

Solicitation RFP CDE 6110-98

Provider Accounting and Reporting Information System (PARI\$)

State of California

Bid RFP CDE 6110-98

Provider Accounting and Reporting Information System (PARI\$)

Bid Number RFP CDE 6110-98
Bid Title Provider Accounting and Reporting Information System (PARI\$)

Bid Start Date May 13, 2010 1:33:28 PM PDT
Bid End Date Oct 28, 2010 2:00:00 PM PDT
Question & Answer End Date Sep 17, 2010 4:00:00 PM PDT

Bid Contact Amrit Dhillon
916-375-4591
Amrit.Dhillon@dgs.ca.gov

Standard Disclaimer The State of California advises that prospective bidders periodically check the websites, including but not limited to Bidsync, and/or other state department links for modifications to bid documents. The State of California is not responsible for a prospective bidder's misunderstanding of the bid solicitation or nonresponsive bid due to failure to check these websites for updates or amendments to bid documents, and/or other information regarding the bid solicitations. Failure to periodically check these websites will be at the bidder's sole risk.

The information published and/or responded to on these websites is public information. Confidential questions/issues/concerns should be directed to the contact on the ad.

Description

The purpose of this Request for Proposal (RFP) is to solicit Proposals from qualified firms to implement a business-based Provider Accounting and Reporting Information System (PARI\$) to replace the existing inadequate, outdated, unreliable, and unsupportable Provider Accounting and Reporting Information System (PARIS).

IMPORTANT NOTICE TO ALL BIDDERS

Provider Accounting and Reporting Information System (PARI\$) RFP CDE 6110-98

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

Submission of a Proposal 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

This page intentionally left blank.

Provider Accounting and Reporting Information System (PARI\$)

Request for Proposals

Original Release Date May 13, 2010

RFP CDE 6110-98

Final Release Version 1.0



STATE OF CALIFORNIA
DEPARTMENT OF EDUCATION
1430 N Street
Sacramento, California 95814
*Jack O'Connell, State Superintendent of
Public Instruction*

This page intentionally left blank.

TABLE OF CONTENTS

SECTION I Introduction and Overview of Requirements	I-1
I.A PURPOSE OF THIS REQUEST FOR PROPOSAL	I-1
I.B PROJECT SCOPE	I-1
I.C SCOPE OF THE RFP AND BIDDER ADMONISHMENT	I-2
I.D BIDDERS' LIBRARY	I-2
I.E AVAILABILITY	I-3
I.F PROCUREMENT OFFICIAL	I-3
I.G KEY ACTION DATES	I-3
I.H INTENT TO SUBMIT A PROPOSAL	I-4
I.I ELECTRONIC COPY OF RFP AVAILABLE	I-5
I.J AMERICANS WITH DISABILITIES ACT (ADA)	I-5
SECTION II Rules Governing Competition	II-1
II.A IDENTIFICATION AND CLASSIFICATION OF RFP REQUIREMENTS	II-1
II.A.1 Requirements	II-1
II.A.2 Desirable Items	II-1
II.B PROPOSAL REQUIREMENTS AND CONDITIONS	II-1
II.B.1 General	II-1
II.B.2 RFP Documents	II-1
II.B.3 Examination of the Work	II-2
II.B.4 Questions and Requirement Changes Regarding the RFP	II-2
II.B.5 Bidders' Conference and Questions	II-3
II.B.6 Supplier's Intention to Submit a Proposal	II-3
II.B.7 Addenda	II-4
II.B.8 Plastic Trash Bag Certification Violations	II-4
II.B.9 Bonds	II-4
II.B.10 Discounts	II-4
II.B.11 Joint Proposals	II-5
II.B.12 Air or Water Pollution Violations	II-5
II.B.13 Fair Employment and Housing Commission Regulations	II-5
II.B.14 Exclusion for Conflict of Interest	II-6
II.B.15 Seller's Permit	II-6
II.B.16 Disclosure of Financial Interests	II-6
II.B.17 Unfair Practices Act and Other Laws	II-6
II.C BIDDING STEPS	II-7
II.C.1 General	II-7
II.C.2 Compliance Phase	II-7
II.C.3 Final Phase	II-7
II.C.3.a Draft Proposal	II-7
II.C.3.b Final Proposal	II-8
II.C.4 Confidentiality	II-8
II.C.5 Submission of Proposals	II-8
II.C.5.a Preparation	II-9
II.C.5.b Bidder's Cost	II-9
II.C.5.c Completion of Proposals	II-9
II.C.5.d False or Misleading Statements	II-9
II.C.5.e Signature of Proposals	II-9
II.C.5.f Delivery of Proposals	II-10
II.C.5.g Withdrawal and Resubmission/Modification of Proposals	II-10
II.C.6 Rejection of Proposals	II-11

II.C.7 Evaluation and Selection Process	II-11
II.C.7.a General.....	II-11
II.C.7.b Evaluation Questions.....	II-11
II.C.7.c Demonstration.....	II-11
II.C.7.d Errors in the Final Proposal	II-11
II.C.8 Award of Contract	II-13
II.C.9 Debriefing.....	II-13
II.D CONTRACTUAL INFORMATION.....	II-14
II.D.1 Contract Form.....	II-14
II.D.2 Specific Terms and Conditions.....	II-14
II.D.3 Approval of Proposed Contract	II-14
II.D.4 Term of Contract	II-14
II.E OTHER INFORMATION.....	II-14
II.E.1 Protests.....	II-14
Requirements Protests	II-15
II.E.2 Disposition of Proposals.....	II-16
II.E.3 Contacts for Information	II-16
II.E.4 Loss Leader	II-16
Competitive Bidding and Bid Responsiveness.....	II-17
California Code of Regulations, Title 1, Division 2	II-19
SECTION III Current System	III-1
III.A BUSINESS PROBLEMS OR OPPORTUNITIES.....	III-1
III.B BUSINESS PROGRAM BACKGROUND	III-2
III.B.1 CDE Organization.....	III-2
III.C CURRENT SYSTEM APPLICATIONS	III-4
III.C.1 Overview	III-4
III.C.2 PARIS.....	III-5
III.C.3 Alternative Payment Online Reporting System (APORS) Website	III-5
III.C.4 Microsoft Excel Spreadsheets and Access Databases	III-5
III.D CURRENT BUSINESS PROCESSES	III-6
III.D.1 Agreement Initiation Processes.....	III-6
III.D.1.a Agreement Initiation.....	III-6
III.D.1.b Interim Agreements	III-7
III.D.1.c Agreement Amendments/Revisions.....	III-8
III.D.1.d Tracking	III-8
III.D.1.e Agreement Rollover	III-8
III.D.1.f Agreement Review	III-10
III.D.2 Encumbrance and Accounting Processes	III-10
III.D.2.a Fund Encumbrance.....	III-11
III.D.2.b PARIS Reconciliation with CALSTARS	III-12
III.D.2.c Fund Disencumbrance (Agreement Liquidation Process)	III-12
III.D.3 Payment Authorization, Calculation, and Report Process	III-13
III.D.3.a Reimbursement Calculation	III-13
III.D.3.b Agency Fiscal / Attendance Reporting.....	III-13
III.D.3.c Reimbursement Adjustments.....	III-14
III.D.3.d Reimbursement Withholding.....	III-14
III.D.3.e Billing Request Generation	III-14
III.D.3.f Pay Runs.....	III-15
III.D.3.g Manual Pay Runs	III-16
III.D.4 Agreement Close Out Processes	III-16
III.D.4.a Close Out Preparation.....	III-16
III.D.4.b Audits.....	III-17

III.D.4.c Close Out.....	III-18
III.D.4.d Accounts Receivables and Appeals	III-18
III.D.5 Reporting and Export Processes	III-18
III.E CURRENT DATA STRUCTURE	III-19
III.E.1 Data Inputs and Outputs	III-19
III.E.2 Data Characteristics.....	III-19
III.E.3 Security, Privacy, Confidentiality, and Availability Considerations	III-20
III.F CURRENT TECHNICAL ENVIRONMENT	III-20
III.F.1 Desktop Workstations.....	III-20
III.F.2 Personal Productivity Software.....	III-21
III.F.3 LAN Servers	III-22
III.F.4 Network Infrastructure	III-22
III.F.5 Internet Infrastructure.....	III-23
III.F.6 Application Development and Database Management Software.....	III-23
III.F.7 Internal and External Interfaces	III-25
III.F.8 System Documentation.....	III-25
III.F.9 Data	III-26
III.F.10 Information Security	III-26
SECTION IV Proposed System	IV-1
IV.A BUSINESS OBJECTIVES	IV-1
IV.A.1 Improve system stability and reliability.....	IV-1
IV.A.2 Improve data integrity	IV-1
IV.A.3 Improve system sustainability.....	IV-2
IV.A.4 Improve system and data security.....	IV-2
IV.A.5 Promote good data management practices and adhere to CDE standards	IV-2
IV.A.6 Utilize a robust system and database design	IV-2
IV.A.7 Provide the ability to interface with other systems.....	IV-2
IV.A.8 Improve efficiency.....	IV-3
IV.A.9 Improve data collection.....	IV-3
IV.A.10 Enhance encumbrance processing	IV-3
IV.A.11 Improve customer service and program compliance	IV-4
IV.A.12 Improve data analysis	IV-4
IV.B CONCEPTUAL DESIGN	IV-4
IV.C BUSINESS COMPONENTS OF THE PROPOSED SOLUTION	IV-8
IV.C.1 Agreement Management	IV-8
IV.C.2 Payment Processing.....	IV-8
IV.C.3 Online Agency Reporting	IV-9
IV.C.4 Encumbrance & Accounting	IV-9
IV.C.5 Decision Support Services.....	IV-9
IV.D TECHNICAL COMPONENTS OF THE PROPOSED SOLUTION.....	IV-10
IV.D.1 Technical Environment	IV-10
IV.D.2 Hardware	IV-10
IV.D.3 Integration	IV-11
IV.D.3.a Internal Interfaces.....	IV-11
IV.D.3.b External Interfaces.....	IV-11
IV.D.4 Data Conversion	IV-11
IV.D.5 Testing.....	IV-12
IV.D.5.a Testing Preparation.....	IV-12
IV.D.5.b Unit Testing.....	IV-12
IV.D.5.c System Integration Testing (SIT)	IV-12
IV.D.5.d Performance Testing.....	IV-12

IV.D.5.e User Acceptance Testing	IV-13
IV.D.5.f Post-Implementation Verification	IV-13
IV.D.6 Information Security	IV-13
IV.D.7 Backup and Recovery	IV-14
IV.D.8 Public Access	IV-14
IV.D.9 Expected Operational Life	IV-14
IV.D.10 Availability of Technical Resources	IV-14
IV.E PROJECT MANAGEMENT COMPONENTS OF THE PROPOSED SYSTEM	IV-15
IV.E.1 Project Management Methodology	IV-15
IV.E.2 Application Development Methodology	IV-15
IV.E.3 Training	IV-16
IV.E.3.a CDE Users	IV-16
IV.E.3.b External Users	IV-16
IV.E.3.c CDE Technical Staff	IV-17
IV.E.4 Documentation	IV-17
IV.E.4.a System Documentation	IV-17
IV.E.4.b User Documentation	IV-17
IV.E.5 Ongoing Maintenance and Knowledge Transfer	IV-17
SECTION V Administrative Requirements	V-1
V.A INTRODUCTION	V-1
V.B BIDDER RESPONSIBILITY	V-1
V.B.1 Adherence to OTech Standards (M)	V-1
V.B.2 Adherence to CDE Standards (M)	V-2
V.B.3 Workers' Compensation Insurance (M)	V-2
V.B.4 Commercial General Liability Insurance (M)	V-2
V.B.5 Performance Bond (M)	V-2
V.C DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) PARTICIPATION REQUIREMENT (M)	V-3
V.C.1 DVBE Participation Compliance	V-3
V.C.2 DVBE Incentive	V-4
V.D SMALL BUSINESS PREFERENCE	V-4
V.D.1 Small Business Regulations	V-4
V.D.2 Small Business Nonprofit Veteran Service Agencies (SB/NVSA)	V-4
V.D.3 Small Business and DVBE Certification	V-4
V.E BIDDER DECLARATION FORM (M)	V-5
V.F COMMERCIALLY USEFUL FUNCTION	V-5
V.G SELLER'S PERMIT	V-5
V.H TARGET AREA CONTRACT PREFERENCE ACT (TACPA)	V-6
V.I ENTERPRISE ZONE ACT (EZA)	V-6
V.J LOCAL AGENCY MILITARY BASE RECOVERY ACT (LAMBRA)	V-6
V.K BIDDER'S SUMMARY OF CONTRACT ACTIVITIES AND LABOR HOURS	V-6
V.L MANUFACTURER'S SUMMARY	V-7
V.M CERTIFICATION REGARDING DEBARMENT (M)	V-7
V.N CERTIFICATION REGARDING LOBBYING (M)	V-7
V.O FINAL PROPOSAL CERTIFICATION (M)	V-7
V.P OTHER ADMINISTRATIVE REQUIREMENTS	V-7
V.P.1 Primary Contractor (M)	V-7
V.P.2 Subcontractors	V-8
V.P.3 Third Party COTS	V-8
V.P.4 Equipment (M)	V-9
V.P.5 Contract Contingent on Completion of Special Project Report (SPR) (M)	V-9
V.P.6 Secretary of State (SOS) Status (M)	V-9

V.P.7 Payee Data Record (M)	V-9
SECTION VI Business, Functional, and Technical Requirements	VI-1
VI.A INTRODUCTION	VI-1
VI.B BUSINESS REQUIREMENTS	VI-1
VI.B.1 Bidder Qualifications	VI-2
VI.B.2 Project Team	VI-2
VI.B.3 References	VI-3
VI.B.4 Project Management and Solution	VI-4
VI.B.5 Other Business Requirements	VI-15
VI.B.5.a Payment Terms	VI-15
VI.B.5.b Productive Use Requirements	VI-18
VI.C FUNCTIONAL REQUIREMENTS	VI-19
VI.D TECHNICAL REQUIREMENTS	VI-20
VI.D.1 Service Level Objectives	VI-20
VI.E MANDATORY OPTIONAL REQUIREMENTS	VI-23
SECTION VII Cost Proposal	VII-1
VII.A INTRODUCTION	VII-1
VII.B COST DEFINITIONS	VII-2
VII.B.1 Implementation Costs	VII-2
VII.B.1.a One-Time Hardware Costs	VII-2
VII.B.1.b One-Time Software Costs	VII-2
VII.B.1.c Software Licensing Program	VII-2
VII.B.2 Implementation Services Costs	VII-2
VII.B.3 OTech Services Costs	VII-2
VII.B.4 Additional Hardware, Software, and Services	VII-3
VII.B.5 Mandatory Optional Requirements	VII-3
VII.B.6 One-Year Maintenance	VII-4
VII.B.7 Ongoing Maintenance & Operations	VII-4
VII.B.8 Support Services Rates	VII-4
VII.C COST WORKBOOK INSTRUCTIONS	VII-5
VII.C.1 Cost Workbook Summary (Cost Worksheet D.1)	VII-6
VII.C.2 One-Time Hardware Costs (Cost Worksheet D.2)	VII-7
VII.C.3 One-Time Software Costs (Cost Worksheet D.3)	VII-8
VII.C.4 Deliverables – Cost and Payment Schedule (Cost Worksheet D.4)	VII-9
VII.C.5 OTech Services Costs (Cost Worksheet D.5)	VII-11
VII.C.6 Additional Hardware, Software, and Services Costs (Cost Worksheet D.6)	VII-12
VII.C.7 Mandatory Optional Requirements Costs (Cost Worksheet D.7)	VII-13
VII.C.8 Ongoing Maintenance & Operations Costs – Contract A1 (Cost Worksheet D.8)	VII-14
VII.C.9 Ongoing Maintenance & Operations Costs – Contract A2 (Cost Worksheet D.9)	VII-14
VII.C.10 Support Services Rates (Cost Worksheet D.10)	VII-15
SECTION VIII Proposal Format	VIII-1
VIII.A INTRODUCTION	VIII-1
VIII.B PROPOSAL FORMAT AND CONTENT	VIII-1
VIII.B.1 Proposal Labeling	VIII-1
VIII.B.2 Proposal Organization	VIII-1
VIII.B.2.a Volume I: Response to Requirements	VIII-1
VIII.B.2.b Volume II: Completed Contracts	VIII-2
VIII.B.2.c Volume III: Cost Proposal	VIII-2
VIII.B.2.d Volume IV: Supporting Documentation and Literature	VIII-3

SECTION IX Proposal Evaluation	IX-1
IX.A EVALUATION TEAM	IX-1
IX.B RECEIPT OF PROPOSALS	IX-1
IX.C DRAFT PROPOSAL REVIEW	IX-1
IX.D CONFIDENTIAL DISCUSSIONS	IX-2
IX.E FINAL PROPOSAL EVALUATION	IX-2
IX.E.1 Scoring the Proposal	IX-2
IX.E.1.a Proposal Evaluation Steps	IX-2
IX.E.1.b Documenting the Evaluation	IX-3
IX.E.1.c Points	IX-3
IX.E.1.d Scoring Thresholds	IX-4
IX.E.2 Phase 1: Compliance Review	IX-5
IX.E.3 Phase 2: Scoring of Business, Functional, and Technical Requirements	IX-5
IX.E.3.a Scoring Types	IX-5
IX.E.3.b Step 1: Scoring the Business Requirements: Bidder Qualifications	IX-11
IX.E.3.c Step 2: Scoring the Business Requirements: Project Team	IX-11
IX.E.3.d Step 3: Conducting Reference Checks and Scoring the Business Requirements: References	IX-11
IX.E.3.e Step 4: Scoring the Business Requirements: Project Management and Solution	IX-14
IX.E.3.f Step 5: Scoring the Business Requirements: Other	IX-15
IX.E.3.g Step 6: Scoring the Functional Requirements	IX-15
IX.E.3.h Step 7: Scoring the Technical Requirements	IX-15
IX.E.3.i Step 8: Evaluating the Scoring Thresholds	IX-15
IX.E.3.j Step 9: Totaling the Bidder Requirements Points	IX-18
IX.E.3.a Step 10: Calculation of the Bidder Requirements Score	IX-19
IX.E.4 Phase 3: Evaluation of Cost Proposal	IX-20
IX.E.4.a Cost Analysis	IX-20
IX.E.4.b Step 1: Cost Proposal Screening	IX-20
IX.E.4.c Step 2: Calculation of the Bidder Cost Score	IX-20
IX.E.4.d Step 3: Calculation of the Bidder Proposal Score	IX-21
IX.E.5 Phase 4: Evaluation of Preference Claims and DVBE Incentive	IX-22
IX.E.5.a Step 1: Evaluation of Small Business Preference Claim	IX-22
IX.E.5.b Step 2: Evaluation of DVBE Incentive Claim	IX-24
IX.E.6 Phase 5: Calculation of the Bidder Final Score	IX-25
IX.F SELECTION OF CONTRACTOR AND INTENT TO AWARD	IX-26
IX.G BIDDER CHECKLISTS	IX-26
SECTION X Demonstration	X-1

TABLE OF EXHIBITS

Exhibit II-1 Competitive Bidding and Bid Responsiveness	II-17
Exhibit II-2 California Code of Regulations, Title 1, Division 2	II-19
Exhibit VI-1 Deliverable Payment Schedule Guidelines	VI-16
Exhibit IX-1 Format Compliance Checklist	IX-27
Exhibit IX-2 Bidder Qualifications Checklist	IX-34
Exhibit IX-3 Project Team Checklist	IX-41
Exhibit IX-4 References Checklist	IX-56
Exhibit IX-5 Project Management and Solution Checklist	IX-59
Exhibit IX-6 Other Checklist	IX-65
Exhibit IX-7 Functional Requirements Checklist	IX-76
Exhibit IX-8 Technical Requirements Checklist	IX-83

TABLE OF FIGURES

Figure III-1 CDE Organization Chart	III-3
Figure III-2 FASD Agreement Management and Payment Processing Systems and Entities	III-4
Figure IV-1 Conceptual Model of Proposed Solution	IV-6
Figure VII-1 D.1 Cost Workbook Summary	VII-6
Figure VII-2 D.2 Hardware Costs	VII-7
Figure VII-3 D.3 Software Costs	VII-8
Figure VII-4 D.4 Deliverables – Cost and Payment Schedule	VII-9
Figure VII-5 D. 5 OTech Services Costs	VII-11
Figure VII-6 D. 6 Additional Hardware, Software, and Services Costs	VII-12
Figure VII-7 D.7 Mandatory Optional Requirements Costs	VII-13
Figure VII-8 D.8 Ongoing Maintenance & Operations Costs by Year – Contract A1	VII-14
Figure VII-9 D.9 Ongoing Maintenance & Operations Costs by Year - Contract A2	VII-14
Figure VII-10 D.10 Support Services Rates	VII-15

TABLE OF TABLES

Table I-1 Key Action Dates	I-4
Table III-1 Child Care and Development Program Accounting Systems	III-11
Table III-2 Agreement Close Out Cover Letters	III-17
Table III-3 Desktop Workstation Standards	III-21
Table III-4 Personal Productivity Software Standards.....	III-22
Table III-5 LAN Server Standards.....	III-22
Table III-6 Application Development and Database Management Software Standards.....	III-24
Table III-7 End User Software Tools Standards.....	III-25
Table IV-1 Anticipated Changes in Equipment, Software, and Operating Environment	IV-7
Table IV-2 Sample PARI\$ Hardware.....	IV-10
Table VI-1 Project Team Roles and Responsibilities	VI-3
Table VI-2 Required Project Deliverables	VI-5
Table VI-3 Customer-In-Use	VI-18
Table VI-4 Service Level Objectives.....	VI-21
Table IX-1 Requirements Scoring Key.....	IX-7
Table IX-2 Example #1 Scoring Method 1.....	IX-8
Table IX-3 Example #2 Scoring Method 2.....	IX-8
Table IX-4 Example #3 Scoring Method 3.....	IX-9
Table IX-5 Example #4 Requirements with Multiple Evaluation Components	IX-10
Table IX-6 Bidder Reference Satisfaction Index Rating Factors.....	IX-13
Table IX-7 Team Member Reference Satisfaction Index Rating Factors	IX-14
Table IX-8 Example #5 Evaluating the Scoring Thresholds	IX-17
Table IX-9 Bidder Total Requirements Points Formula.....	IX-18
Table IX-10 Example #6 Bidder Total Requirements Points Calculation.....	IX-19
Table IX-11 Bidder Requirements Score Formula.....	IX-19
Table IX-12 Example #7 Bidder Requirements Score Calculation	IX-20
Table IX-13 Bidder Cost Score Formula	IX-21
Table IX-14 Scoring Example #6 Bidder Cost Score Calculation	IX-21
Table IX-15 Bidder Proposal Score Formula	IX-22
Table IX-16 Scoring Example #7 Bidder Proposal Score Calculation.....	IX-22
Table IX-17 Scoring Example #8 Small Business Preference Points Calculation.....	IX-24
Table IX-18 DVBE Incentive Points Methodology	IX-24
Table IX-19 Scoring Example #9 DVBE Incentive Points Calculation	IX-25
Table IX-20 Bidder Final Score Formula	IX-25
Table IX-21 Scoring Example #10 Bidder Final Score Calculation.....	IX-26

This page intentionally left blank.

Section I Introduction and Overview of Requirements

I.A PURPOSE OF THIS REQUEST FOR PROPOSAL

The purpose of this Request for Proposal (RFP) is to solicit Proposals from qualified firms to implement a business-based Provider Accounting and Reporting Information System (PARI\$) to replace the existing inadequate, outdated, unreliable, and unsupportable Provider Accounting and Reporting Information System (PARIS). The existing PARIS is used in conjunction with multiple standalone systems and manual processes to administer agreements and payments to approximately 900 child care and development agencies statewide. The new PARI\$ solution will consolidate all of those functions in a single system and introduce new functionality to streamline agreement management and payment processing and significantly improve customer service to agencies. The solution will include a web-based application and database that the California Department of Education (CDE) users will access through the CDE Intranet when onsite, or via the Internet when working remotely. The system will also allow child care and development agencies to submit attendance, fiscal, and caseload reports and review agreement and payment status via the Internet. Pertinent data from the current PARIS database will be converted to the new PARI\$ along with data from various standalone Microsoft Access databases and Excel spreadsheets.

I.B PROJECT SCOPE

The scope of this project is the implementation of a comprehensive PARI\$ and its underlying computing technology. The proposed solution centers on the replacement of the existing PARIS application with a new PARI\$ application that also integrates the functionality of the various other standalone spreadsheets and databases currently used to support agreement management and payment processing functions. New functionality will streamline these processes and significantly improve customer service to child care and development agencies. PARI\$ will be a web-based application and database that will interface with several internal and external systems.

The scope of this RFP includes the implementation and maintenance of the total PARI\$ solution. The Contractor's role on this project will include all tasks and activities required to integrate the PARI\$ solution and to meet all other requirements embodied in this RFP, including project management, analysis, design, development, testing, data conversion, implementation, knowledge transfer, and maintenance. The scope includes the development of training materials and requires the selected Bidder to conduct training of end user and technical support personnel. The scope also includes the configuration of the underlying technology platform, and coordination with other entities, including the Office of Technology Services (OTech), formerly

the Department of Technology Services (DTS), in the implementation of the proposed solution. The Bidder will also be responsible for providing one (1) year of maintenance for the PARIS solution during the warranty period. During this period, the Contractor will transfer detailed knowledge to the CDE staff, which will maintain the system following the one-year maintenance period.

I.C SCOPE OF THE RFP AND BIDDER ADMONISHMENT

This RFP is being conducted under the policies developed by the Department of General Services (DGS) as provided under Public Contract Code Section 12102 et seq. This RFP contains the instructions governing the requirements for a firm quotation to be submitted by interested Bidders. The format in which Proposal information is to be submitted and the material to be included therein follows. This RFP also addresses the requirements that Bidders must meet to be eligible for consideration, as well as addressing Bidders' responsibilities before and after installation or services delivered.

IF BIDDER EXPECTS TO BE AFFORDED THE BENEFITS OF THE STEPS INCLUDED IN THIS RFP, THE BIDDER MUST TAKE THE RESPONSIBILITY TO:

- **CAREFULLY READ THE ENTIRE RFP;**
 - **IF CLARIFICATION IS NECESSARY, ASK APPROPRIATE QUESTIONS IN A TIMELY MANNER;**
 - **SUBMIT ALL REQUIRED RESPONSES, COMPLETE TO THE BEST OF BIDDERS ABILITY, BY THE REQUIRED DATES AND TIMES;**
 - **MAKE SURE THAT ALL PROCEDURES AND REQUIREMENTS OF THE RFP ARE ACCURATELY FOLLOWED AND APPROPRIATELY ADDRESSED; AND**
 - **CAREFULLY REREAD THE ENTIRE RFP BEFORE SUBMITTING A PROPOSAL.**
-

I.D BIDDERS' LIBRARY

The State will make available a library containing reference documentation Bidders may review and use to prepare their Proposal (see APPENDIX E BIDDERS' LIBRARY). The Bidders' Library can be accessed using the following URL:

<ftp://ftp.cde.ca.gov/parisbl/>

I.E AVAILABILITY

The equipment and software proposed to meet the requirements of this RFP must be installed at OTech and be fully operational on or before the Ready-for-Use Date(s) specified in Section I.G KEY ACTION DATES.

I.F PROCUREMENT OFFICIAL

The Procurement Official and the mailing address to send requests for documentation, Proposals, questions, or copies of protests is:

DGS Procurement Official:	Amrit Dhillon
Title:	TAB Acquisitions Specialist
Mailing Address:	DGS-Procurement Division Technology Acquisitions Branch (TAB) 707 Third Street, 2nd Floor West Sacramento, CA 95605
Phone:	(916) 375-4591
Fax:	(916) 375-4505
Email:	Amrit.Dhillon@dgs.ca.gov

I.G KEY ACTION DATES

Listed below in Table I-1 Key Action Dates are the important actions and dates and times by which the actions must be taken or completed. If the State finds it necessary to change any of these dates, it will be accomplished via an addendum to this RFP. **OTHER THAN INSTALLATION (READY-FOR-USE) DATE, ALL DATES AFTER THE FINAL PROPOSAL SUBMISSION DEADLINE ARE APPROXIMATE AND MAY BE ADJUSTED AS CONDITIONS INDICATE, WITHOUT ADDENDUM TO THIS RFP.**

Table I-1 Key Action Dates

KEY ACTION DATES		
ITEM	ACTION	DATE/TIME
1.	Release of RFP	05/13/10
2.	Last day to submit Letter of Intent and signed Confidentiality Statement (see APPENDIX B FORM I.1 LETTER OF INTENT TO SUBMIT A PROPOSAL AND EXHIBIT A-4 CONFIDENTIALITY STATEMENT)	06/14/10
3.	First round of Bidder Questions due	06/28/10
4.	Last day to request meeting with OTech	07/13/10
5.	Last day to request a change in the requirements of the RFP *	07/27/10
6.	Last day to Protest RFP requirements	08/10/10
7.	Submission of Draft Proposals	08/31/10 2:00 pm PDT
8.	Confidential Discussions with individual Bidders	#
9.	Second round of Bidder Questions due	09/17/10
10.	Submission of Final Proposals	10/28/10 no later than 2:00 pm PDT
11.	Public Cost Opening	11/30/10 2:00 pm PDT
12.	Notification of Intent to Award	01/11/11
13.	Last day to Protest Selection**	01/12/11 5:00 pm PDT
14.	Special Project Report Completion	02/23/11
15.	Contract Award and Execution	03/28/11
16.	Installation (Ready-for-Use Date)	07/20/12

* Or five (5) State business days following the last Addendum that changes the requirements of the RFP

** See Section II.E.1Protests.

Dates TBD when the number of Bidders is known

I.H INTENT TO SUBMIT A PROPOSAL

Bidders that want to participate in the RFP should submit a Letter of Intent on this procurement. Only those Bidders acknowledging interest in this RFP will receive correspondence throughout this procurement. The letter should identify the contact person for the solicitation process, and include an email address and phone and fax numbers. The State is responsible for notifying one (1) contact person per Bidder. Information related to a Bidder will be given to the designated contact person. It shall be the Bidder's responsibility to immediately notify the Procurement Official identified in Section I.F PROCUREMENT OFFICIAL, in writing, regarding any

revision to the information. The State shall not be responsible for Proposal correspondence not received by the Bidder if the Bidder fails to notify the State, in writing, about any change pertaining to the designated contact person. A sample Letter of Intent is provided in APPENDIX B FORM I.1 LETTER OF INTENT TO SUBMIT A PROPOSAL.

I.I ELECTRONIC COPY OF RFP AVAILABLE

An electronic copy of this RFP is available to all Bidders to assist with their preparation of the Proposal and is available at the State eProcurement website at:

<http://www.eprocure.dgs.ca.gov>

The RFP and associated appendices are available in Adobe PDF format. In addition, several sections of the RFP are available in Microsoft Word and Microsoft Excel format to assist in the preparation of the Proposal responses. While this RFP is available electronically, the State reserves the right to refer to their master paper copy of the RFP, which will be used to resolve any and all discrepancies in the content of the RFP.

I.J AMERICANS WITH DISABILITIES ACT (ADA)

To comply with the nondiscrimination requirements of 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 modification to participate in the procurement process, or for persons having questions regarding reasonable modifications of the procurement process, you may contact the Procurement Official identified in Section I.F PROCUREMENT OFFICIAL. 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 TEN (10) STATE BUSINESS DAYS BEFORE THE SCHEDULED EVENT (e.g., MEETING, CONFERENCE, WORKSHOP, etc.) OR DEADLINE DUE DATE FOR PROCUREMENT DOCUMENTS.

The Procurement Division Text Telephone (TTY) telephone numbers are:

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

This page intentionally left blank.

Section II Rules Governing Competition

II.A IDENTIFICATION AND CLASSIFICATION OF RFP REQUIREMENTS

II.A.1 Requirements

The State has established certain requirements with respect to Proposals to be submitted by prospective Contractors. The use of "shall," "must," or "will" (except to indicate simple futurity) in this RFP indicates a requirement or condition that is mandatory. A deviation, if not material, may be waived by the State. A deviation from a requirement is material if the deficient response is not in substantial accord with the RFP requirements, provides an advantage to one Bidder over other Bidders, or has a potentially significant effect on the delivery, quantity or quality of items proposed, on the amount paid to the supplier, or on the cost to the State. Material deviations cannot be waived.

II.A.2 Desirable Items

The words "should" or "may" in the RFP 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 Proposal.

