must describe all tools and modules needed, as well as the system environment the software will support.

The Proposed Network Design (item 3) must describe the Bidder's proposed network design and how scanned items in each of the main offices will be exchanged and/or synchronized. The Bidder must indicate if local servers are required and when and how data will be updated to the main repository(s).

The System Architecture (item 4) must describe the Bidder's proposed architecture for each of the system environments, including the specific hardware and software installed on each environment and any shared components (e.g., scanners, storage device(s)).

The Approach to Interfaces (item 5) must describe the Bidder's approach to interfacing with CDI's existing systems to assist with completing document profiles, to allow access to the repository from the CDI systems, and to provide data captured from the eForms, workflows and scanning processes.

The Approach to COTS Software Integration (item 6) must describe, if applicable, how the COTS and third-party software will be integrated to provide a seamless user interface for the users.

The Approach and Considerations for Designing the Repository (item 7) must describe how the Bidder will analyze and determine the appropriate number of repositories for the CDI and the associated profiles. The Bidder must describe the specific considerations and factors affecting the decision, pros and cons, and how documents would be shared across multiple repositories.

The Approach to Reports and Ad Hoc Queries (item 8) must describe the reporting features and tools available for managing and reporting on the data within the document repository, the workflows, and the scanning processes. In particular, the Bidder must describe reporting on the workflow processes, scanning performance and throughput, and workload data.

The Approach to eForms and Workflows (item 9) must describe how the Bidder will implement eForms and workflows for internal and external forms. The Bidder must describe how eForms will be accessed and stored, how data will be captured from the eForms and how the data will be passed to and used to update existing CDI systems (where appropriate). The description of workflows must describe the routing and approval features, notification and reminder features, and handling of escalated items or rerouted items.

The Approach to Scanning and Data Capture (item 10) must summarize the Bidder's proposed approach to implementing scanning and data capture from the CDI's incoming mail. The Bidder must address scanning and data capture from general correspondence. The Bidder must describe the approach to image quality checks, data capture accuracy thresholds, and handling of poor quality documents. The Bidder must describe how selected image documents will be converted to text-based documents using OCR.

The Description of the Proposed System Security Architecture (item 11) must describe the security provisions for the system, including protection of sensitive and critical documents, user access, and web portal security features.

The Approach to Capacity Management (item 12) must describe the Bidder's specific preliminary modeling calculations and assumptions used to size the storage repository and hardware solution. The Bidder must describe how the calculations and assumptions allow for growth in both user base and document volume once the system is put into production.

The Proposed System Architecture Design Document will be scored using the rating scale described in Table IX-3 and based on the Bidder's specific approach to addressing the PWP Functional and Technical Requirements, as defined in Appendix E.

IX.4.6. COMPUTATION OF TECHNICAL SCORE

After all of the technical components have been evaluated, the Bidder's Technical Score will be computed. The results from each of the technical components will be summed to achieve the Bidder's technical assessment. The technical components include the Desirable Corporate Experience and Desirable Key Staff Minimum Experience Requirements, the Functional Requirements Response Assessment, and the scores from the Proposed Solution Requirements Review (i.e., Proposed System Description and Proposed System Architecture Design Document).

The Technical Score will be computed using the following formula:

$$\frac{\text{Bidder's Technical Assessment}}{\text{Highest Bidder's Technical Assessment}} \times 500 = \text{Bidder Technical Score}$$

Refer to Section IX.5: Scoring Example for an example of how the technical components are scored.

IX.4.7. COST ASSESSMENT (SCORED COMPONENT)

The Bidders' sealed Cost Bids will not be opened until the State Evaluation Team has completed the previous steps in the evaluation process. If a Bidder's Bid has been determined to be nonresponsive during any of the earlier steps, its Cost Bid will remain unopened.

The Cost Assessment consists of a computation of the "Total Solution Cost". Determination of the cost of each Bidder's Bid will be based on an assessment of the total cost of the proposed solution, including the sum of all configuration and implementation costs, hardware, COTS software, third-party software, and estimated labor costs for the contracts. The maximum number of points that can be awarded for the Cost Score is 500.

The Cost Score for each Bidder will be determined after any adjustments have been made, any errors corrected, and after application of the TACPA, EZA, and LAMBRA bidding preferences, if applicable. Refer to Section IX.4.9.1 :Worksite Preferences for how these preferences are applied.

IX.4.7.1 Bidder Cost Score

Maximum Score = 500 Points

The maximum number of points that can be awarded for the Cost Score is 500. The State Evaluation Team first will validate that each cost worksheet has been correctly computed and is consistent with the rest of the Bid (i.e., no items have been omitted). To compute the Cost Assessment, the Total Solution Cost for each Bidder is obtained from the Grand Total on Form VII-1: Total Cost Summary worksheet contained in the Bidder's Cost Bid (Volume II, Tab 1 of the Cost Bid). This worksheet reflects the total cost of ownership, including purchase costs and ongoing licensing and support costs.

If applicable, the TACPA, EZA and LAMBRA bidding preferences are applied to the Bidder's Total Solution Cost for Bidders that have requested and qualified for the respective preference. Refer to Section IX.4.9.1 : Worksite Preferences for how these preferences are applied. The combined preferences for TACPA, EZA, and LAMBRA shall not exceed $100,000 for each Bid. The bidding preference amount is applied to the Total Solution Cost to yield the Bidder's Cost Assessment.

After these preferences are applied (if applicable), each Bidder's Cost Score will be computed. The Cost Score will be based on the ratio of the Bidder's Cost Assessment to the Cost Assessment associated with the lowest responsive Bid multiplied by the maximum number of cost points (500), as shown below.

$$\frac{\text{Lowest Bidder's Cost Assessment} \times 500}{\text{Bidder's Cost Assessment}} = \text{Bidder Cost Score}$$

After the Bidders' Cost Scores are computed, the Cost Scores will be added to the Bidder's Technical Score to determine the preliminary Total Score. The State Evaluation Team will then apply the Small Business Preference and DVBE Incentives (if applicable), as described in Section IX.4.9: Application of Preferences and Incentive. The Final Score after applying these preferences will be used as the basis for selection of the Contractor. Refer to Section IX.5: Scoring Example for an example of how the costs are scored.

IX.4.8. Summary of Overall Evaluation Scoring Process

Table IX-9 provides a summary of the evaluation process and demonstrates how the State Evaluation Team will score each Bidder's Bid. The scoring model was developed in adherence to the business objectives and the overall goals of the project. The maximum score for a single Bid, prior the assessment of preferences and incentives, is 1,000 which will be awarded based on a consensus of the State Evaluation Team.

Table IX-9. Summary of Scoring Process

Evaluation Components	Maximum Score
SUBMISSION REQUIREMENTS REVIEW **Section VIII: Bid Format and Content**	
All Submission Requirements Met? If Pass, continue; Otherwise, stop at this point (for the respective Bid)	Pass/Fail

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IX – EVALUATION AND SELECTION

EVALUATION COMPONENTS	MAXIMUM SCORE
ADMINISTRATIVE REQUIREMENTS REVIEW **Section V: Administrative Requirements**	
All Administrative Requirements Met? If Pass, continue; Otherwise, stop at this point (for the respective Bid)	Pass/Fail
BIDDER PAST EXPERIENCE REQUIREMENTS REVIEW **Section V.3.4: Corporate Experience and Customer Reference Requirements** **Appendix E, Section E.1.6: Mandatory Key Staff Minimum Experience Requirements** **Appendix E, Section E.2: Desirable Requirements (Total Points Available = 100)**	
All Past Experience Requirements Met? If Pass, continue; Otherwise, stop at this point (for the respective Bid)	Pass/Fail
Desirable Requirements	100
FUNCTIONAL AND TECHNICAL REQUIREMENTS REVIEW **Section VI: Functional and Technical Requirements** **Appendix E, Section E.1.1** **Total Points Available = 150**	
Approach to Functional Requirements	150
PROPOSED SOLUTION REQUIREMENTS REVIEW **Appendix E, Section E.1.3.2: Mandatory Contract Deliverable Requirements** **Total Points Available = 250**	
Proposed Project Management Plan	Pass/Fail
Proposed Work Breakdown Structure (WBS)/Project Schedule	Pass/Fail
Proposed Business Process Analysis Plan	Pass/Fail
Proposed System Description	100
Proposed System Architecture Design Document	150
COST ASSESSMENT REVIEW **Section VII: Cost Requirements** **Appendix B: Cost Workbook** **Total Points Available = 500**	
Total Solution Cost	500
TOTAL POINTS AVAILABLE	**1,000**

The State Evaluation Team will award to each Bidder up to the maximum number of points for each evaluation component, based on the Team's assessment of the Bidder's Bid. Each Bidder's points for the individual evaluation components will be combined to obtain its Technical Score.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IX – EVALUATION AND SELECTION

IX.4.9. APPLICATION OF PREFERENCES AND INCENTIVES

All pertinent preferences and incentives will be applied to the applicable evaluation component before a selection is announced. All preferences will be applied as required by law.

For Bidders that are found responsible and responsive to the Bid requirements, the cost adjustments for the TACPA, EZA, and LAMBRA preferences claims will be performed during the cost assessment. After the cost score has been computed, the small business preference and DVBE incentive will be applied. If after applying the small business preference, a small business has the highest score, no further preferences or incentives will be applied, as the small business cannot be displaced from the highest score position by application of any other preferences or incentives.

IX.4.9.1 Worksite Preferences

If applicable, the Target Area Contract Preference (TACPA), Enterprise Zone Act (EZA) Preference, and Local Area Military Base Recovery Act (LAMBRA) Preference will be applied as part of computing the Cost Assessment Score. These preferences are calculated by multiplying the Total Solution Cost by five percent (5%) and subtracting the amount from the Total Solution Cost of the Bidder claiming and qualifying for the preference, to obtain the Bidder's Cost Assessment Score, as shown.

	Total Solution Cost of Bidder Claiming the Preference
-	(Total Solution Cost of Bidder Claiming the Preference x 0.05)
=	Bidder Cost Assessment

The preference amount for <u>each</u> preference cannot exceed $50,000. The <u>combined</u> preferences for TACPA, EZA, and LAMBRA shall not exceed $100,000 for each Bid. These preferences are applied for evaluation purposes only, and will not affect the actual contract cost should the Bidder be awarded the contracts resulting from this IFB. The TACPA, EZA and LAMBRA preferences shall not be applied if it precludes a small business from receiving the award. After the worksite preferences are applied (if applicable), each Bidder's cost score will be computed as described in Section IX.4.6: Cost Assessment (Scored Component)).

IX.4.9.2 California-Certified Small Business Preference

Per Government Code, Section 14835, et seq., Bidders who qualify as a California-certified small business and Bidders that commit to using California-certified small business subcontractors for 25% or more of the value of the contract will be given a five percent (5%) preference for contract evaluation purposes only. The five percent preference is calculated based on the total number of points awarded to the highest scoring non-small business that is responsible and responsive to the Bid requirements.

If, after applying the small business preference, a small business has the highest score, no further preferences or incentives will be applied, as the small business cannot be displaced from the highest score position by application of any other preference or incentive. The rules and regulation of this law, including a definition of a California certified small business for the

delivery of goods and services are contained in the California Code of Regulations, Title 2, Section 1896, et seq., and can be viewed online at www.pd.dgs.ca.gov/smbus.

The Small Business participation preference will be applied after the Cost Assessment Score has been calculated (including application of any worksite preferences, if applicable).

IX.4.9.3 Disabled Veteran Business Enterprise (DVBE) Incentive

In accordance with Section 999.5(a) of the Military and Veterans Code, an incentive will be given to Bidders who provide California-certified Disabled Veteran Business Enterprise (DVBE) participation. For contract award evaluation purposes only, the State shall apply an incentive to Bids that include California-certified DVBE participation.

The maximum incentive for this procurement is five percent (5%) of the points available. The DVBE incentive percentage is applied to the total points available. For this IFB, the total points available are 1,000. The incentive points are awarded based on the Bidder's committed percentage of DVBE participation. The DVBE participation incentive will be applied after the Cost Assessment Score and Small Business Preference have been calculated.

Table IX-10. Confirmed DVBE Participation Incentive

Confirmed DVBE Participation of:	DVBE Incentive Percentage	DVBE Incentive Points
More than 5%	5%	50
4% to 4.99% inclusive	4%	40
3% to 3.99% inclusive	3%	30
2% to 2.99% inclusive	2%	20
1% to 1.99% inclusive	1%	10
Less than 1%	0	0

IX.5. Scoring Example

The following section provides scoring examples which describe how the final scores will be computed. For illustrative purposes, Table IX-11 provides a summary of four hypothetical Bidders, prior to the opening of the Cost Bids. In this example, it is assumed that all four Bidders successfully passed all Administrative and Technical Requirements.

Table IX-11. Scoring Scenario Example

Bidder	Requirements Assessment Scores by Component	Total Points Possible	Points Awarded
A	Approach to Functional Requirements	150	150
	Proposed System Description	100	80
	Proposed System Architecture Design	150	125
	Desirable Requirements		

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IX – EVALUATION AND SELECTION

Bidder	Requirements Assessment Scores by Component	Total Points Possible	Points Awarded
	Corporate Experience	44	44
	Key Staff Experience	56	21
	Total Technical Assessment for Bidder A	**500**	**420**
B	Approach to Functional Requirements	150	135
	Proposed System Description	100	85
	Proposed System Architecture Design	150	125
	Desirable Requirements		
	Corporate Experience	44	0
	Key Staff Experience	56	28
	Total for Technical Assessment Bidder B	**500**	**373**
C	Approach to Functional Requirements	150	115
	Proposed System Description	100	70
	Proposed System Architecture Design	150	110
	Desirable Requirements		
	Corporate Experience	44	44
	Key Staff Experience	56	35
	Total for Technical Assessment Bidder C	**500**	**374**
D	Approach to Functional Requirements	150	115
	Proposed System Description	100	85
	Proposed System Architecture Design	150	145
	Desirable Requirements		
	Corporate Experience	44	0
	Key Staff Experience	56	42
	Total for Technical Assessment Bidder D	**500**	**387**

The Technical Score would then be computed as shown in Table IX-12.

Table IX-12. Example of Technical Score Computation

Bidder	Bidder Technical Assessment	Calculation	Technical Score
A	420	(420 / 420) *500	500
B	373	(373 / 420) *500	444.05
C	374	(374 / 420) *500	445.24

Bidder	Bidder Technical Assessment	Calculation	Technical Score
D	387	(387 / 420) *500	460.71

IX.5.1. Worksite Preference Example

Table IX-13 lists the Bidders' Total Solution Costs, which are taken from the Bidder's Cost Bid (and validated by the State Evaluation Team). In this example, Bidder D initially has the lowest Total Solution Cost. Bidder B has requested and qualified for a TACPA worksite preference, and thus receives a five percent (5%) preference that is applied to its costs. Bidders A, C and D did not request or receive any TACPA, EZA, or LAMBRA preferences. Because the five percent preference calculation exceeds the maximum amount allowed, the preference amount added to Bidder B's Total Solution Cost has been adjusted to $50,000 (which is the maximum). After applying the TACPA preference for Bidder B, the Bidders' Cost Scores are computed.

Table IX-13. Example of Worksite Preference Applied

Bidder	Total Solution Cost	Bidding Preferences	Bidder Cost Assessment	Calculation	Cost Score
A	$1,275,550	0	0	$1,075,000*500 / $1,275,550	421.39
B	$1,125,000	$1,125,000*0.05 = 56,250	$1,125,000 - $50,000 = $1,075,000	$1,075,000*500 / $1,075,000	500
C	$1,575,000	0	0	$1,075,000*500 / $1,575,000	341.27
D	$1,250,000	0	0	$1,075,000*500 / $1,250,000	430

NOTE: The Bidder costs presented here are not meant to be suggestive or prescriptive in regard to the Bids for this project. They serve only to demonstrate how the calculations will be performed.

IX.5.2. Small Business Preference Example

In the example, Bidder A is a large business. Bidder B is a large business and initially has the most total points (944.05 points). Bidder B had also previously received a five percent (5%) preference for meeting TACPA requirements, which was applied as part of computing the cost score. Bidder C is a California-certified small business. Bidder D is a non-small business that is using California-certified small businesses to perform work that amounts to 25% of the value of the contract.

Bidder C earns the five percent (5%) small business preference, which is applied to the total "earned" points[1] to yield an overall point total of 833.71. Bidder D also earns the five percent (5%) small business preference, which is applied to its total "earned" points to year an overall total of 937.91 points. Table IX-14 summarizes the results of the Bidder point calculations for this scenario.

Table IX-14. Example of Bidder Points with Small Business Applied

#	Scoring Step	Bidder A	Bidder B	Bidder C	Bidder D
1	Meets Small Business Preference Requirements?	No	No	Yes	Yes
2	Technical Requirements Score	500	444.05	445.24	460.71
3	Cost Assessment Score	421.39	500	341.27	430
4	Non-Technical Points (none for this procurement)	0	0	0	0
5	Total Points Score (before any incentives)	921.39	944.05	786.51	890.71
6	Bid that has the Total Combined Highest Cost and Non-Technical Cost Points		X		
7	Application of Small Business Preference Points ((highest points from Row 6 that is not a small business) * 5%)	0	0	(944.05*0 .05) = 47.20	(944.05*0 .05) = 47.20
8	Total Points with Small Business Preference Applied	921.39	**944.05**	833.71	937.91

In this example, Bidder B would receive the award by having 944.05 points.

IX.5.3. DVBE Incentive Example

Table IX-15 illustrates how the DVBE Incentive and Small Business Preference would be applied in a slightly different scenario. In this example, Bidder B initially has the most points (944.05 total technical and cost points). Bidder C is a California-certified small business. Bidder D is a non-small business that is using California-certified small businesses to perform work that amounts to 25% of the value of the contract.

As a small business, Bidder C earns the five percent (5%) small business preference which is applied to the total "earned" points. As a large business using California-certified small businesses to perform work that amounts to 25% of the value of the contract, Bidder D earns the five percent (5%) small business preference which is applied to the total "earned" points. Bidder

[1] "Earned" points are the total accumulated technical, non-technical, and cost points, prior to applying the small business preference and DVBE incentives.

D earns 30 DVBE incentive points due to its commitment of three percent (3%) DVBE participation.

Table IX-15. Example of Bidder Points with Small Business and DVBE Incentive Applied

#	Scoring Step	Bidder A	Bidder B	Bidder C	Bidder D
1	Meets Small Business Preference Requirements?	No	No	Yes	Yes
2	Technical Requirements Score	500	444.05	445.24	460.71
3	Cost Assessment Score	421.39	500	341.27	430
4	Non-Technical Points (none for this procurement)	0	0	0	0
5	Total Points Score (before any incentives)	921.39	944.05	786.51	890.71
6	Bid that has the Total Combined Highest Cost and Non-Technical Cost Points		X		
7	Application of Small Business Preference Points ((highest points from Row 6 that is not a small business) * 5%)	0	0	(944.05* 0.05) = 47.20	(944.05* 0.05) = 47.20
8	Total Points with Small Business Preference Applied	921.39	**944.05**	833.71	937.91
9	Confirmed DVBE Participation (percentage)	0	0	0	3%
10	DVBE Incentive Points from Table IX-10	0	0	0	30
11	Final Score for Evaluation Purposes Only (Row 8 +10)	921.39	944.05	833.71	**967.91**

In this example, Bidder D would have the highest number of points (967.91) and would receive the award.

IX.6. Selection of Contractor

The State Evaluation Team will determine which Bids are responsive and responsible. From these Bids, the State Evaluation Team will determine which Bidder has the highest combined score for cost and evaluation factors, up to a maximum of 1,000 points.

In the example above, Bidders A and B are large businesses, Bidder C is a certified California Small Business, and Bidder D is a large business committing to using a California-certified Small Business to perform work that amounts to 25% of the value of the contract. Bidder D also has committed to three percent (3%) DVBE participation.

IFB CDI 0845-39
PWP INVITATION FOR BID
SECTION IX – EVALUATION AND SELECTION

Because a large business has the highest point total after applying the small business preference, the DVBE incentive would be applied. If a small business had the highest point total after applying the small business preference, the DVBE incentive would not be applied. Thus, after the application of the DVBE incentive, Bidder D has the highest points and would be awarded the contracts. Table IX-16 shows the final scores under this scenario.

Table IX-16. Example of Final Scoring and Contractor Selection

Bidder	Technical Score (X)	Cost Assessment (Y)	Total Points (X+Y)	Small Business Preference (Z*0.05)	DVBE Incentive Points	Total Bid Score
A	500	421.38	921.38	0	0	921.38
B	444.05	500	944.05	0	0	944.05
C	445.24	341.27	786.51	47.20	0	833.71
D	460.71	430	890.71	47.20	30	**967.91**

Where Z = the highest total point score among the large business Bidders, in this case 944.05 (Bidder B).

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

APPENDIX A – CONTRACT TERMS AND CONDITIONS

FINAL

MARCH 26, 2009

Issued By:
STATE OF CALIFORNIA
Department of General Services
707 Third Street
West Sacramento, CA 95605

In Conjunction with:
California Department of Insurance
300 Capitol Mall, 17th Floor
Sacramento, CA 95814

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

Table of Contents

DGS STD 213 FORM FOR THE CONFIGURATION AND IMPLEMENTATION CONTRACT.....A-3
ATTACHMENT A – STATEMENT OF WORK FOR THE CONFIGURATION AND IMPLEMENTATION CONTRACT...A-5
A.1 Scope of Work.....*A-5*
A.2 Responsibilities.....*A-5*
A.3 Contractor's Proposed Approach and Project Schedule.....*A-6*
A.4 Contractor's Software Deliverables.....*A-6*
A.5 Budget Detail and Payment Provisions.....*A-7*
DGS STD 213 FORM FOR THE HARDWARE PURCHASE CONTRACT.....A-9
ATTACHMENT A – STATEMENT OF WORK FOR THE HARDWARE PURCHASE CONTRACT A-11
A.1 Scope of Work.....*A-11*
A.2 Responsibilities.....*A-11*
A.3 Contractor's Proposed Approach and Project Schedule.....*A-11*
A.4 Contractor's Hardware Deliverables.....*A-11*
A.5 Budget Detail and Payment Provisions.....*A-12*
DGS STD 213 FORM FOR THE MAINTENANCE AND SUPPORT SERVICES CONTRACT..... A-13
ATTACHMENT A – STATEMENT OF WORK FOR THE MAINTENANCE AND SUPPORT SERVICES CONTRACT. A-15
A.1 Scope of Work.....*A-15*
A.2 Responsibilities.....*A-15*
A.3 Contractor's Proposed Approach and Project Schedule.....*A-15*
A.4 Budget Detail and Payment Provisions.....*A-15*
DGS STD 213 FORM FOR THE THIRD-PARTY SOFTWARE PURCHASE CONTRACTS..... A-17

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDICES

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX A – CONTRACT TERMS AND CONDITIONS

Appendix A – CONTRACT TERMS AND CONDITIONS

The following sections contain the DGS standard contract form and associated Statements of Work (Attachment A for each STD 213) for the contracts to be awarded as a result of this IFB. The Bidder must submit as Volume III of its Bid completed copies of the State's contracts from this Appendix. The Bidder must not include any dollar figures in the contracts.

Because no contract negotiations will occur, it is imperative that the Bidder follow the instructions described in Section VIII.4.3: Volume III: Contracts carefully in order to be fully responsive, from a contractual aspect, to this IFB.

If the Bidder wishes to request a change to the contract language, the Bidder must submit the requested changes as described in Section V.3.6.1.1: AR#23 Incorporation of Contract Language. The Bidder must submit the request to the Procurement Official identified in Section I.4 by the date indicated in Section I.5: Key Action Dates. Contract language changes submitted as part of the Bid may make the Bid non-responsive and ineligible for Contract Award.

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX A – CONTRACT TERMS AND CONDITIONS

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DGS STD 213 Form for the Configuration and Implementation Contract

STATE OF CALIFORNIA
STANDARD AGREEMENT
STD. 213 (NEW 06/03)

STANDARD AGREEMENT

FOR I.T. GOODS/SERVICES ONLY

	REGISTRATION NUMBER
PURCHASING AUTHORITY NUMBER	AGREEMENT NUMBER

1. This Agreement is entered into between the State Agency and the Contractor named below
   STATE AGENCY'S NAME
   Department of Insurance (hereafter called State)
   CONTRACTOR'S NAME
   (hereafter called Contractor)
2. The term of this Agreement is: through
3. The maximum amount of this Agreement is: **$**
4. The parties agree to comply with the terms and conditions of the following attachments which are by this reference made a part of the Agreement:

   Attachment A – Statement of Work for Configuration and Implementation Pages
   Attachment B – Response to IFB CDI 0845-39 (Volumes I and II) Pages
   Attachment C* - IT General Provisions (Revised and Effective 04/12/2007)
   Attachment D* - IT Purchase Special Provisions (dated 02/08/2007)
   Attachment E* - IT Maintenance Special Provisions (dated 01/21/2003)
   Attachment F* - IT Software License Special Provisions (dated 01/21/2003)
   Attachment G* - IT Personal Special Provisions (dated 02/08/2007)

   Items shown with the Asterisk (*), are hereby incorporated by reference and made part of this agreement as if attached hereto. These documents can be viewed at http://www.pd.dgs.ca.gov/modellang/ModelContracts.htm and http://www.pd.dgs.ca.gov/modellang/ITModules.htm

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		**CALIFORNIA Department of General Services Use Only**
CONTRACTOR'S NAME *(If other than an individual, state whether a corporation, partnership, etc.)*		
BY *(Authorized Signature)* ?	DATE SIGNED	
PRINTED NAME AND TITLE OF PERSON SIGNING		
ADDRESS		
STATE OF CALIFORNIA		
AGENCY NAME Department of Insurance		
BY (Authorized Signature) ?	DATE SIGNED	
PRINTED NAME AND TITLE OF PERSON SIGNING		
ADDRESS		☐ Exempt per

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX A – CONTRACT TERMS AND CONDITIONS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX A – CONTRACT TERMS AND CONDITIONS

Attachment A – Statement of Work for the Configuration and Implementation Contract

This Statement of Work describes the responsibilities and requirements for the CDI Paperless Workflow Project (PWP) Configuration and Implementation Contract. This contract includes the purchase of the COTS software, product licensing and version upgrades during the configuration and implementation period, and the system integration and implementation services necessary to configure/customize and deploy the PWP system.

A.1 Scope of Work

The Statement of Work for this Configuration and Implementation Contract includes the following IFB sections and the appropriate sections of the Bidder's response to the IFB, which describe the Bidder's acknowledgement of the requirements, and the Bidder's approach to delivering the services and deliverables for this contract.

- IFB, Section V: Administrative Requirements that are applicable to the contract
- Bidder's Bid, Volume I, Form C3: Administrative Requirements Response Matrix
- Bidder's Bid, Volume I, Form C14: PWP Hardware and Software Proposed, Table B
- Bidder's Bid, Volume I, Responses to Appendix E:
  - Section E.1.1: Mandatory Functional Requirements
  - Section E.1.2: Mandatory Technical Requirements
  - Section E.1.3.1: Mandatory Configuration and Implementation Services Requirements
  - Section E.1.3.2 Mandatory Configuration and Implementation Contract Deliverable Requirements
  - Section E.1.6: Mandatory Key Staff Minimum Experience Requirements
  - Section E.2.2 Desirable Key Staff Minimum Experience Requirements

A.2 Responsibilities

The Contractor shall be responsible for:

- Designing, configuring/customizing, and implementing the COTS software packages to fulfill the PWP Functional and Technical Requirements referenced in Section VI and contained in Appendix E. Section E.1.1 and E.1.2.
- Working with the CDI to configure the hardware to support the various system environments, including the development, test, and production environments and the hot-site, including implementing appropriate security measures in compliance with CDI security policies.
- Managing and maintaining the hardware and software for the various system environments until the successful completion of the Phase 3 PWP Production Acceptance Period.
- Obtaining and delivering the required COTS software as specified by Form C14: PWP Hardware and Software Proposed, Table B.
- Performing the required system integration and implementation services as described in the PWP Configuration and Implementation Services Requirements contained in

Appendix E, Section E.1.3.1.

- Producing and delivering the required deliverable documents and software, as described in the PWP Configuration and Implementation Contract Deliverable Requirements contained in Appendix E, Section E.1.3.2.
- Supplying and managing qualified staff and/or subcontractors to design, configure/customize and successfully implement the PWP system in accordance with the PWP Mandatory Key Staff Minimum Experience Requirements contained in Appendix E, Section E.1.6.
- Complying with the applicable Administrative Requirements of this IFB contained in Section V.

The CDI shall be responsible for:

- Working with the Contractor to configure the hardware to support the various system environments, including the development, test, and production environments and the hot-site, including implementing appropriate security measures in compliance with CDI security policies.
- Providing subject matter experts to provide the Contractor with information and expertise on current processes and requirements, and to assist with answering questions and gathering information.
- Working with the Contractor to facilitate knowledge transfer.
- Reviewing and approving all contract deliverables.
- Managing the contract and overall PWP project efforts.

A.3 Contractor's Proposed Approach and Project Schedule

The Bidder's proposed approach to delivering the project is described in the Proposed Plans submitted as part of its Bid. The following plans are incorporated into this contract:

- Proposed Project Management Plan
- Proposed WBS/Project Schedule
- Proposed Business Process Analysis Plan
- Proposed System Description
- Proposed System Architecture Design Document

The initial schedule for the project shall be the Proposed WBS/Project Schedule submitted as part of the Bidder's Bid. The Bidder must submit an updated WBS/Project Schedule for CDI review and approval within thirty (30) State business days after contract start. Upon approval by the CDI Project Manager, the WBS/Project Schedule shall become Final. The Final WBS/Project Schedule shall become part of this contract and shall serve as the official timeline for the PWP.

A.4 Contractor's Software Deliverables

The list of COTS software deliverables is taken from the Bidder's Bid. The Bidder shall provide these products by the dates specified in the WBS/Project Schedule. The State reserves the right to purchase any or all of these items outside of this contract. The following form shall be attached to this contract:

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX A – CONTRACT TERMS AND CONDITIONS

- Bidder's Bid, Volume I, Form C14: PWP Hardware and Software Proposed, Table B.

A.5 Budget Detail and Payment Provisions

The payment provisions for this contract are described in IFB, Section V.3.8: Payment Provisions (included in Section A.1 of this Statement of Work). The Bidder's acknowledgement of these payment provisions is included in Section A.1 of this Statement of Work (via the Form C3 from the Bidder's Bid). The following cost worksheets form the Bidder's Cost Workbook shall become part of this contract:

- Form VII-1 – Total Cost Summary
- Form VII-2 – Contractor Configuration and Implementation Services Costs
- Form VII-3 – Contractor-Provided COTS Software Purchase Costs
- Form VII-4 – Third-Party Software Purchase Costs
- Form VII-7 – Bidder Labor Rates

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX A – CONTRACT TERMS AND CONDITIONS

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DGS STD 213 Form for the Hardware Purchase Contract

STATE OF CALIFORNIA
STANDARD AGREEMENT
STD. 213 (NEW 06/03)

STANDARD AGREEMENT

FOR I.T. GOODS/SERVICES ONLY

	REGISTRATION NUMBER
PURCHASING AUTHORITY NUMBER	AGREEMENT NUMBER

1. This Agreement is entered into between the State Agency and the Contractor named below
   STATE AGENCY'S NAME
   Department of Insurance (hereafter called State)
   CONTRACTOR'S NAME
   (hereafter called Contractor)
2. The term of this Agreement is: through
3. The maximum amount of this Agreement is: $
4. The parties agree to comply with the terms and conditions of the following attachments which are by this reference made a part of the Agreement:

   Attachment A – Statement of Work for Hardware Purchase Contract Pages
   Attachment B – Response to IFB CDI 0845-39 (Volumes I and II) Pages
   Attachment C* - IT General Provisions (Revised and Effective 06/21/2006)
   Attachment D* - IT Purchase Special Provisions (dated 01/21/03)
   Attachment E* - IT Maintenance Special Provisions (dated 01/21/03)

   Items shown with the Asterisk (*), are hereby incorporated by reference and made part of this agreement as if attached hereto. These documents can be viewed at http://www.pd.dgs.ca.gov/modellang/ModelContracts.htm and http://www.pd.dgs.ca.gov/modellang/ITModules.htm

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		**CALIFORNIA Department of General Services Use Only**
CONTRACTOR'S NAME *(If other than an individual, state whether a corporation,*		
BY *(Authorized Signature)* ?	DATE SIGNED	
PRINTED NAME AND TITLE OF PERSON SIGNING		
ADDRESS		
STATE OF CALIFORNIA		
AGENCY NAME Department of Insurance		
BY (Authorized Signature) ?	DATE SIGNED	
PRINTED NAME AND TITLE OF PERSON SIGNING		
ADDRESS		☐ Exempt per

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX A – CONTRACT TERMS AND CONDITIONS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX A – CONTRACT TERMS AND CONDITIONS

Attachment A – Statement of Work for the Hardware Purchase Contract

This Statement of Work describes the responsibilities and requirements for the CDI Paperless Workflow Project (PWP) Hardware Purchase contract. This contract includes one (1) year of hardware warranty.

A.1 Scope of Work

The Statement of Work for this Hardware Purchase contract includes the following IFB sections and the appropriate sections of the Bidder's response to the IFB, which describe the Bidder's acknowledgement of the requirements.