II.B PROPOSAL REQUIREMENTS AND CONDITIONS

II.B.1 General

This RFP, 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 information technology (IT) goods and services by public bodies in the State of California. A Bidder's Final Proposal is an irrevocable offer for 180 calendar days following the scheduled date for Contract Award specified in Section I.G KEY ACTION DATES. A Bidder may extend the offer in the event of a delay of Contract Award.

II.B.2 RFP Documents

This RFP includes, in addition to an explanation of the State's needs, which must be met, instructions that prescribe the format and content of Proposals to be submitted. The State's contract has been identified in APPENDIX A STATE CONTRACTS.

If a Bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Bidder shall immediately notify the Procurement Official identified in Section I.F

PROCUREMENT OFFICIAL of such error in writing and request clarification or modification of the document.

Modifications will be made by addenda issued pursuant to Section II.B.7 Addenda, below. Such clarifications shall be provided to all parties that have identified themselves as Bidders to the Procurement Official identified in Section I.F PROCUREMENT OFFICIAL for this RFP, 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 RFP contains an error known to the Bidder, or an error that reasonably should have been known, the Bidder shall propose at its own risk. If the Bidder fails to notify the State of the error prior to the date fixed for submission of Proposals, 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.B.3 Examination of the Work

The Bidder should carefully examine the entire RFP and any addenda thereto, and all related materials and data referenced in the RFP 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 are listed in Section V [Administrative Requirements](#) and/or Section VI [Business, Functional, and Technical Requirements](#).

II.B.4 Questions and Requirement Changes Regarding the RFP

Bidders requiring clarification of the intent or content of this RFP or on procedural matters regarding the competitive Proposal process may request clarification by submitting questions, in an email or envelope clearly marked "Questions Relating to RFP CDE 6110-98" to the Procurement Official listed in Section I.F PROCUREMENT OFFICIAL. To ensure a response, questions must be received in writing by the scheduled date(s) given in Section I.G KEY ACTION DATES. 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.

A Bidder who desires clarification or further information on the content of the RFP, but whose questions relate to the proprietary aspect of that Bidder's Proposal and which, if disclosed to other Bidders, would expose that Bidder's Proposal, 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.G KEY ACTION DATES 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 Proposal, the question will be answered and both the question and answer will be kept in confidence only to the extent necessary to protect

the proprietary information. 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 RFP 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 RFP 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 Department Official by the date specified in Section I.G KEY ACTION DATES for submitting a request for change. **Oral answers shall not be binding on the State.**

II.B.5 Bidders' Conference and Questions

No Bidders' Conference will be held for this procurement. Written questions received prior to the cutoff dates for submission of such questions, as noted in Section I.G KEY ACTION DATES, will be answered in writing without divulging the source of the query.

II.B.6 Supplier's Intention to Submit a Proposal

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

- a. Intends to submit a Proposal and has no problem with the RFP requirements.
- b. Intends to submit a Proposal, but has one or more problems with the RFP requirements for reasons stated in this response.
- c. Does not intend to submit a Proposal, for reasons stated in this response, and has no problem with the RFP requirements.
- d. Does not intend to submit a Proposal because of one or more problems with the RFP requirements for reasons stated in this response.

If a supplier intends to submit a Proposal, the letter should include additional information identified in Section I.H INTENT TO SUBMIT A PROPOSAL. If suppliers have indicated significant problems with the RFP 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 RFP 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 RFP unnecessarily restrict its ability to propose, the supplier is allowed five (5) State business days to submit a protest to those RFP

requirements or the State's action, according to the instructions contained in Section II.E.1 Protests.

Hereafter, for the purposes of the instructions of this RFP, all suppliers who have indicated their intent to submit a Final Proposal 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 Proposal 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.

II.B.7 Addenda

The State may modify the RFP prior to the date fixed for Contract Award by issuance of an addendum. Addenda will be numbered consecutively. If any Bidder determines that an addendum unnecessarily restricts its ability to propose, the supplier is allowed five (5) State business days to submit a protest to the addendum according to the instructions contained in Section II.E.1 Protests.

II.B.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.B.9 Bonds

The State reserves the right to require a performance bond. If a performance bond is required, it will be specified in Section V.B.5 Performance Bond (M).

II.B.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.B.11 Joint Proposals

Joint Proposals (two or more Bidders quoting jointly on one Proposal) may not be submitted for this procurement.

II.B.12 Air or Water Pollution Violations

Unless the Contract is less than \$25,000 or awarded via a non-competitively bid process, Government Code Section 4477 prohibits the State from contracting with a person, including a corporation or other business association, who is in violation of any order or federal resolution promulgated by the State Air Resources Board or an air or water pollution control district, or is subject to a cease and desist order issued under Water Code Sections 13260-13274 for violation of waste discharge requirement or discharge prohibitions, or is determined to be in violation of federal law relation to air or water pollution. Government Code Section 4481 requires the State Water Resources Control Board and the Air Resources Board to notify State agencies of such persons.

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(s) of the proposed award and afford the Board the opportunity to advise the State whether the intended awardee is such a person.

No award will be made to a person who is identified as a person in violation of State or Federal air or water pollution control laws.

II.B.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.B.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.B.15 Seller's Permit

This RFP 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 RFP, 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 Proposal to be considered nonresponsive and the Proposal rejected.

II.B.16 Disclosure of Financial Interests

Proposals 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 (e.g., service contract, Original Equipment Manufacturer (OEM) agreements, remarketing agreements, etc.) that may foreseeably allow the individual or organization submitting the Proposal 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 Proposal.

II.B.17 Unfair Practices Act and Other Laws

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

II.C BIDDING STEPS

II.C.1 General

The procurement process to be used in this acquisition is composed only of a Final Phase. The Final Proposal is a mandatory step for all Bidders; Draft Proposals 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 Proposal. Cost submitted in any submission other than the Final Proposal may preclude the Bidder from continuing in the process.

II.C.2 Compliance Phase

The Compliance Phase is not applicable to this procurement.

II.C.3 Final Phase

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

II.C.3.a Draft Proposal

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

The Draft Proposal must be complete in every respect as required by the RFP Section VIII [Proposal Format](#), except cost. **The inclusion of cost information in the Draft Proposal may be a basis for rejecting the Proposal and notifying the Bidder that further participation in the procurement is prohibited.**

Review of the Draft Proposal by the State will include Confidential Discussions with individual Bidders and will provide feedback to the Bidder prior to submittal of the Final Proposal. In the Confidential Discussions the State will notify the Bidder of any deviations it has detected in the Draft Proposal, or of the fact that it did not detect any such deviations. Such notification is intended to minimize the risk that the Final Proposal will be deemed defective; however **the State does not provide any warranty that all deviations have been detected and that such notification does not preclude rejection of the Final Proposal if such deviations are later found.**

If the State finds it necessary, the State may call for revised Draft Proposal 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 PROPOSAL IF SUCH DEFECTS ARE LATER FOUND.

II.C.3.b Final Proposal

The Final Proposal 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. If required in the RFP Section VIII [Proposal Format](#), cost data (as identified in the above referenced section) must be submitted under separate, sealed cover. CHANGES THAT APPEAR IN THE FINAL PROPOSAL, OTHER THAN CORRECTION OF DEFECTS, INCREASE THE RISK THAT THE FINAL PROPOSAL MAY BE FOUND DEFECTIVE.

II.C.4 Confidentiality

Final Proposals are public upon opening; however, the contents of all Proposals, Draft Proposals, correspondence, agenda, memoranda, working papers, or any other medium that discloses any aspect of a Bidder's Proposal 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 Proposal 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 Proposal 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 Proposal. Any disclosure of confidential information by the Bidder is a basis for rejecting the Bidder's Proposal 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.

NOTE: A Proposal marked "Confidential" or "Proprietary" may be rejected and does not keep that document from being released as part of the public record following issuance of the Notice of Intent to Award for formal Proposals or award of informal Proposals. In order to prevent the release of documents marked "confidential" or "proprietary," it is the Bidder's responsibility to obtain a court order that directs the State not to release the document.

II.C.5 Submission of Proposals

The instructions contained herein apply to the Final Proposal. They also apply to the Draft Proposal, except as noted.

II.C.5.a Preparation

Proposals are to be prepared in such a way as to provide a straightforward, concise delineation of capabilities to satisfy the requirements of this RFP. Expensive bindings, colored displays, promotional materials, etc., are not necessary or desired. EMPHASIS SHOULD BE CONCENTRATED ON CONFORMANCE TO THE RFP INSTRUCTIONS, RESPONSIVENESS TO THE RFP REQUIREMENTS, AND ON COMPLETENESS AND CLARITY OF CONTENT.

As stated above, the State's evaluation of Draft Proposals 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 RFP requirements.

II.C.5.b Bidder's Cost

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

II.C.5.c Completion of Proposals

Proposals must be complete in all respects as required by the RFP Section VIII [Proposal Format](#). A Final Proposal 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 Proposal must be rejected if any such defect or irregularity constitutes a material deviation from the RFP requirements. The Final Proposal must contain all costs required by the RFP Section VII [Cost Proposal](#) and Section VIII [Proposal Format](#), 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. Cost data (as identified in the above referenced Section) must be submitted under separate, sealed cover. Draft Proposals must contain all information required in the Final Proposal except cost. Exhibit II-1 Competitive Bidding and Bid Responsiveness at the end of this Section emphasizes the requirements of competitive bidding and contains examples of common causes for rejection of Proposals. Bidders are encouraged to review this exhibit.

II.C.5.d False or Misleading Statements

Proposals 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 Proposal and the attribute, condition, or capability is a requirement of this RFP/IFB, it will be the basis for rejection of the Proposal.

II.C.5.e Signature of Proposals

A cover letter (which shall be considered an integral part of the Final Proposal) and Standard Agreement Form 213 (if directed in APPENDIX A, STATE CONTRACTS) 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 Proposal shall be rejected.

The Draft Proposal must also contain the cover letter and STD 213, or a form included in the solicitation, similarly prepared, including the title of the person who will sign, but need not contain the signature.

II.C.5.f Delivery of Proposals

Mail or deliver Proposals to the Department Official listed in Section I.F PROCUREMENT OFFICIAL. If mailed, it is suggested that Bidder 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.

Proposals must be received in the number of copies stated in the RFP Section VIII [Proposal Format](#) and not later than the dates and times specified in Section I.G KEY ACTION DATES and in the individual schedules provided the Bidders. One copy must be clearly marked "Master Copy." All copies of Proposals must be under sealed cover, which is to be plainly marked "DRAFT PROPOSAL," or "FINAL PROPOSAL" for "RFP [CDE 6110-98](#). Also, the sealed cover (envelope) of all submittals, except the Final Proposal, should be clearly marked "CONFIDENTIAL," and shall state the scheduled date and time for submission. Bidders should be aware that marking the Final Proposal "confidential" or "proprietary" may exclude it from consideration for award. Proposals not submitted under sealed cover will be returned for sealing. Final Proposals not received by the date and time specified in Section I.G KEY ACTION DATES, or not sealed, will be rejected. **If required in Section VIII [Proposal Format](#), all cost data (as identified in the above referenced section) must be submitted under separate, sealed cover and clearly marked "COST PROPOSAL FOR RFP CDE 6110-98" and shall clearly state the scheduled date and time for submission. If cost data is not submitted in this manner, the Proposal will be rejected.** Proposals submitted under improperly marked covers may be rejected. If discrepancies are found between two or more copies of the Proposal the Proposal 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 Proposal is not clearly marked "Master Copy," the State may reject the Proposal; however, the State may at its sole option select, immediately after Proposal opening, one copy to be used as the Master Copy.

II.C.5.g Withdrawal and Resubmission/Modification of Proposals

A Bidder may withdraw its Draft Proposal at any time by written notification. A Bidder may withdraw its Final Proposal at any time prior to the Proposal submission date and time specified in Section I.G KEY ACTION DATES by submitting a written notification of withdrawal signed by the Bidder authorized in accordance with Section II.C.5.e Signature of Proposals. The Bidder may thereafter submit a new or modified Proposal prior to such Proposal submission date and time. Modification offered in any other manner, oral or written, will not be considered. Other than as allowed by law, Final Proposals cannot be changed or withdrawn after the date and time designated for receipt, except as provided in Section II.C.7.d Errors in the Final Proposal.

II.C.6 Rejection of Proposals

The State may reject any or all Proposals and may waive any immaterial deviation or defect in a Proposal. The State's waiver of any immaterial deviation or defect shall in no way modify the RFP documents or excuse the Bidder from full compliance with the RFP specifications if awarded the Contract.

II.C.7 Evaluation and Selection Process

II.C.7.a General

Proposals will be evaluated according to the procedures contained in the RFP Section IX [Proposal Evaluation](#). Special instructions and procedures apply to Draft Proposals.

II.C.7.b 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 Proposals, the State may ask the Bidder to clarify their submitted information but will not allow the Bidder to change their Proposal.

II.C.7.c Demonstration

This procurement does not include a demonstration.

II.C.7.d Errors in the Final Proposal

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

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

- (1) If the Bidder's intent is clearly established based on review of the complete Final Proposal 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 Proposal submittal the Master Copy shall have priority over additional copies, the Proposal narrative shall have priority over the Contract, the Contract shall have priority over the cost sheets, and 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 Proposal submittal.
- (a) If an item is described in the narrative and omitted from the Contract and cost data provided in the Proposal 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 Proposal and is essential to satisfactory performance, the Proposal 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 Proposal, the Proposal 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 Proposal, or at its sole option, recompute such costs based on instructions contained in the RFP.

If the recomputations or interpretations, as applied in accordance with Section II.D CONTRACTUAL INFORMATION, 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 Proposal.

IT IS ABSOLUTELY ESSENTIAL THAT BIDDERS CAREFULLY REVIEW THE COST ELEMENTS IN THEIR FINAL PROPOSAL, 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 System](#) and the specific technical requirements set forth in Section VI [Business, Functional, and Technical Requirements](#) is detected after the opening of Proposals, Section VI [Business, Functional, and Technical Requirements](#), and the Bidder's response thereto, shall have priority over Section IV [Proposed System](#), and the Bidder's response thereto. Refer to Section II.B.2 RFP Documents 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 Proposal to be a Draft Proposal in the event that the State determines that Final Proposals from all Bidders contain material

deviations. Bidders may not protest the State's determination that all Proposals have material deviations. If all Proposals are declared noncompliant, the State may issue an addendum to the RFP. 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 Proposal to the State. This submission must conform to the requirements of the original RFP as amended by any subsequent addenda. The new Final Proposals will be evaluated as required by SECTION IX, [Proposal Evaluation](#).

II.C.8 Award of Contract

Award of contract, if made, will be in accordance with the RFP SECTION IX, [Proposal Evaluation](#) to a responsive Bidder whose Final Proposal complies with all the requirements of the RFP documents and any addenda thereto, except for such immaterial defects as may be waived by the State. Award, if made, will be made within forty-five (45) calendar days after the scheduled date for Contract Award specified in Section I.G KEY ACTION DATES; however, a Bidder may extend the offer beyond 45 calendar days in the event of a delay of Contract Award.

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

Written notification of the State's intent to award will be made to all Bidders submitting a Final Proposal. If a Bidder, having submitted a Final Proposal, can show that its Proposal, instead of the Proposal selected by the State, should be selected for Contract Award according to the rules of Section II.C.7 Evaluation and Selection Process, the Bidder will be allowed one (1) State business day to submit a Notice of Intent to Protest, according to the instructions contained in Section II.E.1 Protests.

II.C.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 Proposal. A debriefing is not the forum to challenge the RFP specifications or requirements.

II.D CONTRACTUAL INFORMATION

II.D.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 RFP are included in the RFP.

II.D.2 Specific Terms and Conditions

Not applicable to this procurement.

II.D.3 Approval of Proposed Contract

Not applicable to this procurement.

II.D.4 Term of Contract

The State intends to retain the required goods and services for at least the period specified elsewhere in this RFP. 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 RFP 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 Proposal.

II.E OTHER INFORMATION

II.E.1 Protests

This procurement is being conducted under the provisions of the Alternative Protest Process (Public Contract Code Section 12125, et seq.) By submitting a Proposal 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. The link to the regulations 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 DGS, Procurement Division and sent via facsimile to any Bidder who submits a written request for notice and provided a facsimile number.

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

1. For major IT acquisitions – that there was a violation of the solicitation procedure(s) and that the protesting Bidder's Proposal should have been selected; or
2. For any other acquisition – that the protesting Bidder's Proposal 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 first State business day after issuing the notice of intent, as specified in the solicitation. Failure to submit a timely, written Notice of Intent to Protest waives the 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) State business 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: bond amount for this Alternative Protest Process shall be 10 percent of the Contract amount as specified in the solicitation. See California Code of Regulations, Title 1, Section 1418.

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 DGS, Procurement Division, whose decision will be final. Before a requirements protest is submitted, the Bidder should make full and timely use of the procedures described in Section II.B.4 Questions and Requirement Changes Regarding the 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 Proposal 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 RFP 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.G KEY ACTION DATES for such protests. Requirements protests must be mailed or delivered to:

Street Address:
Deputy Director
Procurement Division
707 Third Street, 2nd Floor
West Sacramento, CA
95605

Mailing Address:
Deputy Director
Procurement Division
P.O. Box 989052
Sacramento, CA 95798-9052

II.E.2 Disposition of Proposals

All materials submitted in response to this RFP 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 Proposal shall be retained for official files and will become a public record after the Notification of Intent to Award as specified in Section I.G KEY ACTION DATES. However, materials that the State considers confidential information (such as confidential financial information submitted to show Bidder responsibility) will be returned upon request of the Bidder.

II.E.3 Contacts for Information

Bidders may contact the Procurement Official listed in Section I.F PROCUREMENT OFFICIAL with any questions or requests for additional information regarding this RFP.

II.E.4 Loss Leader

It is unlawful for any person engaged in business within this State to sell or use any article or product as a "loss leader" as defined in Section 17030 of the Business and Professions Code.

Loss leader" is defined in Section 17030 of the Business and Professions Code as any article or product sold at less than cost: (a) Where the purpose is to induce, promote or encourage the purchase of other merchandise; or (b) Where the effect is a tendency or capacity to mislead or deceive purchasers or prospective purchasers; or (c) Where the effect is to divert trade from or otherwise injure competitors.

Exhibit II-1 Competitive Bidding and Bid Responsiveness**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 RFP.

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. Request 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 RFP, prior to the date fixed for Contract Award, by issuance of an addendum to all parties who are Bidders.
3. To have a valid Proposal, the Proposal must respond and conform to the invitation, including all the documents that are incorporated therein. A Proposal that does not literally comply may be rejected.
4. For a variance between the RFP and the Proposal to be such as to preclude acceptance (the Proposal 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 Proposals in the best interests of the State. Proposals cannot, however, be selectively rejected without cause.
6. Proposals 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 Proposal, 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 Proposals become public documents.
8. Proposals 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 RFP includes a provision, to be incorporated in the Contract awarded, providing for such amendment.

Exhibit II-1 (Continued)

Since competitive procurement became the required method for securing certain IT goods or services, the State has received a number of Proposals which were deemed to be nonresponsive to the RFP or which could not be considered as valid Proposals within the competitive bidding procedures. Nonresponsive Proposals or Proposals that 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 Proposals. These examples are listed to assist potential Bidders in submission of responsive Proposals.

1. A Proposal stated, "The prices stated within are for your information only and are subject to change."
2. A Proposal 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 Proposal submittal date.)
3. A Proposal for lease of IT equipment contained lease plans of a duration shorter than that which had been requested in the 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 Proposal stated, "This Proposal is not intended to be of a contractual nature."
6. A Proposal contained the notation "prices are subject to change without notice."
7. A Proposal was received for the purchase of IT equipment with unacceptable modifications to the Purchase Contract.
8. A Proposal for lease of IT equipment contained lease plans of a duration longer than that which had been requested in the RFP with no provision for earlier termination of the contract.
9. A Proposal 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 Proposal was delivered to the wrong office.
11. A Proposal was delivered after the date and time specified in the RFP.
12. An RFP required the delivery of a performance bond covering 25 percent of the proposed contract amount. The Proposal offered a performance bond to cover "x" dollars which was less than the required 25 percent of the proposed contract amount.
13. A Proposal did not meet contract goal for DVBE.
14. A Proposal appeared to meet contract goal for DVBE participation with the dollars submitted, but the supplier had miscalculated the Proposal 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.

Exhibit II-2 California Code of Regulations, Title 1, Division 2

California Code of Regulations, Title 1, Division 2

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 12125-12129)) 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 12125-12129) 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).

Section III Current System

III.A BUSINESS PROBLEMS OR OPPORTUNITIES

Changes to Federal and State legislation and program guidelines impacting CDE have occurred annually since PARIS was implemented. As a result, the program's business needs have incrementally advanced beyond the basic functions originally programmed into PARIS. CDE has been unable to readily modify PARIS to address many of these additional business needs. As a result, the number of paper-intensive, manual processes has increased substantially. The lack of functionality has also helped increase the proliferation of secondary spreadsheets and databases that use extracts of data from PARIS.

By replacing PARIS, numerous opportunities exist to improve program operations, enhance oversight, and dramatically improve customer service. The goal of the proposed solution is to address the following 13 major findings:

1. PARIS is increasingly unstable and unreliable;
2. PARIS data lacks integrity;
3. The software platform supporting PARIS is out-of-date and no longer supported by Microsoft;
4. Microsoft Visual FoxPro does not provide adequate data security;
5. PARIS does not conform to current CDE technical standards and data management practices;
6. PARIS is difficult to maintain, repair, and enhance;
7. There is no ability to audit data or system activity;
8. The current PARIS will not interface with the planned state-wide Financial Information System for California (FI\$Cal) system and with other critical systems without major system modification;
9. PARIS requires redundant manual processes;
10. PARIS is incapable of collecting critical required data;
11. PARIS is incapable of meeting the Fiscal and Administrative Services Division's (FASD's) encumbrance needs;
12. PARIS does not allow providers to submit reports or view agreement and payment information through the Internet; and
13. PARIS has limited reporting and extract functionality.

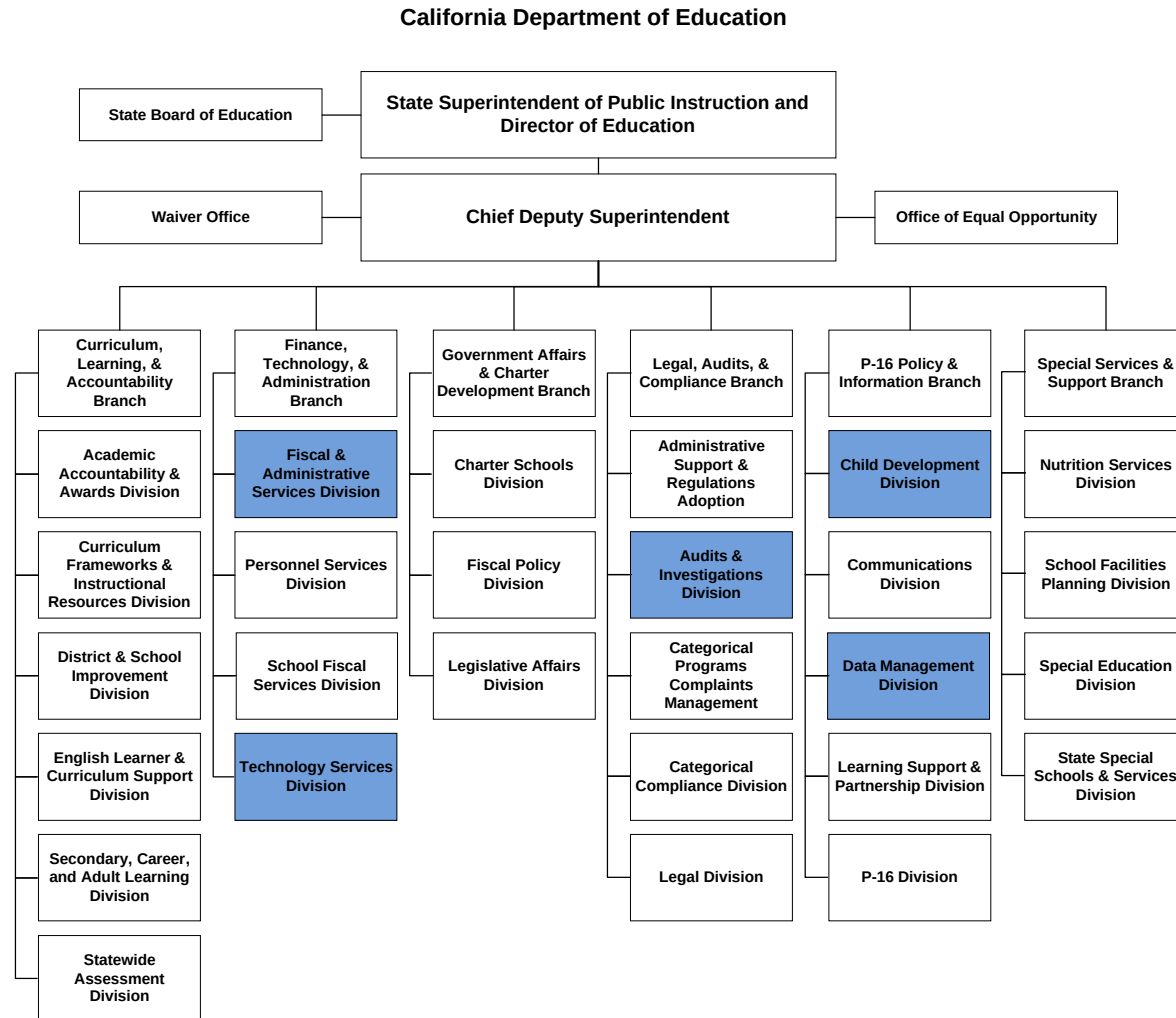
III.B BUSINESS PROGRAM BACKGROUND

III.B.1 CDE Organization

CDE oversees the State's diverse and dynamic public school system that is responsible for the education of more than seven million children and young adults in more than 9,000 schools. CDE enforces education law and regulations, and works to reform and improve public elementary school programs, secondary school programs, adult education, preschool programs, and child care and development programs. CDE's mission is to provide leadership, assistance, oversight, and resources so that every child in California has access to an education that meets world-class standards.

The CDE organization chart in Figure III-1 CDE Organization Chart, below, shows all branches and divisions within CDE. The highlighted divisions constitute the PARIS stakeholders within CDE, which include Fiscal & Administrative Services Division (FASD), the Child Development Division (CDD), the Technology Services Division (TSD), the Data Management Division (DMD)—which includes the CDE Information Security Office (ISO), and the Audits and Investigations (A&I) Division. A brief overview of each division and how they interact with PARIS can be found in APPENDIX E BIDDERS' LIBRARY (see CDE Overview).

Figure III-1 CDE Organization Chart



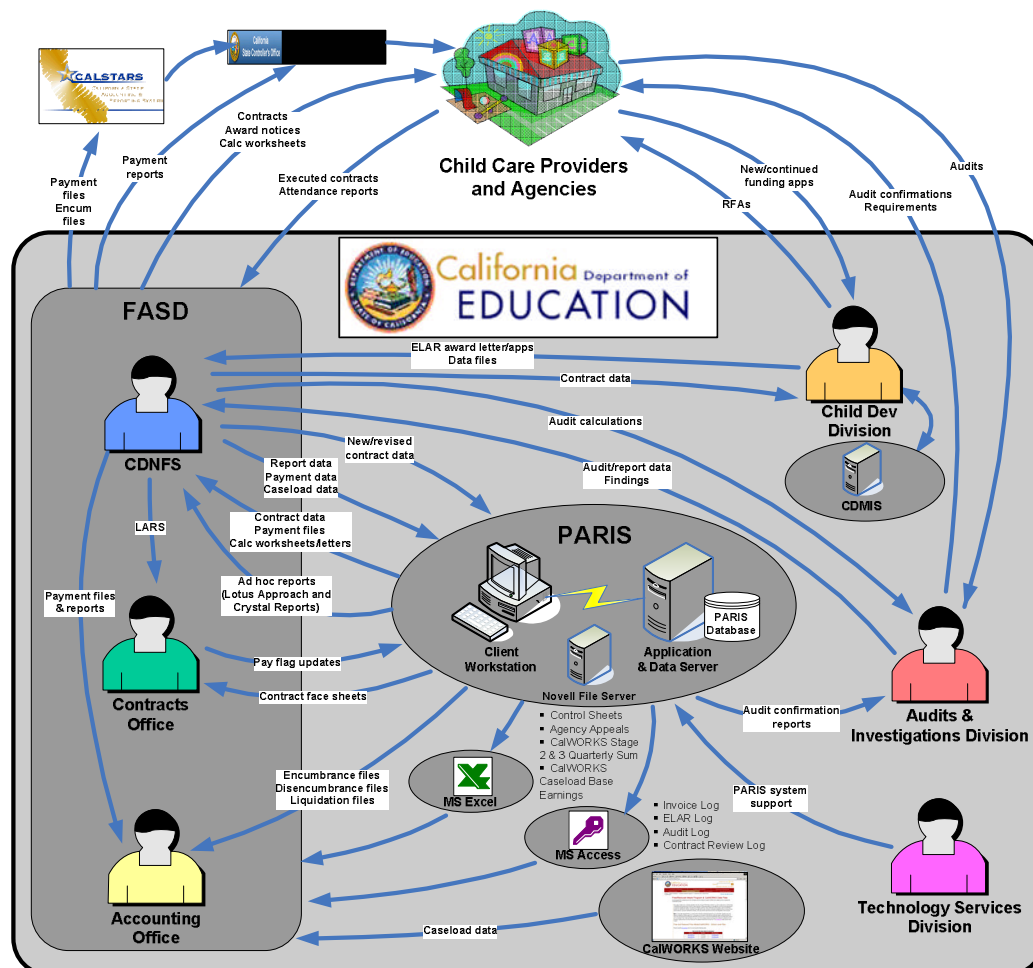
III.C CURRENT SYSTEM APPLICATIONS

The purpose of this Section is to provide a clear understanding of the current tools and methods of operation that support the FASD agreement management and payment processing functions.

III.C.1 Overview

Eleven information systems currently support FASD's agreement management and payment processing functions. The primary system is PARIS, another system is the CaWORKs website, and nine other systems are Microsoft Excel spreadsheets and Access databases. Figure III-2 FASD Agreement Management and Payment Processing Systems and Entities, below, provides a visual overview of these systems and entities and how they are related. Each of the systems is described briefly in the following subsections.

Figure III-2 FASD Agreement Management and Payment Processing Systems and Entities



III.C.2 PARIS

PARIS is the core of the FASD information systems related to child care and development agreements/payments. PARIS is a Visual FoxPro application and database that allows FASD staff and others in CDE to add, prepare, track, and maintain agreements for child care and development providers, process payments to providers, manage accounts in the California State Accounting and Reporting System (CALSTARS), generate reports, and extract files.

III.C.3 Alternative Payment Online Reporting System (APORS) Website

The objective of the APORS website is to collect fiscal caseload data from CalWORKs/Alternative Payment Program (APP) agencies on a periodic basis. The APORS website was created primarily because PARIS does not store and maintain data on child care and development provider caseloads. APORS does not directly interface with PARIS. Instead, a subset of fiscal data is printed out of APORS and key-entered into PARIS.

III.C.4 Microsoft Excel Spreadsheets and Access Databases

The current PARIS application is not capable of providing all of the business functions required by the FASD organization. To provide this missing functionality, FASD management and staff have developed numerous Microsoft Excel spreadsheets and Access databases. These include:

- *Control Sheets MS Excel spreadsheet* – Compares Program Cost Account (PCA) codes between PARIS and the Governor's budget;
- *Agency Appeal Information MS Excel spreadsheet* – Tracks the status and dispensation of agency appeals;
- *CalWORKs Stage 2 & 3 Quarterly Report Summary MS Excel Spreadsheet* – Tracks CalWORKs agencies' fiscal data to project future budget needs;
- *CalWORKs Caseload Base Earnings MS Excel spreadsheet* – Projects base earnings for CalWORKs agencies using agency caseload data;
- *Invoice Log MS Access database* – Tracks the status of all invoices;
- *ELAR Log MS Access database* – Records all Establish Local Agreement Requests (ELARS) sent from CDD and tracks their status through the agreement process;
- *Audit Log MS Access database* – Tracks agency audits;
- *Agreement Review Log MS Access database* – Tracks agencies that have failed to earn their full agreement amounts; and
- *Contingency Fund MS Excel Spreadsheet* – Tracks the requests made by APP agencies for these funds and includes payments made, actual final earnings, and possible invoicing of unearned funds.

Additionally, the Audits and Investigations Division (A&I) utilizes an Audit Tracking System in MS Access to track audit information, produce reports and generate withhold payment lists for

Child Development/Nutrition Fiscal Services (CDNFS). The data in this database is reconciled with PARIS on a monthly basis.

III.D CURRENT BUSINESS PROCESSES

This Section provides an overview of the main business processes to manage agreements, process fiscal and attendance reports, and authorize payments to agencies. This overview includes identification of FASD systems used to support the specific processes.

The primary business processes performed by CDE include:

- Agreement Initiation
- Encumbrance and Accounting
- Payment Authorization, Calculation, and Reporting
- Agreement Review
- Agreement Closeout
- Reporting

III.D.1 Agreement Initiation Processes

CDE uses PARIS to administer agreements with and issue payments to the child care and development agencies.

III.D.1.a Agreement Initiation

Child care and development agencies apply through CDD to receive funding from these programs. CDD evaluates the applications and awards funding to qualified agencies. CDD generates a paper form called an ELAR, which contains the award information for an agency, and sends it to CDNFS for entry into PARIS. For Quality/Support agreements, the ELAR usually contains award information for more than one agency. In these cases, an ELAR is created in a Microsoft (MS) Excel document, attached to an email, and delivered electronically.

When CDNFS receives an ELAR, the receipt date is logged in an ELAR Log file (Excel spreadsheet) and the ELAR is forwarded to the assigned fiscal analyst. The analyst enters data from the ELAR into a Local Agreement Review (LAR) spreadsheet along with other data needed to establish the agreement. The LAR is then printed out and sent to the CDNFS fiscal manager to verify that funds are available to fulfill the agreement.

Once approved by CDNFS management, the user determines if the agreement should be linked (or not) to an existing agreement and then enters the agreement information into a PARIS LAR form. The user assigns specific PCAs, and enters Part Maximum Reimbursable Amount (MRA) and special fund information as well.

PARIS also allows users to add agreements by importing agreement data from a file rather than key-entering it into the LAR form. The file to be imported must be formatted exactly as required by PARIS or the data may not load correctly. To address this issue, FASD staff has developed a Lotus Approach form to allow data entry of agreement information into a valid .dbf import file, which is moved to a special PARIS import directory from which the user can select relevant reports and other import options and import the file into the PARIS database.

The analyst creates a memo containing a summary of the agreement amounts and circulates it for sign-off. Once the fiscal analyst and CDNFS management have approved the agreement terms, the database file is imported into PARIS.

Using this imported information, PARIS obligates the funding from the appropriate programs. After the award information is entered into PARIS, CDNFS logs the completion date in the ELAR Log and forwards the LAR spreadsheet and any other pertinent award information to the Contracts Office (CO) for agreement generation and mailing to the agency.

When the CO receives an LAR, the receipt date is logged in a manual log file. The manual log is used as a workflow-tracking tool and serves as a backup in case PARIS becomes unavailable.

An agreement Face Sheet is the agreement document containing terms and conditions of the agreement. Before a Face Sheet can be produced, CDNFS staff must assign a valid agreement number to the agency agreement. Once an agreement has a valid agreement number, it can be viewed in PARIS by staff in the CO. The CO prepares and then generates the agreement Face Sheet in PARIS by combining LARs form data with pre-written paragraphs or newly created paragraphs (which can be stored in PARIS for future use). PARIS automatically populates the paragraphs with appropriate agreement terms into the assigned paragraphs that make up the Face Sheet. The CO prints the Face Sheet along with mailing labels, attaches any additional agreement information (e.g., standard provisions, resolution, conditional addendum), and mails the completed agreement to the agency for signature. The mailing date is entered in the manual log and set electronically in PARIS. Once the date is in PARIS, the Accounting Office (AO) is able to access it and encumber the agreement funds.

When an agency returns the signed agreement, the return date is entered in the manual log, the CO checks for authorized signatures on all required documents, and marks a pay flag for the agreement in PARIS. The pay flag date allows CDNFS to begin monthly payments to the agency and is also recorded in the manual log. Following this step, the CO will route the documents to obtain the required agreement signatures from CDE management, noting the date all signatures are obtained in the manual log. The CO mails a copy of the fully executed agreement to the agency.

III.D.1.b Interim Agreements

CDD can also award an interim agreement to allow an agency to take over another agency's agreement should the original agency go out of business or otherwise be unable to fulfill its agreement terms. The interim agreement follows the same initiation process as regular

agreements but only lasts for the time remaining on the original agency's agreement or until the agreement is permanently awarded.

Before the interim agreement expires, CDD is responsible for assigning the agreement on a permanent basis.

III.D.1.c Agreement Amendments/Revisions

Agreements may be amended or revised for a variety of reasons, including but not limited to changes to funding amounts and service requirements, changes from original funding sources to alternate funding (e.g., switching PCA codes), and Cost of Living Adjustments (COLA).

Agreement amendments and revisions can originate from CDD, the CO, or CDNFS and can occur at any point during the agreement period.

Amendments change the terms of the agreements. Regardless of who initiates an agreement amendment or what it entails, PARIS must be updated with the new terms and the CO must generate an agreement amendment in PARIS. The amended agreement with all required documents is then sent to the agency for signature.

Revisions are internal modifications to the agreement that do not impact the agency (e.g., change in funding source) so do not require an agency signature but do need to be updated in PARIS.

To amend an agreement the user enters the LAR form, locates the agreement, selects one of six possible amendment reasons and then clicks the Edit button to allow update to the agreement. Agreement updates can be made within any of the three tabs in the LAR form, but the system only allows certain fields within each tab to be modified. Once all of the updates are completed, the user clicks the Update button to apply the changes to the database.

III.D.1.d Tracking

PARIS has some capability to track the status of agreements/amendments/revisions as they move through the initiation and rollover processes. However, the CO does not use this functionality because it is cumbersome, time consuming, and lacking in sufficient detail. The CO has created manual workarounds to track agreement/amendment/revision status that involve paper log files.

III.D.1.e Agreement Rollover

Most agreements are awarded for a period of up to one fiscal year (FY). To continue to receive funding, agencies must reapply to CDE every year. Agreement rollover is the annual process CDE uses to renew child care and development agreements to ensure that child care and development agencies can continue operating year-round with no interruption of service to children. Agreement Rollover is a major undertaking for CDD, CDNFS, and the CO each year.

Around November each year, CDD sends out Continued Funding Applications (CFAs) to agencies with current agreements. The deadline for agencies to submit the completed

applications back to CDD may change each year, but is usually near the beginning of December.

Prior to receiving a completed CFA from an agency, CDD may begin preparing adjustments for some agreements based on past communication with an agency or other anticipated changes to an agreement. The types of adjustments include, but are not limited to, terminating an agreement, transferring an agreement to another agency, changing an agency's status, combining agreements, and/or adjusting MRAs and Minimum Days of Operations (MDOs). CDD prepares and submits ELARS for these agreement adjustments to CDNFS according to the Rollover schedule.

After CDD has evaluated the CFAs, it sends the days of operation calendars to CDNFS for entry into PARIS. These calendars are filled out by the agencies to inform CDE of the days throughout the year when the agencies' child care and development facilities will be open. The deadline for sending calendars to CDNFS may fluctuate by one or two weeks but is near the end of March.

PARIS provides functionality to roll entire sets of agreements forward from the current year to the next year, thereby avoiding re-keying the same information for each agreement every year. This process also allows for the termination of current agreements.

The Rollover process begins in April, when CDNFS executes a function in PARIS that will automatically create a Rollover file that contains all expiring. Using the calendars and ELARs sent by CDD, CDNFS analysts make the stipulated agreement adjustments to the agreements in the Rollover file. In addition, the analysts create manual LARs in Excel for each agreement they change in order to document and validate the changes made in PARIS. CDNFS analysts may make additional agreement changes not in the ELARs for such reasons as Agreement Review reductions and combining agreements.

For each agreement, the user can select one of three actions in PARIS: ready to roll, combined/combine with, and terminate. The user can update several other data elements, including special funds data, if applicable. After all users have prepared and saved their agreement records for rollover, CDNFS runs a single PARIS rollover process that generates the agreements for the upcoming FY.

Next, a fiscal analyst exports the Rollover file from PARIS to a .dbf file. CDNFS analysts review the data in the .dbf file to verify that the sum of fund allocations to partial MRAs equal their associated full MRAs and adjust where necessary. In addition, the analyst verifies that the agreement numbering is correct, that special funds match the agreement records, and that all data is complete and accurate.

Once this is verified and approved by CDNFS management, the .dbf file is imported back into PARIS. CDNFS analysts generate reports summarizing the agreement changes in Crystal Reports or Approach, create a memorandum to the CO requesting that new agreements be created, and deliver the reports and memorandum to the CO.

The CO will ensure agreements from the Rollover file in PARIS have continued funding applications previously received from CDD. Once there is an application for an agency, the CO generates and processes the new agreement face sheets for the new FY.

III.D.1.f Agreement Review

In parallel with CDD's review of continued funding applications, CDNFS performs a fiscal analysis of child care and development agencies. When an agency fails to earn at least 95 percent of its agreement amount, CDNFS may conduct an agreement review to determine what the causes of the underperformance are and determine a course of action. For those agreements, CDNFS may recommend a reduced amount for the next FY. CDNFS requests additional information from the agency and may determine that a permanent reduction to the agreement amount is warranted. If this occurs, the reduction will be executed during the agreement Rollover process.

As part of the review process, CDNFS prints and mails the agency one of eight standardized notifications from PARIS based on the outcome of the review and severity of the situation:

- Warning letter
- OK letter
- Proposed cut
- Partial cut
- Full-cut justification
- Full-cut agency agreed
- Full-cut no response
- Special warning

Modifications may be made to PARIS data, through the LAR form to amend the agreement, based on the outcome of the agency response.

III.D.2 Encumbrance and Accounting Processes

FASD must encumber, or reserve, program funds through CALSTARS for every child care and development agency agreement. The encumbrance and accounting processes enable CDNFS to ensure that federal and State funds for CDE's child care and development programs are allocated to the correct PCA codes in the CALSTARS system. They also enable CDNFS to ensure that agreement funds are not over-allocated and help reconcile the financial records in PARIS with those in CALSTARS.

Offices that perform these processes use no less than four systems and a complex Excel spreadsheet. These are listed in Table III-1 Child Care and Development Program Accounting Systems, below.

Table III-1 Child Care and Development Program Accounting Systems

Child Care and Development Program Accounting Systems	
System	Purpose
<i>PARIS</i>	Generates and maintains agency agreements and authorizes payments to agencies.
<i>Control Spreadsheet</i>	Used during state budget negotiations to map budget appropriations for CDE child care and development programs to PCA codes. It is also used to adjust the PCAs during the year and track the federal PCAs against the various grants.
<i>Budget Enhanced Evaluation System (BEES)</i>	Official system to map budget appropriations for CDE child care and development programs to PCA codes. (Not updated until budget is finalized.)
<i>CALSTARS</i>	The State's official accounting system.

III.D.2.a Fund Encumbrance

Agreement funds awarded to agencies must be encumbered in CALSTARS before warrants can be issued to the agencies, with the exception of CalWORKs Stage 2 funds, which may be paid without a signed State budget.

The process for encumbering funds is complex and begins with establishing PCA codes and funding levels in the PARIS application and CALSTARS. The PCA codes and encumbrance amounts in PARIS must match CALSTARS.

The PCA codes and funds are not firmly established until the State budget is signed. However, in compliance with statute and to avoid interruption of ongoing child care and development services and meet legislative mandate, CDNFS must begin processing new agreements prior to the beginning of the new FY and prior to having a finalized State budget. Therefore, CDNFS establishes PCA codes and obligates funds to them in PARIS using data from the proposed State budget, the May budget revise, and information from ongoing budget negotiations. When the State budget is signed, CDNFS goes back and reconciles the PCA codes and funding amounts in PARIS with the finalized codes and funding levels maintained by the Budget Office (BO) in the BEES application. CDNFS then manually amends each agreement as necessary.

To encumber the funds, the FASD AO creates an encumbrance file from data contained in PARIS. The AO selects agreements from PARIS for the specific agencies and agreement years that require encumbering. The result is an encumbrance list and an encumbrance work file in the format required for submission into CALSTARS. The user can also produce a set of reports to assist in verification of the encumbrance data.

The encumbrance file is then transmitted as an import file into CALSTARS. It is the joint responsibility of the AO and CDNFS to verify that the file was processed correctly in the CALSTARS system, and that the data CALSTARS receives reconciles with the PARIS data.

The encumbrance process continues throughout the FY because PCA codes can be added, deleted, or changed, and funds can be reallocated between PCA codes at any time.

III.D.2.b PARIS Reconciliation with CALSTARS

PARIS does not provide functionality to reconcile accounts and agreements against CALSTARS. Reconciliation is a manual process that utilizes raw data extracted from PARIS and imported into a Microsoft Excel spreadsheet. This spreadsheet contains PARIS data and CALSTARS data that allow CDNFS staff to perform reconciliation between the two systems. This manual process is fraught with difficulties that arise from several factors including issues with timely data updates to CALSTARS and differences in some of the accounting practices between PARIS and the CALSTARS system. Additionally, agreements must be made using the agency's legal name, which is carried in PARIS, but due to a field size limitation, CALSTARS may not always carry the full legal name, which can cause a mismatch of vendor names between the two systems. This requires the AO to perform a manual search and cross-reference to ensure the correct vendor is being referenced in CALSTARS.

III.D.2.c Fund Disencumbrance (Agreement Liquidation Process)

After two years, most encumbered funds that have not been expended revert to the general fund carryover appropriation. Funds in the carryover appropriation are used as prescribed in the annual Budget Act.

To disencumber the funds in PARIS and in CALSTARS, CDNFS and CO staff initiate the agreement liquidation process in PARIS, which entails identifying and flagging agency agreements that are two or more years old and that have unexpended funds remaining because agencies did not spend or earn enough of their agreement funds on child care and development services. Liquidation is the process to recover those unused funds remaining in the budget. The CO also initiates agreement liquidations when notified by agencies that they relinquish their agreements.

The Liquidation/Accrual form in PARIS allows FASD to select specific agreements for disencumbrance and to liquidate their balances. Once the agreements have been flagged, the AO logs into PARIS to create an extract file of the funds to be disencumbered and the PCA codes to which they are associated. The process of creating the extract file automatically disencumbers the funds in PARIS. The AO uploads this extract file into CALSTARS to disencumber the funds within CALSTARS.

III.D.3 Payment Authorization, Calculation, and Report Process

CDNFS authorizes apportionment payments to child care and development agencies, calculates payment amounts, and tracks agencies' payment histories. CDNFS uses the PARIS application to accomplish these tasks.

III.D.3.a Reimbursement Calculation

Most state agreements are standard reimbursement agreements where the agencies spend their own money and afterwards submit a claim for reimbursement. Child care and development agreements are unique because the agencies receive "reimbursement" payments before incurring the expense to ensure services are uninterrupted. Funds are advanced to the agencies in monthly apportionment amounts, then the agency submits monthly and/or quarterly fiscal and attendance reports that show how the money was "earned" against the reimbursement. Monthly apportionments are a fixed percentage of the agreement's MRA.

For the first quarter of the FY, monthly reimbursement amounts are determined by the apportionment schedules maintained in PARIS. Beginning in October, reimbursement amounts for conditional and provisional agreements are determined by earning projections calculated in PARIS based on the fiscal and attendance reports submitted by the agency during the first quarter.

III.D.3.b Agency Fiscal/Attendance Reporting

After an agreement has been awarded, CDE begins paying reimbursements to the child care and development agency based on a standard apportionment schedule, which varies by program type.

Agencies may hold more than one child care and development agreement. For each agreement, agencies are required to report their income and expenses to CDNFS. Agreements for CalWORKs programs and agencies with provisional or conditional agreements are required to report monthly. Other agreement types require quarterly reporting. Depending on the type of agreement, some agencies also report attendance data, including the number of child days of enrollment (cde), Days of Attendance and Days of Operation.

For all agreements except APP agreements, agencies mail hard copies of their fiscal and attendance reports to CDNFS. An analyst reviews the reports and manually enters the information into PARIS. Once the data entry is complete, PARIS begins calculating monthly payment amounts based on the actual reported numbers.

For APP agreements, agencies report their fiscal and caseload data electronically through APORS. However, the reporting system does not have an interface with PARIS so data received electronically must still be manually entered into PARIS by CDNFS staff.

Users continue to enter attendance and fiscal reports into PARIS through June, the end of the FY, when the reporting cycle for the agreement year is considered complete (unless the agreement has an ending date other than the end of the State FY).

III.D.3.c Reimbursement Adjustments

Once an agency's fiscal and attendance data is entered into PARIS, the system automatically recalculates the agency's projected earnings for the FY and, if necessary, adjusts the remaining reimbursement payments to equal the agency's FY projected earnings. Using the data, PARIS generates an Earnings Projection Calculation worksheet and an appropriate cover letter. If the projected earnings calculation shows that the agency's FY earnings will match or exceed the agreement's full MRA amount, PARIS generates a Preliminary Review Letter. If the calculation shows the agency will not earn the full amount of the agreement's MRA, PARIS generates an Apportionment Adjustment Letter informing the agency that its normal monthly apportionment amount is being reduced to correspond with lowered projected earnings. In such cases, the Earnings Projection Calculation worksheet documents the reduced monthly apportionment amount. CDNFS prints the worksheet and the letter and mails them to the agency.

III.D.3.d Reimbursement Withholding

CDE will withhold reimbursement payments from an agency if it failed to file their required reports, failed to pay an outstanding CDE invoice, failed to submit its close out audit or failed to comply with an agreement requirement. In such cases, CDNFS will send an Apportionment Withhold Notice to the agency. The notice informs the agency that payment is being withheld until the problem is corrected.

To determine if an agency's payment should be withheld, CDNFS analysts must check three separate documents maintained outside of PARIS before they process a payment for the agency. These documents are:

- Accounts Receivable Excel Spreadsheets, CDNFS spreadsheets that track a history of invoices sent to agencies;
- The Delinquent or Unacceptable Audit List, sent by email to CDNFS from A&I; and
- The Delinquent 801 Report List, an Excel spreadsheet from CDD that identifies agencies that have not submitted the required 801 reports to CDD.

If any of these lists shows that an agency is delinquent on an invoice, an audit, or a report, the CDNFS analyst will mark the payment in PARIS for withholding, generate an Apportionment Withholding Notice in PARIS, and mail the notice to the agency.

III.D.3.e Billing Request Generation

During the course of an agreement period, CDNFS may determine that it has overpaid an agency and must recoup the overpaid amount. In such cases, CDNFS will generate a billing request in PARIS. The billing request is submitted to the AO, which inputs the request into the Accounts Receivable Online System (ARIS) to generate an invoice and upload the appropriate information into CALSTARS. CALSTARS uses this information to generate the appropriate accounting transactions. Both the agency and CDNFS receive a copy of the invoice.

Additionally, CDNFS manually enters each billing request into a separate Access database to track the invoices and collect data such as the date an invoice was sent to the AO, the date when the AO generated an invoice, and the date the invoice was paid by the agency.

CDNFS maintains hard copies of all invoices. CDNFS queries CALSTARS through a CDE web page to determine which invoices have been paid and which are delinquent. CDNFS clerical staff transfers this information into an aging report maintained in an Excel spreadsheet. The clerical staff sends the spreadsheet to CDNFS analysts who record the paid invoices in PARIS and use the spreadsheet during a pay run to determine which agencies should have their payments withheld due to a delinquent invoice.

III.D.3.f Pay Runs

The bi-weekly PARIS pay run process creates a payment data file that will be sent to CALSTARS as the first step to reimburse agencies for providing child care and development services.

The Paymaster then selects agreements to be included in the pay run. The Paymaster closes the pay run, reviews statistics about it to verify its accuracy, and generates the set of files and reports that comprise the pay run package that is sent to the AO.

CDNFS generally pays agencies on a bi-weekly schedule. To begin the pay run process, the Paymaster (a user with higher privileges) opens a pay run and enters information about the pay run into PARIS. The Paymaster imports LAR records for all agencies eligible for payment into the PARIS Agreement table. Eligible agencies are those with a Pay Flag authorizing payments that have not received their authorized payment for the current month.

Once a pay run is opened in PARIS, a list of agreements included in the pay run is printed and distributed to all CDNFS analysts with instructions to complete payment authorization for their respective agencies' agreements by a specified pay run close date. If an analyst is in the field during the pay run period they are unable to access PARIS and must arrange for another analyst to perform his or her pay run review and authorization in order for their agencies to be paid in that pay run.

The eligible agreements appear in the PARIS pay run screen, which displays for each analyst only the eligible agreements assigned to that analyst. The CDNFS analysts review the normal payment amount for each of their agreements and determine if any payments should be withheld due to factors such as a delinquent report, a delinquent or unacceptable audit, or an overdue CDE invoice. In addition to authorizing the normal payment or withholding a payment, a CDNFS analyst can modify the payment amount, noting the reason for the modification in PARIS. After the payments have been reviewed and, if necessary, adjusted, the CDNFS analysts authorize the payments in PARIS.

On the pay run close date, the Paymaster closes the pay run, which prevents any further update to the Agreements for payment and generates and prints a hard copy of two files in PARIS. One file, the TC 231 transaction file, creates a claims schedule and remittance advice for each

payment and records the payments against the State School Fund. The second file, the TC 245 file, contains data used to reduce the agreement encumbrances in CALSTARS. The CDNFS analyst loads the electronic versions of these files into a shared directory on the CDE network.

The AO continues the payment process by retrieving the files, verifying the data, and forwarding the TC 231 file to the State Controller's Office (SCO) for the printing and mailing of the warrants and remittance advice to the agencies. The TC 245 file is uploaded into CALSTARS to liquidate encumbrances and record the expenditures from the pay run. The file is also uploaded to the Automated Batch Log System (ABLS), which mirrors CDE's accounts in CALSTARS.

III.D.3.g Manual Pay Runs

In special circumstances, CDNFS processes a manual pay run. These usually occur when CDNFS is closing out an agreement from a previous FY and the funds from the original PCA code have been disencumbered. In these cases, CDNFS analysts must receive approval from management to pay the amount out of the carry over account or the federal clearing account.

CDNFS analysts create manual pay sheets in MS Word for each payment. They submit them to the CDNFS budget manager for approval. Once approved, the sheets are sent to a designated analyst who assigns each payment a pay run number. The sheets are forwarded on to another CDNFS analyst who holds the sheets until the total dollar amount is high enough to warrant opening a special pay run.

When the total dollar amount for all of the manual pay sheets is large enough, the CDNFS analyst will manually create a summary sheet listing all of the requested payments and a transmittal sheet. The summary and transmittal sheets are circulated to the CDNFS analyst and CDNFS management staff for sign-off. Once signed off, the summary and transmittal sheets are sent to the AO for entry into CALSTARS for payment.

III.D.4 Agreement Close Out Processes

III.D.4.a Close Out Preparation

At the end of each agreement term, CDNFS must close out the agreement. All private (non-LEA) agencies are required to submit to CDE an annual audit for each agreement for that FY before the agreement may be closed out. Audits for LEAs are submitted to and reviewed by the SCO. The audits are due to CDE by November 15 and the agency may request a 30-day extension. Multi-year agreements may also defer their audits until the end of the agreement period. Failure to submit all required audit paperwork could cause CDE to suspend any additional payments to the agency.

The process begins following submission of the final June report. CDNFS generates a Calculation Worksheet and cover letter in PARIS for each agreement based on the agency's June reports and mails them to the agency. PARIS can generate four types of cover letters depending on the data from the Calculation Worksheet. The cover letter types are summarized in Table III-2 Agreement Close Out Cover Letters.

Table III-2 Agreement Close Out Cover Letters

AGREEMENT CLOSE OUT COVER LETTERS	
Cover Letter	Purpose
Account Closure Notice	To inform agency that they have earned the full agreement amount or that CDE owes funds to the agency
Private Agency Preliminary Billing Advice	To inform a private agency that the close out calculation indicates funds owed to CDE
Local Educational Agency (LEA) Preliminary Billing Advice	To inform LEA that the close out report indicates funds owed to CDE
Reserve Fund Status Letter	To inform an agency with a reserve fund of the balance in that fund

If the calculation from the June report indicates that CDE owes an agency any funds, CDNFS will submit a payment request to the AO. However, for all agreements other than CalWORKs, if the June report shows the agency owing funds to CDE, CDNFS will send the calculation worksheet and a Preliminary Billing Advice letter notifying the agency that CDE will send an invoice for the owed funds after the agreement has been closed out.

For CalWORKs agreements only, pursuant to Budget Act requirements, CDNFS will send a billing request for the overpayment amount to the AO prior to the completion of close out based on the agency's final June report. Once the close out audit is complete, if final earnings calculations indicate that the CalWORKs billing was unnecessary in part or in full, then CDNFS will submit to the AO a final request for payment in the amount due to the agency.

III.D.4.b Audits

In September, A&I generates an Audit Confirmation Report for each agency. Using the agency contact information stored in PARIS, A&I generates mailing labels and sends a report to each agency's Certified Public Accountant (CPA). The report provides the CPAs with a history of all CDE payments received by the agency for the past FY.

The agency's CPA then submits an independent audit report, a completed AUD report form, and a copy of the General Ledger for the year to A&I. The AUD should mirror the data received on the June (year-end) report form. The purpose of the audit is to have an independent third party review the agency records to ensure appropriate accounting of funds from the agency side, and then to have CDE verify that the information is accurate and consistent with its records. A&I uses two Access databases, one to track audit information and the other to track audit findings.

III.D.4.c Close Out

After A&I reviews and approves the report and audit they submit the AUD report and memos with additional information to CDNFS for close out. CDNFS logs receipt into an Access database then distributes the documents to the CDNFS analyst. CDE then reviews the audit report, General Ledger, and AUD and reconciles the data with what is stored in PARIS.

After reviewing an audit, A&I generates an audit summary sheet and delivers it to CDNFS. CDNFS may amend the agency's final June report using data from the audit summary sheet and generate an updated Calculation Worksheet and cover letter in PARIS. The updated Calculation Worksheet and audit summary constitute the final closeout report for the agency. These documents are mailed to the agency.

III.D.4.d Accounts Receivables and Appeals

Following the audit and close out report, if it is determined that the agency does owe funds to CDE, PARIS will generate a billing notice that is sent to the agency and a billing request that is submitted to the AO for invoice generation.

If a billing to an agency exceeds either four percent (4%) of the agreement amount or \$25,000, whichever is less, then the agency has a right to appeal the billing. The only portion of the Appeal process currently conducted through PARIS is the printing of the Appeal Rights Letter. A separate Appeals Log is maintained to track the status of appeals.

If the agency has no appeal rights, CDNFS will send the billing request immediately. If, on the other hand, the closeout report shows CDE owes money to the agency, CDNFS will submit a payment request to the AO. After the appeal process has completed, CDNFS will send a billing request for the over-payment amount to the AO.

PARIS allows CDNFS analysts to track the billing request and record information such as the date an invoice was sent to the agency and the date that CDE received payment.

III.D.5 Reporting and Export Processes

PARIS has approximately 150 standard reports and other printed documents that users can produce from data contained in the PARIS database. The Reports menu displays all of the reports that the user has the ability to generate. Other standard reports are produced using Crystal Reports and IBM Lotus Approach.

To create ad hoc reports some CDNFS staff has access to Crystal Reports and Lotus Approach software that allow them to produce custom reports on request. The report software queries the PARIS database and produces formatted reports for users.

PARIS allows users to export agreement data into a .dbf file for use in other systems or applications. To export agreement data, the user opens the LAR form and selects the Export/Import tab. The user selects the program(s) and FY(s) that contain the agreement

records for export, selects the export function, selects a destination directory for the .dbf file, and then starts the export process.

III.E CURRENT DATA STRUCTURE

III.E.1 Data Inputs and Outputs

PARIS has two methods of inputting data into the system, and three methods of creating outputs of data.

Inputs

- Online forms – PARIS has 53 online data entry screens or forms that allow entry and update of agreement data. Most of the entry and update is conducted as part of maintenance activities on specific agency agreements. Other data, such as APP agency data (in the form of an MS Excel spreadsheet) from the CalWORKs website, is key-entered by CDNFS staff into PARIS.
- Import process – The PARIS import process allows the user to add agreement data via a formatted input file. The input file is typically prepared using Lotus Approach, and can contain agreement information for one or more agencies.

Outputs

- Online forms – The same online forms that allow entry and update of agreement data in PARIS also allow users to view the data.
- Reports – PARIS provides approximately 150 standard reports and other printed documents (such as letters and Face Sheets). In addition, some FASD staff with the required knowledge and skills can produce ad hoc reports using either Crystal Reports or Lotus Approach.
- Export process – PARIS has a function that allows users to create .txt and .dbf files containing PARIS agreement and payment data. This data is used in a variety of systems including CALSTARS and the Child Development Management Information System (CDMIS).

III.E.2 Data Characteristics

The PARIS database contains approximately 443 data elements in 35 tables. Currently, the database maintains records for about 950 agencies, 2,800 continued funding agreements awarded and 2,000 to 3,000 support agreements per year covering a period of almost eleven years. This number of records translates into a current database size of approximately 2.2 GB.

The PARIS data is maintained entirely within a single Visual FoxPro database. Visual FoxPro allows systems to either 1) keep the data integrated within the same file set as the forms, queries, and reports, or 2) maintain the data separately from the rest of the application. PARIS

uses the second approach, which allows for easier and more controlled management of the system because application changes can be made and loaded into production without replacing the current production data with data coming from the test environment.

III.E.3 Security, Privacy, Confidentiality, and Availability Considerations

For information systems, the main asset to be protected is data (including data that is processed, stored, communicated, and/or output by the system). In order to properly protect data, it is necessary to protect the software, hardware, network infrastructure, and various supporting assets, which allow processing to take place.

For PARIS, the main security considerations are data integrity and system availability. Confidentiality is important, but most of the data contained within PARIS is considered public data.

Integrity is critical because PARIS processes over \$2.6 billion dollars in payments every year. Any risk that an intruder or staff member could manipulate the payment process to fraudulently acquire child care and development funds must be strongly mitigated.

Availability is also critical for PARIS and the FASD business processes. FASD staff considers PARIS to be their primary information system, and they use it extensively every day. In addition, child care and development agencies, many of which are small businesses, rely on a steady income from payments provided through PARIS. Any downtime due to corruption of the application or data would cause difficulties for FASD and the child care and development agencies.

III.F CURRENT TECHNICAL ENVIRONMENT

The subsections that follow describe CDE's current IT environment and standards. The complete list of current standards is provided in the Bidders' Library. The successful Bidder will be provided with and is expected to adhere to the current CDE IT Standards at the time of system development.

III.F.1 Desktop Workstations

The standard CDE desktop workstation is an Intel Core 2 Duo processor-based machine capable of running Microsoft's Windows XP. Other desktop workstation standards are identified in Table III-3 Desktop Workstation Standards, below.

Table III-3 Desktop Workstation Standards

DESKTOP WORKSTATION STANDARDS*	
Component	Standard*
<i>Manufacturer</i>	HP Compaq Business Desktop
<i>Model</i>	DC7900 Small Form Factor PC
<i>CPU Speed</i>	Intel Core 2 Duo E8400 Processor
<i>RAM Amount</i>	4 GB (2X2 GB) DDR2-800 MHz PC2-6400-CTO
<i>Operating System</i>	Microsoft Windows XP.
<i>Hard Drive</i>	160 GB Hard Drive, NTFS
<i>Optical Drive</i>	16X SATA SuperMulti LightScribe DVD+/-RW
<i>Network Card</i>	Included in Model
<i>Monitor</i>	HP Model #LE2201W 22" LCD Flat Panel
<i>Video Card</i>	Intel GMA X4500 HD
<i>Warranty</i>	3 yr Onsite NBD 3 Yr Parts 3 Yr Labor
* Effective June 2009	

III.F.2 Personal Productivity Software

Desktop workstations are provided to CDE management and staff with the standard suite of personal productivity software listed below in Table III-4 Personal Productivity Software Standards.

Table III-4 Personal Productivity Software Standards

PERSONAL PRODUCTIVITY SOFTWARE STANDARDS*	
Software	Standard
<i>Microsoft Office Suite (includes Word, Excel, Access, and PowerPoint)</i>	Microsoft Office 2003 Professional for desktop computers operating at or above 2.66GHz processing speed, or for new laptop computers.
<i>Electronic Mail</i>	MS Exchange 2007 and MS Outlook 2007
<i>Internet Browser</i>	Microsoft Internet Explorer 9.0 with Service Pack 3
<i>Anti-Virus Protection</i>	Symantec's Endpoint Edition for desktop and laptop computers
<i>(PDF) Reader</i>	Adobe Acrobat Reader 9.1.3 effective August 2009
* Effective August 2009	

III.F.3 LAN Servers

CDE standards for Local Area Network (LAN) servers are listed in Table III-5 LAN Server Standards, below.