- IFB, Section V: Administrative Requirements that are applicable to the contract
- Bidder's Bid, Volume I, Form C3: Administrative Requirements Response Matrix
- Bidder's Bid, Volume I, Form C14: PWP Hardware and Software Proposed, Table A

A.2 Responsibilities

The Contractor shall be responsible for:

- Providing the required hardware for the products specified by Form C14: PWP Hardware and Software Proposed, Table A.
- Performing installation and configuration of the delivered hardware products at each of the specified CDI locations, including where appropriate, all system environments (i.e., development, test and production) and the hot-site.
- Performing hardware verification testing to ensure the delivered hardware is functioning correctly and free from defects.
- Providing one (1) year of hardware warranty for each delivered item.

The CDI shall be responsible for:

- Working with the Contractor to install and configure the various system environments, including the development, test, and production environments and the hot-site, including implementing appropriate security measures in compliance with CDI security policies.
- Providing adequate floor space, power and cooling access for the Bidder-provided hardware at each designated location, including the hot-site.

A.3 Contractor's Proposed Approach and Project Schedule

The Bidder shall deliver the hardware by the dates specified in the Final WBS/Project Schedule that is approved by the CDI after contract award. The Proposed WBS/Project Schedule, submitted as part of the Bidder's Bid, is attached for reference.

- Bidder's Bid, Volume I, Proposed WBS/Project Schedule

A.4 Contractor's Hardware Deliverables

The list of hardware deliverables is taken from the Bidder's Bid. The Bidder shall provide these products by the dates specified in the WBS/Project Schedule. The State reserves the right to purchase any or all of these items outside of this contract. The following form shall be attached to this contract:

- Bidder's Bid, Volume I, Form C14: PWP Hardware and Software Proposed, Table A.

A.5 Budget Detail and Payment Provisions

The payment provisions for this contract are described in IFB, Section V.3.8: Payment Provisions (included in Section A.1 of this Statement of Work). The Bidder's acknowledgement of these payment provisions is included in Section A.1 of this Statement of Work (via the Form C3 from the Bidder's Bid). The following cost worksheets form the Bidder's Cost Workbook shall become part of this contract:

- Form VII-5 – Hardware Purchase Costs

DGS STD 213 Form for the Maintenance and Support Services Contract

STATE OF CALIFORNIA
STANDARD AGREEMENT
STD. 213 (NEW 06/03)

STANDARD AGREEMENT

FOR I.T. GOODS/SERVICES ONLY

	REGISTRATION NUMBER
PURCHASING AUTHORITY NUMBER	AGREEMENT NUMBER

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   Department of Insurance (hereafter called State)
   CONTRACTOR'S NAME
   (hereafter called Contractor)
2. The term of this Agreement is: through
3. The maximum amount of this Agreement is: $
4. The parties agree to comply with the terms and conditions of the following attachments which are by this reference made a part of the Agreement:

   Attachment A – Statement of Work for Maintenance and Support Services Pages
   Attachment B – Response to IFB CDI 0845-39 (Volumes I and II) Pages
   Attachment C* - IT General Provisions (Revised and Effective 06/21/2006)
   Attachment D* - IT Purchase Special Provisions (dated 01/21/03)
   Attachment E* - IT Maintenance Special Provisions (dated 01/21/03)
   Attachment F* - IT Software License Special Provisions (dated 01/21/03)
   Attachment G* - IT Personal Special Provisions (dated 01/21/03)

   Items shown with the Asterisk (*), are hereby incorporated by reference and made part of this agreement as if attached hereto. These documents can be viewed at http://www.pd.dgs.ca.gov/modellang/ModelContracts.htm and http://www.pd.dgs.ca.gov/modellang/ITModules.htm

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		**CALIFORNIA Department of General Services Use Only**
CONTRACTOR'S NAME *(If other than an individual, state whether a corporation,*		
BY *(Authorized Signature)* ?	DATE SIGNED	
PRINTED NAME AND TITLE OF PERSON SIGNING		
ADDRESS		
STATE OF CALIFORNIA		
AGENCY NAME Department of Insurance		
BY (Authorized Signature) ?	DATE SIGNED	
PRINTED NAME AND TITLE OF PERSON SIGNING		
ADDRESS		☐ Exempt per

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX A – CONTRACT TERMS AND CONDITIONS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX A – CONTRACT TERMS AND CONDITIONS

Attachment A – Statement of Work for the Maintenance and Support Services Contract

This Statement of Work describes the responsibilities and requirements for the CDI Paperless Workflow Project (PWP) Maintenance and Support Services contract. This contract includes the purchase of the ongoing COTS software product licensing and version upgrades.

A.1 Scope of Work

The Statement of Work for this Maintenance and Support Services contract includes the following IFB sections and the appropriate sections of the Bidder's response to the IFB, which describe the Bidder's acknowledgement of the requirements, and the Bidder's approach to delivering the services and deliverables for this contract.

- IFB, Section V: Administrative Requirements that are applicable to the contract
- Bidder's Bid, Volume I, Form C3, Administrative Requirements Response Matrix
- Bidder's Bid, Volume I, Responses to Appendix E
  - Section E.1.5: Mandatory Maintenance and Support Services Requirements

A.2 Responsibilities

The Contractor shall be responsible for:

- Providing the required COTS software perpetual product licenses and version upgrades for the products specified by Form C14: PWP Hardware and Software Proposed for up to three (3) years, renewed annually by the State.
- Providing the required hardware and software maintenance services, as described in the PWP Maintenance and Support Services Requirements contained in Appendix E, Section E.1.5.
- Providing the required scanning hardware maintenance cleaning kits and replacement parts in accordance with the scanning equipment manufacturer's recommended hardware maintenance schedule.
- Providing hardware and software support consulting services, as requested by the State through the work authorization process.

The CDI shall be responsible for:

- Working with the Contractor to support the various system environments, including the development, test, and production environments and the hot-site, including implementing appropriate security measures in compliance with CDI security policies.

A.3 Contractor's Proposed Approach and Project Schedule

The Bidder's proposed approach to delivering the maintenance and support services is described in the Maintenance and Operations Plan, which is a deliverable of the Configuration and Implementation Contract. The M&O Plan will be attached to this contract, after the plan is approved by the CDI.

A.4 Budget Detail and Payment Provisions

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX A – CONTRACT TERMS AND CONDITIONS

The payment provisions for this contract are described in IFB, Section V.3.8: Payment Provisions (included in Section A.1 of this Statement of Work). The Bidder's acknowledgement of these payment provisions is included in Section A.1 of this Statement of Work (via the Form C3 from the Bidder's Bid). The following cost worksheets form the Bidder's Cost Workbook shall become part of this contract:

- Form VII-3 – Contractor-Provided COTS Software Purchase, Table B
- Form VII-6 – Contractor Maintenance and Support Services Costs
- Form VII-7 – Bidder Labor Rates

DGS STD 213 for the Third-Party Software Purchase Contracts

STATE OF CALIFORNIA
STANDARD AGREEMENT
STD. 213 (NEW 06/03)

FOR I.T. GOODS/SERVICES ONLY

		REGISTRATION NUMBER
	PURCHASING AUTHORITY NUMBER	AGREEMENT NUMBER

1. This Agreement is entered into between the State Agency and the Contractor named below

STATE AGENCY'S NAME
Department of Insurance (hereafter called State)

CONTRACTOR'S NAME
(hereafter called Contractor)

2. The term of this Agreement is: _____ through _____

3. The maximum amount of this Agreement is: $ _____

4. The parties agree to comply with the terms and conditions of the following attachments which are by this reference made a part of the Agreement:

Attachment A* - Third Party COTS General Provisions (dated 07/15/2008)
Attachment B* - IT Purchase Special Provisions (dated 02/08/2007)
Attachment C – Commercial Licensing Terms of Third-Party Software Provider(s)
Items shown with the Asterisk (*), are hereby incorporated by reference and made part of this agreement as if attached hereto. These documents can be viewed at http://www.documents.dgs.ca.gov/pd/TAS/SICOTSSWGPs071508.pdf and http://www.pd.dgs.ca.gov/modellang/ITModules.htm

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		**CALIFORNIA Department of General Services Use Only**
CONTRACTOR'S NAME *(If other than an individual, state whether a corporation, partnership, etc.)*		
BY *(Authorized Signature)*	DATE SIGNED	
PRINTED NAME AND TITLE OF PERSON SIGNING		
ADDRESS		
STATE OF CALIFORNIA		
AGENCY NAME Department of Insurance		
BY (Authorized Signature)	DATE SIGNED	
PRINTED NAME AND TITLE OF PERSON SIGNING		
ADDRESS		☐ Exempt per

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

APPENDIX B – COST WORKBOOK

FINAL

MARCH 26, 2009

Issued By:
STATE OF CALIFORNIA
Department of General Services
707 Third Street
West Sacramento, CA 95605

In Conjunction with:
California Department of Insurance
300 Capitol Mall, 17th Floor
Sacramento, CA 95814

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX B – COST WORKBOOK

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX B – COST WORKBOOK

Appendix B– COST WORKBOOK

The cost workbook is contained in a separate MS Excel file available from the Bidders' Library. The Excel file contains the cost tables in a formatted file that the Bidder must complete and submit as part of the cost data in its Bid. The Bidders' Library may be accessed as described in Section 1.8: Bidders' Library.

CDI IFB 0845-39
PWP Invitation for Bid
Appendix B - Cost Workbook

Form VII-1 - Total Cost Summary

TABLE A: One-Time vs. Continuing Costs

COST CATEGORY	SUMMARY COST
One-Time Costs	
VII-2 - Contractor Configuration and Implementation (C&I) Services Costs	$ -
VII-3 - Contractor-Provided COTS Software Purchase Costs - Table A	$ -
VII-4 - Third-Party Software Purchase Costs - Table A	$ -
Configuration and Implementation Contract Costs Subtotal	$ -
VII-5 - Hardware Purchase Costs	$ -
One-Time Costs Subtotal	*$* -
Ongoing Costs	
VII-6 - Contractor Maintenance and Support Services Costs	*$* -
VII-3 - Contractor-Provided COTS Software Purchase Costs - Table B	*$* -
Maintenance and Support Services Costs Subtotal	*$* -
VII-4 - Third-Party Software Purchase Costs - Table B	*$* -
Ongoing Costs Subtotal	*$* -
Other Costs	
VII-7 - Bidder Labor Rates	*$* -
Grand Total	***$*** -

TABLE B: Configuration and Implementation Contract Deliverable Milestones

DELIVERABLE MILESTONE DESCRIPTION	MILESTONE PAYMENT AMOUNT
Successful Completion of the Planning and Analysis Activities for Phase 1	$ -
Successful Completion of the Design Deliverables for Phase 1	$ -
Successful Completion of the User Acceptance Test for Phase 1	$ -
Successful Completion of the Pilot for Phase 1	$ -
Successful Completion of Deployment and Approval for Phase 1 System Acceptance and Payment for Phase 1 COTS Software and Third-Party Software One-Time Costs	$ -
Successful Completion of the Planning and Analysis Activities for Phase 2	$ -
Successful Completion of the Design Deliverables for Phase 2	$ -
Successful Completion of the User Acceptance Test for Phase 2	$ -
Successful Completion of the Pilot for Phase 2	$ -
Successful Completion of Deployment and Approval for Phase 2 System Acceptance and Payment for Phase 2 COTS Software and Third-Party Software One-Time Costs	$ -
Successful Completion of the Planning and Analysis Activities for Phase 3	$ -
Successful Completion of the Design Deliverables for Phase 3	$ -
Successful Completion of the User Acceptance Test for Phase 3	$ -
Successful Completion of the Pilot for Phase 3	$ -
Successful Completion of Deployment and Approval for Phase 3 System Acceptance, Payment for Phase 3 COTS Software and Third-Party Software One-Time Costs	$ -
Release of 10% Payment Withhold (for all system phases)	$ -
Grand Total	***$*** -

Notes:
1- This form should automatically populate from information contained in the other worksheets.
2- The Bidder must not make any alterations to this worksheet, but should confirm the totals are as expected.
3- The Bidder is reminded the costs cannot exceed the maximum costs established in IFB Section V.3.8.1.
4- For the purposes of evaluation of Table B, the data conversion and interface costs (from Form VII-2) are assumed to be in Phase 1.

CDI IFB 0845-39
PWP Invitation for Bid
Appendix B - Cost Workbook

Form VII-2 - Contractor Configuration and Implementation Services Costs

Item Description	Estimated Staff Hours	Total Cost***
Phase 1 Services		
Project Management Services		
Requirements Analysis Services		
System Design, Installation and Configuration/Development Services - eForms, Workflows, Reports and Interfaces to Existing CDI Systems	**900**	
System Design, Configuration and Implementation Services - Repositories and Profiles		
End User Train-the-Trainer Services*		
End User Direct Delivery Training Services*		
Computer Based Training Services		
System Administrator and Technical Training Services		
Testing Services		
System Pilot Services		
System Deployment Services		
Phase 1 Subtotal	***900***	***$ -***
Phase 2 Services		
Project Management Services		
Requirements Analysis Services		
System Design, Configuration/Development and Implementation Services - eForms, Workflows, Reports and Interfaces to Existing CDI Systems	**6,000**	
System Design, Configuration and Implementation Services - External User Access		
End User Train-the-Trainer Services*		
End User Direct Delivery Training Services*		
Computer Based Training Services		
System Administrator and Technical Training Services		
Testing Services		
System Pilot Services		
System Deployment Services		
Phase 2 Subtotal	***6,000***	***$ -***
Phase 3 Services		
Project Management Services		
Requirements Analysis Services (including Site Preparation)		
System Design, Configuration/Development and Implementation Services - Scanning and Data Capture/OCR		
System Design, Configuration/Development and Implementation Services - eForms, Workflows, Reports and Interfaces to Existing CDI Systems	**4,000**	
End User Train-the-Trainer Services*		
End User Direct Delivery Training Services*		
Computer Based Training Services		
System Administrator and Technical Training Services		
Testing Services		
System Pilot Services		
System Deployment Services		
Phase 3 Subtotal	***4,000***	***$ -***
Phase TBD Services*		
Data Conversion Services - Scan HQ		
Data Conversion Services - Open Text/Hummingbird DM		
Data Conversion Services - ParaDocs		
Interface Development Services - CDI's Oracle database		
Interface Development Services - Cosmos/Sircon		
Interface Development Services - eCounsel		
Interface Development Services - OASIS		
Interface Development Services - SERFF		
Interface Development Services - Accounting Remittance Processor		
Phase TBD Subtotal	***0***	***$ -***
Total	**10,900**	**$ -**

Instructions:
1 - Enter the number of Estimated Staff Hours for each activity by project phase.
2 - Do not alter the number of hours provided for System Design, etc. of the eForms, Workflows, Reports and Interfaces. Enter only a price for providing the services, based on the services described in Appendix E and the number of hours provided by the State.
3 - Enter the firm, fixed price for providing the services for each activity by project phase.
4 - Columns in light blue contain preset formulas that must not be altered. If a formula error is detected, notify the Procurement Official immediately.

Notes:
*The CDI will instruct the Bidder to provide either Train-the-Trainer Training or Direct Delivery Training at time of Contract Award.
**The Data Conversion and Interface Development activities may be included in a single phase, or spread across phases, depending on the amount of effort and approach. The Bidder should describe in its Proposed Project Management Plan (submitted as part of its Bid) the recommended approach. For the purposes of the IFB, these costs are assumed to be in Phase 1.
***The Bidder is reminded the costs cannot exceed the maximum costs established in Section V.3.8.1.

CDI IFB 0845-39
PWP Invitation for Bid
Appendix B - Cost Workbook

Form VII-3 - Contractor-Provided COTS Software Purchase Costs

Table A: One-Time COTS Software Costs										Table B: Ongoing COTS Software Costs		
Product Name/Manufacturer	Purpose of the Software	Version / License Type / Specifications	Purchase Price	Tax	Total Unit Cost*	License Quantity Needed for C&I Contract Period	Cost Per License (based on license model)	Total Licensing Costs for C&I Contract**	Total Item One-Time Cost***	Quantity of Licenses Needed after Acceptance	Annual Licensing and Version Upgrades Cost+	Total Ongoing Cost for SW Licensing++
Phase 1 COTS Software Purchase and Licensing Costs												
	Document Management				$ -			$ -	$ -			$ -
	Workflow Software				$ -			$ -	$ -			$ -
	eForms Software				$ -			$ -	$ -			$ -
	Development Tools				$ -			$ -	$ -			$ -
	Configuration Mgmt Tools				$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
				Phase 1 Subtotal	$ -		***Phase 1 Subtotal***	$ -	$ -		***Phase 1 Subtotal***	$ -
Phase 2 COTS Software Purchase and Licensing Costs												
	Web Portal Software				$ -			$ -	$ -			$ -
	External User Licenses				$ -			$ -	$ -			$ -
								$ -	$ -			$ -
					$ -			$ -	$ -			$ -
				Phase 2 Subtotal	$ -		***Phase 2 Subtotal***	$ -	$ -		***Phase 2 Subtotal***	$ -
Phase 3 COTS Software Purchase and Licensing Costs												
	Scanning Software				$ -			$ -	$ -			$ -
	Image Quality/Rescan Software				$ -			$ -	$ -			$ -
	OCR Software				$ -			$ -	$ -			$ -
								$ -	$ -			$ -
					$ -			$ -	$ -			$ -
				Phase 3 Subtotal	$ -		***Phase 3 Subtotal***	$ -	$ -			$ -
								One-Time Total	***$ -***		***Ongoing Total***	***$ -***

Instructions:
1 - In the One-Time COTS Software Costs portion of the table, enter the purchase cost and cost of the 3 years of licensing during the Configuration and Implementation (C&I) Contract.
2 - In the Ongoing COTS Software Costs portion of the table, enter the annual cost of licensing the software products after the phase has been accepted.
3 - Columns in light blue contain preset formulas that must not be altered. If a formula error is detected, notify the Procurement Official immediately.
4 - In the Purpose column, indicate what functionality the software provides. A few sample entries have been provided by the State to assist the Bidder.
5 - Insert additional lines as necessary to address all software needed for the PWP.
6 - If licenses will be incrementally added with each phase, indicate the Purchase Price in the first phase the software is needed along with the initial licenses.
Indicate the appropriate number of additional licenses that will be added in the subsequent phase(s).

Notes:
*Total Unit Cost is Purchase Price + Tax.

**The costs of licenses for the Configuration and Implementation period must be included, thus the formula for the
Total Licensing Costs is (License Quantity x Cost Per License) x (1 year of Configuration/Implementation + 2 optional years).

***Total Item Cost is Total Unit Cost + Total Licensing Costs.

+These costs must include the cost of perpetual software licensing, version upgrades, and software support costs on an annual basis.
These costs shall take effect after system acceptance of the specific phase.

++Total Cost is the Quantity * Annual Cost * (1 base year of M&S + 2 optional years of M&S).

CDI IFB 0845-39
PWP Invitation for Bid
Appendix B - Cost Workbook

Form VII-4 - Third-Party Software Purchase Costs

Table A: One-Time Third-Party Software Purchase Costs										Table B: Ongoing Third-Party Software Costs		
Product Name/Manufacturer	Purpose of Software	Version / License Type / Specifications	Purchase Price	Tax	Total Unit Cost*	License Quantity Needed for C&I Contract Period	Cost Per License (based on license model)	Total Licensing Costs for C&I Contract**	Total Item One-Time Cost***	Quantity of Licenses Needed after Acceptance	Annual Licensing and Version Upgrades Cost+	Total Ongoing Cost for SW Licensing++
Phase 1 Third-Party Software Purchase and Licensing Costs												
	Document Management				$ -			$ -	$ -			$ -
	Workflow Software				$ -			$ -	$ -			$ -
	eForms Software				$ -			$ -	$ -			$ -
	Development Tools				$ -			$ -	$ -			$ -
	Configuration Mgmt Tools				$ -			$ -	$ -			$ -
	Backup Software				$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
			Phase 1 Subtotal		$ -	***Phase 1 Subtotal***		$ -	$ -		***Phase 1 Subtotal***	$ -
Phase 2 Third-Party Software Purchase and Licensing Costs												
	Web Portal Software				$ -			$ -	$ -			$ -
	External User Licenses				$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
			Phase 2 Subtotal		$ -	***Phase 2 Subtotal***		$ -	$ -		***Phase 2 Subtotal***	$ -
Phase 3 Third-Party Software Purchase and Licensing Costs												
	Scanning Software				$ -			$ -	$ -			$ -
	Image Quality/Rescan Software				$ -			$ -	$ -			$ -
	OCR Software				$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
					$ -			$ -	$ -			$ -
			Phase 3 Subtotal		$ -	***Phase 3 Subtotal***		$ -	$ -		***Phase 3 Subtotal***	$ -
								One-Time Total	***$ -***		***Ongoing Total***	***$ -***

Instructions:
1 - In the One-Time Third-Party Software Costs portion of the table, enter the purchase cost and cost of the 3 years of licensing during the Configuration and Implementation (C&I) Contract.
2 - In the Ongoing Third-Party Software Costs portion of the table, enter the annual cost of licensing the software products after the phase has been accepted.
3 - Columns in light blue contain preset formulas that must not be altered. If a formula error is detected, notify the Procurement Official immediately.
4 - In the Purpose column, indicate what functionality the software provides. A few sample entries have been provided by the State to assist the Bidder.
5 - Insert additional lines as necessary to address all software needed for the PWP.
6 - If licenses will be incrementally added with each phase, indicate the Purchase Price in the first phase the software is needed along with the initial licenses.
Indicate the appropriate number of additional licenses that will be added in the subsequent phase(s).

Notes:
*Total Unit Cost is Purchase Price + Tax.

**The costs of licenses for the Configuration and Implementation period must be included, thus the formula for the
Total Licensing Costs is (License Quantity x Cost Per License) x (1 year of Configuration/Implementation + 2 optional years).

***Total Item Cost is Total Unit Cost + Total Licensing Costs.

+These costs must include the cost of perpetual software licensing, version upgrades, and software support costs on an annual basis.
These costs shall take effect after system acceptance of the specific phase.

++Total Cost is the Quantity * Annual Cost * (1 base year of M&S + 2 optional years of M&S).

CDI IFB 0845-39
PWP Invitation for Bid
Appendix B - Cost Workbook

Form VII-5 Hardware Purchase Costs

Item Description*	Model / Configuration*	Environment (i.e., Dev, Test, Prod or Hot-Site)	Purchase Cost	Tax	Delivery Cost	Installation Cost	Quantity Needed	Total Item Cost**
Phase 1 Hardware Purchase Costs								
Servers								$ -
								$ -
								$ -
								$ -
								$ -
								$ -
Racks								$ -
UPS								$ -
Backup Device(s)								$ -
Storage Device(s) with 100 TB***								$ -
							Phase 1 Subtotal	$ -
Phase 2 Hardware Purchase Costs								
								$ -
								$ -
								$ -
								$ -
								$ -
							Phase 2 Subtotal	$ -
Phase 3 Hardware Purchase Costs								
Scanners								$ -
Scanning Workstations								$ -
Scanner Cleaning Kits								$ -
Scanner Replacement/Maintenance Parts								$ -
								$ -
							Phase 3 Subtotal	$ -
							Total	***$ -***

Instructions:
1 - Enter the description of all hardware necessary for the development, test and production environments and the hot-site for the PWP, including cables, power supplies, racks, UPS, etc.
A few sample entries have been provided by the State to assist the Bidder.
2 - Enter the model, configuration and other specifications as necessary for each hardware item. Including estimated storage amount.
3 - Columns in light blue contain preset formulas that must not be altered. If a formula error is detected, notify the Procurement Official immediately.
4 - Insert additional lines as necessary to address all hardware needed for the PWP.

Notes:
*Refer to the State's Strategic Sourcing Price Schedules (referenced in the Bidders' Library).
**Total Item Cost is the (Purchase Cost+Tax+Delivery Cost+Installation Cost) * Quantity Needed.
***The Bidder may choose to incrementally add storage across all three phases, but the Bidder must provide at least 100TB total.

CDI IFB 0845-39
PWP Invitation for Bid
Appendix B - Cost Workbook

Form VII-6 - Contractor Maintenance and Support Services Costs

Item Description	Estimated Staff Hours	Maintenance Year 1	Optional Year 1*	Optional Year 2*	Total Service Cost
Phase 1 Maintenance and Support Costs					
Technical Support via Phone and Internet					$ -
On-site Hardware Maintenance					$ -
Software Upgrade and Patch Support Services					$ -
				Phase 1 Subtotal (including all extensions)	$ -
Phase 2 Maintenance and Support Costs					
Technical Support via Phone and Internet					$ -
On-site Hardware Maintenance					$ -
Software Upgrade and Patch Support Services					$ -
				Phase 2 Subtotal (including all extensions)	$ -
Phase 3 Maintenance and Support Costs*					
Technical Support via Phone and Internet					$ -
On-site Hardware Maintenance					$ -
Software Upgrade and Patch Support Services					$ -
System Transition Services					$ -
				Phase 3 Subtotal (including all extensions)	$ -
Total	*0*	*$ -*	*$ -*	*$ -*	*$ -*

Instructions:
1 - Enter the estimated number of hours to be provided for the given activity based on the description of the required services in Section E.1.5.
2 - Enter the cost for providing the required services on an annual basis. The escalation amount from year to year cannot exceed three percent (3%).
3 - Columns in light blue contain preset formulas that must not be altered. If a formula error is detected, notify the Procurement Official immediately.
4 - Enter the fixed price for travel to the various CDI locations to perform maintenance and software deployment activities specified in Section E.1.5.
5 - The System Transition Services are expected to be exercised only during the final year of the contract. Enter a price only for Optional Year 2.
In the event the contract is terminated prior to Optional Year 2, the cost for the transition services will be applied to the appropriate year.

Notes:
*The State shall have the sole option to extend the contract.
**Do not add the $100,000 of consulting services for the final contract year. This amount will be added at Contract Award and is not included for evaluation purposes.

CDI IFB 0845-39
PWP Invitation for Bid
Appendix B - Cost Workbook

Form VII-7 - Bidder Labor Rates

Bidder Classification	Hourly Rates for Configuration and Implementation Contract Years (including optional year)	Hourly Rates for Maintenance and Support (M&S) Services Contract Year 1*	Hourly Rates for M&S Contract Optional Year 1*	Hourly Rates for M&S Contract Optional Year 2*	Estimated Staff Hours (For Evaluation Purposes Only)**	Total Labor Cost***
Contractor Project Manager					200	$ -
System Architect					100	$ -
Lead Developer/Designer					500	$ -
Database Administrator					150	$ -
Test Lead					250	$ -
Configuration Manager					250	$ -
Business Analyst					500	$ -
Developer					500	$ -
Tester					500	$ -
Technical Writer					100	$ -
Trainer					100	$ -
Scanning Equipment Technician					100	$ -
					Total	**$ -**

Instructions:
1 - Enter the hourly rate by designated contract year.
2 - The State has provided a fixed number of hours for evaluation purposes only. These hours must not be altered.
3 - Columns in light blue contain preset formulas that must not be altered. If a formula error is detected, notify the Procurement Official immediately.

Notes:
*The State shall have the sole option to extend the contract.

**The CDI intends to set aside 10% of the costs for the services portion of Configuration and Implementation Contract and $100,000 for the final year of the Maintenance and Services Contract to be used for payment of unanticipated tasks.

***This is not a commitment from the State to procure additional services from the Contractor. The State may, at its discretion, procure additional services during the term of the contracts at the rates specified via a work authorization.

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

APPENDIX C – BID RESPONSE FORMS

FINAL

MARCH 26, 2009

Issued By:
STATE OF CALIFORNIA
Department of General Services
707 Third Street
West Sacramento, CA 95605

In Conjunction with:
California Department of Insurance
300 Capitol Mall, 17th Floor
Sacramento, CA 95814

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

Table of Contents

FORM C1: LETTER OF INTENT TO BID C-3
FORM C2: CONFIDENTIALITY STATEMENT C-5
FORM C3: ADMINISTRATIVE REQUIREMENTS RESPONSE MATRIX C-7
BID PREFERENCES C-7
MANDATORY ADMINISTRATIVE REQUIREMENTS C-8
FORM C4: BID CERTIFICATION FORM C-13
FORM C5: BIDDER INFORMATION AND BACKGROUND C-15
FORM C6: SUBCONTRACTOR LIST C-17
FORM C7: COMMERCIALLY USEFUL FUNCTION STATEMENT C-19
FORM C8: SELLER'S PERMIT NUMBER C-21
FORM C9: NONDISCRIMINATION COMPLIANCE STATEMENT – FORM STD 019 ..... C-23
FORM C10: PAYEE DATA RECORD – FORM STD. 204 ..... C-25
FORM C11: CORPORATE EXPERIENCE REFERENCE FORM C-27
FORM C12: RESUME SUMMARY FORM C-29
FORM C12-A: RESUME SUMMARY FORM – CONTRACTOR PROJECT MANAGER C-31
FORM C12-B: RESUME SUMMARY FORM – SYSTEM ARCHITECT C-35
FORM C12-C: RESUME SUMMARY FORM – LEAD DEVELOPER/DESIGNER C-39
FORM C12-D: RESUME SUMMARY FORM – DATABASE ADMINISTRATOR (DBA) C-45
FORM C12-E: RESUME SUMMARY FORM – CONFIGURATION MANAGER C-49
FORM C12-F: RESUME SUMMARY FORM – TEST LEAD C-51
FORM C12-G: RESUME SUMMARY FORM – BUSINESS PROCESS ANALYST C-55
FORM C13: PRODUCTIVE USE CUSTOMER REFERENCE C-59
FORM C14: PWP HARDWARE AND SOFTWARE PROPOSED C-61
TABLE A: HARDWARE REQUIRED C-61
TABLE B: SOFTWARE REQUIRED C-61
FORM C15: SMALL BUSINESS PREFERENCE NOTIFICATION C-63

IFB CDI 0845-39
PWP INVITATION FOR BID
TABLE OF CONTENTS

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Appendix C – Bid Response Forms

This section contains the forms that must be submitted by the Bidder. Refer to Section V: Administrative Requirements for the supporting information that must be provided in addition to this forms, and Section VIII: Bid Format and Content for specific instructions on submitting these forms.

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C1: LETTER OF INTENT TO BID

FORM C1: LETTER OF INTENT TO BID

Date: _____

Attn: Dennis Link
Department of General Services – Procurement Division
707 Third Street, MS 2-209
West Sacramento, CA 95605

Reference: IFB CDI 0845-39

Dear Mr. Link:

This is to notify you of our intention regarding this IFB. Our company: _____

1. ☐ Intends to submit a bid and has no problem with the IFB requirements.
2. ☐ Intends to submit a bid, but has one or more problems with the IFB requirements for the reasons listed below.
3. ☐ Declines to submit a bid, for reasons stated below, and has no problem with the IFB requirements.
4. ☐ Declines to submit a bid because of one or more problems with the IFB requirements for reasons stated below.

Reasons or Concerns:

The individual to whom all information regarding this IFB (e.g., addenda) should be transmitted is:

Name:		**Title:**	
Company		**Phone:**	( )
Street Address:		**Fax:**	( )
City/State Zip:		**Email:**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C2: CONFIDENTIALITY STATEMENT

FORM C2: CONFIDENTIALITY STATEMENT

As an authorized representative and/or corporate officer of the company named below or a subcontractor participating in this project, I warrant my company and its employees will exercise a reasonable degree of care not to disclose any documents, diagrams, information and information storage media made available to us by the State and marked as confidential for the purpose of responding to IFB CDI 0845-39 or in conjunction with any contracts arising therefrom. I warrant that only those employees who are authorized and required to use such materials for the purpose of responding to IFB CDI 0845-39 will have access to them. If it is necessary for subcontractors, affiliates or other related entities to view any documents for the purpose of responding to IFB CDI 0845-39, I warrant that they will not have access to any documents marked as confidential by the State until they have signed this Confidentiality Statement and submitted it to the State.

I further warrant that all materials provided by the State and marked as confidential will be returned promptly after use and that all copies or derivations of the materials will be physically and/or electronically destroyed. I will include with the returned materials, a letter attesting to the complete return of materials, and documenting the destruction of copies and derivations. Failure to so comply may subject this company to liability, both criminal and civil, including all damages to the State and third parties.

Signature of Representative / Date

Printed Name of Representative

Printed Title of Representative

Printed Name of Company:

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C3: ADMINISTRATIVE REQUIREMENTS RESPONSE MATRIX

FORM C3: ADMINISTRATIVE REQUIREMENTS RESPONSE MATRIX

For each Bid Item listed in Form C3, Administrative Requirements Response Matrix, the Bidder must check "Yes" on the matrix, indicating compliance, or "No" on the matrix indicating non-compliance.

Bid Preferences

The following items are optional preferences that the Bidder may request.

BID PREFERENCE DESCRIPTION	BIDDER IS REQUESTING THIS PREFERENCE		REFERENCE TO IFB SECTION
Target Area Contract Preference (TACPA) The Bidder is requesting the TACPA preference and has submitted the DGS STD Form 830 and appropriate supporting information.	YES _____	NO _____	V.2.1
Enterprise Zone Act (EZA) Preference The Bidder is requesting the EZA preference and has submitted the DGS STD Form 831 and appropriate supporting information.	YES _____	NO _____	V.2.2
Local Area Military Base Recovery Act (LAMBRA) Preference The Bidder is requesting the LAMBRA preference and has submitted the DGS STD Form 832 and appropriate supporting information.	YES _____	NO _____	V.2.3
Small Business The Bidder is requesting the Small Business preference and has submitted the DGS Small Business Certification Letter and other required forms.	YES _____	NO _____	V.2.4
Disabled Veteran Business Enterprise (DVBE) The Bidder is requesting the DVBE Incentive and has submitted the DGS STD Form 840, GSPD-05-105 and appropriate supporting information. Note: Refer also to Section V.3.2.4: AR#7 DVBE Participation Requirement for a related, mandatory requirement.	YES _____	NO _____	V.2.5

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C3: ADMINISTRATIVE REQUIREMENTS RESPONSE MATRIX

Mandatory Administrative Requirements

The following items refer to the mandatory administrative requirements contained in Section V.