Table III-5 LAN Server Standards

LAN SERVER STANDARDS*	
Component	Standard
<i>Manufacturer</i>	Hewlett Packard
<i>Operating System</i>	Microsoft Windows Server 2008 (if application is compatible) Alternate O/S is Windows Server 2003 Active Directory for file and print servers
<i>Network</i>	Microsoft Active Directory is used to authenticate network users
* Effective March 2009	

III.F.4 Network Infrastructure

CDE operates a Cisco-based local and wide area network that serves approximately 1,800 internal users in nine geographic locations throughout the State. Components of CDE's network architecture include:

- Dynamic Host Configuration Protocol (DHCP) utilized for dynamically assigning Internet Protocol (IP) addresses

- A segmented network designed to reduce excessive broadcast traffic
- User network connections via Category 5e (Cat 5e) cable
- A 100 BaseT network infrastructure allowing 100 Mbps data transfer over the network
- Opt-E-Man connections to the OTech Gold Camp campus
- T1 data circuits and a gigabit connection to connect the nine geographic locations that comprise the CDE wide area network
- Internet connectivity using multiple DS3 connections
- Internet connectivity also provided through the Digital California Network

III.F.5 Internet Infrastructure

CDE's Internet presence includes about 20,000 informational web pages and multiple critical web-based applications. Read-only Internet content is provided via Active Server Page (ASP) technology using a fully dynamic database back end, cascading style sheets, and specific design standards. Dynamic web content data derived from on-line database-driven applications are also delivered via Microsoft ASP and ASP.Net technologies. The CDE has numerous primary and several miscellaneous web servers. All web servers are located at CDE's headquarters in Sacramento and are managed by TSD.

CDE contracts with AT&T for a single DS3 Internet connection capable of up to 45 Mbps of data bandwidth adjustable in 5 Mbps increments. CDE adjusts the bandwidth throughput based on the Department's needs.

The CDE also utilizes another single DS3 provided by the Corporation for Education Network Initiatives (CENIC). This data circuit provides 45 Mbps connectivity to the Digital California Network. All outgoing traffic from CDE headquarters utilizes this connection in order to preserve the bandwidth on CDE's normal Internet connection described above.

III.F.6 Application Development and Database Management Software

CDE TSD utilizes a standard set of software for application development and database management, as described below in Table III-6 Application Development and Database Management Software Standards.

Table III-6 Application Development and Database Management Software Standards

APPLICATION DEVELOPMENT AND DATABASE MANAGEMENT SOFTWARE STANDARDS*	
Software	Standard
<i>Application development</i>	Microsoft Visual Studio Team System 2008 Team Suite for Web Development
<i>Database management software</i>	Microsoft SQL Server 2008 – SQL Server Management Studio
<i>Data design and maintenance</i>	Embarcadero Technologies suite of database design and management software
<i>Reporting</i>	Microsoft SQL Server 2008 Reporting Services
<i>Flowcharting</i>	Microsoft Visio 2003
<i>Source code management</i>	Microsoft Visual Studio Team System 2008 Team Foundation Server
<i>Project Management</i>	Microsoft Project 2003
* Effective June 2009	

Application Development Principles

All applications are developed using the development tool currently in use by the Application Development and Maintenance Office (ADMO). As newer versions of the development environment are deployed, existing applications are migrated to the new version.

Most applications will be developed as web applications. However, applications may be developed as desktop applications if there are technological or business needs or limitations.

The standards are updated as needed and made available through the CDE Website at <http://www.cde.ca.gov/re/di/ws>. The TSD reviews all new web applications to ensure these standards are followed. If they are not, a report is sent to the author requesting that the changes be incorporated within 90 days from the date of the report.

This version of the standards assumes that Visual Studio 2008 is the primary development environment and SQL Server 2008 is the primary database.

Software Development Standards

CDE has established guidelines for web-based software development. These guidelines apply to all systems that are located on CDE's web servers. These apply to all applications developed by in-house or external developers and include at least the following:

- The system must use Microsoft ASP.Net 3.5 technology in a Microsoft Windows 2008 Server environment.
- The system must use Visual Basic 2008 programming language for server-side business logic.
- Microsoft SQL Server 2008 is the standard database management system software.
- Client-side (e.g., web browser) logic must be developed using the JavaScript programming language.
- The Web pages and Web-based applications must be viewable with a minimum Web browser of Microsoft Internet Explorer 6.0 or higher, Mozilla Firefox 2.0 or higher, or any other Web browser compatible with these browsers..
- Web pages and applications must conform to the CDE Web Standards including, but not limited to, accessibility.

End User Software Tools

Table III-7 End User Software Tools Standards, below, identifies additional standard tools that may be utilized during the course of this project.

Table III-7 End User Software Tools Standards

END USER SOFTWARE TOOLS STANDARDS*	
Tool	Standard
<i>Diagramming</i>	Microsoft Visio 2003
<i>Project Management</i>	Microsoft Project 2003
<i>Web Page Development</i>	Macromedia Contribute 3.0 *
<i>Portable Document Format (PDF) Development</i>	Adobe Acrobat Professional 8.0
<i>Statistical</i>	SAS 9.2
* Effective June 2009	

III.F.7 Internal and External Interfaces

PARIS does not directly interface with any other IT systems, either within or external to CDE.

III.F.8 System Documentation

PARIS does not have a well-organized set of useful technical documentation to support system maintenance and upgrades. The TSD programmer assigned to support PARIS has a PARIS

maintenance manual, but most of the other documents are original concept documents and printouts of system code that provides minimal value in the ongoing maintenance of the system.

III.F.9 Data

CDE has standards for managing metadata including, but not limited to, naming conventions, standard data element names and code sets, etc. CDE requires that data elements and code sets be inventoried within the CDE Data Resource Guide, which is a metadata repository of CDE's data resource. See APPENDIX E BIDDERS' LIBRARY for information on CDE's standard conventions for naming data and abbreviating data names and the import file specifications for metadata.

III.F.10 Information Security

Information Security standards are provided in APPENDIX E BIDDERS' LIBRARY.

Section IV Proposed System

This Section of the RFP provides a conceptual view of the PARI\$ solution, as envisioned by the CDE. The proposed solution for PARI\$ will center on the replacement of the existing PARIS application that has become technologically outdated, unreliable, and unsupportable. In addition, core to the proposed solution is the addition of new functionality that will streamline agreement management and payment processing and significantly improve customer service to agencies. Furthermore, the proposed solution will integrate several stand-alone Microsoft Access databases and Excel spreadsheets that have been developed to overcome the limitations of the original PARIS application.

The proposed solution presented here does not constitute a definition of system requirements. The Bidder should propose a solution that responds to the requirements as specified in SECTION VI [Business, Functional, and Technical Requirements](#).

IV.A BUSINESS OBJECTIVES

The following business objectives define the significant results that CDE expects from the implementation of the proposed solution.

IV.A.1 Improve system stability and reliability

- Perform regular system maintenance - Perform regular system backups and have the ability to rollback changes to eliminate the chance of lost data.
- Improve system availability – The proposed solution must be available online at least 16 hours per day, including the normal business hours of 6am – 10pm, seven days a week, excluding scheduled maintenance.
- Improve system maintainability – Reduce the number of hours spent to maintain the proposed solution.
- Improve system response times and capacity – Improve the quality of the hardware and software to be sufficiently robust and appropriately sized to accommodate operation of the existing PARIS functionality along with expected future expansion.

IV.A.2 Improve data integrity

- Eliminate manual manipulation of data - System users and administrators must have the automated tools necessary to make corrections to system data in a manner that prevents manual manipulation of data and that does not accept keystroke or other errors that could compromise the integrity of the data.
- Identify discrepancies – Create edit and exception reports to allow users to validate the data and assist in identifying and remedying data discrepancies between PARI\$ and other systems.

IV.A.3 Improve system sustainability

- Improve the quality of products used - Use sufficiently robust, adequately sized, and up-to-date supported system hardware and software that meets CDE and OTech standards.
- Train staff – Train current staff and develop written training materials to support training of future staff.

IV.A.4 Improve system and data security

- Increase security – Implement a system that uses up-to-date standard security features.
- Adhere to all laws, policies, and standards – Implement a system that meets relevant state and federal laws and policies, and CDE and OTech policies and standards.
- Incorporate tools – Implement a system that utilizes auditing and reporting functionality for administrators to configure, monitor, and report on system and data security.

IV.A.5 Promote good data management practices and adhere to CDE standards

- Implement a system that adheres to CDE standards and policies.
- Implement a system that adheres to OTech standards and policies.
- Comply with the State's IT reporting policies.
- Collect and store accurate and reliable information.
- Make data available, upon request, in a manner that is timely, understandable, and consistent with the level of the data's confidentiality.
- Minimize data redundancy and maximize data value.

IV.A.6 Utilize a robust system and database design

- Document the system - Create accurate, maintainable documentation on the system, as implemented, in a manner that can be maintained by CDE post-implementation.
- Include flexibility – Implement a system with the flexibility to do such things as implement changes to legislation and other guidelines and modify data elements that change annually, without the use of a programmer.
- Develop audit trails for all system activity.
- Track system history - Record all system activity in such a way as to be able to recreate an entire history of all activity including error corrections, dates, and user IDs.
- Audit the system - Utilize auditing tools to be able to monitor performance, usage, data access and other activity that will allow system administrators to identify security issues, perform system tuning, and run statistical reports.

IV.A.7 Provide the ability to interface with other systems

- Export data in multiple formats – Eliminate the need to use an intermediate product to manipulate data between PARI\$ or another internal or external system.

- Import data from multiple sources – Import and store data from other systems using standard pre-defined formats.
- Eliminate redundant manual data entry - Automate the process of updating PARI\$ data using data imported from other systems.
- Identify inconsistencies between PARI\$ and other systems - Create exception reports that will allow CDE to identify discrepancies between PARI\$ and data imported from other systems.
- Improve data sharing between divisions – Automate data exchange with other CDE systems and improve data exchange with CALSTARS and the system that will replace CALSTARS.

IV.A.8 Improve efficiency

- Process anywhere – Analysts will be able to process pay runs and respond to agency inquiries via the Internet.
- Improve reconciliation – Improve the reconciliation process with CALSTARS and the system that will replace CALSTARS and reduce the possibility of a program becoming over-allocated.
- Reduce mail and printing costs – Emailing initial agreements, calculation worksheets, and associated letters will reduce printing and mailing costs incurred by the CDE.
- Reduce time spent on redundant manual tasks - Eliminate the need for redundant data entry and manual agreement tracking.
- Automate the Agreements process – The proposed solution will automate workflow tasks, where appropriate.
- Automate data movement - Eliminate the need to provide physical reports or forms to other CDE divisions.
- Share PARI\$ data internally and externally - Provide other CDE divisions read-only access to relevant PARI\$ data and reports and display selected PARI\$ reports on the CDE website.

IV.A.9 Improve data collection

- Capture all critical information – Implement a system that captures all current information required to conduct agreement-processing tasks and has the expansion capability for future needs.
- Incorporate online data entry – Eliminate paper-based, manual data entry of caseload, fiscal, and attendance information by CDE staff and agency representatives.
- Improve data quality – Reduce data errors by eliminating re-keying of data and provide validation to online data collection screens.

IV.A.10 Enhance encumbrance processing

- Incorporate all necessary encumbrance functionality – Implement a system that accomplishes current business practices with regard to encumbrances and disencumbrances.

IV.A.11 Improve customer service and program compliance

- Increase agency compliance – Provide automated communications and notifications to agencies and their representatives.
- Increase agency self-sufficiency – Provide agencies online access to fiscal, attendance, and caseload information to reduce the volume of contacts (phone calls and email) handled by CDE.
- Increase accuracy of data – Provide agencies the ability to enter their fiscal and attendance reports online to allow agency representatives to identify and correct report errors or omissions before the report is submitted to CDE.
- Reduce processing time – Reduce the amount of time required by CDE to process agreement rollovers and agreement amendments by providing stable and reliable information.

IV.A.12 Improve data analysis

- Centralize reporting functions – Consolidate all reporting functionality into a single system to eliminate the need for additional reporting tools or reporting that is extraneous to PARI\$.
- Expand the availability of special reports – Provide a robust ad hoc reporting tool that will enable users to query and report on information on demand.
- Share information – Provide online access to selected reports to support CDE divisions and other agencies.
- Expand current reports – Create additional standard reports that are needed to support CDE business functions and management reporting capabilities.

IV.B CONCEPTUAL DESIGN

The proposed PARI\$ solution will replicate much of the functionality of the existing PARIS system and will add significant enhancements designed to increase the speed of agreement and payment processing, improve CDE's ability to provide responsive customer service, and increase local agency accountability.

The PARI\$ solution will be a web-based application and database that CDE users will access through the OTech and the CDE LAN/Wide Area Network (WAN), as well as the Internet. The system will also allow child care and development agencies to submit attendance, fiscal, and caseload reports via the Internet. Pertinent data from the current PARIS database will be converted to the new system database along with data from nine stand-alone Microsoft Access databases and Excel spreadsheets.

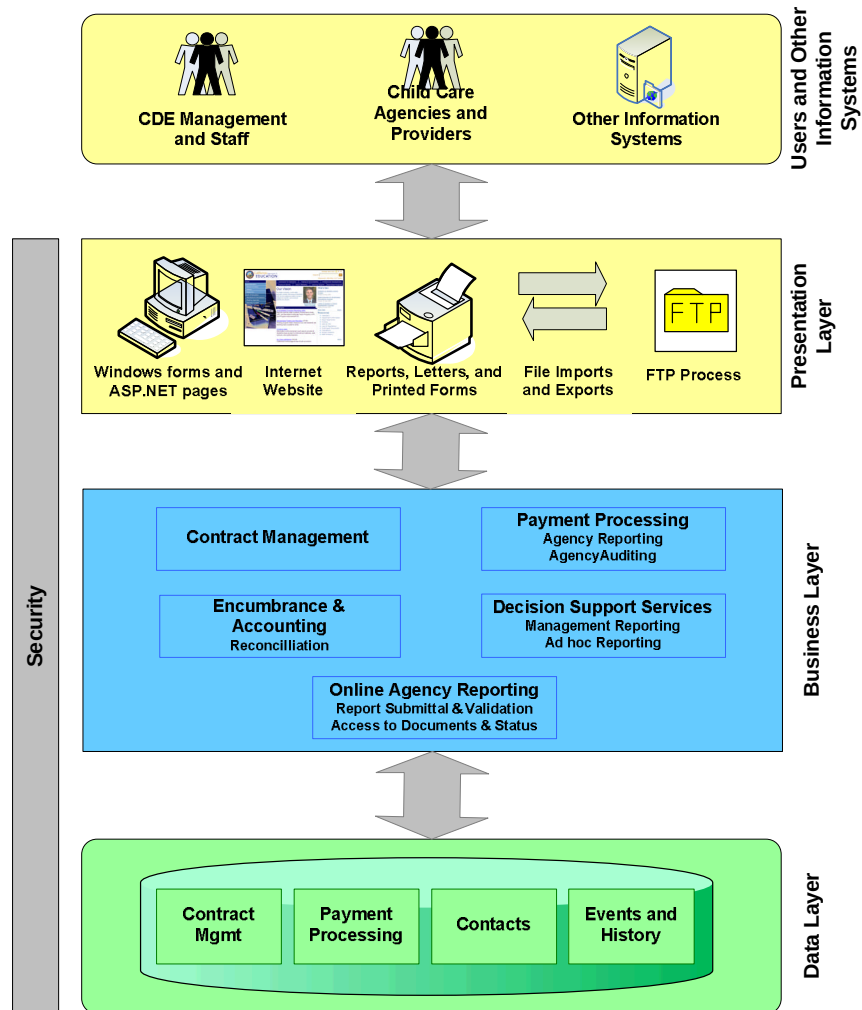
The solution will have an intuitive user interface, minimizing the amount of required staff training. PARI\$ will generate about 165 standard reports and letters. It will provide CDE staff with the ability to generate a wide range of ad hoc reports through CDE's standard report generation software.

PARI\$ will be built on the CDE standard technical platform consisting of Microsoft ASP.NET and SQL Server 2008. The logical structure of PARI\$ will conform to a multi-tier environment consisting of a separate presentation layer, business layer, and data layer. These are standard technical environments widely supported by the software industry.

The proposed PARI\$ solution will consist of:

- A web-based interface permitting CDE staff to access and use PARI\$ from any computer with CDE LAN/WAN connectivity and a web browser as well as from the Internet.
- An Internet website allowing agencies to submit attendance, fiscal, and caseload reports, to view past reports, and to track the status of their agreements and payments.
- Automated email notification and delivery of correspondence to agencies, including projected earnings calculations, status letters, final earnings calculations, and closeout audit reports.
- Workflow management functionality to streamline the agreement management processes and associated monitoring.
- Migration of data from the outdated Microsoft Visual FoxPro application/database, relevant Access databases, and Excel spreadsheets.
- Improved enrollment, attendance, and fiscal data accuracy through online editing and validation.
- Centralized data and reports with improved access to data and flexible reporting capabilities.
- Implementation of policy-based security management to provide access to authorized PARI\$ users based on their identities and roles.
- Implementation of new data management capabilities to:
 - § Enable agencies to submit changes online of select administrative data (e.g., email addresses, mailing addresses, and contact names).
 - § Provide CDE staff the ability to approve changes submitted by agencies.
- Reasonable response times for agencies and CDE field personnel.
- Capability to accept manual input of data.

Figure IV-1 Conceptual Model of Proposed Solution, below, provides a conceptual overview of the proposed solution.

Figure IV-1 Conceptual Model of Proposed Solution

The proposed system will require changes in equipment, software, and operating environments. Table IV-1 Anticipated Changes in Equipment, Software, and Operating Environment, below, describes each area and the major changes that impact it.

Table IV-1 Anticipated Changes in Equipment, Software, and Operating Environment

ANTICIPATED CHANGES IN EQUIPMENT, SOFTWARE, AND OPERATING ENVIRONMENT	
Area	Changes
<i>Equipment</i>	<u><i>Current</i></u> The current PARIS allows access via user workstations. Network servers support the application and database, and the CDE local area network provides the network infrastructure. <u><i>New</i></u> The proposed system will not require any new workstations or network hardware. New application, database, and web servers will be purchased and installed at the OTech Data Center.
<i>Software</i>	<u><i>Current</i></u> PARIS utilizes Microsoft Visual FoxPro version 7.0 running on a MS Windows Server 2003 (server), and IBM Lotus Approach and Business Objects Crystal Reports, which run on MS Windows XP (client). In order to access the system from a workstation, TSD installs the necessary components to the client workstation, including a desktop shortcut to the application. <u><i>New</i></u> The proposed system should not require the installation of any client-side components with a system developed using the current version of the Microsoft .NET architecture and database management system (e.g., ASP.NET, Visual Basic 2008, and SQL Server). However, a shortcut might be utilized to ease access to the system.
<i>Operating Environment</i>	<u><i>Current</i></u> The current system operates as a client-server application running on servers located within the CDE offices at 1430 N Street, Sacramento, CA. Users access the server application via their workstations and the CDE LAN. <u><i>New</i></u> The proposed system will be developed as an n-tier application utilizing the Microsoft .NET framework housed at the OTech Data Center. The system will include use of web and database servers that will provide users with access to PARIS information and functions via the Internet.

IV.C BUSINESS COMPONENTS OF THE PROPOSED SOLUTION

IV.C.1 Agreement Management

The proposed solution will provide the ability to manage several thousand agreements from more than 900 agencies. It will contain a workflow management function to efficiently process agreements, the bulk of which are re-written on an annual basis, and agreement amendments and revisions that occur regularly. The workflow capabilities will be flexible to allow optimization of business processes. It will provide the ability to track the status and location of the agreement throughout the agreement process, from application through close out, and identify bottlenecks and points of inefficiency in the agreement management processes.

IV.C.2 Payment Processing

The second major component of the proposed solution is payment-processing software that will be tightly integrated with the agreement management component. This component will provide functionality to authorize payments, calculate payments using data submitted by agencies through the online agency reporting component, process large pay runs, and export encumbrance and remittance files to CALSTARS (and the system that will replace CALSTARS) and export electronic payment files to the SCO.

The first factor is the requirement that the payment processing component be integrated with the agreement management component. Frequently, the CO amends agreements, and it is not unusual for the agreements to have multiple amendments during the agreement period. Since most amendments impact the payments due to the agency, the agreement terms and payment data must be linked within the same system to ensure the accuracy of the payments to the agencies. In addition, the payment-processing component provides agencies with projected earnings calculations. Linking this data within the same system ensures that projected earnings adjustments resulting from agreement amendments will be reported accurately and in a timely manner to the agencies.

The proposed solution must accommodate the State's unique business model for compensating child care and development agencies, which is not based on paying invoices submitted by agencies. CDE stipulates an MRA in each vendor agreement and pays the vendor in monthly installments. However, CDE may reduce a monthly payment if a vendor's fiscal and attendance report shows that the agency is not fulfilling its service requirements.

The proposed solution must also support electronic claims processing with the SCO, in accordance with current SCO specifications. This process will include using a secure file transfer protocol and encryption of electronic fund transfer information.

IV.C.3 Online Agency Reporting

A third major component of the proposed solution is web-based reporting and querying functions that allow agencies to submit fiscal and attendance reports and provides the capability for them to view past reports and other agreement information. This component also provides for agencies to create and submit CPA-approved final audit reports online and will incorporate functionality from an existing online reporting tool to collect caseload data from CalWORKs and APP agencies.

Agencies will access the online reporting component using a standard Internet browser. The component will provide online forms to submit the required data. The forms will differ based on the type of child care and development programs in which an agency participates. The component will also provide the capability to upload a data file in lieu of submitting data via an online form. It will perform robust data validation to maximize data integrity. The component will also provide tools for agencies to view past reports and other data about their agreements.

IV.C.4 Encumbrance & Accounting

The proposed solution for the encumbrance and accounting component will provide functionality to assign budgetary funds to accounting codes. It will allow accounting codes to be added, modified and deleted and provide the capability to add and delete funds from the accounting codes and to shift funds between accounting codes. Additionally, it will allow agreements to encumber funds from more than one accounting code and provide a detailed accounting of all encumbrances and disencumbrances. The component will also provide functionality to facilitate the reconciliation of accounts maintained in the proposed solution against accounts maintained in CALSTARS (and the system that will replace CALSTARS).

IV.C.5 Decision Support Services

To meet managerial and operational reporting needs, the proposed solution will provide a robust reporting tool. Business requirements stipulate that the proposed solution provide about 165 standard reports. It will also provide a robust and easy to use data search and filtering tool to allow CDE users access to data elements in the PARI\$ database.

CDE's technology standard for reporting tools is SQL Reporting Services. Since the proposed solution will comply with CDE technology standards, CDE expects that the proposed solution will be compatible with SQL Reporting Services.

IV.D TECHNICAL COMPONENTS OF THE PROPOSED SOLUTION

IV.D.1 Technical Environment

The PARI\$ solution will be developed within a multi-tier environment comprised of application, web, and database servers, PC workstations, and system interfaces. All of these systems are connected via a LAN/WAN supported by both CDE and OTech.

The PARI\$ application will be developed using the Microsoft ASP.NET programming language run on a Microsoft Windows 2008 Server operating system. The server hardware will be housed and maintained at the OTech Data Center. The PARI\$ data will be stored on a Microsoft SQL Server 2008 database. Data within PARI\$ will be available for inquiry and update 16 hours per day during the normal business hours of 6am – 10pm, seven days a week, excluding scheduled maintenance.

All of the CDE workstations used to access PARI\$ will have Microsoft Windows XP operating systems and will be connected to the CDE/OTech LAN/WAN.

IV.D.2 Hardware

The proposed solution may require the acquisition and installation of the following hardware (subject to verification through the Bidders' Proposals). Table IV-2 Sample PARI\$ Hardware, below, provides a sample of the expected hardware requirements for PARI\$. Because PARI\$ will be a business-based procurement, the actual hardware needs will be determined by the technical solution of the selected Bidder.

Table IV-2 Sample PARI\$ Hardware

SAMPLE PARI\$ HARDWARE	
Sample Hardware	Quantity
<i>Production</i>	
Application server	1
Web server	1
Database server	1
<i>Development/Test</i>	
Application and Web server (development and test environments partitioned on one box)	1
Database server (serves both the development and test environments)	1

IV.D.3 Integration

The proposed solution will be required to support FASD staff in interactions with other CDE and non-CDE systems, CDE divisions, and organizations.

IV.D.3.a Internal Interfaces

To the extent possible, data exchanges with other systems will be accomplished via electronic interfaces, but do not involve system interoperability efforts associated with full-scale systems integration. In cases where technical issues with other systems or other circumstances prohibit direct links between PARI\$ and the other identified systems, PARI\$ will accept uploaded data extract files.

The proposed solution will provide data and functionality that will interact with internal systems such as ARIS, CDMIS, CDD's Contract Automated Tracking System (CATS), The Budget Office's BEES, the Financial Reporting Database (DB), and the A&I Claims Audit Database. The database of the proposed solution will also be designed to allow view-only access by other CDE systems sharing the same system architecture.

Some interactions will be removed or replaced. The CalWORKs website system will be replaced by a new PARI\$ website system, and the ancillary MS Excel and MS Access systems should be incorporated into the design of the proposed solution.

IV.D.3.b External Interfaces

Externally, PARI\$ will need to exchange data, but not interface directly, with the CALSTARS. Because PARI\$ will be in production prior to the expected implementation of the CALSTARS replacement system, FI\$Cal, PARI\$ will be designed to be compatible. An important component of the proposed solution is that the Contractor will, at the time of detailed system design, review available FI\$Cal design plans and identify those relevant PARI\$ functions that will be duplicated in FI\$Cal, to ensure that each of those functions will be able to be brought offline in PARI\$ once FI\$Cal is implemented and that particular function is available.

Additionally, PARI\$ will need to transfer payment request files, via File Transfer Protocol (FTP), to the (SCO).

IV.D.4 Data Conversion

During the PARI\$ Project, data from the current PARIS database will need to be extracted and converted before loading into the new PARI\$ database. Due to the data needs of Reserve Account processing, the Contractor will have to convert selected financial data from as far back as 1998. In general, CDE will use the following conversion strategy:

- Develop automated processes to convert PARIS data to PARI\$.
- Conduct data conversion tests well before implementation to allow FASD staff time to clean up the data in the existing system prior to data conversion.

- Convert historical agency, financial, and attendance information.
- Conduct all system integration testing (SIT) with converted data.
- Use CDE data standards for defining, naming, formatting, and cataloguing data. (see APPENDIX E BIDDERS' LIBRARY for these guidelines).

IV.D.5 Testing

The PARI\$ testing approach will be configured to meet four objectives:

- Assure that PARI\$ works according to specifications;
- Assure that PARI\$ is robust enough to meet user needs, as defined by the requirements in the PARI\$ RFP;
- Assure that confidential data stored in PARI\$ is secure; and
- Assure that CDE management, staff, and external users are able to use PARI\$ in an effective and productive manner.

To achieve these objectives PARI\$ will be tested, verified, and approved through a series of test activities.

IV.D.5.a Testing Preparation

Test plans will be developed, test cases will be identified, test scripts will be written, and test data will be created and stored for use during testing. CDE staff will participate in test preparation.

IV.D.5.b Unit Testing

Each component of PARI\$ will be unit tested individually to ensure that basic functions and processes work as designed before construction is completed and the components are released for SIT. The Contractor programmer analyst(s) that develop the system will be responsible for unit testing.

IV.D.5.c System Integration Testing (SIT)

During SIT, the components of PARI\$ will be tested together as an integrated system. SIT will be performed through a series of test builds, where different system components are assembled and tested until the entire system has been completely tested. Contractor programmer analysts that did not develop the specific processes and functions will perform the testing during this phase.

IV.D.5.d Performance Testing

During performance testing, PARI\$ will be measured for efficiency and economy in the use of time and resources. PARI\$ will be tested at various levels of transaction and data volumes, including levels that exceed the performance requirements of the system. Of particular

importance to PARI\$ is verifying the ability to handle the increased network traffic introduced by the new web interface. PARI\$ system security will also be tested and measured at this time. The Contractor programmer analyst(s) and business analyst(s) will be responsible for performance testing.

IV.D.5.e User Acceptance Testing

CDE staff will participate in the user acceptance testing process. User acceptance testing is the demonstration to the user that all the requirements of PARI\$ have been met and the system is ready for installation. Once user acceptance testing is completed successfully, PARI\$ can be approved for migration into production.

IV.D.5.f Post-Implementation Verification

After PARI\$ has been installed into production, the project team will conduct a quick series of tests to ensure the installation and conversion processes were completed successfully. CDE staff will conduct the testing.

IV.D.6 Information Security

The proposed solution includes Internet access to child care and development agency fiscal data, attendance data, and payment history. Interface with the SCO will also require storage of an agency's banking information, which is confidential data. Therefore, security is a key component to ensure confidentiality, integrity, and availability of the data, all critical elements for use of the system. Therefore, PARI\$ will be developed with a strong set of security processes and procedures built in to prevent unauthorized access that could allow a security breach, data corruption or system down time. The PARI\$ production system will be located within the OTech data center where it will be protected by firewall systems and other security measures.

CDE will manage access to PARI\$ data through application level security. Information in the system will only be accessible to authorized CDE personnel and child care and development agencies. The proposed solution will support different levels of user access. CDE will define and establish classes of users and will manage access levels via the user login process. The access levels will include at a minimum:

- Inquiry;
- Add/Update/Delete;
- Security Administration (e.g., creation or update of security profiles); and
- System Administration (e.g., maintenance of table-driven system parameters).

An added component of security will be the ability to restrict access to specific functions based on date or source IP address. In addition, confidential data will be encrypted upon file transfer as applicable.

CDE and OTech maintain a security infrastructure that adheres to the requirements of the State Administrative Manual and industry best practices. Because CDE and OTech maintain an integrated LAN/WAN infrastructure, a high level of security is enforced on all IT systems and data. CDE/OTech's security infrastructure is rigorously maintained, tested, patched, and kept current.

IV.D.7 Backup and Recovery

All PARI\$ production and development servers will be located at the OTech Data Center and will be protected under the OTech's standard application hosting platform backup and restore procedures. The OTech facility provides a high-security environment, including fire detection and suppression devices, multiple connection feeds, filtered power, backup power generators, and other features to ensure the high availability customers require.

In addition, the PARI\$ team will work with the Contractor and OTech to establish a documented recovery plan and strategies for rapid recovery using routine backups and replication strategies as appropriate. See the APPENDIX E BIDDERS' LIBRARY for a list of the current OTech standards.

IV.D.8 Public Access

PARI\$ provides increased opportunity to share information with child care and development agencies, their CPAs, and the public. Although the general public will not have access to PARI\$, reports generated by PARI\$ regarding agreement funding data will be posted on the CDE public website (as part of CDE's Master Funding Initiative).

Child care and development agencies will be able to access PARI\$ via the Internet to submit reports and view agreement and payment information and status. Access will be controlled by password authentication to help ensure that only authorized persons are able to submit data into PARI\$ and view appropriate agreement data. In addition, users will be given differing access rights based on security tables. These will determine what specific information may be viewed or modified by a particular user.

IV.D.9 Expected Operational Life

The current PARI\$ has been in service for about ten years. The proposed solution is expected to be in service at least ten (10) years. This expectation assumes that regular and routine upgrades of application, database, operating system, and other software occur.

IV.D.10 Availability of Technical Resources

The proposed solution will be designed, developed, and implemented by a team of Contractor staff supported by FASD staff and CDE Technology Services Division (TSD) staff.

The successful Bidder in the procurement process will provide the proposed Contractor project team. The proposed solution will be developed using current industry-leading technologies that have a large resource pool in the IT industry to support them.

CDE technical staff will be available to participate as resources regarding CDE's technical processes and procedures during the design, development, and implementation phase of the project. TSD has staff experienced in developing .NET systems in the proposed system architecture. TSD team members will be derived from either existing TSD staff or staff added through a Budget Change Proposal (BCP) augmentation.

IV.E PROJECT MANAGEMENT COMPONENTS OF THE PROPOSED SYSTEM

IV.E.1 Project Management Methodology

The TSD's Project Management Office (PMO) has adopted project management industry best practices and methodologies based on published guidelines from the Office of the State Chief Information Officer (OCIO). The OCIO guidelines are based on principles from the Project Management Institute (PMI) and the Software Engineering Institute (SEI). The adoption of these guidelines provides the PMO staff with established standards to effectively work with IT projects and project managers within the CDE. The PMO staff work with branch and division managers in training and mentoring on the CDE's project management methodology.