#	Administrative Requirement	Bidder Agrees To Meet the Requirement?		Reference to IFB Section
1.	Contractor Responsibility The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.1.1
2.	Contractor Information and Proof of Responsibility The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.1.2
3.	Confidentiality The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.1.3
4.	Bidder Use of Subcontractors The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.2.1
5.	Subcontractor Information The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.2.2
6.	Subcontractor Replacement The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.2.3
7.	DVBE Participation Requirement The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section. Note: If the Bidder is not using DVBEs as part of the contract, the Bidder must provide documentation to meet the requirement as documented on Form STD 840.	YES _____	NO _____	V.3.2.4
8.	Commercially Useful Function (CUF) The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section (if applicable).	YES _____	NO _____	V.3.2.5
9.	Certification with the State of California The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.3.1

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C3: ADMINISTRATIVE REQUIREMENTS RESPONSE MATRIX

#	ADMINISTRATIVE REQUIREMENT	BIDDER AGREES TO MEET THE REQUIREMENT?		REFERENCE TO IFB SECTION
10.	Seller's Permit The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.3.2
11.	Nondiscrimination Compliance Statement The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.3.3
12.	Payee Data Record The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.3.4
13.	General Liability Insurance The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.3.5
14.	Workers' Compensation Insurance Policy The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.3.6
15.	Corporate Customer References The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.4.1
16.	Project Staffing The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.5.1
17.	Key Staff Minimum Experience Requirements The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.5.2
18.	Key Staff Reference Checks The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.5.3
19.	Staff Availability and Replacement The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.5.4
20.	Access to Records The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.5.5
21.	Work Location The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.5.6

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C3: ADMINISTRATIVE REQUIREMENTS RESPONSE MATRIX

#	Administrative Requirement	Bidder Agrees To Meet the Requirement?		Reference to IFB Section
22.	Contractor Workstations and Laptops The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.5.7
23.	Incorporation of Contract Language The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.6.1.1
24.	Contract Extensions The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.6.1.2
25.	Dispute Resolution (First Level) The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.6.1.3
26.	Executive Committee The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.6.1.4
27.	Data Ownership The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.6.1.5
28.	Configuration and Implementation Contract The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.6.2
29.	PWP Production Acceptance and System Warranty The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.6.2.1
30.	COTS Software Purchase The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.6.2.2
31.	Productive Use and Current Versions The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.6.2.3
32.	Third-Party Software Licensing The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.6.2.4
33.	Additional Third-Party Software after Contract Award The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.6.2.5
34.	Hardware Purchase Contract The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.6.3
35.	Maintenance and Support (M&S) Services Contract The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.6.4

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C3: ADMINISTRATIVE REQUIREMENTS RESPONSE MATRIX

#	ADMINISTRATIVE REQUIREMENT	BIDDER AGREES TO MEET THE REQUIREMENT?		REFERENCE TO IFB SECTION
36.	Transition at the End of the Contract The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.6.4.1
37.	Deliverable Preparation and Submission The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.7.1
38.	Deliverable Expectation Documents (DEDs) The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.7.2
39.	Deliverable Acceptance Process The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.7.3
40.	Planning Documents in the Bid Submission The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.7.4
41.	Maximum Contract Amount The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.8.1
42.	Performance Bond/Letter of Bondability The Bidder agrees to meet the administrative requirement and has submitted the required information listed in the IFB Section.	YES _____	NO _____	V.3.8.2
43.	Deliverable-based Progress Payments The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.8.3
44.	Hardware Purchase Payment The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.8.4
45.	Maintenance and Support Services Contract Payment The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.8.5
46.	Travel The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.8.6
47.	Unanticipated Tasks/Work Authorization The Bidder agrees to meet the administrative requirement.	YES _____	NO _____	V.3.8.7

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C4: BID CERTIFICATION FORM

FORM C4: BID CERTIFICATION FORM

Date: _____

Name of Bidder: _____

Address of Bidder: _____

_____

Phone Number of Bidder: _____

Reference: IFB CDI 0845-39

1. This is to notify you that *[Business' Name]* _____, agrees to all the terms and conditions of this IFB and by signing below certifies that all requirements are met.

OR

2. This is to notify you that *[Subcontractor's Name]* _____ is a subcontractor contributing 10% or more to fulfilling the contracts. The business identified agrees to all the terms and conditions identified for subcontractors. The business identified certifies by signing below that all applicable requirements are met.

Sincerely,

Signature	**Date**
Title	**Company**
( )	**( )**
Phone	**Fax**

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C5: BIDDER INFORMATION AND BACKGROUND

FORM C5: BIDDER INFORMATION AND BACKGROUND

Bidder's Name:	
Contact Person's Name:	
Title:	
Contact Person's Phone Number:	
Contact Person's Fax Number:	
Contact Person's Email Address:	
Contractor's Firm Name: **(if Different from Bidder's Name above):**	
Firm Address:	
Office Locations:	
Office Location that Will Serve this Project:	
Length of Time in Business: **(minimum five (5) years)**	
Length of Time Providing Proposed Technology (i.e., in Document Management, Workflow and Scanning Business):	
Number of Full-Time Personnel:	
Brief Company History and Background:	
Number of Clients:	
Number of Clients Using the Proposed Product(s) Version: **(i.e., number of Bidder installations of the current version)**	
Bidders must provide a discussion of their prior experiences with document management, workflow and scanning technology. **Please include the project term (start and end dates), brief project description, project characteristics/statistics, and project environment. (Add additional pages, as necessary)**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C5: BIDDER INFORMATION AND BACKGROUND

Project Dates (start/end):	
Number of Users:	
Number of Office Locations:	
Number of Scanners:	
Project Environment (platform, DB):	
Approximate DB Size:	
Project Description:	

If the respondent is a subcontractor, provide 3 client references for work performed within the past 5 years. The bidding firm/prime contractor may skip this item (continue to Contract Performance item).

Client Reference Name:	Organization:	Email:	Phone:	Project Name:

Contract Performance:

If the Bidder has had a contract terminated for default during the past five years, all such incidents must be described. Termination for default is defined as notice to stop performance due to the Bidder's nonperformance or poor performance, and the issue was either (a) not litigated; or (b) litigated and such litigation determined the contractor/subcontractor to be in default. Provide details of terminations for default experienced by the Bidder during the past five (5) years, including the other party's name, address, and telephone number.

If the Bidder has had a contract terminated for convenience, nonperformance, non-allocation of funds, or any other reason, which termination occurred before completion of the contract, during the past five (5) years, describe all such terminations, including the name, address and telephone number of the other contracting party.

Signature of Bidder Representative/Date:

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C6: SUBCONTRACTOR LIST

FORM C6: SUBCONTRACTOR LIST

Subcontractors must be listed below. Use additional pages, if necessary

Subcontractors will be used on this Project:		**Yes:**	**No:**
Subcontractor 1			
Company Name:			
Primary Contact/Title:			
Address, City State:			
Phone Number:			
Role on this Project:			
Estimated amount of work to be performed by the Subcontractor:	**Less than 10%** ☐	**10 to 25%** ☐	**25% or More** ☐
Subcontractor 2			
Company Name:			
Primary Contact/Title:			
Address, City State:			
Phone Number:			
Role on this Project:			
Estimated amount of work to be performed by the Subcontractor:	**Less than 10%** ☐	**10 to 25%** ☐	**25% or More** ☐
Subcontractor 3			
Company Name:			
Primary Contact/Title:			
Address, City State:			
Phone Number:			
Role on this Project:			
Estimated amount of work to be performed by the Subcontractor:	**Less than 10%** ☐	**10 to 25%** ☐	**25% or More** ☐

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C7: COMMERCIALLY USEFUL FUNCTION STATEMENT

FORM C7: COMMERCIALLY USEFUL FUNCTION STATEMENT

Project: IFB CDI 0845-39

Name of Bidder: _____

Date: _____

Government Code 14387 et seq., requires all small businesses, microbusinesses, and disabled veteran business enterprises to perform a "commercially useful function" in any contract they perform for the State.

A business that is performing a commercially useful function is one that does all of the following:

- Is responsible for the execution of a distinct element of the work of the contract.
- Carries out its obligations by actually performing, managing or supervising the work involved.
- Performs work that is normal for its business, services and functions.
- Is not further subcontracting a portion of the work that is greater than that expected to be subcontracted by normal industry practices.

The Bidder must provide a written statement below detailing the role, services and/or goods the subcontractor(s) will provide to meet the commercially useful function requirement.

Type of Business: (check one)	**Small Business**	**Microbusiness**	**DVBE**
Name of Subcontractor:			
Specific Role(s) of Business for this Project: (e.g., data conversion, training, testing, etc.)			
Goods/Services to be Provided: (describe Bidder vs. subcontractor responsibilities for each role listed above)			

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C8: SELLER'S PERMIT NUMBER

FORM C8: SELLER'S PERMIT NUMBER

Bidders shall complete this form to describe the Bidder and any affiliate of the Bidder (person or entity that is controlled by, or is under common control of, the Bidder through stock ownership or other affiliation) that makes sales for delivery into California as applicable, and submit this form with the Bid.

In the event that the Bidder or any such affiliate has registered for but has not yet been issued a Seller's Permit by the California State Board of Equalization:

1. Enter N/A in the "Seller's Permit Number Column, and
2. Attach to this form a copy of the Certificate of Registration issued by the State Board of Equalization.

BUSINESS NAME	SELLER'S PERMIT NUMBER

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C9: NONDISCRIMINATION COMPLIANCE STATEMENT

FORM C9: NONDISCRIMINATION COMPLIANCE STATEMENT – FORM STD 019

Bidders must refer to the following State of California DGS website link for standard State forms. When linked to the website, Bidders can search for the Form by name or form number. Bidders have the option of ordering paper or automated eForms, or completing the Fill and Print Forms offered in .pdf format.

http://www.osp.dgs.ca.gov/standardforms/default.htm

http://www.osp.dgs.ca.gov/StandardForms/Fill+and+Print+Standard+eForms.htm

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C10: PAYEE DATA RECORD

FORM C10: PAYEE DATA RECORD – FORM STD. 204

Bidders must refer to the following State of California DGS website link for standard State forms. When linked to the website, Bidders can search for the Form by name or form number. Bidders have the option of ordering paper or automated eForms, or completing the Fill and Print Forms offered in .pdf format.

http://www.osp.dgs.ca.gov/standardforms/default.htm

http://www.documents.dgs.ca.gov/osp/pdf/std204.pdf

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C11: CUSTOMER EXPERIENCE REFERENCE FORM

FORM C11: CORPORATE EXPERIENCE REFERENCE FORM

Instructions: Complete one of these forms for each reference. Duplicate these pages as needed.

Bidder Name:		**Date:**	
Client Name:		**Contact Name:**	
Address:		**Phone #:**	
		Fax #:	
Contact Email Address:			
Project Name:			
Project Objectives:			
Bidder Firms' Involvement:			
Project Benefits:			
System Description:			
Name and Version of Document Management and Workflow Product(s) Implemented:		**Number of Geographically Separate Office Locations:**	
Name and Version of Scanning Product(s) Implemented:		**Date System Went into Production as System of Record:**	
Number of Named Users:		**Length of Bidder's Involvement on the Project (months):**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C11: CUSTOMER EXPERIENCE REFERENCE FORM

Project Measurements:

Contract Value (for all phases):			
Total Estimated Cost:		**Total Actual Cost:**	
Original Estimated Start Date:		**Actual Start Date:**	
Original Estimated Completion Date*:		**Actual Completion Date*:**	

Completion Date is date system went into production

Project Reference Criteria:	**Yes**	**No**
Was the project completed within the past eight (8) years (as of the Bid Submission Date)? (i.e., put into production as the system of record)		
Was the project for a State of California government entity (i.e., department, agency, board or commission)?		
Was the total project cost at least $5 million?		
Are there at least 1,300 named users using the system?		
Did the project implement at least three (3) geographically separate office locations (i.e., separate office buildings)?		
Did the project implement a scanning solution that included installation and configuration of scanning equipment, image quality check software, data capture and Intelligent Character Recognition/Optical Character Recognition (ICR/OCR), and routing of scanned images for processing?		
Did this project implement a document management, workflow, eForms and scanning solution where the total project cost was at least $5 million (desirable)?		

Other comments about the project or client environment:

	Yes	**No**
We authorize you to contact the reference above to further discuss our performance.		

Submitter Name:
(print or type)

Signature:

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

FORM C12: RESUME SUMMARY FORM

The Bidder must provide a completed Resume Summary Form for each Key Staff member of the project team, for the position proposed, and attach a resume that reflects the proposed resource's experience.

All referenced work used to meet the requirements must have been performed within the past five (5) years. Referenced work must have been for a client external to the Bidder's/Subcontractor's organization, parent company and subsidiaries. Internal research and development (R&D) projects shall not be counted towards the experience requirements.

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-A: RESUME SUMMARY FORM – CONTRACTOR PROJECT MANAGER

Form C12-A: Resume Summary Form – Contractor Project Manager

Proposed Resource Name:			
Proposed Position Classification:	Contractor Project Manager		
Organization associated with (check one):	**Prime Bidder**	**Subcontractor**	**DVBE**
The Bidder shall list the project information required below that qualifies the team member for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly specify how the proposed personnel meet each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section E.1.6. [Use additional space/project reference boxes, as necessary.] **Note: All project references must be within the past five (5) years.**			
For the Minimum Experience Requirements, the referenced projects must be for new system implementations. Upgrades, enhancements and additions to existing systems shall not be counted towards the Contractor Project Manager Minimum Experience Requirements. Also, references for maintenance and operations (M&O) projects (i.e., work performed after the system has been accepted) shall not be counted towards the Contractor Project Manager Minimum Experience Requirements.			
Minimum Requirement #1: The proposed Contractor Project Manager must have three (3) years' experience working as a Project Manager implementing document management and workflow systems.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-A: RESUME SUMMARY FORM – CONTRACTOR PROJECT MANAGER

Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Minimum Requirement #2: The proposed Contractor Project Manager must have two (2) years' experience working as a Project Manager on IT projects for State of California departments, agencies, boards or commissions.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-A: RESUME SUMMARY FORM – CONTRACTOR PROJECT MANAGER

Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Minimum Requirement #3: The proposed Contractor Project Manager must be certified as a Project Management Professional (PMP) from the Project Management Institute (PMI) or other formal project management professional organization certification (e.g., PRINCE2, IAPPM).			
Certification Type:		**Certification Date:**	
Certification Number:		**Expiration Date:**	
Desirable Requirement #1: The proposed Contractor Project Manager should have experience as the Project Manager for a document management and workflow project where the total project cost was at least $5 million.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:		**Total Project Cost:**	
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-B: RESUME SUMMARY FORM – SYSTEM ARCHITECT

Form C12-B: Resume Summary Form – System Architect

Proposed Resource Name:			
Proposed Position Classification:	System Architect		
Organization associated with (check one):	**Prime Bidder**	**Subcontractor**	**DVBE**

The Bidder shall list the project information required below that qualifies the team member for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly specify how the proposed personnel meet each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section E.1.6. [Use additional space/project reference boxes, as necessary.]

Note: All project references must be within the past five (5) years.

For the Minimum Experience Requirements, the referenced projects must be for new system implementations. Upgrades, enhancements and additions to existing systems shall not be counted towards the System Architect Minimum Experience Requirements. Also, references for maintenance and operations (M&O) projects (i.e., work performed after the system has been accepted) shall not be counted towards the System Architect Minimum Experience Requirements.

Minimum Requirement #1: The proposed System Architect must have three (3) years' experience working as a System Architect implementing document management and workflow systems.

Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-B: RESUME SUMMARY FORM – SYSTEM ARCHITECT

Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Desirable Requirement #1: The proposed System Architect should have experience as the System Architect for a document management and workflow project where the total number of users was at least 1,300 users.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:		**Number of Users:**	
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Desirable Requirement #2: The proposed System Architect should have experience as the System Architect for a document management and workflow project which involved a user base spread across at least three (3) geographically separate office locations.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-B: RESUME SUMMARY FORM – SYSTEM ARCHITECT

Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:		**Number of Geographically Separate Locations:**	
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-C: RESUME SUMMARY FORM – LEAD DEVELOPER/DESIGNER

Form C12-C: Resume Summary Form – Lead Developer/Designer

Proposed Resource Name:			
Proposed Position Classification:	Lead Developer/Designer		
Organization associated with (check one):	**Prime Bidder**	**Subcontractor**	**DVBE**

The Bidder shall list the project information required below that qualifies the team member for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly specify how the proposed personnel meet each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section E.1.6. [Use additional space/project reference boxes, as necessary.]

Note: All project references must be within the past five (5) years.

For the Minimum Experience Requirements, the referenced projects must be for new system implementations. Upgrades, enhancements and additions to existing systems shall not be counted towards the Lead Developer/Designer Minimum Experience Requirements. Also, references for maintenance and operations (M&O) projects (i.e., work performed after the system has been accepted) shall not be counted towards the Lead Developer/Designer Minimum Experience Requirements.

Minimum Requirement #1: The proposed Lead Developer/Designer must have three (3) years' experience working as a Lead Developer/Designer implementing document management and workflow systems.

Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-C: RESUME SUMMARY FORM – LEAD DEVELOPER/DESIGNER

Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Minimum Requirement #2: The proposed Lead Developer/Designer must have three (3) years' experience working as a Lead Developer/Designer for Java web applications.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-C: RESUME SUMMARY FORM – LEAD DEVELOPER/DESIGNER

Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Minimum Requirement #3: The proposed Lead Developer/Designer must have two (2) years' experience working as a Lead Developer/Designer on IT projects for government organizations (i.e., federal, state, regional, county, or city organizations).			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-C: RESUME SUMMARY FORM – LEAD DEVELOPER/DESIGNER

Minimum Requirement #4: The proposed Lead Developer/Designer must have one (1) years' experience working as a Lead Developer/Designer implementing scanning solutions that included data capture and ICR/OCR from images.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
<u>Desirable Requirement #1</u>: The proposed Lead Developer/Designer should have experience as the Lead Developer/Designer for a document management and workflow project where the total number of users was at least 1,300 users.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-C: RESUME SUMMARY FORM – LEAD DEVELOPER/DESIGNER

Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:		**Number of Users:**	
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Desirable Requirement #2: The proposed Lead Developer/Designer should have experience as the Lead Developer/Designer for a document management and workflow project which involved a user base spread across at least three (3) geographically separate office locations.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:		**Number of Geographically Separate Locations:**	
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Desirable Requirement #3: The proposed Lead Developer/Designer should have experience as the Lead Developer/Designer for a document management and workflow project which was implemented with an Oracle DB.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-C: RESUME SUMMARY FORM – LEAD DEVELOPER/DESIGNER

Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:		**Oracle DB Version:**	
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-D: RESUME SUMMARY FORM - DBA

Form C12-D: Resume Summary Form – Database Administrator (DBA)

Proposed Resource Name:			
Proposed Position Classification:	Database Administrator (DBA)		
Organization associated with (check one):	**Prime Bidder**	**Subcontractor**	**DVBE**

The Bidder shall list the project information required below that qualifies the team member for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly specify how the proposed personnel meet each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section E.1.6. [Use additional space/project reference boxes, as necessary.]

Note: All project references must be within the past five (5) years.

For the Minimum Experience Requirements, the referenced projects must be for new system implementations. Upgrades, enhancements and additions to existing systems shall not be counted towards the DBA Minimum Experience Requirements. Also, references for maintenance and operations (M&O) projects (i.e., work performed after the system has been accepted) shall not be counted towards the DBA Minimum Experience Requirements.

Minimum Requirement #1: The proposed DBA must have experience on three (3) projects working as a DBA implementing document management and workflow systems, where the staff's duration on each project was a minimum of four (4) months in duration.

Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-D: RESUME SUMMARY FORM - DBA

Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Minimum Requirement #2: The proposed DBA must have two (2) years' experience working as a DBA implementing Oracle database systems.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-D: RESUME SUMMARY FORM - DBA

Num of Months on the Project:		**Oracle DB Version:**	
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:		**Oracle DB Version:**	
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-E: RESUME SUMMARY FORM – CONFIGURATION MANAGER

Form C12-E: Resume Summary Form – Configuration Manager

Proposed Resource Name:			
Proposed Position Classification:	Configuration Manager		
Organization associated with (check one):	**Prime Bidder**	**Subcontractor**	**DVBE**

The Bidder shall list the project information required below that qualifies the team member for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly specify how the proposed personnel meet each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section E.1.6. [Use additional space/project reference boxes, as necessary.]

Note: All project references must be within the past five (5) years.

For the Minimum Experience Requirements, the referenced projects must be for new system implementations. Upgrades, enhancements and additions to existing systems shall not be counted towards the Configuration Manager Minimum Experience Requirements. Also, references for maintenance and operations (M&O) projects (i.e., work performed after the system has been accepted) shall not be counted towards the Configuration Manager Minimum Experience Requirements.

Minimum Requirement #1: The proposed Configuration Manager must have three (3) years' experience working as the Configuration Manager on IT projects.

Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-E: RESUME SUMMARY FORM – CONFIGURATION MANAGER

Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Desirable Requirement #1: The proposed Configuration Manager should have experience as the Configuration Manager for a document management and workflow project which involved a user base spread across at least three (3) geographically separate office locations.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:		**Number of Geographically Separate Locations:**	
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-F: RESUME SUMMARY FORM – TEST LEAD

Form C12-F: Resume Summary Form – Test Lead

Proposed Resource Name:			
Proposed Position Classification:	Test Lead		
Organization associated with (check one):	**Prime Bidder**	**Subcontractor**	**DVBE**

The Bidder shall list the project information required below that qualifies the team member for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly specify how the proposed personnel meet each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section E.1.6. [Use additional space/project reference boxes, as necessary.]

Note: All project references must be within the past five (5) years.

For the Minimum Experience Requirements, the referenced projects must be for new system implementations. Upgrades, enhancements and additions to existing systems shall not be counted towards the Test Lead Minimum Experience Requirements. Also, references for maintenance and operations (M&O) projects (i.e., work performed after the system has been accepted) shall not be counted towards the Test Lead Minimum Experience Requirements.

Minimum Requirement #1: The proposed Test Lead must have two (2) years' experience working as a Test Lead on projects that implemented document management and workflow systems.

Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-F: RESUME SUMMARY FORM – TEST LEAD

Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Minimum Requirement #2: The proposed Test Lead must have one (1) years' experience working as a Test Lead on projects that implemented a scanning solution, including data capture and ICR/OCR.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-F: RESUME SUMMARY FORM – TEST LEAD

Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-G: RESUME SUMMARY FORM –BUSINESS PROCESS ANALYST

Form C12-G: Resume Summary Form – Business Process Analyst

Proposed Resource Name:			
Proposed Position Classification:	Business Process Analyst		
Organization associated with (check one):	**Prime Bidder**	**Subcontractor**	**DVBE**

The Bidder shall list the project information required below that qualifies the team member for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly specify how the proposed personnel meet each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section E.1.6. [Use additional space/project reference boxes, as necessary.]

Note: All project references must be within the past five (5) years.

For the Minimum Experience Requirements, the referenced projects must be for new system implementations. Upgrades, enhancements and additions to existing systems shall not be counted towards the Business Process Analyst Minimum Experience Requirements. Also, references for maintenance and operations (M&O) projects (i.e., work performed after the system has been accepted) shall not be counted towards the Business Process Analyst Minimum Experience Requirements.

Minimum Requirement #1: The proposed Business Process Analyst must have three (3) years' experience working as a Business Process Analyst for document management and workflow systems.

Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-G: RESUME SUMMARY FORM –BUSINESS PROCESS ANALYST

Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Minimum Requirement #2: The proposed Business Process Analyst must have two (2) years' experience working as a Business Process Analyst on IT projects for government organizations (i.e., federal, state, regional, county, or city organizations).			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C12-G: RESUME SUMMARY FORM –BUSINESS PROCESS ANALYST

Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			
Desirable Requirement #1: The proposed Business Process Analyst should have additional experience as the Business Process Analyst for document management and workflow projects. Note: The projects listed for this requirement must be different from, and in addition to, the projects listed under Minimum Requirement 1.			
Project Name:		**Client Name:**	
Project Start Date (mm/dd/yyyy):		**Project End Date (mm/dd/yyyy):**	
Staff Start Date on Project (mm/dd/yyyy)		**Staff End Date on Project (mm/dd/yyyy)**	
Num of Months on the Project:			
Contact Name/Title		**Contact Phone #/ Email Address**	
Project Description:			
Proposed Resource's Role and Responsibilities:			

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C13: PRODUCTIVE USE CUSTOMER REFERENCE

FORM C13: PRODUCTIVE USE CUSTOMER REFERENCE

A productive use reference, which meets the requirements of this IFB, is required for the document management, workflow, eForms and scanning software product(s) proposed by the Bidder. If multiple products are being proposed, a productive use reference must be provided for each product proposed.

Bidder Name: _____ **Date:** _____

Client Name: _____ **Contact Name:** _____

Address: _____ **Phone #:** _____

Fax #: _____

Email Address: _____

Project Name: _____

Project Objectives: _____

Bidder Firm's Involvement: _____

System Description: _____

	Proposed Product/Modules and Version for PWP	Product/Modules and Version Used on Referenced Project	Date Put into Production
Document Mgmt System			
Workflow Product(s)			
eForms Product(s)			
Scanning Product(s)			

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C14: PWP HARDWARE AND SOFTWARE PROPOSED

FORM C14: PWP HARDWARE AND SOFTWARE PROPOSED

Table A: Hardware Required

(include hardware required for the development, test and production environments, and the hot-site location)

#	ITEM DESCRIPTION/ PURPOSE	MAKE/MODEL/SPECIFICATION (PROCESSOR, RAM, ETC.)	OPERATING SYSTEM/ VERSION	ADDITIONAL SOFTWARE*	ENVIRONMENT	QUANTITY	NEED DATE**
a.							
b.							
c.							
d.							

*Indicate what software will run on this machine. The specifications for the software should be described in Table B.
**Indicate when the item will be needed, either by task name or task ID according to the Proposed WBS/Project Schedule.

Table B: Software Required

(including development, test, training, and other support tools)

#	ITEM DESCRIPTION/ PURPOSE	MANUFACTURER/ PRODUCT NAME	VERSION	LICENSING MODEL (E.G., PER SET, PER SERVER, VIEW ONLY, DEVELOPER)	NUMBER OF LICENSES PROVIDED	NEED DATE**
i.						
ii..						
iii.						
iv.						

**Indicate when the item will be needed, either by task name or task ID according to the Proposed WBS/Project Schedule.

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – BID RESPONSE FORMS
FORM C15: SMALL BUSINESS PREFERENCE NOTIFICATION

FORM C15: SMALL BUSINESS PREFERENCE NOTIFICATION

GC 14838(b)(2) says: "In solicitations where an award is to be made to the highest scored Bidder based on evaluation factors other than price, the preference to small Bidders shall be 5 percent of the highest responsible Bidder's total score."

To claim the small business preference, the Bidder's firm must have its principal place of business located in California, have a complete application (including proof of annual receipts) on file with the State Office of Small Business and DVBE Services (OSDS) by 5:00 p.m. on the Bid Submission Date (listed in Section I.5 of the IFB), and be verified by the OSDS.

Questions regarding the preference approval process should be directed to the OSDS at (916) 375-4940.

PLEASE CHECK THE APPROPRIATE LINE:

_____ We are a California Certified Small Business applying for a preference on this Bid. A copy of our certification from the OSDS is attached.

_____ We have recently filed for Small Business Certification in California.

_____ We are not claiming a Small Business Preference.

_____ We are a Non-Small Business, claiming to provide a 25% commercially useful function business opportunity to California-Certified Small Business subcontractors that will allow our firm to receive a 5% Contractors preference for evaluation purposes on this bid. We have attached the list of California-Certified Small Business subcontractor(s) that have been certified by the OSDS and that will participate in this bid.

Total Amount of Small Business Participation _____

_____
Signature / Date

_____
Title

_____
Company Name

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

APPENDIX D – GLOSSARY AND ACRONYMS

FINAL

MARCH 26, 2009

Issued By:
STATE OF CALIFORNIA
Department of General Services
707 Third Street
West Sacramento, CA 95605

In Conjunction with:
California Department of Insurance
300 Capitol Mall, 17th Floor
Sacramento, CA 95814

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX C – PROPOSAL RESPONSE FORMS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX D – GLOSSARY AND ACRONYMS

Appendix D – GLOSSARY AND ACRONYMS

AAA	Authentication, Authorization and Accounting
AD	Active Directory
ADA	Americans with Disabilities Act of 1990
Alert	A workflow notification which could be accomplished via a notice in the users task list/"in-box" and/or an email.
API	Application Programming Interfaces
AR	Administrative Requirement
ASCII	American Standard Code for Information Interchange
ATM	Asynchronous Transfer Mode
BOE	Board of Equalization
C&I	Configuration and Implementation contract
CBT	Computer Based Training
CCR	California Code of Regulations
CD	Compact Disk
CD	Contract Deliverable Requirement
CDFI	Community Development Foundation Institution
CDI	California Department of Insurance
CLOB	Character Large OBject
COIN	California Organized Investment Network
Confidential Data	According to SAM, Section 4819.2: "Information maintained by state agencies that is exempt from disclosure under the provisions of the California Public Records Act (PRA) or other applicable state or federal laws."