IV.E.2 Application Development Methodology

CDE will contract with the selected development Contractor in the design, development, data conversion, testing, and training phases of the PARI\$ implementation. For any portion of PARI\$ requiring custom software development, the Contractor will follow CDE's System Development Life Cycle (SDLC) approach (or equivalent) in these efforts. The CDE SDLC follows a traditional waterfall approach, in that the work of one phase is completed, verified, and approved before the project moves on to the next phase.

The TSD ADMO has created and adopted software development guidelines for application development. The guidelines serve as a road map for the successful development of systems and software projects.

At a high-level, the guidelines describe an application development process that consists of five major work phases:

Phase 1 – Investigation

Phase 2 – Analysis and Design

Phase 3 – Development

Phase 4 – Customer Acceptance Testing

Phase 5 – Deployment

Within each of these phases are detailed processes and procedures that describe a systematic approach to running application development projects. Because these guidelines are an important part of the TSD's standard operating procedures, all projects are required to follow the guidelines. The guidelines are provided in APPENDIX E BIDDERS' LIBRARY.

IV.E.3 Training

The proposed solution will require training for three different groups of users on PARI\$ functions, processes, and procedures:

- CDE Users;
- External Users; and
- CDE TSD.

IV.E.3.a CDE Users

CDE users will need training to provide the skills and understanding to use PARI\$ efficiently and effectively when it is implemented.

CDE staff will be trained in:

- Basic PARI\$ functions, processes, and procedures;
- Differences between PARIS and PARI\$; and
- Website functions so they can provide support for child care and development agencies.

Training and providing information to CDE users will involve a four-pronged approach:

- Instructor-Led Courses. The Contractor project team will conduct PARI\$ training on several occasions prior to implementation. The instruction will include materials such as student course books, reference cards, and PowerPoint slides.
- Self-Instruction and Documentation. The Contractor project team will prepare documentation that will allow CDE users to train themselves on PARI\$ functions, processes, and procedures. These documents include user guides, job aids, reference cards, etc.
- Online Help. In addition to training, PARI\$ will be designed to include online help, via a help index, help topic search capability, and optional information and hints when the users hover the mouse cursor over specific data elements in the screens and pages.
- Train the Trainer Approach. The Contractor project team will provide appropriate training for selected CDE staff in order to ensure CDE's ability to conduct all training and maintain all training materials in the future.

IV.E.3.b External Users

The Contractor project team will develop an outreach and rollout plan to inform, educate and obtain buy-in from agencies. CDE will establish and staff a help desk to assist external users

and develop training documentation. External users will have PARI\$ website user guides, job aids, computer based training and other documentation available to assist them in understanding how the website works, how attendance and fiscal data is submitted, and how they can access other information they need to perform their services.

IV.E.3.c CDE Technical Staff

CDE's technical support staff will need knowledge transfer and training to provide the skills and understanding to operate, monitor, maintain, and manage the user and system administration and maintenance functions associated with PARI\$.

IV.E.4 Documentation

IV.E.4.a System Documentation

To adequately support PARI\$, the programmers and technical staff need well-defined technical documentation. These documentation deliverables would include, at a minimum:

- PARI\$ System Maintenance/Operations Manual
- PARI\$ System Administration Manual
- PARI\$ System Architecture Manual
- PARI\$ System Help Desk Manual

IV.E.4.b User Documentation

The proposed solution is expected to include a PARI\$ System User Manual as well as application and website user guides to document procedures the end-user would utilize to operate all modules of PARI\$, including identification of possible errors and how to resolve them.

IV.E.5 Ongoing Maintenance and Knowledge Transfer

Initially, post implementation of PARI\$ will be the responsibility of the Contractor, for a one-year period beginning at System Acceptance. Contractor staff will develop and implement a Knowledge Transfer and Training plan to ensure detailed knowledge transfer, training and documentation is provided to technical support staff to operate, maintain, configure, and modify the new system. After the one-year period is over, CDE TSD technical staff will provide all PARI\$ maintenance.

As a contingency, this RFP includes a requirement for the Bidder to provide costs for a second contract to continue ongoing maintenance and operations (M&O) for up to two (2) additional years. Years 2 and 3 of M&O are each optional, at the sole discretion of CDE.

This page intentionally left blank.

Section V Administrative Requirements

V.A INTRODUCTION

This Section addresses the administrative requirements for RFP CDE 6110-98. In addition to meeting the business, functional, and technical requirements of this RFP in SECTION VI [Business, Functional, and Technical Requirements](#), Bidders must adhere to all the mandatory **(M)** administrative requirements of this RFP to be responsive. Section IX [Proposal Evaluation](#), contains the details for the evaluation methodology and scoring criteria.

All of the forms referenced in this Section are available in APPENDIX B BIDDER RESPONSE FORMS.

V.B BIDDER RESPONSIBILITY

Prior to award of the Contract, the State must be assured that the Bidder selected has all of the resources to successfully perform under the Contract. This includes, but is not limited to, personnel in the numbers and with the skills required, equipment of appropriate type and in sufficient quantity, financial resources sufficient to complete performance under the Contract, and experience in similar endeavors. If, during the evaluation process, the State is unable to assure itself of the Bidder's ability to perform under the Contract, if awarded, the State has the option of requesting from the Bidder any information that the State deems necessary to determine the Bidder's responsibility. If such information is required, the Bidder will be so notified and will be permitted five (5) State business days to submit the information requested. Types of financial responsibility information include annual reports and currently audited balance sheets for the firm that is submitting a Proposal.

The State will not accept Bidder Proposals structured as open ended or time and materials based pricing arrangements, and any Proposals structured in this manner will be deemed non-responsive and will be excluded from further consideration by the State.

Bidders submitting conditional Proposals will be disqualified.

V.B.1 Adherence to OTech Standards (M)

To ensure that the proposed technical architecture meets the standards and requirements of OTech, formerly DTS, the Bidder agrees to consult with the OTech prior to submitting the Final Proposal. All contacts with the OTech will be arranged through the DGS Procurement Official referenced in Section I.F PROCUREMENT OFFICIAL.

Bidder's response must use the current OTech services documents and service rates to specify and cost all hardware, software, and services necessary to implement PARI\$. The platform

costing rates should be based on existing OTech published rates for supported hardware and software components.

Refer to the following website link to view the OTech Service Catalog:

<http://www.servicecatalog.dts.ca.gov/>

Refer to the following website link to obtain current OTech Service Rates:

<http://www.dts.ca.gov/customers/rates.asp>

V.B.2 Adherence to CDE Standards (M)

The Bidder's proposed solution must comply with all of the standards and requirements of the CDE described in SECTION VI [Business, Functional, and Technical Requirements](#) and referenced in APPENDIX E BIDDERS' LIBRARY.

V.B.3 Workers' Compensation Insurance (M)

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 Contract and agree to furnish the State satisfactory evidence thereof at the time of Final Proposal submittal and at any time the State may so request.

Satisfactory evidence of a valid Workers' Compensation Insurance Policy, in the minimum amount of \$1,000,000 employer's liability, for all employees proposed in the performance of this Contract must be included in the Final Proposal and must be provided to the State at any time the State may request.

Bidders must complete APPENDIX B FORM V.1 WORKERS' COMPENSATION INSURANCE CERTIFICATION.

V.B.4 Commercial General Liability Insurance (M)

The Bidder and proposed Subcontractors must maintain in force (as required by State law) a valid Commercial General Liability Insurance Policy.

Satisfactory evidence of a valid Commercial General Liability Insurance Policy in the amount of at least \$1,000,000 must be included in the Final Proposal and must be provided to the State at any time the State may request.

V.B.5 Performance Bond (M)

The Bidder must provide as part of its Final Proposal proof of bondability and the terms and conditions of the Performance Bond that are identified in APPENDIX B FORM V.3 PERFORMANCE BOND FORM. The proof of bondability shall be a Letter of Bondability (see APPENDIX B FORM V.2

LETTER OF BONDABILITY) that must state that the bonding company will bond the Bidder for 30 percent (30%) of the value of the Implementation Services Contract and that this bond shall be held in effect until written System Acceptance is documented by CDE. The bonding company must be a surety, licensed to do business in the State of California, with a rating of no less than A- (A minus).

Bidder must include the Letter of Bondability as stated above in Volume III, Cost Data. Bidder must also include in Volume I, Response to Administrative Requirements, the Letter of Bondability **but with Proposal cost information excised (blacked out)**.

Within twenty-one (21) calendar days after the effective start date of the Contract, the awarded Contractor shall execute the Performance Bond requirement and supply a Performance Bond in the amount of thirty percent (30%) of the value of the Implementation Services Contract. This bond shall be held in effect until CDE acceptance of the final milestone, System Acceptance, to ensure Contract performance and to guarantee deliverables by deadlines.

Because of the potential consequences that may result if the successful Bidder is unable to furnish the surety document, Bidder should take the necessary steps prior to submittal of their Proposals to ensure that if awarded the Contract they will be able to comply with this requirement.

V.C DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) PARTICIPATION REQUIREMENT (M)

V.C.1 DVBE Participation Compliance

State law requires that State agencies have participation goals of three percent (3%) for disabled veteran business enterprises (DVBEs). For this procurement the minimum participation goal is three percent (3%). Bidders have two (2) compliance options to meet this requirement: (1) locate and commit to subcontracting certified DVBE firms who will perform at least three (3%) of the work specified by this RFP; or (2) Provide a copy of a DGS approved DVBE Business Utilization Plan.

Bidders must fully document their compliance.

Bidders are instructed to refer to the following website link to obtain the detailed program requirements and instructions entitled: CALIFORNIA DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) PROGRAM REQUIREMENTS – FOR GOODS AND INFORMATION TECHNOLOGY (REVISION DATE 09/03/2009)

<http://www.documents.dgs.ca.gov/pd/poliproc/Master-DVBEReqPack-GoodsITFinalVersion090909.pdf>

NOTE: Bidder must complete and include with its Final Proposal the following forms:

- APPENDIX B FORM V.4 DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) DECLARATIONS

- APPENDIX B FORM V.5 BIDDER DECLARATION FORM
- APPENDIX B FORM V.6 COMMERCIALLY USEFUL FUNCTION CERTIFICATION

PLEASE READ THIS REQUIREMENT AND ALL INSTRUCTIONS CAREFULLY. FAILURE TO COMPLY WITH THE DVBE REQUIREMENT WILL CAUSE YOUR SOLICITATION RESPONSE TO BE DEEMED NONRESPONSIVE AND YOUR FIRM TO BE INELIGIBLE FOR AWARD OF THE PROPOSED CONTRACT(S).

V.C.2 DVBE Incentive

In accordance with section 999.5(a) of the Military and Veterans Code, an incentive will be given, for evaluation purposes, to Bidders based on applicable DVBE participation. See Section IX.E.5.b Step 2: Evaluation of DVBE Incentive Claim for more information.

V.D SMALL BUSINESS PREFERENCE

V.D.1 Small Business Regulations

The Small Business regulations, located in the California Code of Regulations (Title 2, Division 2, Chapter 3, Subchapter 8, Section 1896 et. seq.), concerning the application and calculation of the small business preference, small business certification, responsibilities of small business, department certification, and appeals are revised, effective 09/09/04.

Refer to the following website link to obtain the new regulations:

www.pd.dgs.ca.gov/smbus

Access the regulations by clicking on "Small Business Regulations" in the right sidebar. For those without Internet access, a copy of the regulations can be obtained by calling the Office of Small Business and DVBE Services (OSDS) at (916) 375-4940.

V.D.2 Small Business Nonprofit Veteran Service Agencies (SB/NVSA)

SB/NVSA primary Bidders meeting requirements specified in the Military and Veterans Code Section 999.50 et seq. and obtaining a California certification as a small business are eligible for the 5% small business preference.

V.D.3 Small Business and DVBE Certification

To be considered a valid small business and/or DVBE participant in an applicable state contract bid competition, your complete certification application package must be received by the Office of Small Business and DVBE Services (OSDS) no later than 5 p.m. of the Final Proposal due date. Your certification effective date will be the date the application is properly received and

deemed complete by the OSDS. Incomplete application submittals will delay your certification status and may result in the loss of your preference eligibility.

See the following website for additional information regarding the Certification Expedite Process: <http://www.pd.dgs.ca.gov/smbus/expedite.htm>

Questions regarding certification should be directed to the OSDS at (916) 375-4940.

V.E BIDDER DECLARATION FORM (M)

All Bidders must complete the Bidder Declaration GSPD-05-105, and include it with the Proposal response. See APPENDIX B FORM V.5 BIDDER DECLARATION FORM. When completing the declaration, Bidders must identify all subcontractors proposed for participation in the Contract. Bidders awarded a Contract are contractually obligated to use the subcontractors for the corresponding work identified unless the State agrees to a substitution and it is incorporated by amendment to the Contract. If not using subcontractors, submit the form and indicate "NONE" in the appropriate Section.

V.F COMMERCIALY USEFUL FUNCTION

On January 1, 2004, Chapter 623, Statutes of 2003, became effective and required all small business, micro-business and/or disabled veteran enterprises to perform a "commercially useful function" (CUF) in any Contract they perform for the State. CUF is defined in the Military and Veterans Code Section 999(b)(5)(B) for DVBES and in the Government Code Section 14837(d)(4)(A) for small businesses and micro-businesses.

Bidders must complete the APPENDIX B FORM V.6 COMMERCIALY USEFUL FUNCTION CERTIFICATION. At the State's option, Bidders may be required to submit additional written clarifying information regarding CUF. Failure to submit the requested written information as specified may be grounds for Proposal rejection.

V.G SELLER'S PERMIT

This RFP 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 (BOE). Contract award will be conditional on the Bidder providing a completed APPENDIX B FORM V.7 SELLER'S PERMIT.

Failure of the supplier to comply by supplying the required documentation within five (5) State business days of the State's request will cause the supplier's Proposal to be considered non-responsive and the Proposal rejected.

V.H TARGET AREA CONTRACT PREFERENCE ACT (TACPA)

Preference will be granted to California-based Contractors in accordance with Government Code Section 4530 whenever contracts for goods and services are in excess of \$85,000 and the Contractor meets certain requirements as defined in the California Code (Title 2, Section 1896.30) regarding labor needed to produce the goods or provide the services being procured. Bidders desiring to claim TACPA must submit with their Final Proposal a fully executed copy of TACPA Preference Request for Goods and Services Solicitations (STD. 830). See APPENDIX B FORM V.8 TARGET AREA CONTRACT PREFERENCE ACT (TACPA) FORM.

V.I ENTERPRISE ZONE ACT (EZA)

Government Code Section 7080, et. seq., provides that California-based companies may be granted preferences when submitting a Proposal on state contracts in excess of \$100,000 for goods and services (excluding construction contracts) if the business site is located within designated "Enterprise Zones" (see STD. 831). Bidders desiring to claim this preference must submit with their Final Proposal a fully executed copy of EZA Preference Request for Goods and Services Solicitations (STD. 831). Bidders proposing to perform the Contract in a designated enterprise zone are required to identify such site(s) on the STD. 831. Failure to identify a site(s), which qualifies as an enterprise zone, will result in denial of the claimed preferences. See APPENDIX B FORM V.9 ENTERPRISE ZONE ACT (EZA) FORM.

A Bidder that has claimed an EZA preference and is awarded the Contract based on such preference(s) will be obligated to perform the Contract in accordance with the Act.

V.J LOCAL AGENCY MILITARY BASE RECOVERY ACT (LAMBRA)

California Government Code Section 7118, et seq. provides that California-based companies may be granted preferences when submitting a Proposal on state contracts in excess of \$100,000 if they qualify and apply for the LAMBRA preference. Bidders desiring to claim this preference must submit with their Final Proposal a fully executed copy of the LAMBRA Preference Request for Goods and Services Solicitations (STD. 832). See APPENDIX B FORM V.10 LOCAL AGENCY MILITARY BASE RECOVERY ACT (LAMBRA) FORM.

V.K BIDDER'S SUMMARY OF CONTRACT ACTIVITIES AND LABOR HOURS

If the Bidder requests EZA, TACPA, and/or LAMBRA Contract preferences the Bidder's Summary of Contract Activities and Labor Hours (DGS/PD 526) must be completed and signed by the Bidder for each requested preference. The purpose of this form is to give the Evaluators a tool to assess the total Bidder employee labor hours required to complete the Contract either inside or outside the preference areas. See APPENDIX B FORM V.11 BIDDER'S SUMMARY OF CONTRACT ACTIVITIES AND LABOR HOURS.

V.L MANUFACTURER'S SUMMARY

If the Bidder requests EZA, TACPA, and/or LAMBRA Contract preferences, the completed Manufacturer's Summary form must be signed by both the manufacturer and the Bidder to be eligible for the preferences. The purpose of this form is to give the Bidder and the Evaluators a tool to assess the total manufacturing employee labor hours required to complete the Contract either inside or outside the preference areas. See APPENDIX B FORM V.12 MANUFACTURER'S SUMMARY.

V.M CERTIFICATION REGARDING DEBARMENT (M)

Bidder must complete and submit APPENDIX B FORM V.13 CERTIFICATION REGARDING DEBARMENT. This certification is required by the Federal regulations implementing Executive Order, 12549, Debarment and Suspension, 29 CFR Part 98, §98.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988, Federal Register (Pages 19160-19211).

V.N CERTIFICATION REGARDING LOBBYING (M)

Bidders must complete and submit APPENDIX B FORM V.14 CERTIFICATION REGARDING LOBBYING. This certification is a material representation of fact upon which reliance is placed prior to entering an agreement. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code.

V.O FINAL PROPOSAL CERTIFICATION (M)

The Bidder's Final Proposal must include a completed and signed APPENDIX B FORM V.15 FINAL PROPOSAL CERTIFICATION.

V.P OTHER ADMINISTRATIVE REQUIREMENTS

V.P.1 Primary Contractor (M)

The award, if made, will be to a single Contractor. The selected primary Contractor will be responsible for successful performance of all subcontractors and support services offered in this Proposal. Furthermore, CDE will consider the primary Contractor to be the sole point of contact regarding contractual matters for the term of the Contract. The Contractor shall not assign financial documents to a third party without prior written approval by DGS.

The Bidder's Final Proposal must include a completed and signed APPENDIX B FORM V.16 CONTRACTOR INFORMATION FORM.

V.P.2 Subcontractors

ALL proposed subcontractors must be identified on the completed APPENDIX B FORM V.5 BIDDER DECLARATION FORM (GSPD-05-105).

Any subcontractor that the Bidder chooses to use in fulfilling the requirements of this RFP, and which is expected to receive more than ten percent (10%) of the value of the Contract, must also meet all Administrative and Technical Requirements of the RFP, as applicable. The Bidder's Final Proposal must include the following Appendix B Forms for each subcontractor expected to receive more than ten (10) percent of the value of the Contract:

- APPENDIX B FORM V.15 FINAL PROPOSAL CERTIFICATION
- APPENDIX B FORM V.16 CONTRACTOR INFORMATION FORM
- APPENDIX B FORM VI.1 PROJECT REFERENCE FORM(S) if Subcontractor reference is used to meet any business requirements

V.P.3 Third Party COTS

A Bidder submitting a Proposal that results in the award of a contract will be considered the Prime Contractor. The Bidder must accept full responsibility for coordinating and controlling all aspects of the Contract, including support or activities to be performed by any sub and/or secondary contractors. The Bidder, acting as Prime Contractor, must be the sole point of contact with the State relative to Contract performance.

If any Proposal includes software or services provided by other firms, the Bidder must be considered as Prime Contractor for the delivery and maintenance of the entire business solution and must ensure that the other firms provide the software or services that are a part of this solution. In all contractual matters, the State will consider the Bidder, acting as Prime Contractor, to be the sole point of contact. There will be no assignment of responsibility to a third party without prior written approval of the DGS.

The State recognizes that the Contractor may have integrated Third-Party Software into the proposed application systems. All such software not purchased by the CDE must be perpetual licenses purchased by and licensed to the Contractor. All required licenses purchased by the Contractor shall include written acceptance by the Third-Party Software provider of the State's Third Party COTS General Provisions as agreed to by the State and the Contractor after contract execution: <http://www.documents.dgs.ca.gov/pd/TAS/SICOTSSWGSPS071508.pdf>

Contractor agrees to provide to the State this written acceptance and copies of the software licensing agreement(s) no later than 30 calendar days prior to each Home implementation acceptance. Upon receipt, DGS will review the documents for approval. Full system acceptance is conditioned upon receipt and approval of these documents. Software licensing terms and conditions provided by the Contractor which are not in conflict with the State's Third Party COTS General Provisions will be accepted by the State, provided however that any licensing clause, term or condition representing that the license is superior to or takes

precedence over other articles, attachments, specification, provisions, contracts, terms or conditions shall be stricken and have no legal effect.

Contractor shall hold all licenses until each Home implementation acceptance. After implementation acceptance and approval by DGS of licenses, the licenses will pass to the State consistent with Third Party COTS General Provisions.

In the event that Contractor fails to perform on the Contract, Contractor shall immediately grant all software licenses to the State upon request by the State.

The State reserves the right to waive this requirement on a case-by-case basis, at the State's sole discretion, if it is in the best interest of the State.

V.P.4 Equipment (M)

All equipment offered must be new and the latest model in current production. USED, SHOPWORN, REFURBISHED, DEMONSTRATOR, PROTOTYPE OR DISCONTINUED MODELS ARE NOT ACCEPTABLE.

V.P.5 Contract Contingent on Completion of Special Project Report (SPR) (M)

After the State determines an apparent selected Bidder, the State will prepare a SPR for the OCIO approval, during which time, the Bidder's pricing contained in their Final Proposal shall remain firm for a period of 180 calendar days from the scheduled Final Proposal submission date identified in Section I.G KEY ACTION DATES. Approval of the SPR must precede and is a condition for the award of Contract.

V.P.6 Secretary of State (SOS) Status (M)

All corporations, Limited Liability Companies (LLCs) and Limited Partnerships (LPs) must be registered and in 'Active' status with the California SOS to be awarded this Contract. The SOS Certificate of Status must be included with the Final Proposal. 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
Certification Unit: (916) 657-5251

See APPENDIX B FORM V.17 SECRETARY OF STATE STATUS.

V.P.7 Payee Data Record (M)

The successful Bidder as a result of this RFP will be required to sign a Payee Data Record (STD. 204) before Contract Award. See APPENDIX B FORM V.18 PAYEE DATA RECORD.

This page intentionally left blank.

Section VI Business, Functional, and Technical Requirements

VI.A INTRODUCTION

This Section contains the Business, Functional and Technical Requirements pertaining to the proposed PARI\$, as described in SECTION IV [Proposed System](#), which a Bidder must address in their Proposal. See SECTION II [Rules Governing Competition](#), SECTION V [Administrative Requirements](#), and SECTION VIII [Proposal Format](#) for other requirements that must be met in order to be considered responsive to this RFP. See APPENDIX A.1 MODEL CONTRACT AND ATTACHMENTS SYSTEM IMPLEMENTATION (PRODUCTS AND SERVICES) and APPENDIX A.2 MODEL CONTRACT AND ATTACHMENTS MAINTENANCE & SUPPORT SERVICES for all contractual requirements.

The State is seeking a total PARI\$ solution that is based on a best-value procurement and satisfies the requirements specified in this Section and in APPENDIX C DETAILED BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS and the proposed solution discussed in SECTION IV [Proposed System](#).

The State has determined that it is best to define its own needs, desired operating objectives, and desired business operations environment. The State will not tailor these needs to fit a solution a Bidder may have available; rather, the Bidder must propose to meet the State's needs as defined in this RFP.

The remainder of this Section contains information the Bidder needs to respond to all business, functional, and technical requirements. All detailed requirements referenced in this Section are provided in APPENDIX C DETAILED BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS. Information regarding scoring criteria for all requirements is provided in SECTION IX [Proposal Evaluation](#). The Bidder is referred to that Section to assist in their preparation of a responsive Proposal.

Throughout this Section and APPENDIX C DETAILED BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS the terms "user" and "users" presumes the application of role-based access such that only users with appropriate access and authorization, not "ALL" users, have the specific capability designated to a "user" or "users" within a Requirement.

The use of the term "complete" or "completed" with regard to a system or project is defined to mean "the system is in production and is being utilized by the users as the system of record".

Bidders must complete and submit APPENDIX C DETAILED BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS with their Final Proposal to be considered responsive to this RFP.

VI.B BUSINESS REQUIREMENTS

This subsection details for the Bidder those requirements specific to business aspects of the Bidder's proposed solution – the company qualifications, the project team and its members' qualifications, and how the project is managed and implemented, including expected deliverables.

The detailed business requirements are presented in the following subsections:

- Bidder Qualifications
- Project Team
- References
- Project Management and Solution
- Other

The Bidder must respond to each of these requirements through its Proposal response.

Requirements that are met through a specific Proposal response by the Bidder indicate the “Bidder must” meet the requirement. Some of these requirements may require descriptions, outlines, or completion of Forms within the Bidder’s Proposal.

VI.B.1 Bidder Qualifications

This subsection addresses the detailed requirements related to the Bidder’s experience and qualifications to successfully deliver the proposed solution. The Bidder **must** respond to each of the Bidder Qualification Requirements provided in APPENDIX C.1 BUSINESS REQUIREMENTS: BIDDER QUALIFICATIONS to be considered responsive to this RFP.

VI.B.2 Project Team

The Bidder will be responsible for providing all staff persons required to design, develop, train, and implement the PARI\$ solution. This subsection addresses the detailed requirements regarding the skills and experience of the proposed project team. The Bidder will be responsible for providing a skilled and qualified project team whose members have relevant experience implementing the products, tools, and methodologies proposed to implement the PARI\$ solution. Table VI-1 Project Team Roles and Responsibilities below defines the minimum team roles expected of the proposed project team. The Bidder may propose additional team members or Subject Matter Experts (SMEs) as necessary to successfully implement the Bidder’s proposed solution.

Table VI-1 Project Team Roles and Responsibilities

PROJECT TEAM ROLES AND RESPONSIBILITIES	
Project Team Role	Responsibilities
Project Manager	The Project Manager has overall responsibility for implementing the solution and managing the Bidder's project team, including subcontractors.
Technical Architect	The Technical Architect has responsibility for designing and implementing the technical infrastructure for the proposed solution.
Quality Assurance Manager	The Quality Assurance Manager will oversee a process to validate and ensure the Contractor is following software engineering best practices and has responsibility for providing supervision and technical guidance to the development and implementation staff in the analysis, design, testing, and deployment of the applications to assure that all products are defect free and compliant with technical specifications.
Systems/Business Analyst(s)	The Systems/Business Analyst identifies and confirms requirements and ensures that those requirements are met by the proposed solution. Key areas of analysis include business process, requirements definition, system design and development.
Application Developer(s)	The Application Developer develops software components, screens, forms, and reports necessary to implement the proposed solution.
Tester(s)	The Tester has responsibility for developing test cases and performing systems and integration testing.
Trainer(s)	The Trainer has responsibility for developing all training curriculum and materials, and for conducting training classes relevant to the proposed solution.

The Bidder **must** respond to each of the Project Team Requirements provided in APPENDIX C.2 BUSINESS REQUIREMENTS: PROJECT TEAM to be considered responsive to this RFP.

VI.B.3 References

This subsection addresses the detailed project reference requirements for the Bidder firm, proposed Project Manager, and proposed Technical Architect. The Bidder **must** respond to each of the References Requirements provided in APPENDIX C.3 REFERENCES to be considered responsive to this RFP.

VI.B.4 Project Management and Solution

This subsection addresses the detailed requirements for project management of the proposed solution and for the solution itself. The Bidder will be responsible for defining the Project Management Approach that will be used to manage the design, development, and implementation of the new PARI\$. The project management components that the Bidder is responsible for include, but are not limited to, project work plans and schedules, deliverables, resource management, change management, issue management, quality management, project closeout, and knowledge transfer.

The successful Bidder is required to propose and follow a staged approach for the PARI\$ system development and implementation, similar to the following:

- Stage 1: Project Start Up
- Stage 2: System Analysis and Design
- Stage 3: System Development
- Stage 4: Data Conversion
- Stage 5: Systems and Integration Testing
- Stage 6: Training
- Stage 7: User Acceptance Testing
- Stage 8: Implementation
- Stage 9: System Maintenance and Project Closeout
- Stage 10: System Acceptance

The system acceptance period will begin on the first State business day following the installation (and certified as ready for use) of the system, and will end when the system has met the standards of performance defined in this RFP. Upon acceptance, the warranty and maintenance periods will begin, where the Contractor will provide warranty and maintenance services as defined in this RFP.

The successful Bidder will be expected to produce a number of deliverables throughout the course of the project. The table below in Table VI-2 Required Project Deliverables, below, provides a list of the required deliverables by Project Stage. The Bidder may propose additional deliverables as needed to successfully implement the Bidder's proposed solution. The Bidder **must** respond to each of the Project Management and Solution Requirements provided in APPENDIX C.4 BUSINESS REQUIREMENTS: PROJECT MANAGEMENT AND SOLUTION to be considered responsive to this RFP.

Table VI-2 Required Project Deliverables

REQUIRED PROJECT DELIVERABLES		
Deliverable Number	Deliverable Name	General Description
STAGE 1: PROJECT START UP		
DEL-1	Project Management Plan (PMP)	Defines the overall approach to managing the project and describes the methodologies, management practices, and tools that will be used by the Contractor to manage the work performed by the Contractor. The PMP addresses, at a minimum: • Project timeline and key milestones; • Project team structure and resource management; • Issue Management approach, including how issues/problems will be documented from identification to resolution, the tool used to track them, how they will be prioritized, how they will be reported, a description of issue escalation procedures, and a description of issue resolution procedures. • Management of documentation including version control; • Use of the proposed Defect Tracking System through all stages of the Project; • Quality management; and • Project Closeout.
DEL-2	Project Implementation Plan (PIP)	Defines the overall approach to implementing the project and describes the methodologies, management practices, and tools that will be used by the Contractor to successfully implement the proposed solution. The PIP addresses at a minimum: • Project Start Up; • System Analysis and Design; • System Configuration Management; • System Development; • Data Conversion; • Systems and Integration Testing; • Training; • User Acceptance Testing; • Implementation; • System Acceptance and Closeout; • Knowledge Transfer; and • System Maintenance.
DEL-3	Initial Project Work Plan	Includes updated versions of the Draft Work Plan with Project

REQUIRED PROJECT DELIVERABLES

Deliverable Number	Deliverable Name	General Description
	with Project Schedule	Schedule proposed by the Bidder.
STAGE 2: SYSTEM ANALYSIS AND DESIGN		
DEL-4	System Security Management Plan (SSMP)	Defines the overall strategy for planning, implementing, and maintaining the appropriate security controls for the system. PARI\$ has been identified as a moderate security category information system, according to Federal Processing Standards (FIPS) 199 - Standards for Security Categorization of Federal Information and Information Systems - http://csrc.nist.gov/publications/fips/fips199/FIPS-PUB-199-final.pdf. The SSMP must address the seventeen security families, with the corresponding minimum baseline controls for a moderate security category system, as identified in the National Institute of Technology (NIST) Special Publication 800-53, Revision 3, Recommended Security Controls for Federal Information Systems and Organizations - http://csrc.nist.gov/publications/nistpubs/800-53-Rev3/sp800-53-rev3-final_updated-errata_05-01-2010.pdf. The families of security controls are: • Access Control; • Awareness and Training; • Audit and Accountability; • Security Assessment and Authorization; • Configuration Management; • Contingency Planning (which will require Contractor to work with OTech and the CDE to address some security controls in this section); • Identification and Authentication; • Incident Response; • Maintenance; • Media Protection - Will require Bidder to work with the OTech to address some security controls in this section; • Physical and Environmental Protection - - Will require Bidder to work with OTech to address some security controls in this section; • Planning;

REQUIRED PROJECT DELIVERABLES

Deliverable Number	Deliverable Name	General Description
		• Personnel Security; • Risk Assessment – Should include a strategy for measuring risks during all phases of the project; • System and Services Acquisition; • System and Communications Protection; • System and Information Integrity; The SSMP must also follow the CDE Information Security Standards, located in APPENDIX E BIDDERS' LIBRARY.
DEL-5	Requirements Management Plan	Provides a detailed description of the processes, tools, and procedures for managing requirements, including traceability, throughout the entire course of the project.
DEL-6	Detailed System Design Document	Addresses, at a minimum: • Technology Architecture: a detailed inventory and explanation of the PARI\$ hardware, software, and network elements associated with Development, Test, and Production Environments for PARI\$. Information must include definition of the physical hardware devices, operating systems, memory, DBMS, application architecture, configuration management software, and security software. It must also address network, application, and data architecture, including a network diagram. • Integrated Logical Data Model: represents the logical view of the tables, columns, and basic characteristics of the PARI\$ database. This must be represented in an Entity Relationship Diagram (ERD) using Visio 2003. • Physical Data Model: represents the physical database describing the objects represented in the database, and the relationships, tables, rows and columns, physical data element names, default and valid values, and the keys to navigate the table structure. • PARI\$ Data Dictionary: provides information on each data element including: data element name and type, description of the data element, and the format of each data element. This document must be consistent with current CDE standards or other format approved by the State. The Detailed System Design Document should also define how the software will satisfy each requirement (e.g., functionality that is custom developed vs. contained within any package software, additional packaged software that may be used, number and type of extract files to support the PARI\$

REQUIRED PROJECT DELIVERABLES

Deliverable Number	Deliverable Name	General Description
		needs). It provides the designs for all windows, forms, and reports, including custom and package-provided windows, forms, and reports.
STAGE 3: SYSTEM DEVELOPMENT		
DEL-7	System Development Plan	Describes the overall approach and SDLC methodology for developing the: • PARI\$ software, database, and web-based interface; • Interfaces to external systems; • Standard file layouts for Extract, Transform, and Load (ETL) processes; • Data extract files to support miscellaneous legacy systems and manual processes; and • Methods and procedures to support configuration management. The System Development Plan should also address the approach to software management and modification, including, but not limited to: • The use of version control methods and tools; • Managing multiple versions of software in the development, test, and production environments; • Managing modifications to scope and/or requirements through all stages of the SDLC; • The process and tools used to track changes; and • CDE and OTech responsibilities throughout the process.
DEL-8	System Test Plan	Demonstrates a comprehensive testing strategy to meet and support all of the detailed Functional Requirements identified in APPENDIX C. The Plan addresses, at a minimum: • Identification of and overall approach to all levels of testing (e.g., at a minimum, unit testing, systems and integration testing, performance and load testing, and user acceptance testing); • Proposed testing environments (e.g., hardware requirements, etc.); • Approach for documenting testing components (e.g., test procedures, test cases, test results, etc.); • Proposed testing tools (e.g., the features provided and the levels of testing that will use the tools); • Approach to requirements traceability; and • Proposed testing participants.