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX D – GLOSSARY AND ACRONYMS

Configuration Management	The management of the functional and physical characteristics of all system components, including hardware, software, databases, environments, and documentation. Involves the identification of the settings and characteristics of each system component, inventory and asset management of the system, change control of system components, version and release management, audits of the system components, and verification of the system components against the defined characteristics and documentation. For the purposes of this document, does not refer to the activities performed to customize and install an application/database. The results of such activities would be documented as part of CM, but are not CM activities per se.
Configuration Manager	The Key Staff position responsible for implementing and overseeing configuration management of the Contractor's proposed solution until the CDI accepts the system.
COTS	Commercial Off the Shelf
CPA	Certified Public Accountant
CPU	Central Processing Unit
CR	Content Requirement
Critical Problem	A severe system incident, including system outage, data corruption, system failure and/or repetitive crashes, or inability to meet the system's performance requirements, and a workaround is not available.
CUF	Commercially Useful Function
CY	Calendar Year
DB	Database
DBA	Database Administrator
DGS	Department of General Services
DMV	Department of Motor Vehicles
DMZ	Demilitarized Zone
DOF	Department of Finance
DPI	Dots Per Inch
DTS	Department of Technology Services
DVBE	Disabled Veteran Business Enterprise
EAI	Enterprise Application Integration
EDMS	Enterprise Document Management System

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX D – GLOSSARY AND ACRONYMS

EEO	Equal Employment Opportunity
EIP	Enterprise Information Portal
External Entity	An organization external to the CDI, which may include insurers, agents or brokers, consumers, law enforcement organizations or other government organizations, including the Legislature.
External User	A user that is external to the CDI organization. Generally, this will be a member of an external entity, but for some processes it may refer to a member of the public.
EZA	Enterprise Zone Act (bidding preference)
FAQ	Frequently Asked Questions
Field Level	The field level means to the level of a specific field or element on a screen, view or report.
FR	Format Requirement
FSR	Feasibility Study Report
FTP	File Transfer Protocol
Function Level	The functional level means to the level of a functional capability within a module, such a performing a workflow task, generating an eForm, generating a report.
FY	Fiscal Year
GB	GigaByte
GIF	Graphics Interchange Format
GUI	Graphical User Interface
HIPAA	Health Insurance Privacy and Accountability Act
HQ	Headquarters
HR	Human Resources
HTML	Hyper Text Markup Language
HTTP	HyperText Transfer Protocol
HTTPS	HyperText Transfer Protocol Secure
HVAC	Heating Ventilation and Air Conditioning
HW	Hardware
IAPPM	International Association of Project and Program Management
ICR	Intelligent Character Recognition

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX D – GLOSSARY AND ACRONYMS

IDB	Integrated Database (schema)
IFB	Invitation For Bid
IIS	Internet Information Services
Integration Testing	Tests involving hardware components, software components, or both combined and tested to evaluate the interaction between the components.
IPOC	Independent Project Oversight Consultant
IRS	Internal Revenue Service
ISO	Information Security Officer
IT	Information Technology
ITD	Information Technology Division
IV&V	Independent Verification and Validation
JPG	Joint Photographic Experts Group (file format)
LAMBRA	Local Area Military Base Recovery Act
LAN	Local Area Network
LDAP	Lightweight Directory Access Protocol
LESLI	Licensed Eligible Surplus Line Insurers
LLC	Limited Liability Company
Load/Stress Testing	Testing conducted to evaluate a system or component at or beyond the limits of its specified requirements.
LP	Limited Partnership
M&O	Maintenance and Operations
M&S	Maintenance and Support
Major Problem	A system incident requiring a hardware or software component to be replaced or introduced, a major configuration change, or any correction that requires more than one (1) day to correct.
Material Deviation	A deviation from a requirement is material if the response is not in substantial accord with the RFP requirements, provides an advantage to one Bidder over other Bidders, or has a potentially significant affect on the delivery, quantity or quality of items bid, amount paid to the Bidder or on the cost to the State. Material deviations cannot be waived.
MICR	Magnetic Ink Character Recognition

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX D – GLOSSARY AND ACRONYMS

Module Level	The module level means to the level of a system module, such as scanning, eForms or workflow.
MS	Microsoft
NAIC	National Association of Insurance Commissioners
NAS	Network Attached Storage
NIST	National Institute of Standards and Technology
NOS	Network Operating System
Notification	An email provided to designated users indicating, for example, successful submission of an eForm.
OAS	Oracle Application Server
OASIS	Online Assistance System for Insurer Submittals
OCIO	Office of the Chief Information Officer
OCR	Optical Character Recognition
OCR	Optical Character Recognition
OEM	Original Equipment Manufacturer
OS	Operating System
OSDS	Office of Small Business and DVBE Services
PCI	Payment Card Industry
PDF	Adobe's Portable Document Format
PDT	Pacific Daylight Time
Performance Testing	Testing conducted to evaluate the compliance of a system or component with specified performance requirements, such as speed, accuracy, memory usage, etc.
Pilot Testing	Testing conducted under controlled conditions in the production environment, typically with real or simulated production data.
PLB	Producer Licensing Bureau
PMBOK	Project Management Body of Knowledge
PMC	Project Management Consultant
PMI	Project Management Institute
PMP	PMI's Project Management Professional
PoE	Power over Ethernet

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX D – GLOSSARY AND ACRONYMS

POP	Point of Presence
PRA	Public Records Act
PRINCE2	PRojects IN Controlled Environments 2
PST	Pacific Standard Time
PSTN	Public Switched Telephone Network
PWP	Paperless Workflow Project
PY	Person Year
QA	Quality Assurance
R&D	Research and Design
RADIUS	Remote Authentication Dial-In User Service
RAM	Random Access Memory
RDBMS	Relational Database Management System
Regression Testing	Selective retesting of a system or component to verify that modifications have not caused unintended effects and that the system or component still complies with its specified requirements.
Remote User	A CDI user who is working at a non-CDI location and is accessing the system via VPN.
RRB	Rate Regulation Branch
RTF	Rich Text File
SAM	State Administrative Manual
SAN	Storage Attached Network
SCO	State Controller's Office
SDK	Software Development Kit
SDLC	System or Software Development Life Cycle
Sensitive Data	According to SAM, Section 4819.2: "Information maintained by state agencies that requires special precautions to protect it from unauthorized modification or deletion. Sensitive information may be either public or confidential."
SERFF	System for Electronic Rate Forms and Filings
SFTP	Secure/SSH File Transfer Protocol

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX D – GLOSSARY AND ACRONYMS

Similar Implementation	The referenced project must have included implementation of a document management and workflow system (including eForms) with a total project cost of at least $5 million, a user base of at least 1,300 named users which is spread across at least three geographically separate office locations.
SME	Subject Matter Expert
SMTP	Simple Mail Transfer Protocol
SOS	Secretary of State
SQL	Structured Query Language
SR	Submission Requirement
SRS	System Requirements Specification
SSH	Secure Shell
SSL	Secure Socket Layer
SSN	Social Security Number
STD	Standard
STD 204	Payee Data Record
STD 213	State of California Standard Agreement
Successfully Completed Implementation	The system is in production and has been used as the system of record for at least six (6) months as of the Bid Submission Date (listed in Section I.5: Key Action Dates).
System Testing	Testing conducted on a complete, integrated system to evaluate the system's compliance with its specified requirements.
TACPA	Target Area Contract Preference Act
TARS	Time Activity Reporting System
TCP/IP	Transmission Control Protocol/Internet Protocol
TIFF or TIF	Tagged Image File Format
TTY/TDD	TeleType/Telecommunication Devices for the Deaf
UAT	User Acceptance Testing
Unit Testing	Testing of individual hardware or software units or groups of related units.
UPS	Uninterruptable Power Supply
User Acceptance Testing	Formal testing conducted to enable a user, customer or other authorized entity to determine whether to accept a system or component.

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX D – GLOSSARY AND ACRONYMS

VOIP	Voice Over Internet Protocol
VPN	Virtual Private Network
WAN	Wide Area Network
WAV	Wave file format
WBS	Work Breakdown Structure
WebDAV	Web-based Distributed Authoring and Versioning
WORM	Write Once Read Many storage
XML	Extensible Markup Language

California Department of Insurance

PAPERLESS WORKFLOW PROJECT (PWP)

INVITATION FOR BID
IFB CDI 0845-39

APPENDIX E – DETAILED REQUIREMENTS

FINAL

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS

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IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS

Table of Contents

APPENDIX E – DETAILED REQUIREMENTS E-1
E.1. MANDATORY REQUIREMENTS E-1
E.1.1. Mandatory Functional Requirements E-1
General Functionality E-2
Workflow and eForms E-3
Document Management E-10
Scanning E-19
Validations E-23
Reporting E-24
Web Portal E-24
E.1.2. Mandatory Technical Requirements E.1.2-26
System Administration E.1.2-27
Security E.1.2-28
System Performance and Availability E.1.2-30
Accessibility E.1.2-31
User Interface E.1.2-31
Interfaces and Imports/Exports E.1.2-32
E.1.3. Mandatory Configuration and Implementation Contract Requirements E.1.3-34
E.1.3.1 Mandatory Configuration and Implementation Services Requirements E.1.3.1-34
Project Management Services E.1.3.1-34
Phase 1 Requirements Analysis Services E.1.3.1-36
Phase 1 System Design Services E.1.3.1-40
Installation and Configuration/Development of the System E.1.3.1-44
Data Conversion E.1.3.1-47
Training - General E.1.3.1-49
Direct Delivery Training E.1.3.1-51
Train-the-Trainer Training E.1.3.1-52
Computer-Based Training (CBT) E.1.3.1-53
System Administrator and Technical Training E.1.3.1-53
Testing Services E.1.3.1-57
System Pilot E.1.3.1-60
System Deployment E.1.3.1-62
Phase 2 Requirements Analysis Services E.1.3.1-65
Phase 2 System Design Services E.1.3.1-66
Phase 2 Installation and Configuration/Development of the System E.1.3.1-70
Phase 3 Requirements Analysis Services E.1.3.1-71
Phase 3 System Design Services E.1.3.1-73
Phase 3 Installation and Configuration/Development of the System E.1.3.1-76

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS

E.1.3.2 Mandatory Configuration and Implementation Contract Deliverable Requirements E.1.3.2-79
E.1.4. Mandatory Hardware Purchase Contract Requirements E.1.4-106
E.1.5. Mandatory Maintenance and Support Services Contract Requirements E.1.5-108
Technical Support Services E.1.5-108
Hardware Support and Maintenance E.1.5-109
Software Maintenance Services E.1.5-109
Software Upgrade and Patch Support Services E.1.5-110
System Transition Services E.1.5-112
E.1.6. Mandatory Key Staff Minimum Experience Requirements E.1.6-113
General Requirements E.1.6-113
Project Manager E.1.6-114
System Architect E.1.6-115
Lead Developer/Designer E.1.6-115
Database Administrator (DBA) E.1.6-117
Configuration Manager E.1.6-118
Test Lead E.1.6-119
Business Process Analyst E.1.6-120
E.2. DESIRABLE REQUIREMENTS E.2-122
E.2.1. Desirable Corporate Experience Requirements E.2.1-122
E.2.2. Desirable Key Staff Minimum Experience Requirements E.2.2-123
Project Manager E.2.2-123
System Architect E.2.2-123
Lead Developer/Designer E.2.2-123
Configuration Manager E.2.2-124
Business Process Analyst E.2.2-124

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

Appendix E – DETAILED REQUIREMENTS

This appendix contains the detailed requirements for the PWP as well as the services and deliverables that must be provided by the Contractor. In the sections below, the "requirements numbers" are designated as follows (where 'n' is a unique sequential number):

- **MF-n** designate mandatory function requirements
- **MT-n** designate mandatory technical requirements
- **IM-n** designate mandatory implementation services for the Configuration and Implementation Contract
- **CD-n** designate mandatory contract deliverables for the Configuration and Implementation Contract
- **HW-n** designate mandatory contract deliverables for the Hardware Purchase Contract
- **MS-n** designate mandatory services for the Maintenance and Support Services Contract
- **ST-n** designate mandatory key staff minimum experience requirements and duties
- **DCE-n** designates a desirable corporate experience requirement, which is in addition to the mandatory corporate references described in Section V.3.4
- **DST-n** designate desirable key staff minimum experience requirements, which are in addition to the mandatory key staff qualifications described in the mandatory (ST-n) requirements.

E.1. Mandatory Requirements

All the requirements in Section E.1 are considered mandatory. The Bidder must agree to meet all requirements in this section.

E.1.1. MANDATORY FUNCTIONAL REQUIREMENTS

The following requirements describe the minimum required functionality for the proposed solution.

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
General Functionality							
MF-	1.	The system shall allow search queries using wildcards and "partials" (e.g., Smi* = Smi). The system shall display all items that match the specified criteria or return an indication that there are no entries that match the criteria.	Mandatory				
MF-	2.	The system must provide a multi-level search capability to allow users to search for documents by various criteria, including dates, keywords, profile information (multiple values), wild cards, document number or sequence, document type, document format (e.g., Microsoft Word, PDF), and Boolean criteria (e.g., and, or, not). The search will apply to document profile information and documents saved with full-text.	Mandatory				
MF-	3.	The system must allow document search results to be sorted and filtered by any of the document profile fields, including document type, title, date received, and date of (on) the document.	Mandatory				
MF-	4.	The system must allow users to sort the display list of documents using multiple sorting criteria (e.g. cascading, ascending/descending, or multi-level sort).	Mandatory				
MF-	5.	The system must provide the ability to view document thumbnails.	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
MF-	6.	The system must support "spooling" of large documents (100+ pages) where the first page of the document is displayed as soon as it is downloaded without waiting for the entire document to load.	Mandatory				
MF-	7.	The system must allow users to view multiple documents from within the repository simultaneously (minimum of four (4) documents open and viewable at the same time).	Mandatory				
MF-	8.	The system must allow multiple users to view the same documents from within the repository simultaneously (minimum of 25 users viewing the same document). This only applies to read-only viewing.	Mandatory				
MF-	9.	The system must provide read-only versions of documents to the public via the Internet.	Mandatory				
Workflow and eForms							
MF-	10.	The system must provide tools to allow trained business and technical staff to create, modify, delete, enable and disable workflows. Trained business and technical staff shall be those staff that participated in the training sessions described in requirement #IM-104 and IM-105.	Mandatory				
MF-	11.	The system must provide version control of the workflow and user-configurable rules for when	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
		versions are assigned (e.g. each time when changed, manually assigned).					
MF-	12.	The system must allow workflows to execute across locations as well as within a single location.	Mandatory				
MF-	13.	The system must provide features that will allow trained business and technical staff to create, modify and manage electronic-based forms (eForms).	Mandatory				
MF-	14.	The system must allow internal and external users to fill out an eForm and submit it for processing to a workflow.	Mandatory				
MF-	15.	The system must automatically assign a unique identifier for each eForm submitted and workflow task initiated.	Mandatory				
MF-	16.	The system shall store the eForms and allow authorized users to retrieve, review and modify (with appropriate version control) the eForm.	Mandatory				
MF-	17.	The system shall capture and track electronic approvals of eForms as part of the workflow process. Approvals will require capture of approver name, title, and date of approval.	Mandatory				
MF-	18.	The system shall provide automated notifications via email to the eForm submitter upon rejection or final approval of the eForm. Refer to Appendix D: Glossary for a definition of notifications.	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
MF-	19.	The system shall leave data that is correct on the eForm and only require the user to correct data fields that are in error.	Mandatory				
MF-	20.	The system shall provide a mechanism that will allow “electronic signature” or approval of a work item that is sent out from the system or for recording signatures coming into the system (on a case-by-case basis). Electronic signatures or other electronic-based authorization shall be used wherever it is deemed legally permissible.	Mandatory				
MF-	21.	The system must provide workflow processing features to allow documents to automatically be routed to appropriate users based on pre-defined business rules (i.e., route a document to a certain user or group based on the document type).	Mandatory				
MF-	22.	For each workflow task, the system shall indicate to the user the current step and the next step in the workflow.	Mandatory				
MF-	23.	The system must support automatic routing capabilities: A pre-defined set of system rules that the system follows for routing document types for processing.	Mandatory				
MF-	24.	The system must support manual routing capabilities: A set of rules that the user defines for routing a document for processing.	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	BIDDER RESPONSE CODE	PRODUCT/-MODULE USED TO MEET THE REQMT	PROPOSAL REFERENCE (VOLUME, SECTION, PAGE)	STATE COMMENTS
MF-	25.	The system must support exception routing capabilities: A set of rules that a user can activate to cancel, re-route, etc., a document that is following automatic or manual rules for workflow routing.	Mandatory				
MF-	26.	The system must allow authorized internal users to reroute documents to other offices in case of one location going offline (e.g. disaster recovery).	Mandatory				
MF-	27.	The system must allow for “long-running” workflows which require several weeks or months to complete.	Mandatory				
MF-	28.	The system must allow multiple branches of a workflow process to execute sequentially or simultaneously, such as when multiple approvals are required.	Mandatory				
MF-	29.	The system must provide a “pending” workflow or queue for items where not all information has been received to complete the current task step.	Mandatory				
MF-	30.	The system must provide the ability to view documents in any stage of the workflow.	Mandatory				
MF-	31.	The system shall provide the ability for authorized users to define, modify and deactivate automated notifications and alerts, including the text of the notification/alert and the event that triggers the notification/alert.	Mandatory				
MF-	32.	The system shall provide alerts to the user indicating	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
		when a new work item is received in a person's work queue.					
MF-	33.	The system shall provide alerts to the user when a work item has not been opened after the specified wait time in a queue. The wait time will be based on the document type. Refer to Appendix D: Glossary for a definition of alert.	Mandatory				
MF-	34.	The system shall provide an alert to the user and the user's manager/supervisor when a work item has not been acted upon after the specified wait time in a queue.	Mandatory				
MF-	35.	The system shall provide an "in-box" or similar function for presenting to the users the documents in the workflow that have been assigned to them for completion.	Mandatory				
MF-	36.	The system shall present the "in-box" to the user when they login to the system and allow them to return to it at any time.	Mandatory				
MF-	37.	The system shall allow users to perform a multi-level sort and filter of their "in-box" by different parameters including date the task was assigned, due date of the task, who assigned the task, aging, priority, event, etc. Three (3) levels of sorting criteria must be supported.	Mandatory				
MF-	38.	The system must provide a task status including a listing of previous workflow steps completed and	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	BIDDER RESPONSE CODE	PRODUCT/-MODULE USED TO MEET THE REQMT	PROPOSAL REFERENCE (VOLUME, SECTION, PAGE)	STATE COMMENTS
		related details, including, dates, durations and user names via an on-line window or report.					
MF-	39.	The system must allow users to designate priority levels to documents in their "in-box".	Mandatory				
MF-	40.	The system must provide a mechanism to designate processing priority for documents in the workflow based on document type. For example, a document type that is a high priority would be passed to the recipient and would be identified as a high priority when it is listed as a work item.	Mandatory				
MF-	41.	The system must allow users to designate priority levels to tasks that they assign to other users.	Mandatory				
MF-	42.	The system must permit authorized users to change or override the designated processing priority.	Mandatory				
MF-	43.	The system shall provide a feature for identifying high-priority issues or work items across the system (i.e., high-priority tasks such as items coming due or overdue) based on business rules.	Mandatory				
MF-	44.	The system must allow authorized users (e.g., managers and supervisors) to reassign roles without going through Departmental IT staff.	Mandatory				
MF-	45.	The system must allow authorized users (e.g., managers and supervisors) to view, re-route and re-assign their staff's work to respond to changes in staffing levels, high priority assignments, and changes	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
		in business needs.					
MF-	46.	The system must allow authorized users (e.g., managers) to view summary information about the tasks that have been assigned to their staff, including which tasks have been assigned to whom and how many tasks an individual has.	Mandatory				
MF-	47.	The system must allow authorized internal users to override the standard workflow to accommodate special requests or problems (exception workflow).	Mandatory				
MF-	48.	The system must require a manager/supervisor's approval in order to override the normal workflow processing flow (for example, an override to allow a user to forward an item to another user or bureau).	Mandatory				
MF-	49.	The system must log any workflow overrides in a document workflow log and require an explanation of the rationale.	Mandatory				
MF-	50.	The system must allow authorized users to forward or "pass" an item in a workflow to more than one user or group. For example, to send an item for processing to more than one destination at a time for simultaneous processing.	Mandatory				
MF-	51.	The system shall allow users to forward an item from their "in-box" to their supervisor for review, questions, or further action.	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
MF-	52.	The system shall allow users to forward an item from their "in-box" to other units to assist with resolution based on defined business rules.	Mandatory				
Document Management							
MF-	53.	The system must be a document management system which provides secure, centralized storage and management of all documents selected for document storage by the CDI.	Mandatory				
MF-	54.	The system must permit at least six (6) document repositories to be created and in use at the same time, with each repository having different security, roles, and profiles.	Mandatory				
MF-	55.	The system must accept, process and store all incoming documents in the document management system, regardless of how they were received (e.g., email, fax, workflow fill-in form, scan/paper, uploaded from other system via FTP, WebDAV, HTTP push, SMTP, etc.).	Mandatory				
MF-	56.	Documents received electronically must be stored in their native format (e.g., DOC, XLS, PPT, PDF, JPG, and TIFF).	Mandatory				
MF-	57.	The system must allow staff the option to save incoming documents in the document management repository, or elsewhere if necessary (i.e., network or	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
		internal/external PC drive, etc.) For workflow items, the repository will be the default storage.					
MF-	58.	The system must provide a profiled storage management structure or similar model for organization of documents.	Mandatory				
MF-	59.	The system must provide a document profiling feature to support automatic and manual capture of appropriate metadata from eForm submissions to be used for identification and searching.	Mandatory				
MF-	60.	All documents submitted to the repository must be processed using the same profiling structure.	Mandatory				
MF-	61.	Documents must be stored and profiled according to specified profile metadata appropriate to the type of document.	Mandatory				
MF-	62.	The system must infer and automatically populate profile fields based on the selection/entry of key profile data elements. For example, if the user selects/enters a license number, the license holder's name should be populated with data from CDI's Oracle DB or other appropriate system to reduce manual keying and risk of errors. The key profile data elements used for lookup and retrieval of related data will be limited to seven (7) fields.	Mandatory				
MF-	63.	The system must provide the ability to send profile	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
		information to updated CDI's Oracle-based systems. For example, to update a case management system to indicate correspondence has been received.					
MF-	64.	The system must provide for full-text searching of stored documents, so that users are not limited to the profile information in searching. This would include documents that are stored in their native format, as well as documents that have been scanned for full text capture.	Mandatory				
MF-	65.	The system must provide a user-definable, searchable free-text field in the profile field (i.e., "other comments").	Mandatory				
MF-	66.	The system must assist the user in identifying duplicate documents. For example, when a new document is received, the system should check for other documents with similar profile values (e.g., title, date of document, sender, recipient), and display such documents received within a recent date range.	Mandatory				
MF-	67.	The system must automatically assign a unique identifier for each document. This would be in addition to the specific document title stored as part of the index.	Mandatory				
MF-	68.	The system must have a field for the title of document, which is separate from the document identifier.	Mandatory				
MF-	69.	The system shall allow only authorized users to	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	BIDDER RESPONSE CODE	PRODUCT/-MODULE USED TO MEET THE REQMT	PROPOSAL REFERENCE (VOLUME, SECTION, PAGE)	STATE COMMENTS
		modify document profile values after the document has been initially profiled and stored.					
MF-	70.	The system must allow documents to be linked to each other to show relationships between the documents, such as a parent-child relationship or a sibling-to-sibling relationship. Links are to be defined and controlled at the authorized user level. For instance, to mark a report as the "parent" document and associate the comments or rebuttals to the report as "children", so that if you accessed the rebuttal (child) first, you would see a link to the main report (parent) exists.	Mandatory				
MF-	71.	The system must provide tools for document manipulation functions such as zoom (change image magnification), scroll, rotate, annotate, highlight, and redaction.	Mandatory				
MF-	72.	The system must allow the user to zoom-in and out, view whole pages, adjust the size of open windows, and adjust the contrast of the window to support viewing images.	Mandatory				
MF-	73.	The system shall have a reverse contrast (negative image) feature to assist with viewing poor quality images.	Mandatory				
MF-	74.	The system must allow users to add notes or annotations to a document.	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
MF-	75.	Any annotation or redaction must not change the original document, and shall not require check-in or a new version of the document.	Mandatory				
MF-	76.	The system must allow users to designate whether a note is private or public (e.g., available to only the user, the user's group, or to everyone).	Mandatory				
MF-	77.	The system must provide a tool (such as Workshare Professional) to allow staff to compare different, searchable PDF or MS Office documents, including: 1- Comparing Word to PDF (and vice versa) 2- Comparing one document to multiple versions 3- Producing reports of differences 4– Comparing the contents of tables and headers/footers 5- Producing a document showing all changes made which complies with Legal proofreading standards Note: This tool will be used by scan operators, staff in satellite offices who receive documents directly, and by Legal and Administrative staff as a way to help prevent duplicate documents from being entered into the system.	Mandatory				
MF-	78.	The system must allow staff to combine individual documents from the repository and assemble them into a single large document/file that can be copied as	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
		one file to another media (i.e., CD, DVD, flash drive, email attachment, etc.). For instance, to be able to group the various files that make up a rate filing into a single "folder" or "package" such that the user can access either the whole package or an individual document within the folder.					
MF-	79.	The system must support copy and paste functionality within text-based documents (such as DOC, XLS, PPT, WPD (i.e., WordPerfect), and PDF). Copy and paste is not required for document images (i.e., TIFF, JPG).	Mandatory				
MF-	80.	The system shall import and store email, audio, photo, and video files for storage and access via the repository.	Mandatory				
MF-	81.	Email, audio, photo, and video files must be supported by the system's profiling feature to capture appropriate metadata to assist with identification and searching.	Mandatory				
MF-	82.	The system must integrate with video streaming software (e.g., Media Player, QuickTime) to aid in the playback of large video files.	Mandatory				
MF-	83.	The system must integrate with the MS Office 2003 suite. The user must be able to access the repository from within the Microsoft Office suite of applications and not have to perform separate steps to search, open,	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
		check in/out, or save documents stored within the repository.					
MF-	84.	The system must support document template and assembly functions of MS Office applications.	Mandatory				
MF-	85.	The system must be capable of exchanging captured data with existing CDI Oracle-based systems via web services, XML and other exchange methods.	Mandatory				
MF-	86.	The system must exchange data captured from scanned documents, eForms, reports, and workflows with existing CDI Oracle-based systems, where appropriate for the business process. In most cases, this will be providing data to the existing CDI Oracle-based systems.	Mandatory				
MF-	87.	The system must allow authorized users to attach documents from the repository to outgoing email and send from Outlook.	Mandatory				
MF-	88.	The system must allow authorized users to copy or export data to external storage media (e.g., tape, DVD, CD-ROM) based on user-defined selection criteria. For instance, to support backups or to respond to Public Records Act (PRA) requests for data.	Mandatory				
MF-	89.	The system must accept fax documents electronically via the Voice Over Internet Protocol (VOIP) system.	Mandatory				
MF-	90.	The system must provide a process or mechanism that will allow CDI to electronically receive and save	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
		either single large data files (up to 40MB each), or multiple large data files (1,000 submissions, up to 5MB each) that are submitted to CDI by external entities. This is to allow for external transactions to be received without running into problems of having the "inbox" be too full to accept the data.					
MF-	91.	The system must accept electronic submission of documents received via email. These may be directed to a queue or directly to an end-user for indexing and storage.	Mandatory				
MF-	92.	Documents received electronically must be indexed and processed in the same manner as documents received via paper that are scanned.	Mandatory				
MF-	93.	The system must provide a process to automatically acknowledge receipt of an electronic submission from an external entity to include, at a minimum: date, time, submission type, number of pages or file size, recipient name, and sender name.	Mandatory				
MF-	94.	The system must permit authorized users to define, modify and deactivate automated acknowledgments, including the text of the acknowledgement and which events trigger automated acknowledgement of files.	Mandatory				
MF-	95.	The system shall provide version control features that automatically track and manage changes to a	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	BIDDER RESPONSE CODE	PRODUCT/-MODULE USED TO MEET THE REQMT	PROPOSAL REFERENCE (VOLUME, SECTION, PAGE)	STATE COMMENTS
		document.					
MF-	96.	By default, the system shall provide document access in read-only mode.	Mandatory				
MF-	97.	Users wishing to modify an existing document must perform an explicit “check-out” of the document in order to access the document in read/write mode.	Mandatory				
MF-	98.	The system must identify the most current version of a document in the search results, and retain old versions where they can be accessed if needed.	Mandatory				
MF-	99.	The system must be capable of identifying and controlling which documents are subject to version control (drafts) and which documents cannot be changed (finals).	Mandatory				
MF-	100.	The system shall provide check-in and check-out features (locking) that control access to a document.	Mandatory				
MF-	101.	When a document is locked, only the user who has successfully checked-out or locked the document shall be permitted to make modifications to the document and document profile information.	Mandatory				
MF-	102.	When a document is locked, the system must prevent other users from checking-out or modifying the document. All other users shall be presented a view-only version of the document (subject to appropriate security).	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
MF-	103.	In the event a user cannot check in a document, a designated authorized user (e.g., supervisor) must have authority to cancel the checkout.	Mandatory				
MF-	104.	The system shall require the user to enter a comment when checking in a document that describes the changes made and/or reason for the new version.	Mandatory				
MF-	105.	The system shall permit authorized users to define the document retention parameters and criteria for each document type or individual document.	Mandatory				
MF-	106.	The system must support archiving and retrieval (by profile fields) of documents that have been archived from the main repository, but still need to be stored for possible future access.	Mandatory				
MF-	107.	The system must archive documents based on identified retention periods in the document's profile.	Mandatory				
MF-	108.	The system must restore archived documents to the system within one (1) hour of request (assuming the archived item has not been removed to offsite storage).	Mandatory				
Scanning							
MF-	109.	The system must provide high speed (min. 90ppm) and sheet feed capacity (min. 100 sheets) scanning equipment which supports a minimum of 300 x 300 dots per inch (DPI).	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
MF-	110.	The system must support and enable duplex scanning (i.e., scanning of front and back without manual intervention) for 8.5” x 11” pages (letter), 8.5” x 14” pages (legal), half-sized sheets (8.5” x 5.5”), personal and business-sized checks, and personal, business (#9, #10), and 9” x 12” envelopes. Note: Flat-bed scanners will be used to address the occasional odd sized items that may be required by several divisions.	Mandatory				
MF-	111.	The scanners must accept 10 to 100 lb. weight paper stock.	Mandatory				
MF-	112.	The system must support scanning of black and white, color and grey-scale documents.	Mandatory				
MF-	113.	The system must have the capability to scan and store color images in color. Scanning in black and white will be the default, but color scanning must be available as an option when documents are submitted in color and need to be stored with the color attributes.	Mandatory				
MF-	114.	The system must read and interpret bar codes for determining document and batch profile values for paper documents.	Mandatory				
MF-	115.	The system must read and interpret patch codes for determining document boundaries and changes within a batch for paper documents.	Mandatory				
MF-	116.	The system must create, capture and store the	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	BIDDER RESPONSE CODE	PRODUCT/-MODULE USED TO MEET THE REQMT	PROPOSAL REFERENCE (VOLUME, SECTION, PAGE)	STATE COMMENTS
		document received time-stamp showing the date, hour, and minute. This will be accomplished with an annotation/overlay onto the image applied to the image during scanning, and is in addition to the data captured as part of the document's profile.					
MF-	117.	The system must scan and image documents received in hardcopy, including forms, reports, correspondence, checks, and envelopes.	Mandatory				
MF-	118.	The system must allow users to scan the front and back of documents.	Mandatory				
MF-	119.	The system must scan and store documents containing multiple-pages and double-sided pages as a single document file.	Mandatory				
MF-	120.	The system must scan, image and capture data from the image via OCR processing to create a text-searchable document.	Mandatory				
MF-	121.	The system must allow the scanning operator to discard a document during the scanning process to account for blank pages and duplicate copies.	Mandatory				
MF-	122.	The system must permit scanned documents to be profiled either 1) at the scanning workstation immediately after scanning; or 2) after being routed to the specific business unit that is the owner of the document.	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
MF-	123.	The system must allow later scanned documents (regardless of format) to be associated with an existing document or file. For example, a scanned letter can be added to the repository and associated with an existing file.	Mandatory				
MF-	124.	The system must provide features to allow authorized users to convert any document within the system to a searchable PDF. This would apply to documents that are supported by a native format that can be converted to a PDF. Note: This feature is only needed for select designated users. Refer to requirements #CD-41 and CD-42.	Mandatory				
MF-	125.	The system must include tools to allow authorized users to convert image documents (i.e., JPG, TIF files) to searchable text-based documents and PDF. Note: This feature is only needed for select designated users. Refer to requirements #CD-41 and CD-42.	Mandatory				
MF-	126.	The system must provide features to allow authorized users to convert a document within the system into a PDF that has been stripped of all metadata and/or annotations so that the new PDF can be sent to recipients outside CDI without risk of recipients gaining access to classified information that was used to identify or process the document (i.e., profile fields, analyst notes, etc.).	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
		Note: This feature is only needed for select designated users. Refer to requirements #CD-41 and CD-42.					
Validations							
MF-	127.	When performing data capture of eForms, the system must validate that all required fields have been completed.	Mandatory				
MF-	128.	Data fields which fail validation on the eForms shall be identified and a message presented to the user which explains how to correct the error.	Mandatory				
MF-	129.	The system must provide an auto-complete/suggest feature to minimize duplicate entries when completing or editing profile information. For example, if the Insurance Company already exists in the database the system shall match the name and present it or a list of similar names to the user to avoid duplicating or mistyping information.	Mandatory				
MF-	130.	The system must provide data validation and business rules for appropriate data entry fields on the document profile. Appropriate data entry fields are those fields which are not free-text or comment fields. Authorized CDI staff must be able to define and control the data validation and rules for data entry fields in the system. For instance, validation of date formats or that a company name is valid.	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
MF-	131.	The system shall apply field-level validations and business rules when data is entered in profiled.	Mandatory				
Reporting							
MF-	132.	The system must generate audit reports presenting various system metrics, including performance, volume, and security, for management.	Mandatory				
MF-	133.	The system must produce periodic and ad hoc reports describing the current volumes of documents and document statistics based on document profile and metadata. Reports are to be produced at the bureau management level.	Mandatory				
MF-	134.	The system must collect, report and export workflow statistics for analysis via Oracle Discoverer, Crystal Reports, Microsoft Access, and Microsoft Excel.	Mandatory				
MF-	135.	The system must store all application-generated audit, volume, statistical reports for up to five years. Some reports may be determined to have a shorter retention.	Mandatory				
Web Portal							
MF-	136.	The system must provide a web portal feature that can be used to post selected documents to the Internet.	Mandatory				
MF-	137.	The system must automatically post documents to the web based on specific profile values (e.g., document type, security level, approval level).	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.1 – MANDATORY FUNCTIONAL REQUIREMENTS

	#	Requirement Text	Reqmt Type	Bidder Response Code	Product/-Module Used to Meet the Reqmt	Proposal Reference (Volume, Section, Page)	State Comments
MF-	138.	The system must record in the profile the date and time the document was posted to the web.	Mandatory				

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.2 – MANDATORY TECHNICAL REQUIREMENTS

E.1.2. MANDATORY TECHNICAL REQUIREMENTS

The following requirements describe the technical constraints and expectations for the proposed solution.