REQUIRED PROJECT DELIVERABLES

Deliverable Number	Deliverable Name	General Description
DEL-9	Draft PARI\$ System	This deliverable is the fully developed PARI\$ system, including source code and all other software development assets, successfully tested by the Contractor and ready for user acceptance testing.
STAGE 4: DATA CONVERSION		
DEL-10	Transition and Conversion Plan	Describes the overall approach for transitioning from the current environment to the new PARI\$ production environment. The approach should guide the Contractor and the State through a structured, orderly, and seamless transition from the existing systems to the new PARI\$ and should address, at a minimum: automation and repeatability, responsibilities, validation, timeframes, cutover process. The Transition and Conversion Plan addresses the conversion of existing source data to the PARI\$ environment, including the initial ETL process from existing source systems. The plan should include, but is not limited to, all related tasks, preparatory actions, required resources, time frames, work products, success criteria for data conversion, data mapping and testing methods and procedures for interfaces, method and approach for identifying, acquiring, and cleansing data received from data sources, fall back strategies in case of failures, and anticipated CDE and OTech resource requirements.
DEL-11	Data Mapping Document	Maps the existing source system data to the PARI\$ tables and columns.
DEL-12	Data Conversion Software	Includes software and temporary tables and files that are required to perform the conversion of data from the existing environment to the PARI\$ environment.
DEL-13	Data Conversion Results Report	Documents the conversion of data from the existing environment to the PARI\$ environment and associated results.
DEL-14	Cutover Checklist	Details the list of tasks that must be executed on go-live for data conversion.
STAGE 5: SYSTEMS AND INTEGRATION TESTING		
DEL-15	Systems and Integration Test (SIT) Environment	Establishment of the PARI\$ test environment including the software library environment, testing team, documented testing procedures, test cases, testing results tracking software, and converted production and test data that will be used throughout SIT.
DEL-16	Detailed Systems and Integration Test Plans	The detailed test plans used by the Contractor to test the PARI\$ system and to validate that the PARI\$ system functions

REQUIRED PROJECT DELIVERABLES

Deliverable Number	Deliverable Name	General Description
		as intended and meets the requirements. Detailed test plans must be provided for all testing phases identified in the Bidder's Proposal, which include, but is not limited to, Unit Testing, SIT, Stress testing, Performance testing, and system security vulnerability and penetration testing which may be executed by a third party. The Test Plans must document the testing team members and roles, testing procedures, approach to developing test cases, test case formats and types, testing results tracking software, initial data load from source system, and converted production and test data that will be used throughout SIT.
DEL-17	Systems and Integration Test Results	Summarizes the results of the SIT, including Stress testing and Performance testing. This deliverable must include State acceptance of the results/outcome of SIT and a matrix of each test case's pass/fail status. The deliverable must document system bugs/corrections, and data problems/corrections.
STAGE 6: TRAINING		
DEL-18	Knowledge Transfer and Training Plan	Describes the approach for bringing managers, end users, and technical personnel to a familiar level of understanding with how the system works and how it differs from the system being replaced. The Plan addresses, at a minimum: • Training goals/standards and the specific plan for training technical personnel and end users; • Strategy for providing training early in the project to allow the training goals to be implemented throughout the project life cycle; • Tasks, deliverables and resources necessary to complete the training effort; • Tools and documentation necessary to support the training effort; • The anticipated number of State staff and the skill sets that will be required to be trained to support the PARI\$ system; • The different types of training, the specific courses and course materials, the training approach for both technical personnel and end users, and how training effectiveness shall be measured and addressed; • A description of deliverables to support initial and ongoing training including user manuals, system manuals, on-line help, and training materials for technical/non-technical personnel; • Knowledge Transfer to State personnel to operate, maintain, configure, and modify the new system including operation of

REQUIRED PROJECT DELIVERABLES

Deliverable Number	Deliverable Name	General Description
		the testing tools, supporting infrastructure, and security; • Metrics for tracking progress in achieving training and knowledge transfer objectives; and • Reporting progress of training and knowledge transfer activities.
DEL-19	Training Materials	The Training curriculum and related instructional and classroom materials that will be utilized and distributed in the PARI\$ end-user training courses.
DEL-20	PARI\$ System User Manual	Documents the procedures the end-user would utilize to operate all modules of PARI\$, and includes, at a minimum: • System Overview; • Points of Contact; • Acronyms and Abbreviations; • System Configuration; • Data Flows; • User Access Levels; • Logging On/Off • Navigating the System Menus; • Changing User ID and Password; • Instructions for Using Each Function; • Errors and Instructions for Error Correction; • Querying Capabilities and Procedures; • Extracting data records; • Generating standard reports; and • Reporting Capabilities and Procedures.
DEL-21	PARI\$ System Maintenance/Operations Manual	Documents the phases, steps, and/or processes needed to operate and maintain the application and system software, including but not limited to application set up, User ID management, database maintenance and tuning, database and application recovery, and systems back up and recovery. The System Maintenance/Operations Manual is intended for use by the State's technology support staff and includes, at a minimum • System Administration; • System Operation; • Database Management; • Security Administration; • Web Administration;

REQUIRED PROJECT DELIVERABLES

Deliverable Number	Deliverable Name	General Description
		• Archiving and Purging; • Backup and Restore; • Data Administration; • Data Collection; • Monitoring and Auditing; • System Deployment (Production, Testing, Development, Staging) • System Maintenance; and • Performance Management;
DEL-22	PARI\$ System Administration Manual	Documents the processes and instructions necessary for CDE staff to perform at least the following ongoing System Administration activities: • System start up and shut down; • Running and verifying system backups; • Data recovery from backup media; • Troubleshooting and solving system problems; • Loading software updates; • Loading data records; • Running maintenance routines; and • Performing recommended preventive maintenance and security measures.
DEL-23	PARI\$ System Architecture Manual	Addresses, at a minimum, the following architectural elements related to the System: • Database Structure and Design; • System and Application Architecture; • Query Development; and • Report Development.
DEL-24	Training	Implements the approved Knowledge Transfer and Training plan to provide the functional end user training and technical training for all appropriate users in each area.
STAGE 7: USER ACCEPTANCE TESTING		
DEL-25	Detailed User Acceptance Test Plan	A detailed plan to support User Acceptance Testing to validate that the PARI\$ system functions as intended and meets the requirements. The Test Plan must document the testing team, testing procedures, testing results tracking software, initial data load from source system, converted production and test data that will be used throughout User Acceptance Testing,

REQUIRED PROJECT DELIVERABLES

Deliverable Number	Deliverable Name	General Description
		and test cases, which will be provided by CDE.
DEL-26	User Acceptance Test Results	Summarizes the results of the User Acceptance Testing. This deliverable must include State acceptance of the results/outcome of User Acceptance Testing and a matrix of each test cases pass/fail status. The deliverable must document system bugs/corrections, and data problems/corrections.
STAGE 8: IMPLEMENTATION		
DEL-27	Environment Readiness	Establishment of the hardware, software, network, and converted production data, and teams necessary to install, implement, and support the PARI\$ system. The Environment Readiness deliverable will consist of a certificate of facility readiness, a certificate of equipment readiness for any equipment that must be installed and certified to be ready for acceptance testing by the specified installation date, and approved SIT results deliverable for the OTech Data Center site to confirm the successful implementation of the PARI\$ Production Environment.
DEL-28	PARI\$ System Help Desk Manual	Documents troubleshooting techniques, problem resolution, escalation procedures and roles and responsibilities of the State and the Contractor post-implementation.
STAGE 9: SYSTEM MAINTENANCE AND PROJECT CLOSEOUT		
DEL-29	System Maintenance and Operations Plan	Provides a detailed description of the PARI\$ software and hardware maintenance and operations including preventive maintenance and on-call maintenance, response time, personnel, and CDE and OTech involvement. This plan must address at a minimum: • How the Contractor will maintain and operate the system during the contractual period when the system is partially and fully in production including ensuring proper software versions on each server/host; • Contractor's approach for implementing software fixes and upgrades pre- and post-implementation; • Processes for documenting and approving contingency plans for all significant risks; • How ownership and responsibility of the system shall be formally transferred to CDE up until the end of the project engagement; • Knowledge transfer activities for State technical staff for maintenance and operations, including procedures, roles,

REQUIRED PROJECT DELIVERABLES

Deliverable Number	Deliverable Name	General Description
		and responsibilities; • Knowledge transfer activities that Contractor shall create to transfer system knowledge to PARI\$ Helpdesk staff for providing support to system users; and • Coordination of activities with the hosting provider (OTech) that provides a clear definition of data center responsibilities and tasks.
DEL-30	Project Closeout Action List	Includes, at a minimum, the following items that must be completed or corrected prior to system acceptance: • List of deficient items that will be corrected by the Contractor as a condition for completion for project closeout; • List of outstanding action items or tasks from meeting minutes or other management tracking systems; • List of outstanding actions for the State to resolve in order for the Contractor to complete the project closeout; • List of all outstanding tasks and work required per the approved project schedule; and • List of any other items deemed relevant to the clarification of expectations for project closeout.
STAGE 10: SYSTEM ACCEPTANCE		
DEL-31	Complete PARI\$ System	All functionality to produce and maintain a fully functioning system as described in Section IV Proposed System, and that meets all requirements identified in Section VI Business, Functional, and Technical Requirements and APPENDIX C DETAILED BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS.

VI.B.5 Other Business Requirements

This subsection addresses the remaining detailed business requirements that the Bidder must meet in order to be responsive to this RFP. These include specific design, development, and implementation requirements that did not fit in any of the previous Business Requirement categories, deliverables requirements, payment terms and productive use. The Bidder **must** respond to each of the requirements listed in APPENDIX C.5 BUSINESS REQUIREMENTS: OTHER to be considered responsive to this RFP. Contractual requirements, those requirements that must be met by the successful Bidder following Contract Award, are located in APPENDIX A STATE CONTRACTS.

VI.B.5.a Payment Terms

Two (2) Contracts will be awarded to the successful Bidder: one (1) for Implementation Services (including hardware, software, system planning and configuration services, system installation services, data migration services, training services, knowledge transfer, warranty, and maintenance) for one (1) year; and one for two (2) optional years of Maintenance and Support services (including hardware and software maintenance services), at the State's option. The two Model Contracts are provided in APPENDIX A STATE CONTRACTS.

The payment structure for this project will be based on the completion of key project deliverables within each Project Stage. The Bidder, as part of its Volume III Cost Data, must propose a Deliverable Payment Schedule based on the deliverables necessary to implement the proposed solution (ADD SECTION VII REFERENCE HERE). The State has fixed the total maximum Stage payment percentages as indicated in the fifth column in Exhibit VI-1 Deliverable Payment Schedule Guidelines, below. **The Total Cumulative Cost per Stage must not exceed the Cumulative Stage Cost percentage for each Stage set by the State in Exhibit VI-1 Deliverable Payment Schedule Guidelines.**

If the Bidder proposes additional project deliverables in addition to the required deliverables identified in the RFP, the Bidder must include the additional Deliverables in the appropriate Stage, and must add those Deliverables to the D.4 Deliverables Cost and Payment Schedule worksheet, which has been pre-populated with the required Deliverables listed in Table VI-2 Required Project Deliverables. **However, the Total Cumulative Cost per Stage must still not exceed the Cumulative Cost percentage for each Stage set by the State in Exhibit VI-1 Deliverable Payment Schedule Guidelines.** For example, if the Bidder adds a new Deliverable to Stage 3 so that there are now four (4) Deliverables in that Stage, the Cumulative Cost still may not exceed the 22% cumulative total allocated for that Stage.

Exhibit VI-1 Deliverable Payment Schedule Guidelines

DELIVERABLE PAYMENT SCHEDULE GUIDELINES				
Deliverable Number	Deliverable Name	Deliverable Cost *	Payment (Less 10% Withhold)	Cumulative Stage Cost (Cumulative Payments)
STAGE 1: PROJECT START UP				
DEL-1	Project Management Plan (PMP)	1%	.9%	4% (3.6%)
DEL-2	Project Implementation Plan (PIP)	1%	.9%	
DEL-3	Initial Project Work Plan with Project Schedule	1%	.9%	
DEL-4	System Security Management Plan	1%	.9%	
STAGE 2: SYSTEM ANALYSIS AND DESIGN				
DEL-5	Requirements Management Plan	2%	1.8%	12% (10.8%)
DEL-6	Detailed System Design Document	6%	5.4%	
STAGE 3: SYSTEM DEVELOPMENT				
DEL-7	System Development Plan	2%	1.8%	22% (19.8%)
DEL-8	System Test Plan	2%	1.8%	
DEL-9	Draft PARI\$ System	6%	5.4%	
STAGE 4: DATA CONVERSION				
DEL-10	Transition and Conversion Plan	1%	.9%	31% (27.9%)
DEL-11	Data Mapping Document	2%	1.8%	
DEL-12	Data Conversion Software	2%	1.8%	
DEL-13	Data Conversion Results Report	3%	2.7%	
DEL-14	Cutover Checklist	1%	.9%	
STAGE 5: SYSTEMS AND INTEGRATION TESTING				
DEL-15	Systems and Integration Test Environment	5%	4.5%	46% (41.4%)
DEL-16	Detailed Systems and Integration Test Plans	5%	4.5%	
DEL-17	Systems and Integration Test Results	5%	4.5%	

DELIVERABLE PAYMENT SCHEDULE GUIDELINES

Deliverable Number	Deliverable Name	Deliverable Cost *	Payment (Less 10% Withhold)	Cumulative Stage Cost (Cumulative Payments)
STAGE 6: TRAINING				
DEL-18	Knowledge Transfer and Training Plan	1%	.9%	53% (47.7%)
DEL-19	Training Materials	1%	.9%	
DEL-20	PARI\$ System User Manual	1%	.9%	
DEL-21	PARI\$ System Maintenance/Operations Manual	1%	.9%	
DEL-22	PARI\$ System Administration Manual	1%	.9%	
DEL-23	PARI\$ System Architecture Manual	1%	.9%	
DEL-24	Training	1%	.9%	
STAGE 7: USER ACCEPTANCE TESTING				
DEL-25	Detailed User Acceptance Test Plan	2%	1.8%	64% (57.6%)
DEL-26	User Acceptance Test Results	9%	8.1%	
STAGE 8: IMPLEMENTATION				
DEL-27	Environment Readiness	2%	1.8%	68% (61.2%)
DEL-28	PARI\$ System Help Desk Manual	2%	1.8%	
STAGE 9: SYSTEM MAINTENANCE AND PROJECT CLOSEOUT				
DEL-29	System Maintenance and Operations Plan	2%	1.8%	80% (72%)
DEL-30	Project Closeout Action List	10%	9%	
STAGE 10: SYSTEM ACCEPTANCE				
DEL-31	Complete PARI\$ System	20%	18%	100% (90%)
N/A	System Acceptance by CDE		10% Withhold	100% (100%)
* as a percentage of the Total One-Time Costs for Contract A1				

VI.B.5.b Productive Use Requirements

The objective of the Productive Use Requirements is to protect the State from being an experimentalist for new equipment and software that has no record of proven performance. In the event a Bidder's Proposal would not meet one or more of these requirements, Section VI.B.5.b.2 Remedies for Exceptions, below, provides for Remedies for Exceptions.

VI.B.5.b.1 Customer-In-Use

The purpose of the Customer In-Use requirement is to allow time for the Bidder to correct defects that could prevent new equipment and software from performing correctly in support of State programs.

The State requires that each equipment and software component proposed as part of an automated system must have been installed and in productive use, in substantially the configuration proposed, for a paying customer external to the Bidder's organization, for at least the number of months shown below in Table VI-3 Customer-In-Use prior to the required Final Proposal submission.

Table VI-3 Customer-In-Use

CUSTOMER-IN-USE	
Product/Project Cost	Final Proposal Submission
<u>Category 1 – Critical Software</u> Critical Software is software that is required to control the overall operations of a computer system or peripheral equipment. Included in this category are operating systems, data base management systems, language interpreters, assemblers and compilers, communications software, and other essential system software:	
More than \$100,000	6 Months
\$10,000 up to \$100,000	3 Months
Less than \$10,000	1 Month
<u>Category 2 – All IT Equipment and Non-Critical Software</u> IT Equipment is defined in State Administrative Manual Section 4819.2 http://sam.dgs.ca.gov/TOC/4800/4819.2.htm	
More than \$100,000	4 Months
\$10,000 up to \$100,000	3 Months
Less than \$10,000	1 Month

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 In-Use requirement. Increases or decreases in numbers of components or minor alteration to equipment, minor modifications or updates to software to provide improvements or features, to correct errors, or to accommodate hardware changes

may be **exempt** from the In-Use requirement by DGS, Procurement Division, if no substantial changes in logic, architecture, or design are involved.

VI.B.5.b.2 Remedies for Exceptions

To meet the requirements of this RFP, Bidders may find it necessary to propose one or more items of software that do not meet the above Productive Use Requirements. In such situations, a Bidder may propose such items only if the State approves the proposed remedy prior to the date for submission of the Final Proposal. If the Bidder's proposed remedy includes additional equipment, software, or personnel to be supplied by the Contractor, such additions must be a part of the contractual commitment.

VI.C FUNCTIONAL REQUIREMENTS

This subsection addresses all of the functional system requirements necessary for the successful implementation of the proposed PARI\$ solution. They include detailed requirements for each of the following CDE business functions with regard to the proposed PARI\$ system:

- General (see APPENDIX C.6 FUNCTIONAL REQUIREMENTS: GENERAL);
- Historical Tracking (see APPENDIX C.7 FUNCTIONAL REQUIREMENTS: HISTORICAL TRACKING);
- Integration (see APPENDIX C.8 FUNCTIONAL REQUIREMENTS: INTEGRATION);
- Communication (see APPENDIX C.9 FUNCTIONAL REQUIREMENTS: COMMUNICATION);
- Agency (see APPENDIX C.10 FUNCTIONAL REQUIREMENTS: AGENCY);
- Agreement (see APPENDIX C.11 FUNCTIONAL REQUIREMENTS: AGREEMENT);
- Accounts Receivable (see APPENDIX C.12 FUNCTIONAL REQUIREMENTS: ACCOUNTS RECEIVABLE);
- Fiscal and Attendance Reporting (see APPENDIX C.13 FUNCTIONAL REQUIREMENTS: FISCAL AND ATTENDANCE REPORTING);
- Pay Run (see APPENDIX C.14 FUNCTIONAL REQUIREMENTS: PAY RUN);
- Audit (see APPENDIX C.15 FUNCTIONAL REQUIREMENTS: AUDIT);
- Close Out (see APPENDIX C.16 FUNCTIONAL REQUIREMENTS: CLOSE OUT);
- Encumbrance (see APPENDIX C.17 FUNCTIONAL REQUIREMENTS: ENCUMBRANCE);
- Rollover (see APPENDIX C.18 FUNCTIONAL REQUIREMENTS: ROLLOVER);
- Appeals (see APPENDIX C.19 FUNCTIONAL REQUIREMENTS: APPEALS); and
- General Reporting (see APPENDIX C.20 FUNCTIONAL REQUIREMENTS: GENERAL REPORTING).

The Bidder **must** respond to each of the mandatory Functional Requirements provided in APPENDIX C.6 FUNCTIONAL REQUIREMENTS: GENERAL through APPENDIX C.20 FUNCTIONAL REQUIREMENTS: GENERAL REPORTING to be considered responsive to this RFP.

VI.D TECHNICAL REQUIREMENTS

This subsection addresses all of the technical system requirements necessary for the successful implementation of the proposed PARI\$ solution. They include detailed requirements for each of the following CDE technical elements with regard to the proposed PARI\$ system:

- General Architecture (see APPENDIX C.21 TECHNICAL REQUIREMENTS: GENERAL ARCHITECTURE);
- Configuration/Hardware (see APPENDIX C.22 TECHNICAL REQUIREMENTS: CONFIGURATION/HARDWARE);
- Database (see APPENDIX C.23 TECHNICAL REQUIREMENTS: DATABASE);
- Application (see APPENDIX C.24 TECHNICAL REQUIREMENTS: APPLICATION);
- Network (see APPENDIX C.25 TECHNICAL REQUIREMENTS: NETWORK);
- Archiving (see APPENDIX C.26 TECHNICAL REQUIREMENTS: ARCHIVING);
- Data Dictionary, Data Model, and Data Resource Guide (DRG) (see APPENDIX C.27 TECHNICAL REQUIREMENTS: DATA DICTIONARY, DATA MODEL, AND DRG);
- Error Processing (see APPENDIX C.28 TECHNICAL REQUIREMENTS: ERROR PROCESSING);
- Monitoring/Auditing (see APPENDIX C.29 TECHNICAL REQUIREMENTS: MONITORING/AUDITING);
- Performance (see APPENDIX C.30 TECHNICAL REQUIREMENTS: PERFORMANCE); and
- Security/Privacy (see APPENDIX C.31 TECHNICAL REQUIREMENTS: SECURITY/PRIVACY).

The Bidder **must** respond to each of the mandatory Technical Requirements provided in APPENDIX C.21 TECHNICAL REQUIREMENTS: GENERAL ARCHITECTURE through APPENDIX C.31 TECHNICAL REQUIREMENTS: SECURITY/PRIVACY to be considered responsive to this RFP.

VI.D.1 Service Level Objectives

To ensure the proper availability and reliability of PARI\$, the Bidder must provide the ongoing support and services necessary to meet the PARI\$ Service Level Objectives (SLOs) outlined below in Table VI-4 Service Level Objectives.

Table VI-4 Service Level Objectives

SERVICE LEVEL OBJECTIVES (SLOs)		
Component	Description	Service Level Objective
Hardware Availability	The PARI\$ hardware must operate reliably to minimize user downtime during system availability hours (6am – 10pm seven days a week). The Contractor must work with OTech to ensure the hardware service repair response meets the SLOs.	• System availability related to hardware failures: 98.5% • Service repair response time during normal business hours: technician on site: <= 4 hours • Service repair response time outside normal business hours: <= 6 hours
Application Availability	The PARI\$ application must perform reliably with minimal interruption in service to the PARI\$ users during system availability hours (6am – 10pm seven days a week).	• Application availability: 98.5%
Problem Severity	PARI\$ problems and defects are categorized by their severity, which identifies the impact to PARI\$ users and workflow.	• <u>Severity 1: Critical:</u> Defects that could (or did) cause disastrous consequences for the system in question, such as critical loss of data, critical loss of system availability, loss of system security, or complete work stoppage. • <u>Severity 2: High:</u> Defects that could (or did) cause very serious consequences for the system in question, such as a function is severely broken, cannot be used and there is no workaround, or the problem causes major impact or significant slowdown to workflow. • <u>Severity 3: Medium:</u> Defects that could (or did) cause significant consequences for the system in question. Such a defect must be fixed, but there is an acceptable workaround, the problem has some impact, or causes some work slowdown. • <u>Severity 4: Low:</u> Defects that could (or did) cause small or negligible consequences for the system in question. Defects that are easy to recover or a workaround exists. Such defects normally produce no erroneous outputs, such as misleading error messages, typos, or incorrect layout. The problem is cosmetic in nature with little or no impact to workflow.

SERVICE LEVEL OBJECTIVES (SLOs)		
Component	Description	Service Level Objective
System Performance issues	Level 1: Initial contact regarding the system performance issue Level 2: Resolution of the system performance issue	Level 1: Contractor must report to the State within four hours of identification, any system performance issues that last longer than 30 minutes. Level 2: See Level 2 Support Problem Response SLOs below.
Problem Response	Contractor must provide onsite support during the term of the Contract through system acceptance.	See Level 2 Support Problem Response SLOs below.
Maintenance Support	Contractor must provide offsite Level 2 help desk support from system acceptance through the one-year maintenance period.	See Level 2 Support Problem Response SLOs below.
Help Desk	Level 1: Initial contact and triage of issue or problem Level 2: Resolution of escalated issue or problem	• CDE responsible for Level 1 Support; • Contractor responsible for documentation to support both Level 1 and Level 2 Support; and • Contractor responsible for Level 2 Support.

LEVEL 2 SUPPORT PROBLEM RESPONSE SERVICE LEVEL OBJECTIVES				
Type\Severity	Critical	High	Medium	Low
Call Response Time	10 minutes	1 hour	2 hours	2 hours
Functional Restoration (Service is restored via workaround or temporary fix, if possible)	24 hours	48 hours	72 hours	N/A
Problem Resolution (Problem is permanently corrected)	5 State business days	5 State business days	10 State business days	10 State business days

VI.E MANDATORY OPTIONAL REQUIREMENTS

The Bidder **must** respond to each of the Mandatory Optional Requirements provided in APPENDIX C.32 MANDATORY OPTIONAL REQUIREMENTS to be considered responsive to this RFP.

This page intentionally left blank.

Section VII Cost Proposal

VII.A INTRODUCTION

This Section contains the information and instructions for completing the cost worksheets that the Bidder must submit with its Draft Proposal and Final Proposal. Refer to SECTION VIII [Proposal Format](#) for requirements on documenting cost information and submitting the Cost Proposal in Bidder's Draft Proposal and Final Proposal.

The State is seeking a fixed price Proposal for providing the goods and services necessary to achieve the proposed system outlined in SECTION IV [Proposed System](#) and meet the requirements detailed in SECTION VI [Business, Functional, and Technical Requirements](#) of this RFP.

Bidder must submit cost information using APPENDIX D COST WORKBOOK, an Excel spreadsheet. Instructions for completing the Cost Workbook are provided in Section VII.C COST WORKBOOK INSTRUCTIONS.

The State expects the Bidder's Proposal to be inclusive of all services and costs associated with the implementation of the PARI\$ solution and one (1) year of warranty and maintenance, following System Acceptance. All proposed system components must be included in the Bidder's Final Proposal and be accounted for in the Bidder's Cost Proposal. Any proposed system component that is not specifically priced or identified in the Bidder's Cost Proposal, or that is identified after Contract Award as necessary to meet the requirements of this RFP, will be assumed by the State to be included at no additional cost. Bidder must include in its Cost Proposal any and all additional items that must be purchased by the State to fully implement the proposed solution.

The Contractor will not be directly reimbursed for any travel expenses incurred during the course of the project. Bidder is encouraged to consider travel costs when preparing its cost estimates, and "build-in" costs to cover any expected travel expenses.

Bidder must submit a separate cost worksheet for each of the following categories:

- Costs to acquire and install hardware and equipment necessary to implement the functional requirements defined in this RFP;
- Costs to acquire software necessary to implement the functional requirements defined in this RFP;
- Implementation services costs to meet the functional requirements and produce the deliverables described in this RFP and proposed by the Bidder;
- OTech Service costs;
- Costs for any additional Equipment, Software or Services;
- Costs associated with Mandatory Optional Requirements;
- Costs associated with ongoing Maintenance & Operations for the one (1) year following system acceptance and the two (2) subsequent optional years; and

- Rates for Support Services (unanticipated tasks and post-implementation support);

The actual Cost Worksheets Bidder must use to create the Cost Proposal are located in APPENDIX D COST WORKBOOK, an Excel document. Printouts of each of the worksheets are provided below for reference with the instructions.

VII.B COST DEFINITIONS

VII.B.1 Implementation Costs

Implementation costs are those one-time costs incurred for initial acquisition and installation of proposed hardware and software and for the services required to install and implement the solution and produce proposed deliverables. Implementation costs are subject to the Performance Bond requirement.

VII.B.1.a One-Time Hardware Costs

Bidder must provide costs, by fiscal year, for the one-time purchase and installation of all hardware necessary to run the quoted software that implements the requirements defined in this RFP, through System Acceptance and one year of warranty.

VII.B.1.b One-Time Software Costs

Bidder must provide costs, by fiscal year, for the one-time purchase of all software necessary to implement the requirements defined in this RFP, through System Acceptance and one year of warranty.

VII.B.1.c Software Licensing Program

Should the proposed solution use any software supplied under the Software Licensing Program (SLP) administered by the DGS, Procurement Division, the State will require the use of an SLP Contract to procure the software. Bidders must use the SLP contracts costing structure to develop their Costs Proposal. For Microsoft products, the Bidders must use the Microsoft Select Agreement State and Local Contract, not the Microsoft Academic Select Contracts. Refer to the following website to obtain the appropriate information:

<http://www.pd.dgs.ca.gov/masters/slp.htm>

VII.B.2 Implementation Services Costs

Bidder must provide costs for the one-time design, development, and implementation costs for services associated with implementing the proposed solution and producing the proposed deliverables.

VII.B.3 OTech Services Costs

The State intends for the total PARI\$ solution to be hosted at OTech and as such the State will reimburse OTech for service costs associated with the procurement of equipment, hardware and software; the establishment of the various PARI\$ environments; and ongoing maintenance, operations and support of

the PARI\$ solution. The State expects the Bidder's Proposal to be inclusive of all OTech services and costs associated with the implementation of the PARI\$ solution and one (1) year of warranty and maintenance, following System Acceptance. The OTech products and services costs will be used for evaluation purposes only. Refer to the following websites to obtain the appropriate information:

<http://www.servicecatalog.dts.ca.gov/rates.asp>

and

<http://www.dts.ca.gov/pdf/customers/200910%20Mid%20Rate%20SchedulePhaseV%20v1%2010.pdf>

Bidder must meet with the OTech in confidential discussions prior to submission of their Draft Proposal and Final Proposal to gather and document cost information for technology and services provided by OTech. Such discussions will enable the Bidder to confirm that the proposed infrastructure is consistent with OTech requirements, standards, and capabilities, and that all OTech services required to integrate and support the PARI\$ solution have been identified. Bidder is required to work with OTech to identify and include planned increases in maintenance rates as applicable in the total cost. See Section VII.B.4 Additional Hardware, Software, below for details regarding unidentified components.

Bidders should contact the DGS Procurement Official identified in Section I.F PROCUREMENT OFFICIAL, to schedule a meeting with OTech in accordance with the dates identified in Section I.G KEY ACTION DATES.

Bidder must provide all one-time and ongoing OTech costs necessary to implement the requirements defined in this RFP.

VII.B.4 Additional Hardware, Software, and Services

The Bidder's proposed solution must be all-inclusive. Should the Contractor's proposed solution require the State to own or purchase any hardware, software, and/or services (e.g., servers, storage, etc.) that was not identified in the Bidder's Cost Proposal and will be required for the ongoing production, maintenance, and operation of the solution, the cost of such items will be the responsibility of the Contractor and the State shall own and/or be the license holder for any such hardware and/or software. In the event the State must purchase additional hardware, software, and/or services, the State will procure the specific component(s) and the State will deduct monies owed for such components from Contractor invoices as necessary to offset the full amount owed.

VII.B.5 Mandatory Optional Requirements

Bidder must propose costs to implement those requirements that have been designated as Mandatory Optional, which are Mandatory for the Bidder to offer and to cost, but at CDE's sole option as to whether or not to include them in the contracted services.