	#	REQUIREMENT TEXT	REQMT TYPE
MT-	1.	The system must comply with CDI standards for system architecture, hardware, software, security, and design. Refer to the Bidders' Library for the specific standards.	Mandatory
MT-	2.	The system's web presentation components must conform to the State of California Governor's web standards. Compliance will be tested as part of acceptance testing. Refer to the Bidders' Library for a link to the standards.	Mandatory
MT-	3.	Data security must be compliant with Health Insurance Portability and Accountability Act (HIPAA) standards, Payment Card Industry (PCI) standards, and the National Institute of Standards and Technology (NIST) standards.	Mandatory
MT-	4.	At a minimum, the system must support files in the following formats: TIFF, JPG, GIF, WAV, WordPerfect Suite, HTML, Microsoft Office suite (including Microsoft Project and Microsoft Visio), ASCII, Rich Text Format (RTF), and PDF.	Mandatory
MT-	5.	The system must use an Oracle database, version 10g or higher.	Mandatory
MT-	6.	The system must allow access by CDI users working in the field via VPN, the internet or the intranet.	Mandatory
MT-	7.	The system must co-exist in an environment that includes multiple applications, including Microsoft Office and other third-party applications.	Mandatory
MT-	8.	The system must have a duplicate, redundant site that is available for immediate fail-over, in case of a catastrophic failure of the primary site where the system is located.	Mandatory
MT-	9.	The system must operate on desktop, laptop, and server hardware that is compliant with Departmental technology standards. Refer to the Bidders' Library for the current standards.	Mandatory
MT-	10.	The system must perform and store daily backups of images, documents and metadata/profile information, including logs and system files.	Mandatory
MT-	11.	The system must comply with the CDI's current backup and retention schedules. The current schedule is summarized in Section III.	Mandatory
MT-	12.	The system must synchronize data between locations during non-core hours. Core hours are defined as	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.2 – MANDATORY TECHNICAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
		6:00 am through 8:00 pm, Monday through Friday.	
MT-	13.	The system must provide features to trace execution of modules, system errors and warnings, and scripts to support diagnosis and reconciliation of system errors.	Mandatory
MT-	14.	The system must provide help functionality at the system administrator level to facilitate common maintenance and administration functions.	Mandatory
MT-	15.	The system must provide transaction journaling to assist with recovery and auditing of all database transactions.	Mandatory
MT-	16.	The system must support industry-standard network protocols, including TCP/IP, FTP, SFTP, SSH, HTTP and HTTPS, as applicable.	Mandatory
MT-	17.	The system must utilize industry-standard Application Programming Interfaces (APIs), Software Development Kit (SDK), adapters, adapter development kits, and similar enterprise application integration (EAI) tools to facilitate application-to-application data transmission.	Mandatory
MT-	18.	The system shall provide native tools for version control, backup, and recovery of the application, images and database.	Mandatory
MT-	19	The system shall provide tools for performance management, configuration of user roles and access privileges, and other utilities for overseeing the database(s).	Mandatory
MT-	20.	The system shall support outgoing fax and email capabilities.	Mandatory
MT-	21.	The solution must be designed and implemented using virtualization applications such as VMware. Refer to Section III.5.7 for the current version.	Mandatory
System Administration			
MT-	22.	The system must allow system administrators to set a timeout period which would cause the system to logout/disconnect users who have been inactive for a defined period of time.	Mandatory
MT-	23.	The system must provide administration, monitoring and audit tools, including event logs, access logs and transaction logs to assist with monitoring of system performance and diagnosing of problems.	Mandatory
MT-	24.	The system shall allow remote administration of the system by authorized system administrators.	Mandatory
MT-	25.	The system must allow authorized users to define an automatic expiration time for the checkout of a	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.2 – MANDATORY TECHNICAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
		document (e.g., if there is no action taken for 1 hour).	
Security			
MT-	26.	The system must maintain an audit trail for all scanning operations and shall record the following information at a minimum; scanner operator, scanning date, location, date and time of scanning, document type.	Mandatory
MT-	27.	Audit trail functions of the system must record who accessed, added or removed pages from documents, and when the access or changes were made. Information must be sufficient to identify the chain of custody for a document which will be used in Legal proceedings or matters.	Mandatory
MT-	28.	The system must permit authorized users (e.g., managers and supervisors) to designate access levels for their staff for the viewing and printing of reports.	Mandatory
MT-	29.	The system must control and administer multiple levels of user access and privileges.	Mandatory
MT-	30.	The system must allow only authorized users to see that a sensitive or confidential document exists and allow to access the document.	Mandatory
MT-	31.	The system must provide a feature to selectively track who viewed each document based on document type.	Mandatory
MT-	32.	The system shall allow authorized users to produce printed and electronic copies of a document where sections of that document are manually redacted, such that the information that was redacted is neither readable in the printed copy nor recoverable from the electronic copy.	Mandatory
MT-	33.	The system shall utilize user groups that define permissions and limitations on data that can be viewed and manipulated.	Mandatory
MT-	34.	The system must allow authorized users to add special condition identifiers to a document to indicate it is sensitive or confidential.	Mandatory
MT-	35.	The system must allow document permissions to be set for different document versions (e.g., version 3 may be public, but version 4 may be restricted until it is released).	Mandatory
MT-	36.	The system must limit access to documents and document manipulation functions based on security profiles that include user roles, document type, responsibilities, and relative position (e.g. supervisor,	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.2 – MANDATORY TECHNICAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
		clerical staff, the public, etc.).	
MT-	37.	The system's key tables must be encrypted to protect the system data. It is estimated that five percent (5%) of data would require encryption, and would include such personally identifiable data such as Social Security Number, names and address, employer/company name and address.	Mandatory
MT-	38.	The system must permit public users to access documents specifically marked as available to the public.	Mandatory
MT-	39.	Documents marked as sensitive and confidential shall never be made available for public access.	Mandatory
MT-	40.	The system must prevent sensitive and confidential documents from being displayed in a search list or document profile listing for users without appropriate authorization.	Mandatory
MT-	41.	The system must include appropriate security markings on the document when the document is printed or transmitted electronically. Appropriate security markings may include sealed, confidential markings, and sensitive. For example, a confidential report released to another employee would be identified as confidential in its printed output as well as when it is sent electronically.	Mandatory
MT-	42.	The system must provide security features so that only authorized users have the ability to delete or add pages to a document or to delete an entire document that has been saved to the repository.	Mandatory
MT-	43.	The system must segregate in reports the tracking of documents viewed by internal and public users.	Mandatory
MT-	44.	The system must provide the ability for CDI to define and display to users instructions and/or disclaimers for handling documents that are confidential or sensitive when they are accessed, retrieved, or checked in/out. For example, when a confidential or sensitive document is accessed, the system will display the user rules (encryption requirements, copy constraints, etc.) to be followed.	Mandatory
MT-	45.	The system shall comply with the Electronic Communications Privacy Act. Refer to the Bidders' Library for a link to the Act.	Mandatory
MT-	46.	The system must include database security features including login and logout.	Mandatory
MT-	47.	The system must produce system reports containing volume size, available space and transport utilization for each repository.	Mandatory
MT-	48.	The system must produce reports that identify: • Who accessed the system (including IP, Program, and host name)	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.2 – MANDATORY TECHNICAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
		• When the system was accessed (date, time, number of times) • The information accessed (including unauthorized attempts) • How the information was retrieved (printed, copied, or ad hoc report)	
MT-	49.	The system must provide email notification to Network Security staff based on users' third failed attempt to access the system.	Mandatory
System Performance and Availability			
MT-	50.	The application must meet the defined performance standards (#MT-51 through #MT-58) on the CDI's minimum desktop hardware configuration connected to a local server (see Bidder's library for desktop hardware configuration standard). Remote connections are expected to require more response time.	Mandatory
MT-	51.	The system performance for saving a document to the database shall be less than one (1) second for a document of 25 pages or less.	Mandatory
MT-	52.	The system response time for a search request of a document (and subsequent display of eligible documents) shall not exceed three (3) seconds for a document of less than 1 MB that is not stored with full text from OCR capture.	Mandatory
MT-	53.	The system response time for launching the native application (e.g., Microsoft Word, PDF viewer, etc.) for an electronic document from the repository shall be less than five (5) seconds for a document of less than 1MB.	Mandatory
MT-	54.	The system response time for retrieving and displaying on the screen the first page of an imaged document from the repository with a minimum size of 1MB shall be less than one (1) minute.	Mandatory
MT-	55.	The system response time for retrieving and displaying on the screen the first page of an electronic workflow document from the system shall be less than three (3) seconds.	Mandatory
MT-	56.	The system must allow all CDI staff to be accessing and using the system simultaneously. As of 2009, this equates to approximately 1,300 staff.	Mandatory
MT-	57.	The typical hours of operation shall be defined as 6:00 AM to 8:00 PM Monday through Friday.	Mandatory
MT-	58.	The system shall be available 99.5 % of the published hours of operation (defined in #MT-57).	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.2 – MANDATORY TECHNICAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
Accessibility			
MT-	59.	The system must conform and be compliant with the Americans with Disabilities Act (ADA), Section 508. Compliance will be tested as part of acceptance testing. Refer to Section E.1.3.1, requirement IM-124 for more on testing requirements.	Mandatory
MT-	60.	The system must integrate or be compatible with Dragon Naturally Speaking 10.x or higher and JAWS 6.x or higher for use and operation of the document management application.	Mandatory
User Interface			
MT-	61.	The system must provide a graphical user interface which includes the following features • Mouse-driven navigation • Menu-driven navigation • Keyboard-only navigation	Mandatory
MT-	62.	The system must provide the same application features (e.g., ability to initiate a workflow, ability to run reports) regardless of workstation location (i.e., internal CDI office, remote connection via a laptop connected via VPN, or internet or intranet).	Mandatory
MT-	63.	The system must provide a browser-based user interface for local desktops as well as for remote desktops or laptops.	Mandatory
MT-	64.	The system must support Internet Explorer 6.x or higher, Firefox 3.x or higher, and Safari 3.2 or higher.	Mandatory
MT-	65.	The system shall use lookup tables, pull down menus and lists to allow the user to select predefined codes, categories, and known information. These codes, categories and information must be customizable by CDI via a software administrative feature.	Mandatory
MT-	66.	The system must provide online user documentation that is indexed and searchable.	Mandatory
MT-	67.	System or user error messages must be concise and not require the user to look up error codes or numbers.	Mandatory
MT-	68.	The system shall provide field-level, context sensitive, and workflow help for all screens. The system will allow for popup fields and mouse-over prompts to be customizable to allow for specific directions of operation.	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.2 – MANDATORY TECHNICAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
Interfaces and Imports/Exports			
MT-	69.	The system must allow importing of images and profile values from other sources and imaging systems (such as Open Text/Hummingbird and ParaDocs).	Mandatory
MT-	70.	The system must provide the capability to receive/import electronic files (such as PDFs and blobs) from a CD, a database schema and from a Windows directory, and store the resulting files in a common repository.	Mandatory
MT-	71.	The system's common repository for these imported files (described in the previous requirement, #MT-70), must be indexed and allow external web-based systems to access the files in the common repository. External web-based systems include eCounsel, OASIS, and EIP, which will access such items as rate filings, company profiles (annual and quarterly) and California supplemental statements.	Mandatory
MT-	72.	The system must import images scanned on copier/printers and other scanners not located within the scanning centers (e.g., flat bed scanners in the program areas).	Mandatory
MT-	73.	The system must interface/integrate with CDI's in-house Oracle DB, to obtain data for populating the profiles and for use with the eForms and workflows.	Mandatory
MT-	74.	The system must allow existing CDI case management and tracking systems (such as eCounsel) and CDI's Java web applications to access/call documents in the repository based on the document's profile data. For instance, to access the specific document(s) associated with a legal matter from within eCounsel based on the document's profile value(s).	Mandatory
MT-	75.	The system must allow CDI to access the profile data and lookup tables via a database link to allow for the exchange of data with existing CDI systems and Oracle databases. The transfer of data between systems will be accomplished with database triggers (instantaneous), database procedures, APIs, or web services.	Mandatory
MT-	76.	The system must allow authorized users to export data for use in other analysis and reporting tools in file formats including Oracle Discoverer, Crystal Reports, Microsoft Access, and Microsoft Excel.	Mandatory
MT-	77.	The system shall provide access to all appropriate repositories based on a single logon via Microsoft's Active Directory (AD).	Mandatory
MT-	78.	The system must transmit fax documents electronically from the repository with a CDI-defined cover sheet	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.2 – MANDATORY TECHNICAL REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
		via the RightFax software.	
MT-	79.	The system must integrate with RightFax to send and receive faxes. Refer to Section III.5.8.3 for current version used.	Mandatory
MT-	80.	The system must integrate with Exchange 2007 and Outlook 2003 and 2007.	Mandatory
MT-	81.	Any custom web portions of the solution must be developed as Java web applications.	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

E.1.3. MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT REQUIREMENTS

E.1.3.1 Mandatory Configuration and Implementation Services Requirements

The following requirements describe the minimum required services for the Configuration and Implementation Contract.

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
Project Management Services The following requirements describe the project management and coordination requirements that will be initiated during Phase 1 of the project, and which will apply to all subsequent phases of the project.				
IM-	1.	The Contractor shall develop a Project Management Plan that defines the Contractor management activities for all phases of the project.	Mandatory	CD-3: Project Management Plan
IM-	2.	The Contractor shall work with the CDI Project Manager to integrate its project management process with the CDI's project management processes to avoid duplication (e.g., risk, issue, change processes, communication).	Mandatory	n/a
IM-	3.	The Contractor shall participate in the following CDI project processes by attending meetings, performing assigned tasks, researching assigned items, and providing requested information or data: -Communication Process -Quality Management Processes	Mandatory	n/a
IM-	4.	The Contractor shall assist the CDI with Change Leadership/Organizational Change efforts, if requested, by attending meetings, performing assigned tasks, researching assigned items, and providing requested information or data.	Mandatory	n/a
IM-	5.	The Contractor shall develop a System Development Plan that defines the Contractor design, configuration and development activities for all phases of the project.	Mandatory	CD-11: System Development Plan

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	6.	The Contractor shall develop a WBS/Project Schedule (in Microsoft Project 2003 or compatible) that defines the detailed tasks for accomplishing all phases of the project that is in accordance with PMI's PMBOK.	Mandatory	CD-4: WBS/Project Schedule
IM-	7.	The Contractor shall update the Project Work Plan weekly and include the updates in the Weekly Status Report.	Mandatory	CD-4: WBS/Project Schedule
IM-	8.	The Contractor shall attend and participate in on-site weekly status meetings to discuss progress made and to coordinate activities with CDI staff and stakeholders during the next reporting period.	Mandatory	n/a
IM-	9.	The Contractor shall develop and deliver weekly status reports.	Mandatory	CD-7: Weekly Status Reports
IM-	10.	The Contractor shall notify the CDI of needed information or coordination a minimum of two (2) weeks prior to the due date for the information.	Mandatory	n/a
IM-	11.	The Contractor must use a proven development methodology (i.e., Systems/Software Development Life Cycle (SDLC)) to design, configure/develop and deploy the system to ensure quality and reliability of the software.	Mandatory	n/a
IM-	12.	The OCIO has determined the PWP project to be a high criticality project. Thus the Contractor must comply with the project management practices and processes required by the OCIO's IT Project Oversight Framework for high criticality projects. The Framework is available from the Bidders' Library.	Mandatory	n/a
IM-	13.	The Contractor shall develop, deliver and present, as	Mandatory	CD-8: Executive Committee Status

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		requested by the CDI, Executive Committee Status Reports and Presentations regarding the progress, issues, and current risk profile for the system.		Reports/Presentations
IM-	14.	The Contractor shall develop and deliver a Configuration Management Plan that describes how the Contractor will manage the hardware, software, software versions, software configurations, system environments (i.e., development, test, and production), project documentation and any changes to these items.	Mandatory	CD-9: Configuration Management Plan
Phase 1 Requirements Analysis Services The following requirements describe the services to be provided as part of designing and developing the proposed solution for the PWP. CDI staff must be included in the appropriate activities (as described below) to facilitate knowledge transfer. The focus of Phase 1 is to implement the document repository(s) and internal eForms/workflows. The Contractor also will analyze the CDI's existing systems, requirements and environment and develop the strategy for implementing all three (3) phases of the project. Upon approval by the CDI, the System Requirements Specification shall serve as the basis for system design and configuration/development.				
IM-	15.	The Contractor shall analyze and validate the functional requirements contained in the IFB, Appendix E, Section E.1.1 and E.1.2 to derive the detailed requirements for the proposed solution.	Mandatory	CD-14: System Requirements Specification
IM-	16.	The Contractor shall conduct requirements review sessions with CDI business and technical staff to elaborate, refine and validate the requirements contained in the IFB, Appendix E, Section E.l.1 and E.1.2. Note: If the review identifies any change in the requirements documented in this IFB, the change will be handled via a change request, as documented in the CDI-approved change control process that is part of the Configuration Management	Mandatory	CD-14: System Requirements Specification

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		Plan.		
IM-	17.	The Contractor shall document the decisions and action items from the requirements review sessions, which shall be attached to the Weekly Status Reports.	Mandatory	CD-7: Weekly Status Reports
IM-	18.	The analysis of the functional requirements shall address all three (3) phases of the project.	Mandatory	CD-14: System Requirements Specification
IM-	19.	The Contractor shall perform requirements decomposition to document the detailed requirements for the proposed solution. Note: Requirement decomposition refers to the breakdown of the functional requirements into individual operations or routines that are required.	Mandatory	CD-14: System Requirements Specification
IM-	20.	The Contractor shall perform business process analysis to document the detailed requirements and high-level business process steps that must be accomplished for each process. Note: The results of this process analysis will be used to help prioritize the work for later phases. The detailed process analysis will be conducted as part of developing the workflows for each specific process.	Mandatory	CD-12: Business Process Analysis Report
IM-	21.	The Contractor shall analyze the CDI's current internal and external forms, reports and processes to make recommendations for streamlining and combining forms, reports and processes to improve business processes and convert to electronic methods. Note: The results of this analysis will be used to help prioritize the work for later phases. The detailed analysis will be conducted as part of redesigning the forms and reports for each specific process.	Mandatory	CD-12: Business Process Analysis Report

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	22.	The Contractor shall perform analysis of business processes and organizational rules to determine the appropriate number of document repositories (and associated document profiles) necessary to meet the CDI's business needs.	Mandatory	CD-14: System Requirements Specification
IM-	23.	The Contractor shall provide a recommended approach to converting the CDI's internal and external forms, reports and processes to electronic methods based on the capabilities of the proposed solution, including a recommended priority for conversion. Note: The CDI will review and perform the final prioritization based on the Contractor's analysis and CDI's business needs.	Mandatory	CD-12: Business Process Analysis Report
IM-	24.	The Contractor shall analyze the current CDI applications that will be interfaced to the proposed solution and shall define the strategy for interfacing the systems. The systems to be interfaced to the proposed solution are: -CDI's In-house Oracle database -Cosmos/Sircon -eCounsel -OASIS -SERFF -Accounting's Remittance Processor Note: These are the anticipated interfaces/data exchanges for Phase 1. Other interfaces may be identified during the process analysis. The CDI will determine, as part of the prioritization review, which other systems will require interfaces based on the processes selected. The effort to build	Mandatory	CD-12: Business Process Analysis Report

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		these other interfaces will be included in the hours estimated for eForms and workflow effort for each phase.		
IM-	25.	The Contractor shall perform a gap analysis that compares the actual functional needs (based on the requirements and business process analysis) with the functions and features provided by the proposed solution.	Mandatory	CD-13: Gap Analysis Report
IM-	26.	The Contractor shall document the results of the requirements validation and decomposition in the System Requirements Specification, along with any additional derived requirements identified during the analysis.	Mandatory	CD-14: System Requirements Specification
IM-	27.	The Contractor shall establish and maintain requirements traceability from the IFB, Appendix E, Section E.1.1 and E.1.2 requirements to the System Requirements Specification, Detailed Design Document, and System Test Plan/Scripts.	Mandatory	CD-14: System Requirements Specification
IM-	28.	The Contractor shall establish traceability to the lowest possible element (i.e., to the specific product module and feature, workflow, eForm, or custom source code module, as appropriate).	Mandatory	CD-14: System Requirements Specification
IM-	29.	The Contractor shall analyze and document the business processes and workflows associated with the internal and external eForms and workflows identified by the CDI Note: This is the detailed analysis of the specific processes, forms and workflows that were selected by the CDI based on the prioritization.	Mandatory	CD-18: Detailed Business Process Documentation

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
Phase 1 System Design Services The Contractor shall design the repository(s), profile(s), eForms, and workflows for the system based on the approved System Requirements Specification (SRS). Although the SRS addresses all three (3) phases of the project, the focus of the Phase 1 design effort is establishing the repository(s), implementing a fixed number of internal eForms and workflows, and enabling the CDI users to store, edit and access documents in the repository.				
IM-	30.	The Contractor shall analyze the current technical environment and define the specific architecture and design of the system environments (i.e., development, test, production and the hot-site) based on the proposed solution submitted in the Contractor's Bid.	Mandatory	CD-15: System Architecture Design Document
IM-	31.	The Contractor must design the document repository(s) and repository profiles based on the System Requirements Specification.	Mandatory	CD-17: Detailed Design Document
IM-	32.	The Contractor must design reports to allow the CDI to manage the contents of the repository, including 1- User account reports (active, inactive, usage) 2- Repository size report (available space, space used) 3- Document access report (users viewed, updated, printed, exported a specific document for a defined period) 4- Retention report (docs approaching retention in defined period)	Mandatory	CD-17: Detailed Design Document
IM-	33.	The Contractor must provide 900 hours of design, configuration, development, and implementation services to convert CDI's forms, reports and processes to electronic eForms and workflows during Phase 1. Note: These hours will be used to convert/redesign the forms, reports, and processes identified in the Business Process	Mandatory	CD-17: Detailed Design Document

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		Analysis Report based on the priorities approved by the CDI. These hours are inclusive of the work required to design and implement the five processes and forms identified in requirement #IM-34.		
IM-	34.	The Contractor must design and implement the necessary eForms, reports, and business process workflows to streamline the CDI-selected processes and take advantage of electronic methods. The first five (5) processes are listed below: 1- Attendance Requests 2- Personnel Requests 3- Travel Request 4- Requests for Program Area Services -ITD 5- Premium Tax Return Process	Mandatory	CD-17: Detailed Design Document
IM-	35.	The Contractor shall conduct a detailed analysis and process review of the identified forms, reports, and business processes to identify the normal case, typical errors and exceptions, and special handling cases, including those cases requiring management approval or intervention.	Mandatory	CD-17: Detailed Design Document
IM-	36.	The Contractor shall design workload and performance tracking reports that support the selected processes/redesigned workflows to allow CDI leads and management to monitor and track such things as: 1- Number of documents received for a time period 2- Average time for the workflow complete (end to end) 3- Number of workflows initiated 4- Record of approvals for a specific workflow	Mandatory	CD-17: Detailed Design Document

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		Note: The reports necessary will depend on the processes selected for implementation.		
IM-	37.	The Contractor shall design the process to capture data from the eForm and/or workflow for use by existing CDI systems and Oracle databases. Note: Data capture may not be needed for all forms and business processes. When the CDI prioritizes and selects the specific forms, reports, and workflows (based on the Business Process Analysis Report) to be converted/designed, the CDI will identify which processes require data capture.	Mandatory	CD-17: Detailed Design Document
IM-	38.	The Contractor shall design the necessary interfaces and/or data exchanges to route the data captured from the eForms and/or workflows to the appropriate CDI interfaces. Note: Data capture may not be needed for all forms and business processes. The CDI will work with the Contractor to determine the interface method and interface specification. The CDI will be responsible for modifying the existing systems, if necessary, to accommodate the interface/import.	Mandatory	CD-16: Interface Requirements Specification
IM-	39.	The Contractor shall design the interface to the CDI's in-house Oracle DB to obtain data necessary to populate pulldown menus and selection lists for the document profile and workflow functions.	Mandatory	CD-16: Interface Requirements Specification
IM-	40.	The Contractor shall design the interface to the Cosmos/Sircon system to allow documents received by Cosmos/Sircon to be stored and accessed in the repository from within Cosmos/Sircon.	Mandatory	CD-16: Interface Requirements Specification
IM-	41.	The Contractor shall design the interface to eCounsel to allow documents to be stored in the repository and to be	Mandatory	CD-16: Interface Requirements Specification

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		accessed from and associated to the legal cases and matters contained in eCounsel.		
IM-	42.	The Contractor shall design the interface/import from OASIS to allow documents to be stored in the repository and to be accessed from and associated to items in OASIS.	Mandatory	CD-16: Interface Requirements Specification
IM-	43.	The Contractor shall design the interface/import from an Oracle DB to allow California SERFF documents to be stored in the repository and to be accessed by internal users and members of the public.	Mandatory	CD-16: Interface Requirements Specification
IM-	44.	The Contractor shall design the interface/import from Accounting's remittance processor to allow check images to be stored and accessed in the repository.	Mandatory	CD-16: Interface Requirements Specification
IM-	45.	The Contractor shall conduct design walkthroughs of the system design and documentation (including interfaces and reports) with CDI business and technical staff. Design documentation includes the items described in Section E.1.3.2, #CD-15 thru CD-17.	Mandatory	n/a
IM-	46.	The design walkthroughs shall include a discussion of the following architecture items (at a minimum): 1- System Architecture Overview 2- Application Architecture 3- Database Architecture 4- Interface Approach 5- System Security and User Security 6- Design Rationale 7- Design Considerations and Tradeoffs 8- Key Data Structures (e.g., profiles)	Mandatory	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		9- Approach to Error Handling 10- Reporting Features		
IM-	47.	The design walkthroughs shall include a discussion of the following eForm and workflow process items (at a minimum): 1- eForm Architecture and Creation 2- Workflow Architecture and Creation 3- Database Impacts or Consideration 4- Data Security and User Security 5- Design Rationale 6- Design Considerations and Tradeoffs 7- Key Data Structures (e.g., profiles) 8- Approach to Error Handling 9- Reporting Features 10- Design of the specific eForms and Workflows	Mandatory	n/a
IM-	48.	The Contractor shall conduct a minimum of 40 hours knowledge transfer (for up to 10 CDI IT technical staff) as part of design walkthroughs prior to system testing.	Mandatory	n/a
Installation and Configuration/Development of the System The Contractor is responsible for installing and implementing the system architecture and design that was approved in the System Architecture Design and Detailed Design Documents. The following requirements apply to all three (3) phases.				
IM-	49.	The Contractor must install and configure the hardware and COTS software, including third-party software, for all the system environments (i.e., development, test, production).	Mandatory	CD-39: COTS Software Packages
IM-	50.	The Contractor shall be responsible for managing, applying patches and upgrades, and maintaining all system	Mandatory	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		environments until the system is accepted by the CDI for each phase. Note: Hardware will be delivered and installed as needed based on the phase (i.e., scanners will not be delivered during Phase 1). Refer to Section V.3.8.4 regarding acceptance of the hardware.		
IM-	51.	The Contractor must configure and customize the document repository(s) and profile(s) as defined in the Detailed Design Document.	Mandatory	CD-39: COTS Software Packages
IM-	52.	The Contractor must configure, develop, and implement the eForms as defined in the Detailed Design Document for the phase.	Mandatory	CD-39: COTS Software Packages
IM-	53.	The Contractor must configure, develop, and implement the reports as defined in the Detailed Design Document for the phase.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	54.	The Contractor must configure develop, and implement the business process workflows as defined in the Detailed Design Document for the phase.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	55.	The Contractor must configure, develop, and implement the interfaces to the CDI's existing systems as defined in the Detailed Design Document and the Interface Requirements Specification for this phase.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	56.	If custom development is required, the Contractor shall submit to the CDI for approval the proposed coding standards the Contractor will use to develop the custom code.	Mandatory	CD-48: Coding Standards
IM-	57.	The Contractor shall obtain CDI approval of the coding standards prior to beginning code development.	Mandatory	CD-48: Coding Standards

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	58.	Any custom developed code must adhere to the CDI-approved coding standards.	Mandatory	CD-48: Custom Developed Software Code
IM-	59.	The Contractor shall conduct code/configuration walkthroughs for all system components (including interfaces and reports) with CDI technical staff to discuss the structure of the code, interaction of different modules, configuration parameters, the data and control flows, and error handling.	Mandatory	n/a
IM-	60.	The code walkthroughs must include a discussion of the following items (at a minimum): 1- Module Naming Conventions 2- Structure of the Code 3- Data and Control Flows 4- Error Handling Routines 5- Specific Code / Configuration Details 6- Code Development and Management Tools Used 7- Product Configuration Tools Used	Mandatory	n/a
IM-	61.	The Contractor shall conduct a minimum of 60 hours knowledge transfer (for up to 10 CDI IT technical staff) via code walkthroughs with CDI IT staff.	Mandatory	n/a
IM-	62.	The Contractor shall perform software security reviews at key milestones in the development lifecycle to verify compliance with CDI' security requirements. Key milestones include, at a minimum, the following: 1- Prior to approval of the Detailed Design Document 2- During or in conjunction with code walkthroughs 3- As part of system testing	Mandatory	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		4- As part of user acceptance testing 5 -As part of the pilot		
IM-	63.	The Contractor shall fix any security issues arising from the source code analysis and security reviews.	Mandatory	n/a
IM-	64.	The Contractor shall develop backup and recovery procedures for the system that are compatible with the CDI's existing backup and recovery processes.	Mandatory	CD-59: Backup and Recovery Procedures
Data Conversion During Phase 1, the Contractor shall develop the strategy for data conversion. Based on the analysis and recommendations, the Contractor and the CDI will determine the schedule for data conversion (i.e., some data conversion may occur in all phases, depending on business need and effort). At a minimum, the Phase 1 data conversion effort will address files and data currently stored on the network share drives. Note: Conversion of the CDI's historical paper files is out of scope for this project.				
IM-	65.	The Contractor shall analyze the current CDI document management systems and shall develop a data conversion plan for converting the data and profile information to the new system. The current CDI document management systems are: 1- Producer Licensing Bureau's Scan HQ 2- Legal Division's Open Text/Hummingbird DM 3- Licensing Background Bureau's Open Text/Hummingbird DM (an extension of Legal's DM) 4- Market Conduct Branch's Open Text/Hummingbird DM 5- Rate Regulation Branch's ParaDocs Note: Information on these systems may be found in the Bidders' Library.	Mandatory	CD-19: Data Conversion Plan
IM-	66.	The Contractor shall analyze the current share drive	Mandatory	CD-19:Data Conversion Plan

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		repositories and Oracle databases (which contain CLOBS), and develop recommendations and strategies for migrating CDI-designated data to the new system. Note: This analysis should focus on strategies and methods for migration and conversion, not the types of data or specific files to be moved. The CDI program areas will determine which files must be converted based on business need. The Contractor is not responsible for converting or migrating the files on the share drives.		
IM-	67.	The Contractor must convert and load the legacy documents and associated profiles (for the systems described in #IM-65) to the new repository format and profile structure.	Mandatory	n/a
IM-	68.	The Contractor shall test the data load processes in the test environment prior to loading the converted data to the production environment.	Mandatory	n/a
IM-	69.	The Contractor shall perform as many conversion runs/tests as necessary until the data is successful converted and loaded to the new database structures.	Mandatory	n/a
IM-	70.	The Contractor and the CDI shall work together to analyze and resolve any conversion load failures.	Mandatory	n/a
IM-	71.	The Contractor and the CDI shall work together to validate that the converted data has been correctly loaded to the production environment.	Mandatory	n/a
IM-	72.	The Contractor shall provide to the CDI a listing of all errors encountered during the final converted data load and a report of the data load results.	Mandatory	CD-20:Data Conversion Results Report

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
Training - General The Contractor shall be responsible for developing the training plan and materials. The Contractor shall provide a minimum number of hands-on training sessions. The CDI shall have the option of procuring additional training sessions from the Contractor or using the Contractor-provided materials to provide additional training. The Contractor may use the CDI's existing training facilities (which are equipped with computers) or may propose use of its own facilities, whichever is most cost effective. The CDI facilities can accommodate 18 persons per training session at the Sacramento location, 12 persons per session at the Los Angeles location, and 8 persons per session at the San Francisco location. The following requirements apply to all three (3) phases.				
IM-	73.	The Contractor must develop and deliver a Training Plan that describes the specific approach for delivering end user and technical training for the phase.	Mandatory	Training Plan (either CD-27 or CD-28)
IM-	74.	The Contractor must submit the Training Plan and Training Materials for approval prior to beginning training, including the training curriculum, outlines and student materials.	Mandatory	CD-27 or CD-28: Training Plan, CD-31: Training Materials for End Users, and CD-33: Training Materials for System Administrator/Technical Training
IM-	75.	The Contractor shall design end user training courses based on user role and user group (i.e., line staff vs. supervisors vs. managers in a specific business area).	Mandatory	CD-27 or CD-28: Training Plan, CD-31: Training Materials for End Users
IM-	76.	The training provided by the Contractor must include lectures, formal class sessions, hands-on demonstrations and exercises in the system training environment, training materials, and reference materials.	Mandatory	CD-27 or CD-28: Training Plan, CD-31: Training Materials for End Users, and CD-33: Training Materials for System Administrator/Technical Training
IM-	77.	The Contractor shall not commence training until the CDI Project Manager has approved the materials.	Mandatory	n/a
IM-	78.	The training provided by the Contractor must include training evaluations to be completed by the students.	Mandatory	CD-35: Training Evaluations

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	79.	Training Evaluations shall be conducted for each training class.	Mandatory	CD-35: Training Evaluations
IM-	80.	The Contractor and CDI shall develop the training evaluation thresholds as part of developing the Training Plan after contract award.	Mandatory	Training Plan (either CD-27 or CD-28)
IM-	81.	A summary of the results of the evaluations and the detailed evaluation results for each class shall be provided directly to the CDI Project Manager.	Mandatory	CD-35: Training Evaluations
IM-	82.	In the event that training evaluations do not meet designated thresholds, the Contractor shall be required to provide follow-up training to address topics which were not well understood.	Mandatory	CD-31: Updated Training Materials for End Users, and CD-33: Updated Training Materials for System Administrator/Technical Training
IM-	83.	The Contract shall modify or update the appropriate training materials to address topics which were not well understood prior to performing follow-up training.	Mandatory	CD-31: Updated Training Materials for End Users, and CD-33: Updated Training Materials for System Administrator/Technical Training
IM-	84.	The Contractor shall provide 8 hours of additional on-site just-in-time and refresher training at each office during the deployment period for each phase.	Mandatory	CD-31: Training Materials for End Users
IM-	85.	The Contractor shall develop and deliver a User Manual that describes the detailed use of the system from a user perspective.	Mandatory	CD-37: User Manual(s)
IM-	86.	The Contractor has the primary responsibility for managing, loading and maintaining the training environment and the appropriate training data to support all training activities.	Mandatory	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
Direct Delivery Training The Contractor must provide a price for direct delivery training to end users. The CDI will select at time of Contract Award, which method of training (direct delivery or Train-the-Trainer) the Contractor must provide.				
IM-	87.	The Contractor shall be responsible for providing on-site direct delivery training to CDI internal users.	Mandatory	CD-27: Direct Delivery Training Plan
IM-	88.	The Contractor shall conduct training for CDI users who will serve as testers prior to conducting user acceptance testing. The CDI current estimates the following number of testers: -Eighteen (18) in Sacramento -Twelve (12) in Los Angeles -Eight (8) in San Francisco	Mandatory	CD-27: Direct Delivery Training Plan
IM-	89.	The Contractor shall conduct training for CDI users who will participate in the pilot no earlier than fifteen (15) State business days prior to commencing the pilot. The CDI currently estimates the following number of pilot users: -Thirty-six (36) in Sacramento -Twenty-four (24) in Los Angeles -Sixteen (16) in San Francisco	Mandatory	CD-27: Direct Delivery Training Plan
IM-	90.	The Contractor shall conduct a minimum of five (5) State business days of training sessions for CDI users at each main office location with each session being at least four (4) hours in length.	Mandatory	CD-27: Direct Delivery Training Plan
IM-	91.	The Contractor shall conduct a minimum of one (1) day of training sessions for CDI users at each satellite office location, with each session being at least four (4) hours in length.	Mandatory	CD-27: Direct Delivery Training Plan

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
Train-the-Trainer Training The Contractor must provide a price for Train-the-Trainer training. The CDI will select at time of Contract Award, which method of training (direct delivery or Train-the-Trainer) the Contractor must provide.				
IM-	92.	The Contractor must conduct Train-the-Trainer training for CDI Trainers on the use of the system, business processes, and how to train end users on the PWP which shall be at a minimum four (4) hours in length. The minimum number of sessions is: -Two (2) sessions with 18 staff in each session in Sacramento -Two (2) sessions with 12 staff in each session in Los Angeles -Two (2) sessions with 8 staff in each session in San Francisco	Mandatory	CD-28: Train-the-Trainer Training Plan, and CD-29: Train-the-Trainer Training Materials
IM-	93.	The Contractor shall provide detailed training to the CDI Trainers on all system functions, modules, and standard reports, as well as providing workflow, and workflow training for the system.	Mandatory	CD-28: Train-the-Trainer Training Plan, and CD-29: Train-the-Trainer Training Materials
IM-	94.	The Train-the-Trainer training shall include concepts for training adult learners and tailoring the training to specific the user group and skill level of each end user class (i.e., tips for the CDI trainers to use when delivering end users).	Mandatory	CD-30: Instructor Manual for End User Training
IM-	95.	The Contractor shall design and develop the End User Training strategy and materials that will be used by the CDI Trainers.	Mandatory	CD-30: Instructor Manual for End User Training

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
Computer-Based Training (CBT) The Contractor must provide a computer-based training tool/module describing how to use the new system. The CBT will be used to supplement and refresh end users on the use of the system, and for training new hires after the system has been deployed.				
IM-	96.	The Contractor shall develop Computer-Based Training (CBT) for CDI internal users that will be used as refresher training and for training new staff that arrive after the system has been deployed.	Mandatory	CD-32: Computer-based Training for End Users
IM-	97.	The CBT shall be designed to be accessed via the CDI intranet that includes relevant, self-contained exercises.	Mandatory	CD-32: Computer-based Training for End Users
IM-	98.	The CBT shall address the same topics that were covered in the end user training materials.	Mandatory	CD-32: Computer-based Training for End Users
IM-	99.	The CBT shall include a pre-test, exercises, and post-test to evaluate the user's comprehension and skills gained from the training.	Mandatory	CD-32: Computer-based Training for End Users
IM-	100.	The results from the post-tests for the CBT shall be transmitted to the user's supervisor.	Mandatory	CD-32: Computer-based Training for End Users
IM-	101.	The Contractor shall train the CDI technical staff on the maintenance and modification of the CBT tool/modules.	Mandatory	CD-32: Computer-based Training for End Users
System Administrator and Technical Training The Contractor must provide technical training to the CDI technical staff to allow the CDI staff to operate and maintain the system.				
IM-	102.	The Contractor shall provide 24 hours (total for all phases) hours of system administrator / technical classroom training on the following architecture topics: 1- Hardware and software components 2- System architecture 3- Network design	Mandatory	CD-33: Training Materials for System Administrator/Technical Training

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		4- Activities needed to operate and maintain the system 5- Management and operation of the system interfaces 6- System security 7- System monitoring and troubleshooting 8- System administration and monitoring tools 9- System documentation Note: This training will be conducted at the Sacramento location and be attended by up to eighteen (18) staff.		
IM-	103.	The Contractor shall provide 24 hours (total for all phases) hours of system administrator / technical classroom training on the following database topics: 1- Database design 2- Entities / relationships 3- Views 4- Database rules 5- Database monitoring and troubleshooting 6- Database documentation 7- Database tools 8- Modifying document profiles 9- System parameters 10- Scanning and forms design considerations and implementation Note: This training will be conducted at the Sacramento location and be attended by up to eighteen (18) staff.	Mandatory	CD-33: Training Materials for System Administrator/Technical Training
IM-	104.	The Contractor shall provide 24 hours (total for all phases) of	Mandatory	CD-33: Training Materials for System

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		system administrator / technical classroom training on the following application architecture topics: 1- Application design 2- Application components 3- Standards used 4- eForm creation, testing and management 5 – Workflow creation, testing and management 6- Application interfaces and integration (e.g., MS Office integration) 7- Troubleshooting 8- Documentation provided 9- Application development tools 10- Scanning and forms design considerations and implementation Note: This training will be conducted at the Sacramento location and be attended by up to eighteen (18) staff.		Administrator/Technical Training
IM-	105.	The Contractor shall provide a minimum of four (4) hours of technical classroom training for up to three (3) key business staff and super users at each location where a workflow and/or eForm was implemented on the following topics: 1- eForm creation, testing and management 2 – Workflow creation, testing and management 3- Application interfaces and integration (e.g., MS Office integration) 4- Troubleshooting 5- Documentation provided	Mandatory	CD-33: Training Materials for System Administrator/Technical Training

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		Note: This training is meant to allow business users to create and maintain eForms and workflows that are specific to their business area. This training is only required for those offices that have implemented eForms and workflows. If an office location is only using the repository for storage, and not using eForms and workflows (that are specific to their business function), this training is not required for that location.		
IM-	106.	The Contractor shall provide 24 hours (total for all phases) of technical classroom training on the following help desk/super user topics: 1- Management of user accounts 2- Management of user access privileges 3- Document check-in/check-out problems and lockouts 4- Advanced searching features and techniques 5- General troubleshooting 6- Workflow monitoring and re-routing 7- eForms troubleshooting 8- Scanner and scanning software troubleshooting 9- Scanning equipment maintenance and debugging Note: This training will be conducted at the Sacramento location and be attended by up to eighteen (18) staff.	Mandatory	CD-33: Training Materials for System Administrator/Technical Training
IM-	107.	If third-party COTS tools are required for operation of the system (e.g., third-party document manipulation or comparison tools), the Contractor shall include these products in the technical training curricula.	Mandatory	CD-33: Training Materials for System Administrator/Technical Training

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	108.	The Contractor shall develop and deliver a System Administration Manual that describes the system administration features of the system.	Mandatory	CD-38: System Administration Manual
Testing Services The following requirements describe the testing services that must be performed for the PWP. The CDI and / or the IV&V may witness any or all of the testing efforts. Refer to Appendix D, Glossary, for a definition of each type of testing. These requirements apply to all three (3) phases.				
IM-	109.	The Contractor is responsible for conducting unit, integration, system, performance, regression, user acceptance and pilot testing.	Mandatory	n/a
IM-	110.	The Contractor has the primary responsibility for managing, loading and maintaining the test environment and the appropriate test data to support all test activities.	Mandatory	n/a
IM-	111.	The Contractor shall develop all test documentation and data for each test phase. Note: The CDI will assist with test data design and development to ensure the data is realistic, however the Contractor has the primary responsibility for collecting and managing the test data.	Mandatory	CD-21: Test Plans CD-22: -Test Scripts CD-23: -Test Data CD-24: -Test Results Report
IM-	112.	The Contractor shall document the results of each test as compared to the expected test results for each test phase.	Mandatory	CD-24: Test Results Report
IM-	113.	The Contractor shall log, analyze, track and resolve all system defects and anomalies identified during the testing phases.	Mandatory	n/a
IM-	114.	The Contractor shall report the status and resolution of system defects in the weekly status reports during the system, performance, regression, user acceptance and pilot test	Mandatory	CD-7: Weekly Status Reports

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		phases.		
IM-	115.	The Contractor shall provide CDI technical staff access to the defect tracking tool to allow CDI staff to enter updates and query on the status of the defect analysis and resolution.	Mandatory	n/a
IM-	116.	The Contractor must implement changes to correct anomalies and defects found as a result of performance, user acceptance and pilot testing on-site at the CDI facilities to allow for knowledge transfer to CDI technical staff.	Mandatory	n/a
IM-	117.	The Contractor shall execute tests for common security flaws (such as SQL injection) as part of the system test phase.	Mandatory	CD-22: Test Scripts
IM-	118.	After the completion of each test phase, the Contractor shall develop and deliver a Test Results Report summarizing the results of the test activities.	Mandatory	CD-24: Test Results Report
IM-	119.	After correction of any defects and anomalies from a test phase, the Contractor shall perform regression tests to verify the corrections did not have any unintended consequences or introduce any new errors.	Mandatory	CD-21: Test Plan, and CD-22: Test Scripts
IM-	120.	The Contractor must conduct unit and integration testing to verify the correct function of the repository(s), profile(s), eForms, workflows and any custom developed code.	Mandatory	CD-21: Test Plan
IM-	121.	The Contractor must conduct system testing to verify the correct operation of the repository, profiles, eForms and workflows and compliance with the System Requirements Specification.	Mandatory	CD-21: Test Plan
IM-	122.	The Contractor must test the performance requirements in an environment that simulates the production environment configuration.	Mandatory	CD-21: Test Plan

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	123.	The Contractor shall work with the CDI to test the backup and recovery procedures for the system after the completion of system test and prior to or as part of the user acceptance test.	Mandatory	CD-59: Backup and Recovery Procedures
IM-	124.	The Contractor must participate in a test of the system's ADA compliance, with particular emphasis placed on testing the solution's web portal. The CDI will test compliance of the system using the following: 1-HiSoftware ACCRepair and Compliance Sheriff 2-JAWS Screen Reader 3-Magic Screen Magnifier 4-Color Contrast Ratio Analyzer 5-Colorblind Check 6-Adobe PDF Accessibility Checker	Mandatory	CD-22: Test Scripts
IM-	125.	The Contractor shall assist the CDI during user acceptance testing, as requested, including setting the environment, providing sample test scripts, and analyzing bugs and anomalies found during user acceptance testing. The CDI shall be responsible for executing the User Acceptance Test for each phase. The User Acceptance Test shall focus on obtaining final user feedback related to the usability, process flow and "look and feel" of the new functions, including conformance to State web standards. Note: CDI Subject Matter Experts will participate in the requirements and design sessions, and will observe and review some testing activities. The UAT is intended as the final check and verification before the system is piloted.	Mandatory	n/a
IM-	126.	The CDI and the Contractor shall jointly track and analyze	Mandatory	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		any errors and anomalies found during user acceptance test.		
System Pilot The following describes the requirements for conducting the system pilot for each phase. These requirements apply to all three (3) phases.				
IM-	127.	After the completion of user acceptance test and correction of any defects, the Contractor shall conduct a pilot test with at least three (3) CDI offices (including at least one (1) satellite office) with a limited number of users to test the system under simulated production conditions.	Mandatory	CD-25: Pilot Evaluation Plan
IM-	128.	The Contractor shall develop and deliver a Pilot Evaluation Plan describing how the pilot will be conducted and monitored, and the criteria for evaluating the success or failure of the pilot.	Mandatory	CD-25: Pilot Evaluation Plan
IM-	129.	The pilot shall consist of a series of tests performing actual daily activities and operations under typical operating conditions.	Mandatory	CD-22: Test Scripts
IM-	130.	The pilot for each phase shall be a minimum of five (5) State business days in duration without any “critical” or “major” problems or performance issues. Refer to Appendix D: Glossary for a definition of critical and major.	Mandatory	CD-25: Pilot Evaluation Plan
IM-	131.	In the event of a critical or major problem during the pilot, the test will halt and will restart from the beginning after the necessary corrections have been made and tested through the system test cycle (i.e., unit, integration, system test).	Mandatory	CD-25: Pilot Evaluation Plan
IM-	132.	The Contractor shall prepare the production system for the pilot, including loading the appropriate data and setting up the user accounts.	Mandatory	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	133.	During the pilot, the Contractor shall monitor system performance under typical office conditions.	Mandatory	CD-25: Pilot Evaluation Plan
IM-	134.	During the pilot, the Contractor shall conduct periodic (i.e., daily or every other day) pilot monitoring sessions to discuss user feedback and any problems or anomalies encountered with the system.	Mandatory	CD-25: Pilot Evaluation Plan
IM-	135.	The Contractor shall correct and resolve any defects or anomalies found during the pilot.	Mandatory	n/a
IM-	136.	At the end of the pilot, the Contractor shall conduct a final wrap-up session with the users to discuss final feedback and the action plan for any problems/anomalies.	Mandatory	CD-25: Pilot Evaluation Plan
IM-	137.	After the completion of the pilot, the Contractor shall perform regression testing of the system after resolving any problems, defects and anomalies. The CDI will participate in regression testing to validate all items have been addressed and the system is ready for deployment.	Mandatory	CD-21: Test Plan, and CD-22: Test Scripts
IM-	138.	The Contractor shall update, as necessary, any system documentation which was affected by corrections made during the pilot. For this requirement, system documentation includes the following deliverables: 1- System Requirements Specification 2- System Architecture Design Document 3- Interface Requirements Specification 4- Detailed Business Process Documentation 5- Detailed Design Document	Mandatory	Various

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		6- Training Materials for End Users 7- Computer-Based Training for End Users 8- External User Tutorial and FAQs 9- User Manuals 10- System Administration Manuals 11- Training Materials for System Administrators/Technical Training.		
IM-	139.	The Contractor shall develop and deliver Operational/Disaster Recovery Procedures that describe how to recover the system in the event of a disaster.	Mandatory	CD-60: Operational Recovery/Disaster Recovery Procedures
IM-	140.	The Contractor shall test the Operational/Disaster Recovery Procedures prior to the commencing the deployment.	Mandatory	CD-60: Operational Recovery/Disaster Recovery Procedures
System Deployment The following requirements describe the required deployment activities. These requirements apply to all three (3) phases.				
IM-	141.	The Contractor shall develop an Implementation and Deployment Plan that describes how the users will be transitioned to the new forms and processes.	Mandatory	CD-26: Implementation and Deployment Plan
IM-	142.	The Contractor shall develop a Maintenance and Operations Plan for the system that describes best practices and procedures for managing the system.	Mandatory	CD-61: Maintenance and Operations Plan
IM-	143.	The Contractor shall perform an analysis to define the level of CDI resources and appropriate skill sets that will be needed to maintain the delivered solution, including maintenance of the repository, eForms and workflows. Note: The skill sets must correlate to topics in the Contractor's Training Plan to ensure CDI staff are provided the necessary skills to operate the system.	Mandatory	CD-61: Maintenance and Operations Plan

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	144.	The Contractor shall deploy the system to the users after the successful completion of the pilot and the resolution and regression testing of any system anomalies, problems and defects.	Mandatory	n/a
IM-	145.	The Contractor cannot deploy the system during peak processing periods. The peak processing periods are defined in the Bidders' Library.	Mandatory	n/a
IM-	146.	The Contractor shall refresh the locations that participated in the pilot (i.e., reload the corrected code and re-initialize the database).	Mandatory	n/a
IM-	147.	The Contractor shall deploy the system in a phased approach that implements one (1) main office (and its associated satellite offices) at a time.	Mandatory	n/a
IM-	148.	The Contractor shall collect, log, analyze, track and resolve any defects and anomalies identified during the deployment.	Mandatory	n/a
IM-	149.	Within 30 calendar days after the completion of deployment, the Contractor shall deliver a System Configuration Report that describes the final configuration and system version information that was deployed to the users.	Mandatory	CD-62: System Configuration Report
IM-	150.	The Contractor shall begin transitioning system administration responsibilities to the CDI during the PWP Production Acceptance Period. The PWP Production Acceptance Period begins after successful completion of the deployment (refer to Section V.3.6.2.1).	Mandatory	n/a
IM-	151.	During the PWP Production Acceptance Period, the Contractor must provide a single point of contact for resolution of system issues.	Mandatory	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	152.	The point of contact must be available by telephone and/or email Monday through Friday during the hours of 7:00 a.m. to 5:00 p.m. PST/PDT.	Mandatory	n/a
IM-	153.	During the PWP Production Acceptance Period, the Contractor's point of contact for system issue resolution must respond to critical issues within two (2) hours and to non-critical issues within 24 hours. Refer to Appendix D: Glossary for a definition of critical.	Mandatory	n/a
IM-	154.	The Contractor must track all system issues using an automated issue tracking tool that is accessible by the CDI.	Mandatory	n/a
IM-	155.	The Contractor's issue tracking tool shall facilitate documentation of the following: 1- Issue description 2- Issue priority 3- Issue status (e.g., open, pending, under investigation, resolved) 4- Plan for resolution of the issue 5- Individual responsible for resolution of the issue 6- Target and actual resolution dates 7- Resolution description	Mandatory	n/a
IM-	156.	The Contractor's process for resolving system issues must include escalation procedures and mechanisms for reporting critical issues and overdue issues to the CDI for resolution.	Mandatory	n/a
IM-	157.	During the PWP Production Acceptance Period, the CDI and the Contractor shall work together to log, track, and analyze any system defects and anomalies.	Mandatory	n/a
IM-	158.	The Contractor shall be responsible for correction of all	Mandatory	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		defects and anomalies identified during the PWP Production Acceptance Period, even if the correction period extends past the end of the PWP Production Acceptance Period. The CDI shall assume responsibility for daily operations of the system for the delivered phase when the system is accepted (i.e., the date of the System Acceptance Letter).		
IM-	159.	Once the system has been deployed to the production environment, all changes and corrections must be approved and coordinated through the CDI's Change Control/Configuration Management Process. Note: The CDI's Change Control/Configuration Management Process is available from the Bidders' Library.	Mandatory	n/a
Phase 2 Requirements Analysis Services The following requirements describe the services to be provided as part of designing and developing Phase 2 of the proposed solution for the PWP. CDI staff must be included in the appropriate activities (as described below) to facilitate knowledge transfer. For this phase, the Contractor will analyze and implement additional internal eForms and workflows, and will implement a fixed number of external eForms and workflows. Phase 2 also implements remote access to the system for field users (via VPN) and to allow external users to submit eForms and associated attachments. Upon approval by the CDI, the updated System Requirements Specification shall serve as the basis for system design and configuration/development for this phase.			
IM-	160.	The Contractor shall analyze the CDI's current document submissions received from external entities and associated business process reports to make recommendations for streamlining and combining forms and reports to improve business processes. Note: Document submissions may be received in paper, by fax, on CD, or by email attachment.	Mandatory	CD-14: Updated System Requirements Specification

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	161.	The Contractor shall document the results of the requirements validation and decomposition for Phase 2 in the System Requirements Specification, indicating any modified requirements along with any additional requirements identified during the analysis.	Mandatory	CD-14: Updated System Requirements Specification
IM-	162.	The Contractor shall develop a strategy and priority for developing and deploying eForms and workflows to replace internal and external forms and processes.	Mandatory	CD-18: Detailed Business Process Documentation
IM-	163.	The Contractor shall analyze and document the business processes and workflows associated with the internal and external eForms and workflows identified by the CDI (based on the strategy approved in requirement #IM-23.	Mandatory	CD-18: Detailed Business Process Documentation
IM-	164.	The Contractor shall establish and maintain requirements traceability from the IFB, Appendix E, Section E.1.1 and E.1.2 requirements to the System Requirements Specification, Detailed Design Document, and System Test Plan/Scripts.	Mandatory	CD-14: Updated System Requirements Specification
IM-	165.	The Contractor shall establish traceability to the lowest possible element (i.e., to the specific product module and feature, workflow, eForm, or custom source code module, as appropriate).	Mandatory	CD-14: Updated System Requirements Specification
Phase 2 System Design Services The Contractor shall design selected internal/external eForms, workflows, and external access features based on the approved System Requirements Specification (SRS).				
IM-	166.	The Contractor shall design the approach to external user access to the repository(s) based on CDI's existing infrastructure and the capabilities of the repository.	Mandatory	CD-15: Updated System Architecture Design

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	167.	The Contractor shall design the approach for external users to submit eForms and associated attachments via the Internet.	Mandatory	CD-15: Updated System Architecture Design
IM-	168.	The Contractor shall update the System Architecture Design Document to reflect any architectural changes needed due to the implementation of the external access and web portal features.	Mandatory	CD-15: Updated System Architecture Design
IM-	169.	The Contractor must provide 6,000 hours of design, configuration, development, and implementation services to design and implement the CDI-selected internal and external forms, reports and business process workflows to streamline the process and take advantage of the new electronic methods (i.e., eForms, workflows, and reports). Note: These hours will be used to convert/redesign the forms, reports, and processes identified in the Business Process Analysis Report based on the priorities approved by the CDI in requirement #IM-23.	Mandatory	CD-17: Updated Detailed Design Document
IM-	170.	The Contractor shall conduct a detailed analysis and process review of the selected forms, reports and business processes to identify the normal case, typical errors and exceptions, and special handling cases, including those cases requiring management approval or intervention.	Mandatory	CD-17: Updated Detailed Design Document
IM-	171.	The Contractor shall design the process to capture data from the eForm and/or workflow for use by existing CDI systems and Oracle databases. Note: Data capture may not be needed for all forms and business processes. When the CDI prioritizes and selects the specific forms, reports, and workflows (based on the Business Process Analysis Report) to be converted/designed,	Mandatory	CD-17: Updated Detailed Design Document

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		the CDI will identify which processes require data capture.		
IM-	172.	The Contractor shall design the necessary interfaces and/or exports to route the data captured from the eForms and/or workflows to the appropriate CDI interfaces. Note: Data capture may not be needed for all forms and business processes. The CDI will work with the Contractor to determine the interface method and interface specification. The CDI will be responsible for modifying the existing systems, if necessary, to accommodate the interface/import.	Mandatory	CD-16: Interface Requirements Specification
IM-	173.	The Contractor shall update the Detailed Design Document to reflect the external access, web portal and additional eForms and workflows for Phase 2.	Mandatory	CD-17: Updated Detailed Design Document
IM-	174.	The Contractor shall design the interfaces and methods for posting documents to the CDI website. Note: This may include interfacing to CommonSpot and/or implementing the repository's web portal features.	Mandatory	CD-16: Updated Interface Requirements Specification
IM-	175.	The design of the eForms and workflows must integrate with the design of the repository(s) established in Phase 1.	Mandatory	n/a
IM-	176.	The Contractor shall conduct design walkthroughs of the system design and documentation (including interfaces and reports) with CDI business and technical staff. Design documentation includes the items described in Section E.1.3.2, #CD-15 thru CD-17.	Mandatory	n/a
IM-	177.	The design walkthroughs shall include a discussion of the following items (at a minimum): 1- External Access Architecture 2- External eForms Submission Overview	Mandatory	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		3- Database Architecture (if changed from Phase 1) 4- System Security and User Security (as it relates to external user submissions) 5- Design Rationale 6- Design Considerations and Tradeoffs 7- Key Data Structures (e.g., profiles) 8- Approach to Error Handling 9- Reporting Features 10- Design of the eForms and Workflows		
IM-	178.	The design walkthroughs shall include a discussion of the following eForm and workflow process items (at a minimum): 1- eForm Architecture and Creation 2- Workflow Architecture and Creation 3- Database Impacts or Consideration 4- Data Security and User Security 5- Design Rationale 6- Design Considerations and Tradeoffs 7- Key Data Structures (e.g., profiles) 8- Approach to Error Handling 9- Reporting Features 10- Design of the specific eForms and Workflows	Mandatory	n/a
IM-	179.	The Contractor shall conduct a minimum of 40 hours knowledge transfer (for up to 10 CDI IT technical staff) as part of design walkthroughs prior to system testing.	Mandatory	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
Phase 2 Installation and Configuration/Development of the System The Contractor is responsible for configuring and implementing the eForms, workflows and external access features that were approved in the Phase 2 System Architecture Design and Detailed Design Documents. These requirements are specific to Phase 2 and are in addition to the general requirements described above in requirements #IM-1 to IM-159.				
IM-	180.	The Contractor must configure and customize the system to allow for external access by CDI users.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	181.	The Contractor shall configure and customize the system to allow external users to submit eForms and associated attachments (as applicable to the eForm).	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	182.	The Contractor shall develop a tutorial and Frequently Asked Questions (FAQs) for external users explaining the use of the new processes and eForms. Note: The tutorial and FAQs will be placed on the web portal and/or CDI website to serve as training for the external users.	Mandatory	CD-36: External User Tutorial and FAQs
IM-	183.	The Contractor must configure, develop, and implement the eForms as defined in the Detailed Design Document for the phase.	Mandatory	CD-39: COTS Software Packages
IM-	184.	The Contractor must configure, develop, and implement the reports as defined in the Detailed Design Document for the phase.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	185.	The Contractor must configure develop, and implement the business process workflows as defined in the Detailed Design Document for the phase.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	186.	The Contractor must configure, develop, and implement the interfaces to the CDI's existing systems as defined in the Detailed Design Document and the Interface Requirements Specification for this phase.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
Phase 3 Requirements Analysis Services The following requirements describe the services to be provided as part of designing and developing Phase 3 of the proposed solution for the PWP. CDI staff must be included in the appropriate activities (as described below) to facilitate knowledge transfer. For this phase, the Contractor will analyze and implement scanning centers and data capture for select forms and documents. Upon approval by the CDI, the updated System Requirements Specification shall serve as the basis for system design and configuration/development for this phase.				
IM-	187.	The Contractor shall conduct a site survey of the three (3) main offices and West Sacramento warehouse.	Mandatory	CD-10: Site Preparation and Installation Plan
IM-	188.	The Contractor shall analyze the CDI's infrastructure and validate the facility specifications for the scanning centers at each of the three (3) main offices and West Sacramento warehouse.	Mandatory	CD-10: Site Preparation and Installation Plan
IM-	189.	The Contractor shall develop a Site Preparation and Installation Plan that addresses the preparation of the three (3) main offices and West Sacramento warehouse.	Mandatory	CD-10: Site Preparation and Installation Plan
IM-	190.	The Contractor shall define the standards for scanner configuration and use.	Mandatory	CD-14: Updated System Requirements Specification
IM-	191.	The Contractor shall analyze the CDI's incoming mail and develop a strategy to scan the incoming paper and route it electronically to the appropriate bureau.	Mandatory	CD-14: Updated System Requirements Specification, and CD-18: Detailed Business Process Documentation
IM-	192.	The Contractor shall analyze and develop the requirements for implementing OCR of certain types of image documents, as identified by the CDI.	Mandatory	CD-14: Updated System Requirements Specification
IM-	193.	The Contractor shall develop a strategy and priority for developing and deploying remaining eForms and workflows to replace internal and external forms and processes.	Mandatory	CD-18: Detailed Business Process Documentation

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
IM-	194.	The Contractor shall analyze and document the business processes and workflows associated with the internal and external eForms and workflows identified by the CDI (based on the strategy approved in requirement #IM-23).	Mandatory	CD-18: Detailed Business Process Documentation
IM-	195.	The Contractor shall analyze and document the business processes and workflows associated with the scanning of the incoming mail identified by the CDI (based on the strategy approved in requirement #IM-23).	Mandatory	CD-18: Detailed Business Process Documentation
IM-	196.	The Contractor shall perform an analysis to define the level of CDI resources and appropriate skill sets that will be needed to operate and maintain the delivered scanning solution.	Mandatory	CD-61: Updated Maintenance and Operations Plan
IM-	197.	The Contractor shall document the results of the requirements validation and decomposition for Phase 3 in the System Requirements Specification, indicating any modified requirements along with any additional requirements identified during the analysis.	Mandatory	CD-14: Updated System Requirements Specification
IM-	198.	The Contractor shall establish and maintain requirements traceability from the IFB, Appendix E, Section E.1.1 and E.1.2 requirements to the System Requirements Specification, Detailed Design Document, and System Test Plan/Scripts.	Mandatory	CD-14: Updated System Requirements Specification
IM-	199.	The Contractor shall establish traceability to the lowest possible element (i.e., to the specific product module and feature, workflow, eForm, or custom source code module, as appropriate).	Mandatory	CD-14: Updated System Requirements Specification

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
Phase 3 System Design Services The Contractor shall design the scanning centers, scanning solution and selected internal/external eForms and workflows based on the approved System Requirements Specification.				
IM-	200.	The Contractor shall update the System Architecture Design Document to reflect any architectural changes needed due to the implementation of the scanning centers.	Mandatory	CD-15: Updated System Architecture Design Document
IM-	201.	The Contractor shall update the Detailed Design Document to reflect the scanning centers, and additional eForms and workflows for Phase 3.	Mandatory	CD-17: Updated Detailed Design Document
IM-	202.	The Contractor shall design the business processes and workflows associated with the scanning of the incoming mail, including any data capture, profiling, and routing features.	Mandatory	CD-17: Updated Detailed Design Document
IM-	203.	The Contractor shall design the process to route scanned mail to appropriate bureaus to perform the profiling function (i.e., profiling to be performed by staff other than the scanning operators).	Mandatory	CD-17: Updated Detailed Design Document
IM-	204.	The Contractor shall develop and design a method and process (i.e., installing and configuring the appropriate tools, and implementing the necessary workflows or configuration settings) for implementing OCR of certain types of image/PDF documents, as identified by the CDI. Note: That is conversion of an image or PDF documents to allow for full-text searching.	Mandatory	CD-17: Updated Detailed Design Document
IM-	205.	The Contractor must provide 4,000 hours of design, configuration, development, and implementation services to design and implement the CDI-selected internal and external	Mandatory	CD-17: Updated Detailed Design Document

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		forms, reports and business process workflows to streamline the process and take advantage of the new electronic methods (i.e., eForms, workflows, and reports). Note: These hours will be used to convert/redesign the forms, reports, and processes identified in the Business Process Analysis Report based on the priorities approved by the CDI. These hours do not include the effort to implement requirements #IM-202 through IM-204.		
IM-	206.	The Contractor shall conduct a detailed analysis and process review of the selected forms, reports and business processes to identify the normal case, typical errors and exceptions, and special handling cases, including those cases requiring management approval or intervention.	Mandatory	CD-17: Updated Detailed Design Document
IM-	207.	The Contractor shall design the process to capture data from the eForm and/or workflow for use by existing CDI systems and Oracle databases. Note: Data capture may not be needed for all forms and business processes. When the CDI prioritizes and selects the specific forms, reports, and workflows (based on the Business Process Analysis Report) to be converted/designed, the CDI will identify which processes require data capture.	Mandatory	CD-17: Updated Detailed Design Document
IM-	208.	The Contractor shall design the necessary interfaces and/or exports to route the data captured from the eForms and/or workflows to the appropriate CDI interfaces. Note: Data capture may not be needed for all forms and business processes. The CDI will work with the Contractor to determine the interface method and interface specification. The CDI will be responsible for modifying the existing	Mandatory	CD-16: Interface Requirements Specification

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		systems, if necessary, to accommodate the interface/import.		
IM-	209.	The design of the eForms and workflows must integrate with the design of the repository(s) established in Phase 1.	Mandatory	n/a
IM-	210.	The Contractor shall conduct design walkthroughs of the system design and documentation (including interfaces and reports) with CDI business and technical staff. Design documentation includes the items described in Section E.1.3.2, #CD-15 thru CD-17.	Mandatory	n/a
IM-	211.	The design of the eForms and workflows must integrate with the design of the repository(s) established in Phase 1.	Mandatory	n/a
IM-	212.	The design walkthroughs shall include a discussion of the following items (at a minimum): 1- Scanning Center Architecture 2- Scanner and Data Capture Software Overview 3- Database Architecture (if changed from Phase 1) 4- System Security and User Security (as it relates to scanning) 5- Design Rationale 6- Design Considerations and Tradeoffs 7- Key Data Structures (e.g., profiles) 8- Approach to Error Handling 9- Reporting Features 10- Design of the Documents/Images and Workflows (associated with scanning)	Mandatory	n/a
IM-	213.	The design walkthroughs shall include a discussion of the following eForm and workflow process items (at a minimum):	Mandatory	n/a

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		1- eForm Architecture and Creation 2- Workflow Architecture and Creation 3- Database Impacts or Consideration 4- Data Security and User Security 5- Design Rationale 6- Design Considerations and Tradeoffs 7- Key Data Structures (e.g., profiles) 8- Approach to Error Handling 9- Reporting Features 10- Design of the specific eForms and Workflows		
IM-	214.	The Contractor shall conduct a minimum of 40 hours knowledge transfer (for up to 10 CDI IT technical staff) as part of design walkthroughs prior to system testing.	Mandatory	n/a
Phase 3 Installation and Configuration/Development of the System The Contractor is responsible for installing and implementing the scanning centers, eForms, and workflows that were approved in the System Architecture Design and Detailed Design Documents. These requirements are specific to Phase 3 and are in addition to the general requirements described above in requirements #IM-1 to IM-159.				
IM-	215.	The Contractor must configure and customize the system to allow for scanning of incoming mail.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	216.	The Contractor shall configure and customize the system to allow for image quality checks of incoming mail.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	217.	The Contractor shall implement data capture for specific CDI-identified forms and document/images.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	218.	The Contractor shall implement OCR of certain types of image and PDF documents, as identified by the CDI. Note: That is conversion of an image or PDF documents to	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		allow for full-text searching.		
IM-	219.	The Contractor must configure, develop, and implement the eForms as defined in the Detailed Design Document for the phase.	Mandatory	CD-39: COTS Software Packages
IM-	220.	The Contractor must configure, develop, and implement the reports as defined in the Detailed Design Document for the phase.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	221.	The Contractor must configure develop, and implement the business process workflows as defined in the Detailed Design Document for the phase.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	222.	The Contractor must configure, develop, and implement the interfaces to the CDI's existing systems as defined in the Detailed Design Document and the Interface Requirements Specification for this phase.	Mandatory	CD-39: COTS Software Packages, and/or CD-45: Custom Developed Software Code
IM-	223.	The Contractor shall train the scanning operators at each main office on the following topics: 1- Scanner features and usage 2- Scanning process (batching, separator sheets, etc. as applicable) 3- Image quality checks 4- Rescan features and process 5- Data capture process and features, including OCR 6- Profiling at the scanning station 7- Profiling at the bureau level (i.e., how to route for bureau profiling 8- Scanner maintenance and troubleshooting 9- Identifying duplicates (searching and comparison of	Mandatory	CD-34: Training Materials for Scanning Operator Training

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.1 – MANDATORY CONFIGURATION AND IMPLMENTATION SERVICES REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	CORRESPONDING DELIVERABLE
		documents)		

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

E.1.3.2 Mandatory Configuration and Implementation Contract Deliverable Requirements

The following requirements describe the minimum required deliverables for the Configuration and Implementation Contract. Items marked with "(*)" must be submitted as part of the Bidder's Bid.