VII.B.6 One-Year Maintenance

Bidder must propose one (1) year of maintenance on all hardware and software, concurrent with the one (1) year of system warranty, beginning with System Acceptance. Maintenance includes, but is not limited to hardware maintenance fees, source Contractor technical support, component repair and/or replacement, configuration control, firmware patch installation, software licensing fees, source Contractor technical support offerings, configuration control, patch installation, and any other tasks deemed necessary by the Contractor to ensure the continuing operation of the installed environments but which were not prescribed in the requirements of this RFP. The Contractor is not responsible for OTech costs. Any OTech costs incurred during the one-year warranty and maintenance period will be paid directly by CDE to OTech.

VII.B.7 Ongoing Maintenance & Operations

Bidder must propose costs for two (2) optional one-year periods of ongoing maintenance and operations beginning at the termination of the one-year maintenance period, which may be exercised at the sole option of the State. Ongoing maintenance includes, but is not limited to hardware maintenance fees, source Contractor technical support, component repair and/or replacement, configuration control, firmware patch installation, software maintenance fees, source Contractor technical support offerings, configuration control, patch installation, and any other tasks deemed necessary by the Contractor to ensure the continuing operation of the installed environments but which were not prescribed in the requirements of this RFP. The Contractor is not responsible for OTech costs. Any OTech costs incurred during the one-year warranty and maintenance period will be paid directly by CDE to OTech.

VII.B.8 Support Services Rates

Support services rates are those rates, by Team Role, that will apply to both unanticipated tasks and post-implementation support at any time during the Contract period.

Unanticipated tasks are additional work that must be performed during implementation that was not identified in either the State's solicitation document or the Contractor's Final Proposal, such as software changes required as a result of relevant changes to legislation that occur during project implementation. Both the State and the Contractor must agree upon the work that needs to be performed which will result in unanticipated costs. Unanticipated costs cannot exceed ten percent (10%) of the total Contract value.

Post-Implementation Support is for unanticipated tasks during the one-year warranty period and the two subsequent optional one-year warranty periods following implementation that is deemed necessary by the CDE, but not considered warranty or maintenance, such as mandated system modifications to respond to changes in legislation or assistance in developing an Agency training program.

VII.C COST WORKBOOK INSTRUCTIONS

The Cost Proposal must include the Cost Workbook, which is provided in Excel format in APPENDIX D COST WORKBOOK and includes multiple Cost Worksheets to enter all of the costs identified above.

Bidders are responsible for entering cost data in the format prescribed by the Cost Workbook. Formulas have been inserted in the appropriate cells of the worksheets to automatically populate calculated fields. All worksheets are currently "Protected" without a password, to assist the Bidder in completing the worksheets without disrupting existing formulas or formatting. If the Bidder requires additional rows, the Bidder must first "Unprotect" the worksheet, and then insert rows as needed. To ensure that new rows inserted by the Bidder also include the formulas, the Bidder must copy and paste an existing row to create additional rows. To ensure that calculated total fields automatically include rows inserted by the Bidder, all new rows must be inserted above the shaded border row that appears just above the totals row. It is recommended to "Protect" the worksheet after sufficient new rows have been inserted, for ease in data entry.

It is the sole responsibility of Bidder to ensure that all numbers and mathematical calculations are correct in Volume III Cost Proposal of the Final Proposal. The Cost Workbook must be prepared and signed in accordance with Section II.C.5.e Signature of Proposal.

All applicable purchase, delivery, tax, installation, safety inspection, license, travel, training, and any other expenses associated with the delivery and implementation are to be integrated with the proposed items and must be included in Bidder's firm fixed Cost Proposal. There shall be no conditions or constraints included in the Cost Proposal.

If the Bidder has any issues with the functioning of the Cost Workbook it should be brought to the attention of the State as soon as possible using the process described in RFP Section II.B.4 Questions and Requirement Changes Regarding the RFP.

The remainder of this Section provides a detailed walkthrough of and instructions for completing each Cost Worksheet of the Cost Workbook.

VII.C.1 Cost Workbook Summary (Cost Worksheet D.1)

The Cost Workbook Summary, shown below in Figure VII-1 D.1 Cost Workbook Summary, is a calculated worksheet that brings forward all totals from the individual worksheets that make up the Workbook. The Bidder is not required to make any entries on this worksheet but is required to ensure that all calculations are correct and that totals are brought correctly to the Workbook Summary worksheet.

Figure VII-1 D.1 Cost Workbook Summary

D.1 Cost Workbook Summary (*Note: This sheet is populated automatically from subsequent detailed Worksheets)						
	Item Description	FY 2010/2011	FY 2011/2012	FY 2012/2013	FY 2013/2014	Total Item Cost
1	Total Hardware Cost (D.2):	\$ -	\$ -	\$ -	\$ -	\$ -
2	Total Software Cost (D.3):	\$ -	\$ -	\$ -	\$ -	\$ -
3	Total Deliverables Cost (D.4):	\$ -	\$ -	\$ -	\$ -	\$ -
4	Total OTech Services Cost (D.5):	\$ -	\$ -	\$ -	\$ -	\$ -
5	Total Additional Hardware, Software, and Services Costs (D.6)	\$ -	\$ -	\$ -	\$ -	\$ -
6	Total Mandatory Optional Requirements Cost (D.7)	\$ -	\$ -	\$ -	\$ -	\$ -
7	Total Ongoing M&O (Contract A1) Costs (D.8):	N/A				\$ -
8	Total Ongoing M&O (Contract A2) Costs (D.9):					\$ -
9	Total Support Services Cost (Contract A1) (D.10):	N/A				\$ -
10	Total Support Services Cost (Contract A2) (D.10):					\$ -
PROPOSED COST BY FISCAL YEAR		\$ -	\$ -	\$ -	\$ -	\$ -
BIDDER'S TOTAL PROPOSED COST				\$ -		

VII.C.2 One-Time Hardware Costs (Cost Worksheet D.2)

Bidder must list all proposed hardware purchases, one item per row by fiscal year, in Cost Worksheet D.2, shown below in Figure VII-2 D.2 Hardware Costs. Indicate the quantity and item cost for each item and ensure that the calculated cost is correct. Include a sequential item number for each row that identifies a hardware item with a cost. Include costs for one-time purchase, licensing, and installation. Total costs for this worksheet will be automatically populated in worksheet D.1 Cost Workbook Summary but the Bidder must ensure that these numbers are correct before submission of the Final Proposal.

Figure VII-2 D.2 Hardware Costs

D.2 One-Time Hardware Costs							
Item#	Item Description	FY 2010/11			FY 2011/12		
		Qty	Item Cost	Cost(\$)	Qty	Item Cost	Cost(\$)
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
Total One-Time Hardware Costs By FY:				\$ -			\$ -

D.2 One-Time Hardware Costs							
Item#	Item Description	FY 2012/13			FY 2013/14		
		Qty	Item Cost	Cost(\$)	Qty	Item Cost	Cost(\$)
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
Total One-Time Hardware Costs By FY:				\$ -			\$ -

VII.C.3 One-Time Software Costs (Cost Worksheet D.3)

Bidder must list all proposed software purchases and licensing costs, one item per row, for each of the proposed PARI\$ Environments: Development, Test, and Production, by fiscal year, in Cost Worksheet D.3, shown below in Figure VII-3 D.3 Software Costs. Indicate the quantity and item cost for each item and ensure that all calculations are correct. Include a sequential item number for each row that identifies a software item with a cost. Total costs for this worksheet will be automatically populated in worksheet D.1 Cost Workbook Summary but the Bidder must ensure that these numbers are correct before submission of the Final Proposal.

Figure VII-3 D.3 Software Costs

D.3 One-Time Software Costs							
Item#	Item Description	FY 2010/11			FY 2011/12		
		Qty	Item Cost	Cost(\$)	Qty	Item Cost	Cost(\$)
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
Total One-Time Software Costs By FY:		\$		-	\$		-

D.3 One-Time Software Costs							
Item#	Item Description	FY 2012/13			FY 2013/14		
		Qty	Item Cost	Cost(\$)	Qty	Item Cost	Cost(\$)
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
				\$ -			\$ -
Total One-Time Software Costs By FY:		\$		-	\$		-

VII.C.4 Deliverables – Cost and Payment Schedule (Cost Worksheet D.4)

Bidder must identify for each Project Phase the proposed deliverables and associated costs excluding hardware and software equipment costs, in Cost Worksheet D.4, shown below in Figure VII-4 D.4 Deliverables – Cost and Payment Schedule. All deliverables identified must be included in the Proposed Work Plan. Cumulative total cost per Stage must not exceed the percentage indicated. If the Bidder proposes additional deliverables, Bidder must add additional lines to the worksheet in the relevant Stage, however the cumulative total cost for that Stage must not exceed the maximum Cumulative Cost % for that Stage as defined in APPENDIX A EXHIBIT A-2 DELIVERABLE PAYMENT SCHEDULE and illustrated on this Worksheet for reference. The required deliverables as described in Table VI-2 Required Project Deliverables, have been included in the worksheet. Bidder should add or modify the individual lines of this worksheet to reflect the actual proposed deliverables, in the appropriate Stage. The Bidder may renumber the Deliverables for continuity. Total costs for this worksheet will be automatically populated in worksheet D.1 Cost Workbook Summary but the Bidder must ensure that these numbers are correct before submission of the Final Proposal.

Figure VII-4 D.4 Deliverables – Cost and Payment Schedule

D.4 Deliverables - Cost and Payment Schedule										
Deliverable by Stage	Deliverable Name	Deliverable Cost (\$) By Fiscal Year				Cumulative Total Cost	% Total One-Time Costs	Suggested Deliverable Payment % of Total One-Time Costs	Max Cumulative Total %	Bidder Cumulative Total %
		FY 2010/11	FY 2011/12	FY 2012/13	FY 2013/14					
Stage 1: Project Startup										
DEL-1	Project Management Plan (PMP)					\$ -	#DIV/0!	1%	4%	#DIV/0!
DEL-2	Project Implementation Plan (PIP)					\$ -	#DIV/0!	1%		
DEL-3	Initial Project Work Plan with Project Schedule					\$ -	#DIV/0!	1%		
DEL-4	System Security Management Plan					\$ -	#DIV/0!	1%		
Stage 2: System Analysis and Design										
DEL-5	Requirements Management Plan					\$ -	#DIV/0!	2%	12%	#DIV/0!
DEL-6	Detailed System Design Document					\$ -	#DIV/0!	6%		
Stage 3: System Development										
DEL-7	System Development Plan					\$ -	#DIV/0!	2%	22%	#DIV/0!
DEL-8	System Test Plan					\$ -	#DIV/0!	2%		
DEL-9	Draft PARIS System					\$ -	#DIV/0!	6%		
Stage 4: Data Conversion										
DEL-10	Transition and Conversion Plan					\$ -	#DIV/0!	1%		
DEL-11	Data Mapping Document					\$ -	#DIV/0!	2%		
DEL-12	Data Conversion Software					\$ -	#DIV/0!	2%		
DEL-13	Data Conversion Results Report					\$ -	#DIV/0!	3%		

D.4 Deliverables - Cost and Payment Schedule										
Deliverable by Stage	Deliverable Name	Deliverable Cost (\$) By Fiscal Year				Cumulative Total Cost	%Total One-Time Costs	Suggested Deliverable Payment % of Total One Time Costs	Max Cumulative Total %	Bidder Cumulative Total %
		FY 2010/11	FY 2011/12	FY 2012/13	FY 2013/14					
DEL-14	Cutover Checklist					\$ -	#DIV/0!	1%	31%	#DIV/0!
Stage 5: Systems and Integration Testing										
DEL-15	Systems and Integration Test Environment					\$ -	#DIV/0!	5%	46%	#DIV/0!
DEL-16	Detailed Systems and Integration Test Plans					\$ -	#DIV/0!	5%		
DEL-17	Systems and Integration Test Results					\$ -	#DIV/0!	5%		
Stage 6: Training										
DEL-18	Knowledge Transfer and Training Plan					\$ -	#DIV/0!	1%	53%	#DIV/0!
DEL-19	Training Materials					\$ -	#DIV/0!	1%		
DEL-20	PARIS System User Manual					\$ -	#DIV/0!	1%		
DEL-21	PARIS System Maintenance/Operations Manual					\$ -	#DIV/0!	1%		
DEL-22	PARIS System Administration Manual					\$ -	#DIV/0!	1%		
DEL-23	PARIS System Architecture Manual					\$ -	#DIV/0!	1%		
DEL-24	Training					\$ -	#DIV/0!	1%		
Stage 7: User Acceptance Testing										
DEL-25	Detailed User Acceptance Test Plan					\$ -	#DIV/0!	2%	64%	#DIV/0!
DEL-26	User Acceptance Test Results					\$ -	#DIV/0!	9%		
Stage 8: Implementation										

D.4 Deliverables - Cost and Payment Schedule										
Deliverable by Stage	Deliverable Name	Deliverable Cost (\$) By Fiscal Year				Cumulative Total Cost	%Total One-Time Costs	Suggested Deliverable Payment % of Total One Time Costs	Max Cumulative Total %	Bidder Cumulative Total %
		FY 2010/11	FY 2011/12	FY 2012/13	FY 2013/14					
DEL-27	Environment Readiness					\$ -	#DIV/0!	2%	68%	#DIV/0!
DEL-28	PARIS System Help Desk Manual					\$ -	#DIV/0!	2%		
Stage 9: System Maintenance and Project Closeout										
DEL-29	System Maintenance and Operations Plan					\$ -	#DIV/0!	2%	80%	#DIV/0!
DEL-30	Project Closeout Action List					\$ -	#DIV/0!	10%		
Stage 10: System Acceptance										
DEL-31	Complete PARIS System					\$ -	#DIV/0!	20%	100%	#DIV/0!
Total Deliverables Cost By FY		\$ -	\$ -	\$ -	\$ -	\$ -				

VII.C.5 OTech Services Costs (Cost Worksheet D.5)

Bidder must list all proposed OTech service costs for installation, implementation, and ongoing maintenance, for each proposed OTech serve by fiscal year, using Cost Worksheet D.5, shown below in Figure VII-5 D. 5 OTech Services Costs.

Enter costs in the appropriate Section(s) based on the OTech service offering: one-time costs, ongoing monthly costs, and/or yearly costs. Include costs only once. Include all costs that will be required to implement the proposed solution for twenty-nine (29) months, which is through system acceptance and one (1) year of warranty. Indicate the quantity and item cost for each item and ensure that all calculations are correct. Include a sequential item number for each row that identifies a distinct OTech service cost. Insert additional blank rows if necessary. Bidder must include these costs for evaluation purposes only. Total costs for this worksheet will be automatically populated in worksheet D.1 Cost Workbook Summary but the Bidder must ensure that these numbers are correct before submission of the Final Proposal.

Figure VII-5 D. 5 OTech Services Costs

D.5 OTech Costs													
Item#		FY 2010/11						FY 2011/12					
		One-Time Costs		Ongoing Monthly Costs		Yearly Cost	Total Item Cost (\$)	One-Time Costs		Ongoing Monthly Costs		Yearly Cost	Total Item Cost (\$)
		One-Time Unit Cost	Qty	Monthly Unit Cost	# Mos			One-Time Unit Cost	Qty	Monthly Unit Cost	# Mos		
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
Total OTech Costs By FY:							\$ -						\$ -

D.5 OTech Services Costs													
Item#		FY 2012/13						FY 2013/14					
		One-Time Costs		Ongoing Monthly Costs		Yearly Cost	Total Item Cost (\$)	One-Time Costs		Ongoing Monthly Costs		Yearly Cost	Total Item Cost (\$)
		One-Time Unit Cost	Qty	Monthly Unit Cost	# Mos			One-Time Unit Cost	Qty	Monthly Unit Cost	# Mos		
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
							\$ -						\$ -
Total OTech Services Costs By FY:							\$ -						\$ -

VII.C.6 Additional Hardware, Software, and Services Costs (Cost Worksheet D.6)

Bidder must list any additional equipment, software, and/or services not included elsewhere in the Cost Workbook but necessary for CDE to fully implement the proposed PARI\$ solution. Enter cost items by fiscal year, using Cost Worksheet D.6, shown below in Figure VII-6 D. 6 Additional Hardware, Software, and Services Costs. Enter costs in the appropriate Section(s) based on the cost type: one-time costs, ongoing monthly costs, and/or yearly costs. Include all costs that will be required to implement the proposed solution for twenty-nine (29) months, which is through system acceptance and one (1) year of warranty. Indicate the quantity and item cost for each item and ensure that all calculations are correct. Include a sequential item number for each row that identifies a distinct cost. Insert additional blank rows if necessary. Bidder must include these costs for evaluation purposes only. Total costs for this worksheet will be automatically populated in worksheet D.1 Cost Workbook Summary but the Bidder must ensure that these numbers are correct before submission of the Final Proposal.

Figure VII-6 D. 6 Additional Hardware, Software, and Services Costs

D.6 Additional Hardware, Software, and Services Costs																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																													
Item#		Item Description	FY 2010/11						FY 2011/12																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																				
			One-Time Costs		O	Ongoing Monthly Costs		O	Yearly Cost	Total Item Cost (\$)	One-Time Costs		O	Ongoing Monthly Costs		O	Yearly Cost	Total Item Cost (\$)																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																											
			One-Time Unit Cost	Qty		Monthly Unit Cost	# Mos				One-Time Unit Cost	Qty		Monthly Unit Cost	# Mos																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																														
																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																													</

VII.C.7 Mandatory Optional Requirements Costs (Cost Worksheet D.7)

Bidder must list all costs associated with meeting each of the mandatory optional requirements offered to CDE by fiscal year, using Cost Worksheet D.7, shown below in Figure VII-7 D.7 Mandatory Optional Requirements Costs. Enter costs in the appropriate Section(s) based on the cost type: one-time costs, ongoing monthly costs, and/or ongoing yearly costs. Include all costs that will be required to implement the proposed solution for twenty-nine (29) months, which is through system acceptance and one (1) year of warranty. Indicate the quantity and item cost for each item and ensure that all calculations are correct. Total costs for this worksheet will be automatically populated in worksheet D.1 Cost Workbook Summary but the Bidder must ensure that these numbers are correct before submission of the Final Proposal.

Figure VII-7 D.7 Mandatory Optional Requirements Costs

D.7 Mandatory Optional Requirements Costs																			
Req #		Item Description		FY 2010/11							FY 2011/12								
				One-Time Costs		O R	Ongoing Monthly Costs		O R	Yearly Cost	Total Item Cost (\$)	One-Time Costs		O R	Ongoing Monthly Costs		O R	Yearly Cost	Total Item Cost (\$)
				One-Time Unit Cost	Qty		Monthly Unit Cost	# Mos				One-Time Unit Cost	Qty		Monthly Unit Cost	# Mos			
C.32.1									\$	-							\$	-	
C.32.2									\$	-							\$	-	
C.32.3									\$	-							\$	-	
C.32.4									\$	-							\$	-	
C.32.5									\$	-							\$	-	
C.32.6									\$	-							\$	-	
C.32.7									\$	-							\$	-	
									\$	-							\$	-	
Total Mandatory Optional Requirements Costs By FY:									\$	-								\$	-

D.7 Mandatory Optional Requirements Costs																			
Req #		Item Description		FY 2012/13							FY 2013/14								
				One-Time Costs		O R	Ongoing Monthly Costs		O R	Yearly Cost	Total Item Cost (\$)	One-Time Costs		O R	Ongoing Monthly Costs		O R	Yearly Cost	Total Item Cost (\$)
				One-Time Unit Cost	Qty		Monthly Unit Cost	# Mos				One-Time Unit Cost	Qty		Monthly Unit Cost	# Mos			
C.32.1									\$ -								\$ -		
C.32.2									\$ -								\$ -		
C.32.3									\$ -								\$ -		
C.32.4									\$ -								\$ -		
C.32.5									\$ -								\$ -		
C.32.6									\$ -								\$ -		
C.32.7									\$ -								\$ -		
									\$ -								\$ -		
Total Mandatory Optional Requirements Costs By FY:									\$ -								\$ -		

VII.C.8 Ongoing Maintenance & Operations Costs – Contract A1 (Cost Worksheet D.8)

Bidder must propose a monthly cost associated with providing ongoing maintenance and operations support under Contract A1 for one (1) year following System Acceptance, by expected fiscal year, using Cost Workbook D.8, shown below in Figure VII-8 D.8 Ongoing Maintenance & Operations Costs by Year – Contract A1. The Bidder must propose monthly costs, to be paid in arrears, for the first year of maintenance, beginning with System Acceptance and coinciding with the one (1) year of warranty. Total costs for this worksheet will be automatically populated in worksheet D.1 Cost Workbook Summary but the Bidder must ensure that these numbers are correct before submission of the Final Proposal.

Figure VII-8 D.8 Ongoing Maintenance & Operations Costs by Year – Contract A1

D.8 Ongoing Maintenance & Operations Costs - Contract A1	
	One Year Mandatory M&O
Monthly Cost	
Total Cost For Mandatory Year 1 - Contract A1 (Monthly Cost x 12):	\$ -

VII.C.9 Ongoing Maintenance & Operations Costs – Contract A2 (Cost Worksheet D.9)

Bidder must propose a monthly cost associated with providing optional maintenance and operations support under Contract A2 following the one-year warranty period, using Cost Workbook D.9, shown below in Figure VII-9 D.9 Ongoing Maintenance & Operations Costs by Year - Contract A2. The Bidder must propose monthly costs, to be paid in arrears, for two optional years of maintenance, each year optional at the sole discretion of CDE. Total costs for this worksheet will be automatically populated in worksheet D.1 Cost Workbook Summary but the Bidder must ensure that these numbers are correct before submission of the Final Proposal.

Figure VII-9 D.9 Ongoing Maintenance & Operations Costs by Year - Contract A2

D.9 Ongoing Maintenance & Operations Costs - Contract A2		
	Optional Year 1 Monthly Cost (CDE Option)	Optional Year 2 Monthly Cost (CDE Option)
Monthly Cost		
Total Yearly Cost - Contract A2 (Monthly Cost x 12):	\$ -	\$ -

VII.C.10 Support Services Rates (Cost Worksheet D.10)

The Bidder must propose hourly rates for Support Services for all proposed Team Roles. The worksheet shown below in Figure VII-10 D.10 Support Services Rates will be used to determine the Bidder's Total Proposed Cost for Support Services (unanticipated tasks and/or post-implementation support), under both Contract A1 and Contract A2. The Bidder must enter the total number of Team Roles where indicated.

The Support Services Rates worksheet contains a list of the required Team Roles and the total number of Team roles defaults to that count, seven (7). There should be one row for each Team Role included in that total number. If there is not, an error will display. Bidder must add a row for each additional proposed Team Role. All proposed Team Roles must be included on this worksheet. If the Bidder proposes additional Team Roles, Bidder must ensure that costs and total cost are accurately calculated, and that added rows perform the same calculations as existing rows.

Bidder must identify hourly rates for at least those staffing levels indicated in the Cost Workbook, and must include all additional roles Bidder determines are necessary for the successful implementation of its proposed solution. Bidder must enter the total number of roles where indicated.

For evaluation purposes only, the worksheet will allocate a hypothetical total of 1,000 hours equally across all identified roles. The Cost per Team Role will be automatically calculated. **The total cost for all Team Roles shall be the Bidder's Proposed Total Cost for Support Services for each of the two Contracts.** This number will be automatically included in the Bidder's proposed costs in the Cost Workbook Summary sheet (Cost Worksheet D.1) for evaluation purposes. The Bidder must ensure that these numbers are correct before submission of the Final Proposal.

Figure VII-10 D.10 Support Services Rates

D.10 Support Services Rates				
Enter Total Number of Team Roles		7		
Average Hours Per Team Role		142.86		
Item#	Team Roles	# Hours	Hourly Rate	Cost
	Project Manager	142.86		\$ -
	Technical Architect	142.86		\$ -
	Quality Assurance Manager	142.86		\$ -
	Systems/Business Analyst	142.86		\$ -
	Application Developer	142.86		\$ -
	Tester	142.86		\$ -
	Trainer	142.86		\$ -
Total Entered Hours		1,000.00		
Total Support Services Costs (Per Year):		1,000		\$ -

The hourly rates quoted are the maximum hourly rates that will apply, by Team Role, for the terms of Contract A1 and Contract A2, and will be used to cost work orders as described in the Statement of Work of APPENDIX A.1 MODEL CONTRACT AND ATTACHMENTS SYSTEM IMPLEMENTATION SERVICES and APPENDIX A.2 MODEL CONTRACT AND ATTACHMENTS MAINTENANCE & SUPPORT SERVICES. CDE reserves the right to re-allocate hours by role and to modify the total number of hours used per role up to the total dollar amount proposed for Support Services per Contract.

Note that the Bidder is not proposing to provide 1,000 hours of Support Services for each Contract. Rather, the Bidder is proposing Hourly Rates to be used up to the Proposed Total Cost for Support Services, per Contract, determined by evenly dividing a hypothetical 1,000 hours across all proposed Team Roles and multiplied by each Role's hourly rate.

Section VIII Proposal Format

VIII.A INTRODUCTION

The instructions in this Section prescribe the mandatory Proposal format and the approach for the development and presentation of Proposals. Format instructions must be followed, all requirements and questions in the RFP should be answered, and all requested information should be supplied. All Bidders are strongly encouraged to follow the scheduled steps of this procurement to increase the chance of submitting a compliant Final Proposal.

The Draft Proposal is an optional step for all Bidders, though it is highly recommended that Bidders submit a Draft Proposal to obtain feedback from the State regarding their proposed PARI\$ solution. The Final Proposal is a mandatory step for all Bidders.

VIII.B PROPOSAL FORMAT AND CONTENT

For both Draft and Final Proposals the Bidder should follow the Proposal format and content detailed below to be responsive to this RFP. There are only minor differences between the format of the Draft and Final Proposals. Unless otherwise noted, all instructions below pertain to both the Draft and Final Proposals. Where instructions differ, specific instructions are provided for each.

All cost figures, with the exception of the separately sealed Cost Proposal, must be blacked out or replaced with "XXXX". For DVBE forms, include percentages, not actual costs. The Letter of Bondability (see APPENDIX B FORM V.2 LETTER OF BONDABILITY) and any supporting documentation containing costs or rates (such as catalogs, maintenance service rates, etc.) must have all cost figures blacked out or replaced with "XXXX".

Final Proposals that are not submitted with the content and in the format defined by this Section may be deemed non-responsive and be excluded from further consideration by the State.

VIII.B.1 Proposal Labeling

The Proposal must be submitted as described in Exhibit IX-1 Format Compliance Checklist, Item 1.

VIII.B.2 Proposal Organization

The Proposal must be structured in the following four Volumes:

VIII.B.2.a Volume I: Response to Requirements

This Volume contains the Bidder's complete response to all Administrative and Business, Functional, and Technical Requirements of the RFP. All forms **EXCEPT for cost data** must be completed and included in this Volume. Volume I must be organized by Section, in the order and format indicated Exhibit IX-1 Format Compliance Checklist, Item 2.

- **Section 1: Table of Contents**

This Section must contain a Table of Contents. All Sections, subsections, forms, diagrams, and exhibits must be identified by page number.

- **Section 2: Cover Letter and Final Proposal Certification**

This Section must contain a signed Cover Letter in accordance with SECTION II.C.5.e Signature of Proposals. **Cost information must NOT be included in the Cover Letter.**

- **Section 3: Executive Summary/Proposal Overview**

This Section must contain an overview of the Bidder's company background and qualifications, and must condense and highlight the contents of the Proposal to provide a broad understanding of the entire Proposal and facilitate the evaluation of the Proposal by the CDE. **Cost information must NOT be included in the Executive Summary/Proposal Overview.**

- **Section 4: Administrative Requirements Response**

This Section must contain the Bidder's response to the requirements identified in SECTION V [Administrative Requirements](#).

- **Section 5: Business, Functional, and Technical Requirements Response**

This Section must contain the Bidder's response to the requirements identified in SECTION VI [Business, Functional, and Technical Requirements](#). The completed APPENDIX C DETAILED BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS matrix must be included in this Section.

VIII.B.2.b Volume II: Completed Contracts

This Volume must contain the complete Contracts, in the order and format indicated in Exhibit IX-1 Format Compliance Checklist, Item 3. Only the Contracts for the Final Proposal must be signed. By signing the State Model Contract, the Bidder agrees to the Contract format and all specified attachments.

Deviation from terms and conditions previously approved for this RFP may be cause for rejection of your Proposal.

VIII.B.2.c Volume III: Cost Proposal

This Volume must contain all completed cost sheets, schedules, Contract attachments with identified costs, exhibits identifying costs, bonds and other security documents as required in RFP SECTION VII [Cost Proposal](#). The Volume **must** be in a **separately sealed, clearly marked envelope, or container** and must contain all completed cost sheets and any other document with cost data identified as required in the RFP.

Specific instructions:

- **Draft Proposal:** ALL cost figures in the Cost Proposal must be blacked out or replaced with "XXXX".
- **Final Proposal:** The Cost Proposal must show ALL cost figures.

Failure to adhere to this Proposal requirement will be considered a material deviation and will result in rejection of the Bidder's Proposal.

The Final Cost Proposal will not be opened for evaluation until Volume I has been evaluated and scored as described in SECTION IX [Proposal Evaluation](#). This Volume must be organized by Section as described in Exhibit IX-1 Format Compliance Checklist, Item 4.

VIII.B.2.d Volume IV: Supporting Documentation and Literature

This Volume must contain all technical and other reference documentation that the Bidder chooses to include that supports statements, explanations, or information provided in the Bidder's Proposal. This Volume must include any supporting documentation identified in the Bidder's response to APPENDIX C DETAILED BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS and be organized as described in Exhibit IX-1 Format Compliance Checklist, Item 5.

Substantive technical information should be highlighted on the supporting documentation page by marking the applicable page (e.g., circling, underlining, bracketing, using a highlight marker that will still show when reproduced, etc.). **Any reference to cost figures in the supporting documentation and literature must be blacked out or replaced with "XXXX."**

This page intentionally left blank.

Section IX Proposal Evaluation

This Section defines the process that the State will follow in evaluating Proposals submitted by Bidders for the PARI\$ Project. This Section documents the procedures and checklists that will be used to ensure that Bidder selection provides the best value solution for the State.

The evaluation process is comprised of a thorough review of each Proposal to validate the inclusion of mandatory components, followed by a scored evaluation based on criteria defined later in this Section. Final Proposals that do not comply with the mandatory components stipulated in this RFP may be deemed non-responsive and may be excluded from further consideration by the State.

IX.A EVALUATION TEAM

The State will establish an Evaluation Team comprised of individuals from management and staff from the State, who will be responsible for the review and evaluation of Bidder Proposals. The DGS Procurement Official will provide guidance to the Evaluation Team 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 Evaluation Team in gaining a better understanding of technical, financial, project, or program issues. The SMEs will not have any privileges or responsibilities in the evaluation process. The Evaluation Team will use a method of "group consensus" when reviewing and evaluating Bidder Proposals.

IX.B RECEIPT OF PROPOSALS

Bidder must submit Draft and Final Proposals in a timely manner to the State Procurement Official as specified in Section I.F PROCUREMENT OFFICIAL, as well as to the exact place specified in Section I.G KEY ACTION DATES. Bidders are to submit Draft and Final Proposals in the quantity and format specified in SECTION VIII [Proposal Format](#).

IX.C DRAFT PROPOSAL REVIEW

The Draft Proposal should present the Bidder's full and complete response to all requirements of this RFP and provide a concept of what comprises the PARI\$ total solution. Draft Proposals will be reviewed to detect errors and inconsistencies that, if contained in the Final Proposal, may cause the Proposal to be rejected. Draft Proposals will not be scored. The Evaluation Team will meet with each Bidder to discuss any deficiencies in the Bidder's Draft Proposal. The primary purpose of this discussion is to ensure that the Bidder's Final Proposal will be responsive. The Draft Proposal should be complete in every aspect, **except that cost figures (e.g., dollar or rate information) are excluded from any Section of the Draft Proposal, blacked out, or replaced with "XXXX"**.

IX.D CONFIDENTIAL DISCUSSIONS

The Draft Confidential Discussions are intended to minimize the risk that a Bidder's Final Proposal will be deemed defective; however, such discussions will not preclude rejection of the Bidder's Final Proposal if such defects are later found. The State does not warrant that all defects will be detected during the Draft Proposal Review. The Evaluation Team will meet with each Bidder to discuss the Bidder's Draft Proposal. These Confidential Discussions will allow the Bidder to request clarification or ask questions specific to its proposed solution, thus protecting the confidential nature of each unique solution. The Evaluation Team will discuss its concerns and ask for clarification if a response to a requirement of the RFP is not, in the opinion of the Evaluation Team, clear or well defined, or if the proposed solution contains deficiencies. The Evaluation Team may identify aspects of the Draft Proposal that, in its judgment, potentially introduce undesirable risk to the State. Bidders are strongly encouraged to bring their proposed project team and discuss the Evaluation Team comments at this time.