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
CD-	1.	The Contractor must provide the following minimum deliverables for the phases and frequency noted: 1- Project Management Plan 2- WBS/Project Schedule 3- Weekly Status Reports 4- Executive Committee Status Reports/Presentations 5- Configuration Management Plan 6- Site Preparation and Installation Plan 7- System Development Plan 8- Business Process Analysis Plan/Report 9- Gap Analysis Report 10- System Requirements Specification 11- System Architecture Design Document 12- Interface Requirements Specification 13- Detailed Design Document, including database schema and design 14- Detailed Business Process Documentation 15- Data Conversion Plan 16- Data Conversion Results Report 17- Test Plan for each phase of testing including unit and integration, system, performance, regression, and pilot testing 18- Test Scripts for each phase of testing including unit and integration, system, performance, regression, and pilot testing 19- Test Data for each phase of testing including unit and integration, system, performance,	Mandatory	See below for each specific deliverable

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		regression, and pilot testing 20- Test Results Report for each phase of testing including unit and integration, system, performance, regression, and pilot testing 21- Pilot Evaluation Plan 22- Implementation and Deployment Plan 23- Training Materials for End User Training 24- Computer-Based Training (CBT) for End Users 25- Training Materials for System Administrator/Technical Training 26- Training Materials for Scanning Operator Training 27- Training Evaluations and Training Evaluation Summary Report 28- External User Tutorial and Frequently Asked Questions (FAQs) 29- User Manuals 30- System Administration Manuals 31- COTS Software Packages, including software and licenses 32- COTS Product Manuals and Documentation 33- Custom Developed Software Code and associated Documentation 34- Coding Standards for Custom Developed Software Code 35- Software Development and Configuration Tools (including APIs/SDKs/EAI tools), including software, manufacturer warranties, manuals and licenses. 36- Software Testing Tools, including software, manuals, manufacturer warranties, and licenses 37- Configuration Management/Version Control Tools, including software, manuals, manufacturer warranties, and licenses 38- Third-Party Software Tools required for system operation or maintenance, including software, manuals, manufacturer warranties, and licenses (if proposed) 39- VMWare Software and licenses required for the proposed solution, including the development, test and production environments, and the hot-site		

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		40- Backup and Recovery Procedures for the system 41- Operational Recovery/Disaster Recovery Procedures 42- Maintenance and Operations Plan 43- System Configuration Report A general description of each deliverable is provided in mandatory requirements #CD-2 through CD-63.		
CD-	2.	The Contractor must provide <u>either</u> item 1 or item 2 below, as directed by the CDI: 1- Direct Delivery Training Plan 2- Train-the-Trainer Training Plan, Train-the-Trainer Training Materials, and Training Instructor Manuals for End User Training Note: The CDI will identify which method of training is desired at Contract Award.	Mandatory	n/a
CD-	3.	The Project Management Plan must specify: 1- Project management methodology and approach, including (*) 1a - Scope management, including how scope issues will be resolved (*) 1b- Schedule management, including how status will be quantified and reported, and how schedule delays will be resolved (*) 1c - Resource management, including how resource shortages will be resolved (*) 1d - Escalation process for resolving issues (within the Contractor's team and for presenting issues to the CDI for resolution) (*) 2- Structure of the Contractor's project team, including (*) 2a- Organization charts (*) 2b- Depiction and description of authority and reporting among staff roles (*) 2c- Staff roles and responsibilities (*) 2d- Staff management / communication plan, including (*) 2e- Contractor's management structure and its methods for ensuring adequate oversight	Mandatory	• Phase 1 • Updated in Phase 2 and Phase 3, as needed

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		and executive direction for the contract (*) 2f- Description of how Contractor team will interact and communicate with State personnel (*) 2g- Approach to managing contractor and subcontractor staff (*) 2h - Coordination of staff at multiple, remote locations, including handling of meeting and status (if applicable) (*) 3- Contractor's methodology for installing, configuring, customizing/developing and implementing the proposed solution, including (*) 3a- Description of the System/Software Development Life Cycle (SDLC) to be used (*) 3b- Description of the configuration, customization/development approach (*) 3c - Description of the implementation and deployment approach (*) 4- Mapping of the contract deliverables (in Section E.1.3.2, #CD-1) to the Contractor's methodology (*) 5- Description of the approach to the project 6- Specific risks to the project (in terms of scope, schedule, and resources) and recommended mitigation/contingency plans (*)		
CD-	4.	The WBS/Project Schedule must include: 1- Work breakdown structure (WBS) (*) 2- Detailed tasks by month (*) 3- Task dependencies (*) 4- Task durations (*) 5- Task start and end dates (*) 6- Resource loading 7- Task ownership, including Contractor and CDI tasks (*) 8- Key project milestones (*) 9- Critical path	Mandatory	• Phase 1 • Weekly Updates

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		10- Contract deliverable submission milestones (*) 11- Hardware delivery milestones (*) 12- Payment milestones (*)		
CD-	5.	The WBS/Project Schedule shall contain tasks that are, at a minimum, defined such that the lowest level tasks are no greater than twenty (20) calendar days in duration.	Mandatory	n/a
CD-	6.	The Contractor's WBS/Project Schedule must include CDI review and approval times.	Mandatory	n/a
CD-	7.	The Weekly Status Reports must specify: 1- Tasks completed during the last period 2- Tasks planned for the coming period 3- New issues and status of current issues 4- New risks and status of current risks including mitigation and contingency plans and their status 5- Proposed project or system changes and the status of approved changes 6- New defects and the status of current defect analysis and resolution 7- Updates to the project work plan including actual start dates, actual completion dates, and percentage complete 8- New or modified State resource needs, including amount of CDI resources needed, appropriate skill sets, and when the resources will be needed / completed	Mandatory	• Phase 1 • Weekly Updates
CD-	8.	The Executive Committee Status Reports / Presentations must specify: 1- Current progress against milestones 2- Coordination needs, such as participation from the various branches and bureaus, or external stakeholders 3- Potential risks or opportunities and mitigation / contingency plans 4- Pros / Cons and analyses of key issues Note: These status reports and presentations will be delivered when requested by the CDI.	Mandatory	• As requested
CD-	9.	The Configuration Management Plan must include:	Mandatory	• Phase 1

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		1- Identification of configuration items, including all system environments, hardware, software and software documentation 2- Definition of the process for managing the configuration items 3- Version and release management of configuration items to the development, test and production environments 4- Management of the configuration of the development, test, training and production environments (i.e., how to ensure changes made in the development environment are migrated to the other environments) 5- How proposed changes to the environments, hardware configuration, and software will be proposed and coordinated with CDI 6- How the system will be audited and turned over to the CDI upon Phase 3 system acceptance		• Updated in Phase 2 and Phase 3, as needed
CD-	10.	The Site Preparation and Installation Plan must include: 1- Analysis of facilities at the CDI's three (3) main offices and the West Sacramento warehouse 2- Equipment to be installed at each location 3- Installation needs and dependencies (e.g., power, HVAC, furniture movement) 4- Test to be performed to verify facility readiness 5- Tests to be performed to verify correct equipment operation and configuration 6- Installation schedule 7- Roles and responsibilities for site preparation, for both Contractor and CDI staff	Mandatory	• Phase 3
CD-	11.	The System Development Plan must include: 1- Description of the software development methodology and processes, including 1a- Approach to designing and configuring the repository, eForms, workflows and associated reports 1b- Development standards to be used	Mandatory	• Phase 1 • Updated in Phase 2 and Phase 3, as needed

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		1c- Programming languages to be used (if applicable) 1d- Development, test and support tools to be used 1e- Approach to using and configuring third-party tools and software 1f- Approach to validating and refining the functional requirements 1g- Approach to managing requirements and traceability 1h- Design, code and testing standards 2- Approach to design, code and test walkthroughs / reviews 3- Approach to development and testing of interfaces 4- Approach to designing and validating system security throughout the Software Development Life Cycle (SDLC) 5- Approach to testing and quality assurance for the system 5a- Approach to integration and testing of interfaces and third-party software 5b- Approach to managing defects and anomalies, including how the fixes will be incorporated back into the main code line 6- Approach to delivering and managing the phased approach for the PWP 6a- Approach and sequencing of the phases (i.e., how overlapping phases are addressed, how coordinated with users and stakeholders) 6b- Approach to training for each phase 6c- Approach to the pilot for each phase 6d- Approach to deploying each phase 7- Risks to the phased deployment of the PWP based on the proposed solution and approach		
CD-	12.	The Business Process Analysis Plan/Report must include: 1- Strategy and methodology for conducting the high-level business process analysis, including (*) 1a- Approach to analysis of the processes and forms (*) 1b- Approach to prioritization of the processes and forms (*)	Mandatory	• Phase 1

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		1c- Criteria to be used for prioritization (*) 2- High-level summary of the current processes, including users, customers, purpose, key outputs, volume of transactions, and complexity 3- How the processes will be affected by the new system 4- Recommended priorities for each process Note: This report is the result of the business process requirements analysis, and will be used to prioritize the implementation of the specific eForms and business processes. The detailed analysis of the business process is documented in the Detailed Business Process Documentation (#CD-18)		
CD-	13.	The Gap Analysis Report must include: 1- Approach to the analysis 2- Detailed comparison of actual functional needs and functions provided by the COTS product 3- Gaps between the COTS product functions and the PWP functional and technical requirements 4- Recommended methods to address the gaps (i.e., configuration, customization, additional products) 5- Impacts (to cost, schedule, resources, architecture) and risks of the recommendations for each gap	Mandatory	• Phase 1
CD-	14.	The System Requirements Specification must contain: 1- Summary of the results of the requirements analysis and validation 2- Baseline requirements set for the system, including decomposed functional requirements and any additional derived requirements and expanded definitions of each base requirement in order to demonstrate contractor understanding 3- Listing of business process workflow requirements and any impacts to the CDI policies 4- Listing of eForms requirements and any impacts to the CDI polices	Mandatory	• Phase 1 • Phase 2 • Phase 3

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		5- An updated requirements traceability matrix, showing traceability from the RFP requirements to the detailed requirements which refine and further elaborate the requirement and associated business rules.		
CD-	15.	The System Architecture Design Document must contain: 1- Description of proposed hardware, for each environment and the hot-site, including storage (*) 2- Description of proposed software and the purpose of each item (including configuration/development tools, languages, technology, software versions, database, COTS products, middleware, reporting tools, administration tools and all other software modules and tools) (*) 3- Proposed network design, including firewalls (*) 4- System architecture for each environment (i.e., development, test, and production) and the hot-site (*) 5- Application architecture 6- Approach to interfaces (*) 7- Approach to COTS software integration, as applicable (*) 8- Approach and considerations for designing the repository(s) and profiles (*) 9- Approach to reports and ad hoc queries (*) 10- Approach to eForms and workflows (*) 11- Approach to scanning and data capture (*) 12- Physical and logical system diagrams 13- Physical and logical data model 14- Description of proposed system security architecture (*) 15- Approach to capacity management (*) 15a- Performance modeling calculations and assumptions (*) 15b- Calculations used to size the PWP hardware and solution (*)	Mandatory	• Phase 1 • Updated in Phase 2 and Phase 3

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		15c- Approach to addressing growth during and after the contract period (*) 15d- Approach to estimating, verifying and managing system performance 16- Archive strategy for management of data		
CD-	16.	The Interface Specification Document must specify: 1- Discussion of each interfaces and its purpose 2- Transmission methods and tools 3- The approach to implementing each of the interfaces 4- For each interface, a description of: 4a- Interface method and protocol 4b- Frequency of transmission 4c- Estimated data volume and growth patterns 4d- Interface format, including any control and error formats 4e- Error handling and recovery methods, including restart procedures 4f- Dependencies or constraints for the interface (e.g., timing of the transmission) 4g- Interface security considerations 4h- Interface testing considerations and approach 4i- Operational considerations, such as scheduling, log file monitoring and operator notifications	Mandatory	• Phase 1 • Updated in Phase 2 and Phase 3, as needed
CD-	17.	The Detailed Design Document and Database Schema/Design must contain: 1- Capabilities, functions and features of the system 2- Description of the overall design 3- Description of software modules, interfaces, forms, workflows, and reports (with emphasis on Contractor-developed items) 4- Software design using narrative, pseudo code, tables, flow charts, data flow diagrams, screen formats / layout, etc. To describe or depict the inputs, outputs, data flows, control flows, manual and automated processing, and exception and error handling	Mandatory	• Phase 1 • Phase 2 • Phase 3 These may be separate documents per phase, or a single

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		5- Description and design of the system workflow processes, including decision points and approvals, sequential / parallel routing, exceptions, and relationship to new / modified business processes 6- Description of the system's role-based user access / authority features and tools 7- Report layout for standard reports 8- eForm and paper data capture form layouts, and how/where data is routed once captured 9- Data model and relationships 10- Database(s) design and schema, including 10a- Number and configuration of each document repository 10b- Description of the profile for each repository 11- System interface design 12- Specific formulas and calculations used to establish the system storage and processing needs (capacity and performance modeling) 13- Description of the systems security features for protecting the system, data transmissions, and data from unauthorized access, including, as appropriate, encryption, auditing and logging 14- An updated requirements traceability matrix, showing traceability to the specific areas of the design which describe how the requirement will be implemented		document updated for each phase
CD-	18.	The Detailed Business Process Documentation must include: 1- Purpose of the business process 2- Description and detailed steps of the new/modified process 3- Interactions with the system and manual processes, including an overview of the automated system workflows from the user perspective such as inputs, messages, outputs, approvals, etc. 4- Normal vs. escalated vs. exception/error processing 5- Specific quality validations or metrics to be collected from the process 6- Roles and responsibilities for participants in the new/updated processes, including	Mandatory	• Phase 1 • Phase 2 • Phase 3 These may be separate documents per phase, or a single document updated

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		managerial and supervisory responsibilities 7- Constraints and dependencies, such as required deadlines		for each phase
CD-	19.	The Data Conversion Plan must include: 1- Approach for converting the legacy data to the new repository(s), including 1a- Psigen Scan HQ images and data 1b- Open Text/Hummingbird DM documents, images and data that exist in at least three (3) separate DM libraries, including one web library 1c- ParaDocs images and data 2- Strategy for analyzing and migrating existing share drive data to the new system, including 2a- Migration approaches 2b- Considerations when selecting an approach 3- Description of the conversion process 4- Mapping of the legacy metadata to the new profile format 5- Approach to converting (if necessary), loading and profiling files and data from the CDI share drives and other databases (e.g., CLOBs currently stored in Oracle DBs) 6- Input and output record layouts 7- Location of source and target data 8- File/table sizing information 9- File/table volume information 10- Recommended schedule for converting the legacy data over the three (3) phases of the project 11- Roles and responsibilities for the conversion process, for both Contractor and CDI staff	Mandatory	• Phase 1 • Updated in Phase 2 and Phase 3, as needed
CD-	20.	The Data Conversion Results Report must specify: 1- Number and percentage of data items successfully converted for each type/dataset converted	Mandatory	• Phase 1 • Phase 2 • Phase 3

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		2- Identification of any errors sorted by type 3- Status of errors and the resolution of errors (including items manually corrected) 4- Trend analysis for subsequent data loads/conversion runs (if appropriate)		Depending on the approach to data conversion (as approved by the CDI), there may be one report in Phase 1 or multiple reports.
CD-	21.	The Test Plan for each testing phase (i.e., unit, integration, system, performance (including load / stress testing), field, regression, and user acceptance) must contain: 1- Overall test strategy 2- Description of each test phase 3- Test objective and test strategy 4- Approach to creating and maintaining the test data and test scripts 5- High-level test design and test cases 6- Approach to testing interfaces, as applicable 7- Criteria for exiting the test phase 8- Test documentation to be produced before, during and at the close of the testing activities 9- Approach to managing, controlling, coordinating and communicating changes to the test environment and code during the test phase 10- Test suspension activities and test resumption activities 11- Approach to managing the test results 12- Approach to analyzing and resolving test anomalies and errors 13- Roles and responsibilities of Contractor and CDI staff for the testing process	Mandatory	• Phase 1 • Phase 2 • Phase 3
CD-	22.	The Test Scripts for each test must contain:	Mandatory	• Phase 1

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		1- Specific test objectives, including requirements to be verified 2- Specific test preparation activities, including setup of the test data and test environment 3- Specific test activities with expected results and actions to be taken 4- Specific analysis of the test results to verify correctness 5- Specific criteria used to determine if the test has passed or failed		• Phase 2 • Phase 3
CD-	23.	The Test Data for each testing phase must contain: 1- Summary of the test data used for the testing phase 2- List of normal "good" data scenarios 3- List of typical error data scenarios 4- List of specialized or unusual data scenarios 5- Actual test data needed to execute the tests, consisting of written data entry items, paper forms, electronic documents, and electronic files in various formats	Mandatory	• Phase 1 • Phase 2 • Phase 3
CD-	24.	The Test Results Report for each testing phase must contain: 1- Summary of all tests executed and the test results 2- Detailed summary of all anomalies and defects found during testing and their resolution or status 3- List of the system configuration prior to the start of testing and at the end of testing (e.g., versions of software modules, system settings, etc.) 4- An updated requirements traceability matrix showing traceability to the specific test(s) which prove satisfaction of the requirement. 5- A substantiated recommendation for either resolution of problems (and further testing) or progression to the next phase	Mandatory	• Phase 1 • Phase 2 • Phase 3
CD-	25.	The Pilot Evaluation Plan must include: 1- Description of the goals and approach to the pilot 2- Description of participants in the pilot 3- Schedule for the pilot	Mandatory	• Phase 1 • Phase 2 • Phase 3

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		4- Operational procedures to be used 5- Stop and start criteria for the pilot 6- Monitoring procedures 7- Procedures for collecting, logging, analyzing and resolving problems, defects and anomalies encountered during the pilot 8- Coordination logistics for the pilot 9- Criteria to be used to determine if the pilot was successful		
CD-	26.	The Implementation and Deployment Plan must specify: 1- Deployment strategy (i.e., preparation, who, when, how, verification) 2- Proposed criteria for Go / No-Go decision to commence system deployment 3- Approach to loading converted data 4- Proposed detailed deployment schedule 5- Approach to managing the deployment for each system release, including 5a- Process for coordination and timing of training 5b- Process for establishing / expanding the help desk 5c- Approach to loading/updating user workstations with new software (if required), such as profiling software, OCR tools 5d- Process for tracking and resolving anomalies and errors during deployment 5e- Process for communicating with users during the deployment 5f- Criteria used to ensure the PWP release is functioning correctly 6- Proposed decision points for shutting down the legacy system(s), as applicable 7- Roles and responsibilities of Contractor and CDI staff during the deployment period 8- Approach to transitioning operational responsibilities to CDI staff upon system acceptance 9- Specific risks associated with the proposed deployment approach and specific mitigation / contingency plans for the identified risks	Mandatory	• Phase 1 • Phase 2 • Phase 3

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
CD-	27.	The Direct Delivery Training Plan must include: 1- Approach to direct delivery training to CDI end users 2- Approach to assessing user competencies and evaluations 3- Approach to addressing refresher and remedial training 4- Specific course curriculums and descriptions 5- Approach to Computer-Based Training (CBT) for internal users 6- Approach to preparing the training environment 7- Proposed training schedule 8- Roles and responsibilities of Contractor and CDI staff for the training process	Mandatory Note: The CDI will select either direct delivery training or train-the-trainer training at Contract Award	• Phase 1 • Phase 2 • Phase 3 These may be separate documents per phase, or a single document updated for each phase
CD-	28.	The Train-the-Trainer Training Plan must specify (if requested by the CDI): 1- Approach to train-the-trainer training to CDI trainers 2- Approach to assessing user competencies and evaluations 3- Approach to addressing refresher and remedial training 4- Strategy for delivering training to CDI internal users that will be used by the CDI trainers 5- Specific course curriculums and descriptions 6- Specific tips and methods for training adult learners 7- Approach to Computer-Based Training (CBT) for internal users 8- Proposed training schedule 9- Roles and responsibilities of Contractor and CDI staff for the training process	Mandatory Note: The CDI will select either direct delivery training or train-the-trainer training at Contract Award	• Phase 1 • Phase 2 • Phase 3 These may be separate documents per phase, or a single document updated for each phase
CD-	29.	The Train-the-Trainer Training Materials must include (if requested by the CDI): 1- Specific goals of the training class 2- Methods for training end users 3- Description of system features and functions, including workflows 4- Description of new / modified business processes / policies 5- Exercises to help reinforce concepts for end users	Mandatory Note: The CDI will select either direct delivery	• Phase 1 • Phase 2 • Phase 3 These may be separate

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
			training or train-the-trainer training at Contract Award	documents per phase, or a single document updated for each phase
CD-	30.	The Training Instructor Manuals for End User Training must include (if requested by the CDI): 1- Specific goals of the training class 2- Topics and features to be covered in the course(s) 3- How to setup and use the training environment for the course(s) 4- Description, instructions, and answers for the class exercises 5- Key concepts that must be conveyed 6- Tips and tricks for using the system	Mandatory Note: The CDI will select either direct delivery training or train-the-trainer training at Contract Award	• Phase 1 • Phase 2 • Phase 3 These may be separate documents per phase, or a single document updated for each phase
CD-	31.	The Training Materials for End User Training must include: 1- Course outlines for each end user training session 2- Course content for each end user training session, including as appropriate: 2a- Description of each system function / module / feature 2b- Description of the data elements and their range of values and business rules 2c- Description of system workflows and “Day-in-the-Life” scenarios 2d- Hands-on and workbook exercises to reinforce system concepts 2e- Tips and key references for navigating the system 2f- Use of standard and ad-hoc reporting tools and features 2g- Creating queries and reports 2h- Specialized report writing training for advanced users 2i- Student materials used during the training course(s)	Mandatory	• Phase 1 • Phase 2 • Phase 3 These may be separate documents per phase, or a single document updated for each phase

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		3- Worksheets or exercises that can be used to evaluate training effectiveness and student proficiency 4- Data to support the training exercises		
CD-	32.	The CBT for Internal Users for each release must include: 1- Specific goals and objectives of the course 2- Pre-tests to evaluate pre-requisite understanding 3- Post-test to evaluate competency and skills gained 4- Overview of subsequent courses (e.g., intro to using queries, creating basic queries, advanced queries) Note: The CBT for internal users shall address the same topics as the end user training (see requirement #IM-98)	Mandatory	• Phase 1 • Phase 2 • Phase 3 These may be separate documents per phase, or a single document updated for each phase
CD-	33.	The Training Materials for System Administrator / Technical Training must describe: 1- Course outlines for each technical training session 2- Course content for each technical training session, including as appropriate: 2a- Description of each system environment / component 2b- Hands-on exercises to reinforce system concepts 2c- Tips and key references for operating, maintaining and troubleshooting the system 2d- Use of appropriate administration, monitoring and reporting tools and features 2e- Security considerations 3- Student materials used during the training course(s) 4- Worksheets or exercises that can be used to evaluate training effectiveness and student proficiency 5- Data to support the training exercises	Mandatory	• Phase 1 • Phase 2 • Phase 3 These may be separate documents per phase, or a single document updated for each phase
CD-	34.	The Training Materials for Scanning Operator Training must include:	Mandatory	• Phase 3

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		1- Course outlines for scanning training session 2- Course content for scanning training session, including as appropriate: 2a- Description of the scanning center components and purpose 2b- Hands-on exercises to reinforce system concepts 2c- Tips and key references for operating, maintaining and troubleshooting the scanners 2d- Use of appropriate scanning tools, batch monitoring and scanning report tools and features 3- Security considerations 4- Student materials used during the training course 5- Worksheets or exercises that can be used to evaluate training effectiveness and student proficiency 6- Data to support the training exercises		
CD-	35.	The Training Evaluations and Training Evaluation Summary Report must include: 1- Training Evaluation Form 2- Summary of training evaluation results by course 3- Summary of training evaluation results by user group (i.e., line staff vs. supervisors vs. managers vs. technical staff) 4- Comparison of evaluation results to agreed upon training thresholds 5- Recommended approach to addressing any deficiencies	Mandatory	• Phase 1 • Phase 2 • Phase 3 These may be separate documents per phase, or a single document updated for each phase
CD-	36.	The External User Tutorial and Frequently Asked Questions (FAQs) must include: 1- Description of the new system 2- Navigation features 3- Searching features	Mandatory	• Phase 2 • Updated in Phase 3 if needed

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		4- User account management (if applicable), including registering, changing passwords, resetting passwords, etc. 5- How to submit eForms and supporting documents 6- How to initiate workflows (if applicable) 7- Frequently Asked Questions Note: This is envisioned as a text-based document, and not an interactive application.		
CD-	37.	The User Manual(s) must describe: 1- Features and functionality of the system 2- Description of eForms and how to complete the forms 3- Description of the system workflows, including mandatory data elements, expected actions for each workflow step, range of values, specific validations and business rules at each workflow step and tips to assist the users 4- Searching features (profile-based and full-text) 5- Supervisory controls and special features only available to managers and supervisors, including reassignment of their staff's work, handling exceptions, and overriding workflow steps 6- Description of pulldown lists and code values 7- Description of online help features 8- Expanded description of error messages, as appropriate	Mandatory	• Phase 1 • Phase 2 • Phase 3 These may be separate documents per phase, or a single document updated for each phase
CD-	38.	The System Administration Manual(s) must describe specific procedures for: 1- Management of internal and (if applicable) external user accounts and security 2- Error and exception diagnosis and handling, including checklists 3- Changing system constants and parameters (e.g., rates, deadlines, etc.) 4- Reviewing and managing system and database logs for general activities, problems and trends	Mandatory	• Phase 1 • Phase 2 • Phase 3 These may be separate

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		5- Adding and modifying data elements and user-defined fields 6- Creating and modifying standard reports, correspondence / templates and forms 7- Creating and modifying eForms 8- Creating and modifying system workflows 9- Creating and modifying data capture forms (for scanning) 10- Creating and modifying business rules and field validations 11- Loading and archiving data to / from the database 12- Monitoring and managing interfaces and data transmissions 13- Updating online help contents 14- Activities for system monitoring and administration 15- Routine periodic maintenance to be performed 16- Archive strategy for management of data and system performance Note: Some of this information may be available in the COTS documentation.		documents per phase, or a single document updated for each phase
CD-	39.	The Contractor must provide COTS Software Package(s) to implement the document management system described by Section E.1.1, including the software executable/code, manufacturer's warranties, and licenses. The COTS Software Package(s) must address at a minimum: 1- The document repository 2- Profiling and searching features 3- eForms creation, modification, and implementation 4- Workflows creation, modification and implementation 5- Document manipulation and comparison features 6- Document import and export tools 7- Web portal features 8- Basic reporting features for the repository, eForms and workflow processes	Mandatory	• Phase 1 • Phase 3

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
CD-	40.	The Contractor must provide COTS Software Package software licenses for the document management/scanning solution to support the estimated user base of 1,300 users. Enterprise and/or repository licensing is preferred.	Mandatory	• Phase 1 • Phase 2 • Phase 3
CD-	41.	The Contractor must provide COTS Software Package(s) to implement the document management system and scanning solution described by Section E.1.1, including the software executable/code, manufacturer's warranties, and licenses. The COTS Software Package(s) must address at a minimum: 1- Scanning software 2- Image verification and rescan/correction tools 3- Data capture and OCR from image tools 4- File conversion (JPG to PDF, TIF to PDF) 5- PDF creation and manipulation tools	Mandatory	• Phase 3
CD-	42.	The Contractor must provide COTS Software Package licenses for the scanning solution to support the estimated user base of fifty (50) users, including the tools to OCR image documents to create text documents. Note: This is intended to address the users in the scanning centers and those users in the satellite offices that will be supporting scanning.	Mandatory	• Phase 3
CD-	43.	The Contractor must provide COTS Software Package licenses for the document comparison tool (refer to #MF-76) to support the estimated user base of eighty (80) users. Half of the licenses (40) should be provided in Phase 1 and the remaining should be provided in Phase 3. Note: This is intended to address the users in the scanning centers, the users in the satellite offices that will be supporting scanning, and other staff including Legal and Administrative staff.	Mandatory	• Phase 1 (40 licenses) • Phase 3 (40 licenses)
CD-	44.	The Contractor must provide one (1) electronic copy of the COTS product manual(s) for the	Mandatory	• Phase 1

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		document management system and scanning solution (one for each of the main offices).		• Phase 2 • Phase 3
CD-	45.	Any and all custom-developed software code created in support of the PWP must be delivered to the CDI. This code includes: 1- Source code and code libraries, including appropriate comments and source code headers 2- Software utilities or tools developed 3- Configuration and environmental files (e.g., .DLL, .INI, etc.) 4- Reports / queries and correspondence / templates	Mandatory	• Phase 1 • Phase 2 • Phase 3
CD-	46.	The Contractor must provide documentation for all custom-developed software code including any Contractor-developed pre-defined queries and reports.	Mandatory	• Phase 1 • Phase 2 • Phase 3
CD-	47.	The software documentation for any custom-developed software must include: 1- Description of the security and user access / authority features 2- Purpose, capabilities, functions, and features of the code 3- Description of any dependencies or relationships with other modules, code or interfaces 4- Charts and accompanying descriptions depicting inputs, outputs, data flows, control flows, and manual and automated processes	Mandatory	• Phase 1 • Phase 2 • Phase 3
CD-	48.	The Coding Standards for Custom Developed Software Code must include: 1- Naming conventions and standards 2- Data structure conventions and standards 3- Code commenting conventions and standards 4- Recommended approach to common routines and system functions 5- Recommended coding practices 6- Unacceptable coding practices	Mandatory	• Phase 1
CD-	49.	The Contractor must provide the COTS Development and Configuration Tool(s) necessary	Mandatory	• Phase 1

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		to design, configure, develop, customize, and implement the system, including the executable/code, manual(s), manufacturer's warranties and appropriate licenses.		• Phase 3 (if necessary to support scanning)
CD-	50.	The Contractor must provide APIs, SDKs, and/or other enterprise application integration tools to allow the CDI to integrate with its existing Oracle-based systems.	Mandatory	• Phase 1 • Phase 3 (if necessary to support scanning)
CD-	51.	The Contractor must provide licenses to support at least ten (10) users of the COTS automated COTS Development and Configuration Tool(s).	Mandatory	• Phase 1 • Phase 3 (if necessary to support scanning)
CD-	52.	The Contractor must provide COTS automated Software Testing Tool(s) for regression, performance and load / stress testing of the system, including the executable/code, manual(s), manufacturer's warranties and appropriate licenses.	Mandatory	• Phase 1 • Phase 3 (if necessary to support scanning)
CD-	53.	The Contractor must provide licenses to support at least ten (10) users of each COTS automated Software Testing Tool(s) provided.	Mandatory	• Phase 1 • Phase 3 (if necessary to support scanning)
CD-	54.	The Contractor must provide a COTS automated Configuration Management/Version Control tool for the PWP, including the executable/code, manual(s), manufacturer's	Mandatory	• Phase 1

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		warranties and appropriate licenses.		
CD-	55.	The Contractor must provide one (1) repository license for the COTS automated Configuration Management/Version Control tool that will be used for the PWP.	Mandatory	• Phase 1
CD-	56.	If Third-Party COTS software is being proposed for maintenance or operation of the system, the Contractor must deliver the COTS software including the executable/code, manual(s), manufacturer's warranties, and appropriate licenses.	Mandatory	• Phase 1 • Phase 3 (if necessary to support scanning)
CD-	57.	If Third-Party COTS software is being proposed for maintenance or operation of the system, the Contractor must provide software licenses appropriate to the purpose and use of the COTS: 1- If the tool will be used by technical staff for maintenance and operations, the licenses must accommodate at least ten (10) users. 2- If the tool will be used by the scanning operators or users in the satellite offices who support scanning, the licenses must accommodate at least fifty (50) users. 3- If the tool will be used by end users as part of the production system, the licenses must support the user base described in requirement 1,300.	Mandatory	• Phase 1 • Phase 3 (if necessary to support scanning)
CD-	58.	The Bidder must provide VMWare software and licenses to support the proposed solution configuration for all environments (i.e., development, test, production and hot-site).	Mandatory	• Phase 1 • Phase 3 (if necessary to support scanning)
CD-	59.	The Backup and Recovery Procedures must include: 1- Recommended backup schedule 2- Tools used to accomplish the backup 3- Method of testing the backup and recovery procedures	Mandatory	• Phase 1 • Updated in Phase 2 and Phase 3, as

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		4- Potential impacts and/or changes to the CDI's current backup processes and procedures		needed
CD-	60.	The Operational Recovery Procedures must include: 1- Procedures for recovering and verifying the system and databases 2- Procedures for recovering and verifying interface transmissions and status 3- Procedures for recovering and verifying system state and status 4- Potential impacts and/or changes to the CDI's current disaster recovery/operational recovery processes and procedures as a result of the PWP system	Mandatory	• Phase 1 • Updated in Phase 2 and Phase 3, as needed
CD-	61.	The Maintenance and Operations (M&O) Plan must specify: 1- System Operations Processes and Recommended Schedule 2- System Maintenance Processes and Recommended Schedule 3- Help Desk Support Processes 4- Software Defect Correction Process 5- Software Enhancement / Change Analysis and Implementation Process 6- Version Upgrade Analysis and Implementation Process 7- Contractor's M&O Organization and Structure, including reporting relationships 8- Roles and Responsibilities during M&O	Mandatory	• Phase 1 • Updated in Phase 2 and Phase 3, as needed
CD-	62.	The System Configuration Report must contain: 1- Description of the hardware and network configurations for each environment 2- The current versions of all COTS and custom software modules, including the date and time stamp of the version 3- Any hardware settings or configurations made to the system production environment 4- The database schema and database configuration information including table descriptions and sizing 5- Any supporting files that must be in place for correct system operations (e.g., environmental files, help files)	Mandatory	• Phase 1 • Phase 2 • Phase 3

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.3.2 – MANDATORY CONFIGURATION AND IMPLEMENTATION CONTRACT DELIVERABLE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	PHASE / FREQUENCY
		Note: The purpose of this report is to ensure the CDI has sufficient information to rebuild and restore the system in the event of catastrophic failure.		
CD-	63.	The System Configuration Report must describe the final state of the production environment when the system is turned over to the CDI at the end of the each PWP Production Acceptance Period.	Mandatory	• Phase 1 • Phase 2 • Phase 3

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.4 – MANDATORY HARDWARE PURCHASE CONTRACT REQUIREMENTS

E.1.4. MANDATORY HARDWARE PURCHASE CONTRACT REQUIREMENTS

The following requirements describe the minimum required deliverables for the Hardware Purchase Contract.

	#	REQUIREMENT TEXT	REQMT TYPE
HW-	1.	The Bidder must provide all hardware necessary to implement the proposed solution development, test, and production environments, including 1- Servers (including application, web, database, backup, etc.) 2- Power supplies 3- Cables 4- Racks 5- Uninterruptable Power Supplies (UPS)	Mandatory
HW-	2.	The Bidder must propose only Microsoft Windows-based servers.	Mandatory
HW-	3.	The Bidder shall install the development, test and production environment at the Sacramento Headquarters location.	Mandatory
HW-	4.	The Bidder must provide all hardware necessary to implement the proposed solution “hot-site” production environments, including 1- Servers (including application, web, database, backup, etc.) 2- Power supplies 3- Cables 4- Racks 5- Uninterruptable Power Supplies (UPS)	Mandatory
HW-	5.	The Bidder shall install the production “hot-site” environment at the CDI’s Los Angeles office.	Mandatory
HW-	6.	The production environment must be physically separate from the development and test environments. Note: The development and test environments may be implemented as virtual environment(s) on the same server.	Mandatory
HW-	7.	The storage device (e.g., SAN), scanners, etc. shall be shared between the three (3) environments to minimize license and hardware costs.	Mandatory
HW-	8.	The Bidder shall provide a storage device(s) for the document repository(s) (e.g., Storage Attached Network	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.4 – MANDATORY HARDWARE PURCHASE CONTRACT REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
		(SAN)).	
HW-	9.	The storage device must be of an appropriate technology/method that preserves the integrity of the received data (i.e., prevents alteration of image data). NOTE: WORM can be proposed to meet this requirement, but the CDI is open to other technologies or methods of protecting the received data.	Mandatory
HW-	10.	The Bidder must provide a backup device(s) and associated software and licenses for backing up the system.	Mandatory
HW-	11.	The Contractor shall test the configured hardware and COTS software to verify the products are working correctly in the “out of the box” configuration.	Mandatory
HW-	12.	The Bidder must provide a minimum of four (4) high-speed scanners that meet the minimum specifications contained in the Bidders’ Library.	Mandatory
HW-	13.	The Bidder must provide a minimum of four (4) flatbed scanners to support odd-sized scanning in the main offices and West Sacramento Warehouse.	Mandatory
HW-	14.	The Bidder must provide the eight (8) scanning workstations to be used for monitoring and managing the scanning process and for performing image quality checks and profiling.	Mandatory
HW-	15.	The Bidder must provide the cleaning kits and spare parts for the scanners as needed to maintain and operate the scanners during the Configuration and Implementation Contract.	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.5 – MANDATORY MAINTENANCE AND SUPPORT SERVICES CONTRACT REQUIREMENTS

E.1.5. MANDATORY MAINTENANCE AND SUPPORT SERVICES CONTRACT REQUIREMENTS

The following requirements describe the minimum required services for the Maintenance and Support Services Contract.

	#	REQUIREMENT TEXT	REQMT TYPE
Technical Support Services The Contractor will provide third-level help desk services in support of the application and database. The CDI will provide first- and second-level help desk support for the application and database.			
MS-	1.	The Contractor must provide technical support via telephone or email during Monday through Friday, from 6:00 a.m. to 8:00 p.m. PST/PDT.	Mandatory
MS-	2.	The Contractor shall provide technical support to the CDI to assist with analyzing and resolving anomalies and defects detected in the system and database after system acceptance.	Mandatory
MS-	3.	The Contractor shall log each call received in a database / tracking tool that is accessible to the CDI.	Mandatory
MS-	4.	The Contractor's help desk must route the CDI's call for service to a live person.	Mandatory
MS-	5.	The Contractor's technical contact must respond to the designated CDI contact within one (1) hour of the CDI contacting the help desk. Note: The CDI contact and contact number will be provided to help desk when the call is made.	Mandatory
MS-	6.	If the issue requires on-site activities in order to resolve the issue, the Contractor shall initiate on-site resolution activities within four (4) hours for critical issues, and within 24 hours for non-critical issues. If the Contractor does not respond to the issue within the defined time periods, the CDI may escalate the issue to the first level dispute resolution process (refer to Section V.3.6.1.3: Dispute Resolution (First Level).	Mandatory
MS-	7.	The Contractor must receive CDI approval for the estimated resolution time and approach to correction prior to implementing the correction.	Mandatory
MS-	8.	The help desk call / defect shall not be considered closed until the resolution is verified in the production environment and approved by CDI.	Mandatory
MS-	9.	If requested by the CDI, the Contractor shall provide additional end user and/or technical training for CDI staff. The CDI will request the additional training via a Work Authorization.	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.5 – MANDATORY MAINTENANCE AND SUPPORT SERVICES CONTRACT REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
Hardware Support and Maintenance The Contractor shall provide on-site hardware support and maintenance for the delivered hardware, including performing regularly scheduled maintenance of the scanning equipment.			
MS-	10.	The Contractor shall be responsible for providing on-site hardware maintenance for the delivered hardware, including scanning equipment. Note: The CDI will be responsible for any equipment that is not purchased by the Contractor.	Mandatory
MS-	11.	The Contractor shall provide preventative maintenance and cleaning services for the scanning equipment in accordance with the scanning manufacturer's recommended schedule.	Mandatory
MS-	12.	The Contractor shall provide all necessary cleaning kits and replacement parts (as necessary for maintenance) for the scanning equipment.	Mandatory
MS-	13.	If the hardware maintenance will impact the operation of the system, the maintenance must be performed during non-operational hours.	Mandatory
Software Maintenance Services The Contractor will perform software maintenance after system acceptance, as directed by CDI. Software maintenance will be initiated via the Work Authorization process (refer to Section V.3.8.7).			
MS-	14.	If directed by the CDI, the Contractor shall analyze a change request to develop a cost estimate that defines the scope of changes necessary, the approach to implementing the change, and the amount of labor hours required to implement the change.	Mandatory
MS-	15.	Analysis of the change request shall not exceed 24 working hours, unless the CDI has pre-approved a longer time frame for analysis.	Mandatory
MS-	16.	The Contractor must receive CDI approval for the change request cost estimate (via a work authorization) prior to beginning work to implement the change.	Mandatory
MS-	17.	The Contractor must test and verify the change in the test environment prior to implementing the change in the production environment.	Mandatory
MS-	18.	The Contractor must perform unit, integration, system, performance and regression testing of the change prior to implementing the change in the production environment.	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.5 – MANDATORY MAINTENANCE AND SUPPORT SERVICES CONTRACT REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
MS-	19.	The Contractor must work with the CDI to coordinate and schedule the implementation of the change in the production environment, in accordance with CDI's Change Control Process (contained in the Bidders' Library).	Mandatory
MS-	20.	The Contractor shall update the following system documentation (as appropriate) to reflect changes made to due to the enhancement / system change: 1- System Requirements Specification 2- System Architecture Design Document 3- Detailed Design Document, including database schema and design 4- Interface Requirements Specification 5- Test Scripts and Test Data 6- Training Instructor Manuals 7- Training Materials for End User Training 8- CBT for End Users 9- Training Materials for System Administrator / Technical Training 10- User Manual(s) 11- System Administration Manual 12- Updated Software Code and / or System Files	Mandatory
MS-	21.	The Contractor must deliver the updated system documentation concurrent with the implementation of the enhancement / change in the production environment.	Mandatory
Software Upgrade and Patch Support Services The Contractor shall be responsible for applying patches and upgrades for any COTS software that the Contractor has proposed.			
MS-	22.	The Contractor must notify the CDI of COTS system releases and version upgrades within sixty (60) calendar days of their availability.	Mandatory
MS-	23.	Any updates or changes to the production system must be processed through the CDI's Change Control Process, and must receive approval prior to being applied.	Mandatory
MS-	24.	COTS bug fixes, security updates and patches must be applied within thirty (30) calendar days of release.	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.5 – MANDATORY MAINTENANCE AND SUPPORT SERVICES CONTRACT REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
MS-	25.	New versions of the COTS products must be in productive use for a minimum of six (6) months prior to being installed on the system to ensure stability of the new version.	Mandatory
MS-	26.	A full system backup must be performed prior to making any system changes.	Mandatory
MS-	27.	A full rollback and recovery must be performed in the event of a problem with a system change.	Mandatory
MS-	28.	The Contractor shall analyze COTS software version upgrades to determine the impact on the PWP environment.	Mandatory
MS-	29.	The Contractor's analysis shall include an analysis of the changes and new features in the version upgrade, the effect on the PWP, and the impact and risks of installing and not installing the new version.	Mandatory
MS-	30.	If the version upgrade affects any special configurations or customizations made to the system to achieve the requirements described in Sections E.1.1 and E.1.2, the Contractor shall migrate, reapply or update (as appropriate) the configurations and customizations to ensure correct operation with the version upgrade. For example, if the version upgrade affects a workflow that was delivered in Phases 1 through 3, the Contractor must update the workflow so that it works after the version upgrade is applied.	Mandatory
MS-	31.	The Contractor shall install the version upgrade and perform regression testing in the test environment to determine the impact and compatibility with the PWP application.	Mandatory
MS-	32.	The Contractor must work with CDI to coordinate and schedule the implementation of the upgrade in the production environment at a time which minimizes impact to the users.	Mandatory
MS-	33.	The Contractor shall implement the version upgrade in the production environment on the date agreed to by the CDI.	Mandatory
MS-	34.	The Contractor shall update the following system documentation (as appropriate) to reflect changes made due to the version upgrade: 1- System Requirements Specification 2- System Architecture Design Document 3- Detailed Design Document, including database schema and design 4- Interface Requirements Specification 5- Test Scripts and Test Data	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.5 – MANDATORY MAINTENANCE AND SUPPORT SERVICES CONTRACT REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
		6- Training Instructor Manuals 7- Training Materials for End User Training 8- CBT for End Users 9- Training Materials for System Administrator / Technical Training 10- User Manual(s) 11- System Administration Manual 12- Updated Software Code and / or System Files	
MS-	35.	The Contractor must deliver the updated system documentation concurrent with the implementation of the version upgrade in the production environment.	Mandatory
System Transition Services At the end of the M&S contract, the Contractor must provide data and reports to the CDI that reflect the current state of the PWP environments to ensure a smooth transition of operations.			
MS-	36.	Approximately thirty (30) calendar days prior to the completion of the M&S contract, the Contractor shall begin transitioning responsibilities to CDI/another contractor to ensure continuity of service to the users.	Mandatory
MS-	37.	Approximately thirty (30) calendar days prior to the completion of the M&S contract, the Contractor shall perform a full system configuration audit with the CDI/another contractor to verify the configuration of all PWP environments and toolsets.	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.6 – MANDATORY KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

E.1.6. MANDATORY KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

The following requirements describe the minimum experience for the Bidder's Key Staff proposed for the Configuration and Implementation Contract. The Bidder must complete a Form C12: Resume Summary Form for each proposed Key Staff member, and include a reference contact and project information that substantiates the experience used to meet the requirement.

	#	REQUIREMENT TEXT	REQMT TYPE
General Requirements The following describe criteria that all the Bidder's corporate references must meet.			
ST-	1.	All projects used to meet the Key Staff Minimum Experience Requirements must have been performed within the past five (5) years.	Mandatory
ST-	2.	All projects used to meet the Key Staff Minimum Experience Requirements must have been for a client external to the Bidder's organization, parent company, and subsidiaries. Internal research and development (R&D) projects shall not be counted towards the experience requirements.	Mandatory
ST-	3.	All projects used to meet the Key Staff Minimum Experience Requirements must have been for new system implementations. Upgrades, enhancements and additions to existing systems shall not be counted towards the Key Staff Minimum Experience Requirements. Also, references for maintenance and operations (M&O) projects (i.e., work performed after the system has been accepted) shall not be counted towards the Key Staff Minimum Experience Requirements.	Mandatory
ST-	4.	The Bidder must propose a single individual to meet all of the requirements for the Key Staff position they will perform (i.e., the requirements for the position cannot be satisfied by multiple staff). Note: While the Bidder may have a team of people performing the function and supporting the Key Staff, for the purposes of the Key Staff requirement, a single person must be proposed to meet all of the mandatory requirements, shall serve as the primary point of contact and shall be responsible for managing the designated element of work.	Mandatory
ST-	5.	The Bidder shall not propose a single individual for more than one Key Staff position (e.g., a single staff member cannot be proposed for both the Contractor Project Manager and Configuration Manager positions).	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.6 – MANDATORY KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
Project Manager The Project Manager must meet all of the following minimum qualification requirements, and shall perform the stated duties.			
ST-	6.	Minimum Requirement 1: The Project Manager must have three (3) years' experience working as a Project Manager implementing document management and workflow systems.	Mandatory
ST-	7.	Minimum Requirement 2: The Project Manager must have two (2) years' experience working as a Project Manager on IT projects for State of California departments, agencies, boards or commissions.	Mandatory
ST-	8.	Minimum Requirement 3: The Project Manager must be certified as a Project Management Professional (PMP) from the Project Management Institute (PMI) or other formal project management professional organization certification (e.g., PRINCE2, IAPPM).	Mandatory
ST-	9.	Duties on the Project: The Project Manager shall be responsible for the day-to-day management of the Contract, including overall performance and Contract compliance.	Mandatory
ST-	10.	Duties on the Project: The Project Manager shall be responsible for managing and coordinating the Contractor resources including any subcontractor resources assigned to the Contract, and for ensuring that all tasks in the Project Management Plan are executed in accordance with the approved schedule and CDI requirements.	Mandatory
ST-	11.	Duties on the Project: The Project Manager shall report to the CDI Project Manager and will identify any potential problem areas, recommend solutions, and work closely and cooperatively with the CDI Project Manager to resolve issues quickly and fairly.	Mandatory
ST-	12.	Duties on the Project: The Project Manager shall be responsible for quality control over all deliverables submitted for review.	Mandatory
ST-	13.	Duties on the Project: The Project Manager shall provide the CDI Project Manager with written status reports regarding actual progress as compared to what is projected in the schedule/work plans.	Mandatory
ST-	14.	Duties on the Project: The Project Manager shall be principally responsible for developing the following contract deliverables (at a minimum): • Project Management Plan • WBS/Project Schedule • Weekly Status Reports	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.6 – MANDATORY KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
		• Executive Committee Status Reports/Presentations	
System Architect The System Architect must meet all of the following minimum qualification requirements, and shall perform the stated duties.			
ST-	15.	Minimum Requirement 1: The System Architect must have three (3) years' experience working as a System Architect implementing document management and workflow systems.	Mandatory
ST-	16.	Duties on the Project: The System Architect shall be responsible for designing the document management system to support the business needs of the users, in terms of system performance, document volumes, number of users, document profiles and searching.	Mandatory
ST-	17.	Duties on the Project: The System Architect shall design the system with the necessary interfaces in order to support the business needs of the CDI users, in terms of system performance, transaction load and number of users, and appropriate security measures to prevent compromise of data or data integrity.	Mandatory
ST-	18.	Duties on the Project: The System Architect shall be responsible for designing appropriate security measures to prevent compromise of sensitive documents.	Mandatory
ST-	19.	Duties on the Project: The System Architect shall analyze the infrastructure at each regional office and the West Sacramento warehouse and make recommendations for establishing the scanning center configuration(s).	Mandatory
ST-	20.	Duties on the Project: The System Architect shall lead the performance testing activities and shall assist to analyze and resolve any performance anomalies or defect detected during all test and pilot activities.	Mandatory
ST-	21.	Duties on the Project: The System Architect shall be principally responsible for developing the following contract deliverables (at a minimum): • System Architecture Design Document • Interface Requirements Specification	Mandatory
Lead Developer/Designer The Lead Developer/Designer must meet all of the following minimum qualification requirements, and shall perform the stated duties.			
ST-	22.	Minimum Requirement 1: The Lead Developer/Designer must have three (3) years' experience working as a Lead Developer/Designer implementing document management and workflow systems.	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.6 – MANDATORY KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
ST-	23.	Minimum Requirement 2: The Lead Developer/Designer must have three (3) years' experience working as a Lead Developer/Designer for Java web applications.	Mandatory
ST-	24.	Minimum Requirement 3: The Lead Developer/Designer must have two (2) years' experience working as a Lead Developer/Designer on IT projects for government organizations (i.e., federal, state, regional, county, or city organizations).	Mandatory
ST-	25.	Minimum Requirement 4: The Lead Developer/Designer must have one (1) years' experience working as a Lead Developer/Designer implementing scanning solutions that included data capture and ICR/OCR from images.	Mandatory
ST-	26.	Duties on the Project: The Lead Developer/Designer shall be responsible for installing, configuring and customizing the COTS software to meet the CDI's business needs and requirements.	Mandatory
ST-	27.	Duties on the Project: The Lead Developer/Designer shall ensure that design and development activities follow applicable standards, and that system objects and documentation are consistent across developers.	Mandatory
ST-	28.	Duties on the Project: The Lead Developer/Designer shall lead the activities to develop the document profiles, eForms, workflows, and reports for the system.	Mandatory
ST-	29.	Duties on the Project: The Lead Developer/Designer shall lead the activities to develop the security groups and user access levels to ensure appropriate levels of access to documents.	Mandatory
ST-	30.	Duties on the Project: The Lead Developer/Designer shall lead the activities to redesign paper forms to take advantage of scanning technology and to develop scanning processes for non-form documents that will be scanned.	Mandatory
ST-	31.	Duties on the Project: The Lead Developer/Designer shall have primary responsibility for tracking and reporting on the defect corrections throughout the test phases.	Mandatory
ST-	32.	Duties on the Project: The Lead Developer/Designer shall lead the knowledge transfer sessions to transmit key technical knowledge to CDI staff.	Mandatory
ST-	33.	Duties on the Project: The Lead Developer/Designer shall be principally responsible for developing the following contract deliverables (at a minimum): • Detailed Design Document	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.6 – MANDATORY KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
Database Administrator (DBA) The DBA must meet all of the following minimum qualification requirements, and shall perform the stated duties.			
ST-	34.	Minimum Requirement 1: The DBA must have experience on three (3) projects working as a DBA implementing document management and workflow systems, where the staff's duration on each project was a minimum of four (4) months in duration.	Mandatory
ST-	35.	Minimum Requirement 2: The DBA must have two (2) years' experience working as a DBA implementing Oracle database systems.	Mandatory
ST-	36.	Duties on the Project: The DBA shall be responsible for designing and implementing the database(s) for document management repositories for all locations and system environments (i.e., development, test and production).	Mandatory
ST-	37.	Duties on the Project: The DBA shall be responsible for designing and organizing the database to promote security, efficiency, and maintainability, and to support future growth in caseload and users.	Mandatory
ST-	38.	Duties on the Project: The DBA shall work with the CDI to ensure converted legacy data is correctly loaded to the new database(s).	Mandatory
ST-	39.	Duties on the Project: The DBA shall work with the CDI to test and verify the correct operation of the interfaces to existing CDI applications and websites.	Mandatory
ST-	40.	Duties on the Project: The DBA shall assist with performance testing and shall assist to analyze and resolve any performance anomalies or defect detected during the test and pilot activities.	Mandatory
ST-	41.	Duties on the Project: The DBA shall be principally responsible for developing the following contract deliverables (at a minimum): • Detailed Design Document's Database Schema and Design	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.6 – MANDATORY KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
Configuration Manager The Configuration Manager must meet all of the following minimum qualification requirements, and shall perform the stated duties. Note: Refer to Appendix D: Glossary for a definition of configuration management as it relates to this position.			
ST-	42.	Minimum Requirement 1: The Configuration Manager must have three (3) years' experience working as the Configuration Manager on IT projects.	Mandatory
ST-	43.	Duties on the Project: The Configuration Manager shall be responsible for managing and overseeing the system configuration and versions of all hardware and software products delivered and installed at all locations and in all system environments (i.e., development, test and production). Note: For the purposes of this IFB, "system configuration" is defined as: the functional and physical characteristics of hardware and software, including versions, settings, and specifications.	Mandatory .
ST-	44.	Duties on the Project: The Configuration Manager shall perform asset tracking of all hardware and software products, including software licenses, until the system is accepted by the CDI.	Mandatory
ST-	45.	Duties on the Project: The Configuration Manager shall coordinate the analysis, tracking and resolution of defects and problems with other Contractor and CDI technical staff, including conflicts with the existing CDI environment and the Bidder's proposed products.	Mandatory
ST-	46.	Duties on the Project: The Configuration Manager shall be responsible for managing, tracking and reporting on the change requests submitted by the Contractor. Note: The Configuration Manager shall work with the CDI Project Manager to manage changes using the CDI's defined Change Control Process.	Mandatory
ST-	47.	Duties on the Project: The Configuration Manager shall be principally responsible for developing the following contract deliverables (at a minimum): • Configuration Management Plan • System Configuration Report	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.6 – MANDATORY KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
Test Lead The Test Lead must meet all of the following minimum qualification requirements, and shall perform the stated duties.			
ST-	48.	Minimum Requirement 1: The Test Lead must have two (2) years' experience working as a Test Lead on projects that implemented document management and workflow systems.	Mandatory
ST-	49.	Minimum Requirement 2: The Test Lead must have one (1) years' experience working as a Test Lead on projects that implemented a scanning solution, including data capture and ICR/OCR.	Mandatory
ST-	50.	Duties on the Project: The Test Lead shall be responsible for managing and coordinating all phases of testing including unit, integration, system, performance, regression, user acceptance test, and pilot.	Mandatory
ST-	51.	Duties on the Project: The Test Lead will be responsible for developing the Test Plan, Test Cases/Test Scripts, Test Data (except for user acceptance), and Test Reports for each test phase that will be provided to the CDI.	Mandatory
ST-	52.	Duties on the Project: The Test Lead will be responsible for management of the Contractor's test team, coordinating testing activities with CDI staff, and managing all test activities for each release.	Mandatory
ST-	53.	Duties on the Project: The Test Lead will be responsible for collecting, tracking and managing all test anomalies and test faults, and for reporting appropriate test metrics to the CDI showing the progress of testing and the resolution of test anomalies and test faults.	Mandatory
ST-	54.	Duties on the Project: The Test Lead will be responsible for designing the suite of tests for regression testing, and for ensuring the regression tests are maintained and executed for each new system release and version (i.e., a new version with correction of defects).	Mandatory
ST-	55.	Duties on the Project: The Test Lead will work with CDI staff and other stakeholders to test the system interfaces and system performance.	Mandatory
ST-	56.	Duties on the Project: The Test Lead shall be responsible for managing the test environment and preparing the environment for each test phase and system release.	Mandatory
ST-	57.	Duties on the Project: The Configuration Manager shall be principally responsible for developing the following contract deliverables (at a minimum): • Test Plans for each phase of testing including unit and integration, system, performance, regression, and pilot testing	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.6 – MANDATORY KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
		• Test Scripts for each phase of testing including unit and integration, system, performance, regression, and pilot testing • Test Data for each phase of testing including unit and integration, system, performance, regression, and pilot testing • Test Results Report for each phase of testing including unit and integration, system, performance, regression, and pilot testing • Pilot Evaluation Plan	
Business Process Analyst The Business Process Analyst must meet all of the following minimum qualification requirements, and shall perform the stated duties.			
ST-	58.	Minimum Requirement 1: The Business Process Analyst must have three (3) years' experience working as a Business Process Analyst for document management and workflow systems.	Mandatory
ST-	59.	Minimum Requirement 2: The Business Process Analyst must have two (2) years' experience working as a Business Process Analyst on IT projects for government organizations (i.e., federal, state, regional, county, or city organizations).	Mandatory
ST-	60.	Duties on the Project: The Business Process Analyst shall be responsible for analyzing, refining and validating CDI' business requirements	Mandatory
ST-	61.	Duties on the Project: The Business Process Analyst shall be responsible for leading the effort to analyze the CDI's existing processes and forms and make recommendations for redesign and conversion to electronic processing methods.	Mandatory
ST-	62.	Duties on the Project: The Business Process Analyst shall facilitate working sessions to derive and analyze business rules and data relationships, and shall document the impacts of the system to current processes.	Mandatory
ST-	63.	Duties on the Project: The Business Process Analyst shall analyze the current paper documents received at each regional office and make recommendations for implementing the scanning solution at each office.	Mandatory
ST-	64.	Duties on the Project: The Business Process Analyst shall analyze the Test Plans to ensure the suite of tests validate all the system requirements.	Mandatory
ST-	65.	Duties on the Project: The Business Process Analyst shall be principally responsible for developing the	Mandatory

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.1.6 – MANDATORY KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE
		following contract deliverables (at a minimum): • Business Process Analysis Plan/Report • Gap Analysis Report • System Requirements Specification • Detailed Business Process Documentation • User Manuals	

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.2.1 – DESIRABLE CORPORATE EXPERIENCE REQUIREMENTS

E.2. Desirable Requirements

All the requirements in Section E.2 are considered desirable. The Bidder may elect to provide any or all of the desirable requirements.

E.2.1. DESIRABLE CORPORATE EXPERIENCE REQUIREMENTS

The following requirements for corporate experience are desirable. If the Bidder elects to meet a corporate experience desirable requirement, the Bidder must provide a reference contact and project information on the Form C11: Corporate Experience Reference Form that substantiates the experience claim.

	#	REQUIREMENT TEXT	REQMT TYPE	AVAILABLE POINTS
DCE-	1.	The Bidder may submit in its Bid a corporate reference for a completed project that implemented a document management and workflow system with eForms and scanning equipment where the total project value was at least $5 million. The project must have implemented all of the stated components in order to receive the points for this reference. Partial points will not be assessed.	Desirable	44

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.2.2 – DESIRABLE KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

E.2.2. DESIRABLE KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

The following requirements for key staff minimum experience are desirable. If the Bidder elects to meet a key staff minimum experience desirable requirement, the Bidder must provide a reference contact and project information on the Form C12: Resume Summary Form that substantiates the experience claim.

	#	REQUIREMENT TEXT	REQMT TYPE	AVAILABLE POINTS
Project Manager				
DST-	1.	Desirable Requirement 1: The Bidder's proposed Project Manager should have experience as the Project Manager for a document management and workflow project where the total project cost was at least $5 million.	Desirable	7
System Architect				
DST-	2.	Desirable Requirement 1: The Bidder's proposed System Architect should have experience as the System Architect for a document management and workflow project where the total number of users was at least 1,300 users.	Desirable	7
DST-	3.	Desirable Requirement 2: The Bidder's proposed System Architect should have experience as the System Architect for a document management and workflow project which involved a user base spread across at least three (3) geographically separate office locations.	Desirable	7
Lead Developer/Designer				
DST-	4.	Desirable Requirement 1: The Bidder's proposed Lead Developer/Designer should have experience as the Lead Developer/Designer for a document management and workflow project where the total number of users was at least 1,300 users.	Desirable	7
DST-	5.	Desirable Requirement 2: The Bidder's proposed Lead Developer/Designer should have experience as the Lead Developer/Designer for a document management and workflow project which involved a user base spread across at least three (3) geographically separate office locations.	Desirable	7

IFB CDI 0845-39
PWP INVITATION FOR BID
APPENDIX E: DETAILED REQUIREMENTS
SECTION E.2.2 – DESIRABLE KEY STAFF MINIMUM EXPERIENCE REQUIREMENTS

	#	REQUIREMENT TEXT	REQMT TYPE	AVAILABLE POINTS
DST-	6.	Desirable Requirement 3: The Bidder's proposed Lead Developer/Designer should have experience as the Lead Developer/Designer for a document management and workflow project which was implemented with an Oracle DB.	Desirable	7
Configuration Manager				
DST-	7.	Desirable Requirement 1: The Bidder's proposed Configuration Manager should have experience as the Configuration Manager for a document management and workflow project which involved a user base spread across at least three (3) geographically separate office locations.	Desirable	7
Business Process Analyst				
DST-	8.	Desirable Requirement 1: The Bidder's proposed Business Process Analyst should have four (4) or more years' experience as the Business Process Analyst for document management and workflow projects. (7 points will be awarded for experience that is <u>in addition</u> to the experience claimed for #ST-58).	Desirable	7

State of California • Arnold Schwarzenegger, Governor
State and Consumer Services Agency
DEPARTMENT OF GENERAL SERVICES
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INFORMATION BULLETIN

Paperless Workflow Project (PWP)

The purpose of this IFB is to acquire document management and workflow implementation products and services to implement the California Department of Insurance (CDI) Paperless Workflow Project (PWP). The PWP will provide the CDI with a Commercial-Off-The-Shelf (COTS) Electronic Document Management System (EDMS), please refer to the Department of General Services RFP posting at:

Department of General Services State eProcurement Portal

http://www.bidsync.com/

The IFB and additional information can be found at:

http://www.insurance.ca.gov/paperless/

All communication and questions concerning this RFP shall be directed to the DGS Procurement official listed below:

Dennis Link, Procurement Manager, Department of General Services, Procurement Division, 707 Third Street, MS 02-209, West Sacramento, CA 95605, Telephone: (916) 375-4503, Email: Dennis.Link@dgs.ca.gov

The project will entail an enterprise-wide deployment of electronic-based forms (eForms) and workflows to support the CDI's internal and external business processes. The contracts resulting from this procurement include:

- Installation, configuration and testing of the necessary document management hardware and software at multiple CDI offices, including redundant hot-site features;
- Installation, configuration and testing of scanning equipment at the three (3) main CDI offices and the West Sacramento warehouse;
- Design, configuration and implementation of an enterprise-wide document management system, including appropriate document repository(s), profiles and indices;
- Design, development, and implementation of eForms;
- Design, development, and implementation of automated process workflows and workflow reports;
- Data conversion of profile data and documents from existing document repositories to the new repository(s) and profile format(s);

- Design, development, and testing of interfaces to the CDI's enterprise systems, to assist with automated document profiling and validations;
- Design, development, and testing of interfaces/data exchanges to the CDI's existing Oracle-based system to provide data captured from paper, eForms and workflows;
- Testing of all document profiles/indices, eForms and workflow processes and reports;
- Providing or developing end user, system design and system administration documentation; and
- End user, system administration, and technical training and knowledge transfer.

The selected Bidder will provide the hardware, software and services described in this IFB, including software licensing, product version upgrades, product warranty, and annual hardware and software maintenance support. The detailed requirements for this project are listed in Appendix E: Detailed Requirements. Responses to this IFB will be evaluated based on the total bid, and award, if made, will be to a single Bidder who will serve as the Prime Contractor.

The PWP project is divided into three (3) phases which is tied to State funding approval. Through this IFB, the CDI will issue a contract for hardware, software and services, with optional contract extensions. Upon receiving spending authority for each subsequent year, the CDI will authorize work the next year and phase of the project.

Question and Answers for Bid #CDI 0845-39 - Paperless Workflow Project (PWP)

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.