IX.E FINAL PROPOSAL EVALUATION

The purpose of the Final Proposal is for the Bidder to provide the State with a Proposal, including cost data, for a total PARI\$ solution. Cost Proposals must be provided to the State in a separately sealed envelope and must accompany the Final Proposal. Final Proposals must contain all of the elements identified in SECTION VIII [Proposal Format](#), and will be evaluated based on the information provided in this Section. The Final Proposal must address all administrative requirements, and all business, functional, and technical requirements of this RFP. OTech services and associated costs to support a Bidder's total PARI\$ solution must be included in the Final Proposal.

IX.E.1 Scoring the Proposal

IX.E.1.a Proposal Evaluation Steps

The Final Proposal evaluation will consist of five phases, each of which contains one or more steps:

- **Phase 1: Compliance Review:**
- **Phase 2: Scoring of Business, Functional, and Technical Requirements:**
 - Step 1: Scoring the Business Requirements: Bidder Qualifications
 - Step 2: Scoring the Business Requirements: Project Team
 - Step 3: Conducting Reference Checks and Scoring the Business Requirements: References
 - Step 4: Scoring the Business Requirements: Project Management and Solution
 - Step 5: Scoring the Business Requirements: Other
 - Step 6: Scoring the Functional Requirements
 - Step 7: Scoring the Technical Requirements
 - Step 8: Evaluating the Scoring Thresholds

- Step 9: Totaling the Bidder Requirements Points
- Step 10: Calculation of the Bidder Requirements Score
- **Phase 3: Evaluation of Cost Proposal**
 - Step 1: Cost Proposal Screening
 - Step 2: Calculation of the Bidder Cost Score
 - Step 3: Calculation of the Bidder Proposal Score
- **Phase 4: Evaluation of Preference Claims and DVBE Incentive**
 - Step 1: Evaluation of Small Business Preference Claims (if applicable)
 - Step 2: Evaluation of DVBE Incentive Claim
- **Phase 5: Calculation of the Bidder Final Score**

Each Final Proposal will be evaluated through Phase 2, even if a material deviation is identified. If, at the end of Phase 2, a material deviation has been identified, the Proposal will be deemed “non-responsive” and evaluation of the Proposal will be discontinued. Only Final Proposals with no material deviations will proceed to Phase 3, Evaluation of the Cost Proposal.

IX.E.1.b Documenting the Evaluation

The Evaluation Team will use the following exhibits to document the evaluation and scoring of the Bidder's Final Proposal from Compliance Review through Bidder Final Score:

- Exhibit IX-1 Format Compliance Checklist
- Exhibit IX-2 Bidder Qualifications Checklist
- Exhibit IX-3 Project Team
- Exhibit IX-4 References Checklist
- Exhibit IX-5 Project Management and Solution Checklist
- Exhibit IX-6 Other Checklist
- Exhibit IX-7 Functional Requirements Checklist
- Exhibit IX-8 Technical Requirements Checklist

The Evaluation Team will also use these checklists for evaluating Draft Proposals for compliance and to identify potential material deviations but requirements will **NOT** be scored. Bidders may use these exhibits as checklists to help ensure that their Proposal is compliant, meets all requirements, and includes all necessary documentation. **Bidders are not required to submit these checklists; the list is for Bidder information purposes only.**

IX.E.1.c Points

The maximum points available for this RFP are 6,600 points. The Cost Proposals accompanying each Bidder's Proposal will not be opened until all Proposal requirements have been evaluated and scored. The Evaluation scoring for the business, technical, and functional requirements is as follows:

- Proposal Requirements Score (3,000 points)
 - Business Requirements: Bidder Qualification (245 Points)
 - Business Requirements: Project Team (595 Points)
 - Business Requirements: References (360 Points)
 - Business Requirements: Project Management and Solution (600 Points)
 - Business Requirements: Other (600 Points)
 - Functional Requirements (320 Points)
 - Technical Requirements (280 Points)
- Cost Score (3,000 points)
- Total Proposal Score Possible (6,000 Points)
- Preference and Incentive Points Possible (600 Points)
- Total Overall Score Possible (6,600 Points)

IX.E.1.d Scoring Thresholds

Final selection will be on the basis of 50 percent (50%) scored business, functional, and technical requirements and 50 percent (50%) cost, excluding any preference or incentive points, among the Proposals that are responsive to the RFP requirements. To minimize the risk of unqualified Bidders earning the best value score based on an unreasonably low cost, there are scoring thresholds corresponding to each of the two following Requirement areas:

- Threshold #1: Business Requirements: Bidder Qualification, Project Team, and References combined (600 Point Threshold); and
- Threshold #2: Business Requirements: Project Management and Solution and Other Business Requirements combined (600 Point Threshold).

A scoring threshold is a minimum total score within the indicated area that must be achieved by the Bidder's Final Proposal in order for the Proposal to continue from Phase 2 to Phase 3 of the Evaluation Process. Within the Business Requirements evaluation, Bidder must achieve a minimum combined Bidder Qualification, Project Team, and References score of 600 Points to move on to Phase 3, the evaluation of the Cost Proposal. Additionally, Bidder must also achieve a minimum combined Project Management and Solution and Other Business Requirements score of 600 Points to move on to Phase 3. If a Bidder's Final Proposal clearly fails to achieve either scoring threshold, then the Evaluation Team will deem Bidder's Final Proposal to be "non-responsive" and will discontinue the evaluation following Phase 2 and the Bidder's Cost Proposal will not be opened. If the Bidder achieves both scoring thresholds and passes all mandatory Business, Functional, and Technical Requirements, with no material deviations, the evaluation will continue to Phase 3 and the Bidder's Cost Proposal will be opened and scored based on how its total cost compares to the total cost of the Proposal with the lowest total cost.

IX.E.2 Phase 1: Compliance Review

The Evaluation Team will screen, review, and determine, on a “Pass/Fail” basis if a Bidder’s Final Proposal is complete and complies with each administrative submission requirement of the RFP, as defined in SECTION V [Administrative Requirements](#) and each Proposal formatting requirement as defined in Section VIII [Proposal Format](#). The Evaluation Team will use Exhibit IX-1 Format Compliance Checklist, below to document the Compliance Review.

IX.E.3 Phase 2: Scoring of Business, Functional, and Technical Requirements

(Maximum Requirements Score = 3,000 points)

The Evaluation Team will evaluate Bidder’s Final Proposal for responses to the requirements in SECTION VI [Business, Functional, and Technical Requirements](#). By using a method of consensus, the Evaluation Team will assess and score the Bidder’s response to each requirement.

NOTE: All point calculations will be rounded to two (2) decimal places (the nearest hundredth).

IX.E.3.a Scoring Types

Requirements are identified as either **Mandatory (M)**, **Mandatory Optional (MO)**, **Mandatory Scorable (MS)** or **Desirable Scorable (DS)**. Each is described below.

- Requirements identified as **Mandatory (M)** are the minimum requirements that must be satisfied by the Bidder. The Evaluation Team will review the Bidder’s response to determine whether the Bidder “Passes” or “Fails” each Mandatory requirement. If the required information is included in the Bidders Proposal, the Evaluation Team will award it a “Pass” (“P”). If the required information is incomplete or missing, the Evaluation Team will consider it a “Fail” (“F”). A requirement response determined to be “Fail” will be considered a material deviation. **A material deviation on a Mandatory requirement will result in disqualification of the Proposal.**
- Requirements identified as **Mandatory Scorable (MS)** must be satisfied by the Bidder and will be evaluated and assigned a point score. The Evaluation Team will review the Bidder’s response to determine its compliance. If the required information is included in the Bidder’s Proposal, the Evaluation Team will award points in accordance with this Section. If the required information is incomplete or missing, the Evaluation Team will consider it a “Fail”. A requirement response determined to be “Fail” will be considered a material deviation. **A material deviation on a Mandatory requirement will result in disqualification of the Proposal.**
- Requirements identified as **Mandatory Optional (MO)** are those that the Bidder must include in its Proposal. *Mandatory Optional requirements will be evaluated based on a Pass/Fail basis and are not scored, though their costs are included in the Bidder Cost Score for evaluation purposes only.* The State has the option whether or not to purchase the item(s) included in the Bidder’s response to the Mandatory Optional (MO) requirements. The associated costs must be included in the appropriate Cost Worksheet (see Figure VII-7 D.7 Mandatory Optional Requirements Costs). The Evaluation Team will review the Bidder’s response and if the required information is included in the Bidders Proposal, the Evaluation Team will award it a “Pass”. If the required information is incomplete or missing, the Evaluation Team will consider it a “Fail”. A requirement response determined to be “Fail” will be considered a material deviation. **A material deviation on a Mandatory Optional (MO) will result in disqualification of the Proposal.**

- Requirements identified as Desirable Scorable (**DS**) are optional, not mandatory, and will be evaluated and awarded points by the Evaluation Team. The Bidder may or may not respond to the Desirable Scorable (**DS**) requirements in their Proposal. If a Bidder's response satisfies a Desirable Scorable (**DS**) requirement, then the State will award the appropriate number of points associated with the Bidder's response as indicated in Section IX [Proposal Evaluation](#). If the required information is incomplete or missing then zero points will be awarded. Failure to respond to a Desirable Scorable (DS) requirement response or providing a response that does not meet the requirement is NOT considered a material deviation.

All Requirements will be evaluated using Table IX-1 Requirements Scoring Key. This RFP uses the following three methods of scoring depending on the requirement:

- **Scoring Method 1: Mandatory (Not Scored):** Requirements that use this method are those that are Mandatory (M) and evaluated on a "Pass/Fail" basis but are not given a score.
- **Scoring Method 2: Objective Scoring:** Requirements that use this method are those that have a specific number of points associated with each possible response. There is no element of quality measure to a requirement that uses this scoring methodology.
- **Scoring Method 3: Quality Scoring:** Requirements that use this method are those that have a quality element that must be evaluated and scored by the Evaluation Team, based on how well the Bidder's Response addressed the requirement. Points are assigned based on the Evaluation Team's assessment of how well the Bidder addressed the requirement, in accordance with the applicable evaluation criteria for the requirement.

Each element of the Scoring Key is described in further detail below with examples for each Scoring Method. In the Bidder Checklist Exhibits below, each requirement identifies the Scoring Method used to evaluate that particular requirement.

Table IX-1 Requirements Scoring Key

Requirements Scoring Key				
<i>Response to Requirement Criteria</i>	<i>Criteria Guideline</i>	<i>Score</i>	<i>Point Index</i>	<i>Points Awarded</i>
Scoring Method 1: Mandatory Scoring (No Points)				
Requirement is Met	The Bidder met the Mandatory requirement, which does not receive points.	Pass ("P")	N/A	N/A
Requirement is Not Met	The Bidder did not speak to the requirement at all or the requirement is unmet.	Fail ("F")	N/A	Proposal Deemed Non-Responsive
Scoring Method 2: Objective Scoring				
Requirement is Met	The Bidder provided a response that has a specific number of points allocated based on the response and will be awarded the specific points associated with the Bidder's response.	Pass ("P")	100%	100% of Points associated with the Bidder's specific response
Requirement is Not Met	The Bidder did not speak to the requirement at all or the requirement is unmet.	Fail ("F")	N/A	Proposal Deemed Non-Responsive
Scoring Method 3: Quality Scoring				
Requirement is Addressed Minimally	The Bidder did no more than quote the requirement as stated in the RFP and/or offer no more than the minimum required in terms of experience, content, or functionality.	Passes Minimally ("P")	10%	10% of Maximum Points Available for that requirement or requirement element
Requirement is Addressed Satisfactorily	The Bidder addressed all of the requested elements of the requirement in enough detail to show that they understand and have a solution to offer (e.g., more than just a restatement of the requirement.) and/or the experience level, content, or functionality somewhat exceeds the minimum required.	Satisfactory ("S")	80%	80% of Maximum Points Available for that requirement or requirement element
Requirement is Addressed Well	The Bidder addressed not only all of the requested elements, but included additional aspects to their solution that enhanced the offering (e.g., the Bidder exceeded expectations for a response.) and/or the experience level, content, or functionality greatly exceeds the minimum required.	Well ("W")	100%	100% of Maximum Points Available for that requirement or requirement element
Requirement is Not Met	The Bidder did not speak to the requirement at all or the requirement is unmet.	Fail ("F")	N/A	Proposal Deemed Non-Responsive

Scoring Method 1: Mandatory Scoring (No Points)

Some requirements are Mandatory and evaluated on a “Pass/Fail” basis but do not receive points. The Evaluation Team will review the requirement and if the **Requirement is Met** by the Bidder, the requirement will be scored a “P”, for “Pass”, but the Bidder will not be awarded any points. If the **Requirement is Not Met** by the Bidder, the requirement will be scored a “F”, for “Fail”, which will result in the disqualification of the Bidder’s Proposal. An example of this type of requirement would be a requirement to submit a document, as in the Example below in Table IX-2 Example #1 Scoring Method 1.

Table IX-2 Example #1 Scoring Method 1

Example #1: Scoring Method 1: Mandatory Scoring (No Points)			
Requirement	Scoring Type	Scoring Method (1,2,3)	Evaluation Criteria
C.2.2: Bidder must provide an organization chart that identifies the proposed team members who will fulfill the identified project team roles. The organization chart must include the Bidder and State provided resources as per Exhibit A-1 State Provided Project Resources to provide the CDE an understanding as to how the Bidder envisions utilizing resources.	M	1	Bidder has provided an organization chart that includes the Bidder and State provided resources and identifies proposed team members.

Scoring Method 2: Objective Scoring

Some requirements include measurable criteria that may be used by the Evaluation Team to award specific points (not a percentage) based on the Bidder’s response as compared to specific objective criteria. The evaluation criteria will indicate the specific points available for meeting the requirement. Requirements of this type include reference requirements and some DS requirements. See Table IX-3 Example #2 Scoring Method 2 below.

Table IX-3 Example #2 Scoring Method 2

Example #2: Scoring Method 2: Objective Scoring			
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria
C.1.10: Bidder should have experience with projects that included SCO claims processing.	DS (5)	2	Bidder has successfully implemented one or more projects that included SCO claims processing.

Scoring Method 3: Quality Scoring

For some requirements, the Bidder's response or experience could range from minimal to superior so should receive a commensurate score. In such cases the Bidder's response is evaluated to determine how *well* it responds to the requirement, as determined by consensus of the Evaluation Team when comparing the Final Proposal response against the established criteria in Table IX-1 Requirements Scoring Key. The Evaluation Team will evaluate whether the response is **Addressed Minimally, Satisfactorily, Well** or **Not Addressed**, and will award the associated percentage of the maximum points available. An example would be a requirement to describe the Bidder's approach to a particular project element or contents of a deliverable.

Please note that the "Max Points" for the requirement indicates the maximum total a Bidder will receive (100%) if the Evaluation Team determines that the Bidder's response addresses the requirement "Well" as defined in Table IX-1 Requirements Scoring Key. Requirements that are met to the CDE's minimum satisfaction receive 80% of the maximum points available for the requirement. Bidder responses that merely restate the requirement or offer no more than the minimum required, will receive only 10% of the maximum points available for the requirement. **Bidder's solution must include additional aspects that enhance the offering in order to achieve the maximum score of 100% of points on each requirement.**

It will be the role of the Evaluation Team to determine, by consensus, which Criteria Guideline from Table IX-1 Requirements Scoring Key best describes the Bidder's response and award the percentage of the maximum points associated with that guideline. Table IX-4 Example #3 Scoring Method 3, below, demonstrates a requirement that would be evaluated using the Quality Scoring methodology. A Bidder that scores a "Well" will be awarded the maximum 30 points. A Bidder that scores a "Satisfactory" will be awarded 24 points. A Bidder that merely scores a "Passes Minimally" will be awarded just 3 points.

Table IX-4 Example #3 Scoring Method 3

Example #3: Scoring Method 3: Quality Scoring			
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria
C.4.2: Bidder must provide a list and description of proposed deliverables that includes, at a minimum, the deliverables identified in Table VI-2 Required Project Deliverables.	DS (30)	3	Deliverables are well-described and thorough in content.

Requirements With Multiple Evaluation Components

Requirements may have multiple components to them, each of which is allocated a specific number of the maximum total points available for that Requirement and which may use different scoring methodologies. Additionally, some requirements may include a combination of Mandatory (M), Mandatory Scorable (MS) components and Desirable Scorable (DS) components. Each component is clearly identified with the Max Points available for each component.

In the example below, Table IX-5 Example #4 Requirements with Multiple Evaluation Components, the Bidder has a mandatory element that requires the Bidder submit specific documentation. In addition, there is a minimum mandatory element that must be met, which is scored (MS). The Bidder has the opportunity for additional points with two Desirable Scorable (DS) components. Thus a Bidder will score a minimum of 2.5 points (10% of the max 25 on the MS requirement), for submitting a basic Project Schedule and Work Plan but does not provide explanation or is difficult to follow. The maximum a Bidder could score is 75 points, for a thorough and detailed Work Plan clearly customized for the Bidder's solution at CDE and a Project Schedule that matches the Work Plan, is clear, and meets or exceeds the desired implementation schedule goals. Note that each component of the Evaluation Criteria has a distinct number of points available and that each is evaluated independently.

Table IX-5 Example #4 Requirements with Multiple Evaluation Components

Example #4: Requirements with Multiple Evaluation Components			
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria
C.4.6: Bidder must provide a Draft Work Plan with Project Schedule that meets the requirements of this RFP and the dates identified in Section I.G KEY ACTION DATES and includes, at a minimum, all project phases, stages, tasks, subtasks, respective start and end dates and duration, dependencies, resource allocations, deliverables, and key milestones, including procurement, receipt, and installation dates for hardware, software, and network as applicable.	M	1	• Bidder has provided a Draft Work Plan and Project Schedule that include all required elements.
	MS (25)	3	• The Draft Work Plan is tailored to the proposed solution.
	DS (25)	3	• The Draft Work Plan is thorough and well-described.
	DS (25)	3	• The proposed Project Schedule supports the conceptual implementation schedule, appears reasonable for the proposed solution, and is easy to follow.

IX.E.3.b Step 1: Scoring the Business Requirements: Bidder Qualifications

(Maximum Score = 245 points)

The Evaluation Team will review and evaluate Bidder's Final Proposal for how well it addresses the Business Requirements related to Bidder Qualifications in APPENDIX C.1 BUSINESS REQUIREMENTS: BIDDER QUALIFICATIONS. The Scoring Key in Table IX-1 Requirements Scoring Key will be used by the Evaluation Team to determine the points awarded to each requirement. Exhibit IX-2 Bidder Qualifications Checklist identifies the methodology for the evaluation of each Scored Bidder Qualification requirement of a Bidder's Final Proposal. . **Please Note that Mandatory requirements that are not scored are not included in the Checklist.** Bidders may use this Checklist as an aid in preparing their response. Note that all point calculations will be rounded to two (2) decimal places (the nearest hundredth).

IX.E.3.c Step 2: Scoring the Business Requirements: Project Team

(Maximum Score = 595 points)

The Evaluation Team will review and evaluate Bidder's Final Proposal for how well it addresses the Business Requirements related to the project team in APPENDIX C.2 BUSINESS REQUIREMENTS: PROJECT TEAM. The Scoring Key in Table IX-1 Requirements Scoring Key will be used by the Evaluation Team to determine the points awarded to the Bidder for its response to each requirement. Exhibit IX-3 Project Team Checklist, below indicates the methodology for the evaluation of each Project Team Requirement of a Bidder's Final Proposal. . **Please Note that Mandatory requirements that are not scored are not included in the Checklist.** Bidders may use this Checklist as an aid in preparing their response. Note that all point calculations will be rounded to two (2) decimal places (the nearest hundredth).

IX.E.3.d Step 3: Conducting Reference Checks and Scoring the Business Requirements: References

(Maximum Score = 360 points)

Reference requirements are scored based on the Satisfaction Index, a percentage value, determined by the reference contact responses during the reference check (See Table IX-6 Bidder Reference Satisfaction Index Rating Factors and Table IX-7 Team Member Reference Satisfaction Index Rating Factors).

The Evaluation Team will use APPENDIX B FORM VI.1 PROJECT REFERENCE FORMS submitted by the Bidder to perform reference checks on the three project references identified by the Bidder in its proposal response. The Evaluation Team will make two (2) attempts, each via both phone and email, to contact the Bidder Reference Contact and conduct or schedule a phone reference check. If the Evaluation Team has not received a response from the Bidder Reference Contact within 48 hours of the first attempt they will make a second attempt. If no response is received within 48 hours of the second attempt, the Evaluation Team will attempt to contact the Bidder Alternate Contact(s) identified on the APPENDIX B FORM VI.1 PROJECT REFERENCE FORM. The Evaluation Team will follow the same procedure with the Alternate Contact(s) as with the original Contact. If the Evaluation Team has received no response within 48 hours of the second attempt, the Evaluation Team will contact the Bidder and allow the Bidder to

provide a replacement reference. If the Bidder is not able to provide a reference response from either the original or a replacement reference within 24 hours, the reference will not be scored and the Bidder will fail the mandatory Reference Requirement, be deemed non-responsive, and be disqualified from further consideration beyond Phase 2.

During the phone reference check the Evaluation Team will ask the Reference Contact to confirm information Bidder provided on APPENDIX B FORM VI.1 PROJECT REFERENCE FORM. The Team will then ask the Reference Contact to evaluate their Satisfaction with the Bidder/Project Team Member's Performance. The Reference Contact will be asked to rate the Bidder/Team Member on a scale from zero (0) to ten (10) for each of the ten (10) Rating Factors identified in Table IX-6 Bidder Reference Satisfaction Index Rating Factors or Table IX-7 Team Member Reference Satisfaction Index Rating Factors, depending on the reference type. The maximum total possible score is 100 (10 factors that each may achieve a maximum rating of 10 = 10x10).

The Bidder's Satisfaction Index for that reference is the sum of the ratings provided by the reference, divided by the total number of points possible for all applicable rating factors, resulting in a percentage value. Some projects may not have included all rating factors. For example, Bidder A has a reference that rates the Bidder a "nine" (9) score on each of the ten (10) Satisfaction Index Rating Factors. The Satisfaction Index for Bidder A would be 90 percent (90%) - (10 factors x 9 points each = 90 factor points, divided by the maximum applicable 100 factor points = 90%). Similarly, if Bidder B provides a reference for a project that did not include Training (Factor #7 scores an "N/A") and also rates a "nine" (9) on each of the nine applicable factors, the Satisfaction Index for Bidder B would also be 90% percent (90%) – (9 factors x 9 points each = 81 factor points, divided by the maximum applicable 90 factor points = 90%). In this way, Bidders are not penalized for projects that do not include all rating factors.

Note that all point calculations will be rounded to two (2) decimal places (the nearest hundredth).

Table IX-6 Bidder Reference Satisfaction Index Rating Factors

BIDDER REFERENCE SATISFACTION INDEX RATING FACTORS	
"I will now ask you to rate, on a scale from zero to ten, with zero being "extremely unsatisfied", five being "satisfied", and ten being "extremely satisfied", your satisfaction with [THE BIDDER] in ten different categories. The numbers you provide will be used in the calculation of [THE BIDDER]'s overall Proposal score."	
1.	Performance in meeting all requirements based on the contracted scope of work.
2.	[THE BIDDER]'s ability to manage project costs that are within the Bidder's control.
3.	[THE BIDDER]'s ability to meet deadlines, whether they are imposed by the project or were promised in the Bidder's Proposal.
4.	[THE BIDDER]'s Project Management.
5.	How well the implemented system functions according to the system requirements.
6.	Documentation produced by [THE BIDDER].
7.	Training provided by [THE BIDDER].
8.	[THE BIDDER]'s communication skills, including responsiveness, ability to collaborate and build relationships, and willingness to satisfy the client.
9.	The quality of [THE BIDDER]'s Project Team, including the team's knowledge and skills, availability, ability to work with the client's team members, and responsiveness,
10.	Your overall satisfaction with [THE BIDDER].

Table IX-7 Team Member Reference Satisfaction Index Rating Factors

TEAM MEMBER REFERENCE SATISFACTION INDEX RATING FACTORS	
“I will now ask you to rate, on a scale from zero to ten, with zero being “extremely unsatisfied”, five being “satisfied”, and ten being “extremely satisfied”, your satisfaction with [THE TEAM MEMBER] in ten different categories. The numbers you provide will be used in the calculation of [THE BIDDER]’s overall Proposal score.”	
1.	Performance in meeting all requirements based on the contracted scope of work.
2.	The quality of [THE TEAM MEMBER]’s work products.
3.	[THE TEAM MEMBER]’s ability to meet deadlines.
4.	[THE TEAM MEMBER]’s [Project or Development] Management, including knowledge and skills, management of staff, and execution of the proposed Project or Development Management Plan.
5.	[THE TEAM MEMBER]’s management of the implementation.
6.	[THE TEAM MEMBER]’s willingness to satisfy the client.
7.	[THE TEAM MEMBER]’s availability and willingness to be physically present when needed.
8.	[THE TEAM MEMBER]’s communication skills, including ability understand and explain technical concepts to non-technical staff, and ability to collaborate and build relationships.
9.	[THE TEAM MEMBER]’s skill at issue resolution, including responsiveness and the ability to bring a group to consensus.
10.	Your overall satisfaction with [THE TEAM MEMBER].

The Satisfaction Index is the percentage of the maximum points available for the reference, determined simply by multiplying the Satisfaction Index by the maximum points available for the reference. For example, Bidder A, above, achieves a Satisfaction Index of 90 percent (90%) for a particular reference. For a requirement that awards up to 40 points per reference, Bidder A would achieve 100 points x 90% Satisfaction, for a total of 36 points for that particular reference.

The Evaluation Team will record and score the results of the Reference checks using the Exhibit IX-4 References Checklist, below.

IX.E.3.e Step 4: Scoring the Business Requirements: Project Management and Solution

(Maximum Score = 600 points)

In this step the Evaluation Team will review and evaluate Bidder’s Final Proposal for how well it addresses the Project Management and Solution aspects of the Business Requirements identified in APPENDIX C.3 BUSINESS REQUIREMENTS: PROJECT MANAGEMENT AND SOLUTION. The Table IX-1 Requirements Scoring Key will be used by the Evaluation Team to determine the points awarded to each requirement. Exhibit IX-5 Project Management and Solution Checklist, below, indicates the methodology for the evaluation of a Bidder’s Final Proposal Response to each scored Project Management and

Solution requirement. **Please Note that Mandatory requirements that are not scored are not included in the Checklist.** Bidders may use this Checklist as an aid in preparing their response. Note that all point calculations will be rounded to two (2) decimal places (the nearest hundredth).

IX.E.3.f Step 5: Scoring the Business Requirements: Other

(Maximum Score = 600 points)

In this step the Evaluation Team will review and evaluate Bidder's Final Proposal for how well it addresses the remainder of the Business Requirements identified in APPENDIX C.3 BUSINESS REQUIREMENTS: OTHER. The Table IX-1 Requirements Scoring Key will be used by the Evaluation Team to determine the points awarded to each requirement. Exhibit IX-6 Other Checklist, below, indicates the methodology for the evaluation of a Bidder's Final Proposal Response to each of the remaining scored Business requirements. **Please Note that Mandatory requirements that are not scored are not included in the Checklist.** Bidders may use this Checklist as an aid in preparing their response. Note that all point calculations will be rounded to two (2) decimal places (the nearest hundredth).

IX.E.3.g Step 6: Scoring the Functional Requirements

(Maximum Score = 320 points)

In this step the Evaluation Team will review and evaluate Bidder's Final Proposal for how well it addresses the Functional Requirements identified in APPENDIX C.6 – C.20. The Table IX-1 Requirements Scoring Key will be used by the Evaluation Team to determine the points awarded to each requirement. Exhibit IX-7 Functional Requirements Checklist, below, indicates the methodology for the evaluation of a Bidder's Final Proposal Response to each of the Functional Requirements. . **Please Note that Mandatory requirements that are not scored are not included in the Checklist.** Bidders may use this Checklist as an aid in preparing their response. Note that all point calculations will be rounded to two (2) decimal places (the nearest hundredth).

IX.E.3.h Step 7: Scoring the Technical Requirements

(Maximum Score = 280 points)

In this step the Evaluation Team will review and evaluate Bidder's Final Proposal for how well it addresses the Technical Requirements identified in Appendix C.21 – C.31. The Table IX-1 Requirements Scoring Key will be used by the Evaluation Team to determine the points awarded to each requirement. Exhibit IX-8 Technical Requirements Checklist, below provides a Checklist that indicates the methodology for the evaluation of a Bidder's Final Proposal Response to each of the Technical Requirements. . **Please Note that Mandatory requirements that are not scored are not included in the Checklist.** Bidders may use this Checklist as an aid in preparing their response. Note that all point calculations will be rounded to two (2) decimal places (the nearest hundredth).

IX.E.3.i Step 8: Evaluating the Scoring Thresholds

The Scoring Thresholds are the two minimum point thresholds within the Business Requirements Section that each Bidder must achieve in order to move on to the opening of the Cost Proposal:

- A minimum score of 600 Points in the Business Requirements: Bidder Qualification, Project Team, and References, combined; and
- A minimum score of 600 Points in the Business Requirements: Project Management and Solution and Other Business Requirements, combined.

A Final Proposal that does not meet either or both of these Scoring Thresholds will be considered non-responsive and will not move on to Phase 3, Evaluation of the Cost Proposal.

Evaluation of the thresholds is demonstrated below in Table IX-8 Example #5 Evaluating the Scoring Thresholds. Point values in the example below explain the calculations and have no other significance. They are rounded to the nearest whole Point for simplicity only.

Bidders A, B, and C each met both scoring thresholds and continue to the evaluation of the Cost Proposal. Bidder D, who met only the minimum “MS” requirements and no “DS” requirements, but achieved scores of “10” on every reference did not meet the first scoring threshold, with a combined score of 552, and was disqualified (DQ) from further consideration. Bidder E met the first scoring threshold but did not meet the second and was thus disqualified from further consideration.

Table IX-8 Example #5 Evaluating the Scoring Thresholds

Example #5: Evaluating the Scoring Thresholds								
Bidder	Bidder Qualification Score (Max 245)	Project Team Score (Max 595)	References Score (Max 360)	Threshold #1 Score (Min 600)	Project Management and Solution Score (Max 600)	Other Business Requirements Score (Max 600)	Threshold #2 Score (Min 600)	Pass or Disqualified (DQ)
Bidder A	205	490	340	1,035 - PASS	560	520	1,080 – PASS	PASS
Bidder B	170	538	352	1,060 - PASS	510	485	995 – PASS	PASS
Bidder C	117	258	225	600 - PASS	300	300	600 – PASS	PASS
Bidder D	32	160	360	552- DQ	420	410	830 - PASS	DQ
Bidder E	175	480	450	1,105 - PASS	300	280	580 - DQ	DQ

IX.E.3.j Step 9: Totaling the Bidder Requirements Points

The Final Step before moving on to evaluation of the Cost Proposal is to calculate the Bidder Requirements Score for each Bidder. Each Bidder will receive a Requirements Score that is based on the total number of points awarded within the Requirements Sections. The Requirements Points will be converted to a Requirements "Score" whereby the Bidder with the highest number of Requirements Points will be awarded the maximum "Score" of 3,000. All other Bidders will be awarded a Requirements Score based on the ratio of their Requirements Points to the Requirements Points of the highest scoring Bidder.

To determine the Requirements Score the Bidder's Total Requirements Points are first calculated, as illustrated below in Table IX-9 Bidder Total Requirements Points Formula.

Table IX-9 Bidder Total Requirements Points Formula

Bidder Total Requirements Points Formula	
	Business Requirements Points
	+ Functional Requirements Points
	+ Technical Requirements Points
	= Bidder Total Requirements Points

To help illustrate this process, refer to Table IX-10 Example #6 Bidder Total Requirements Points Calculation, as shown below. Point values in the example below explain the calculations and have no other significance. They are rounded to the nearest whole Point for simplicity only.

Note that Bidders D and E did not meet one or more of the scoring Thresholds, but their Total Requirements Points are still calculated. Note that Bidder C does move on to the scoring of the Cost Proposal even though Bidder C's Total Requirements Points are fewer than both Bidder D and E, because Bidder C met both of the scoring thresholds.

Table IX-10 Example #6 Bidder Total Requirements Points Calculation

Example #6: Bidder Total Requirements Points Calculation						
Bidder	Business Requirements Points			Functional Requirements Points	Technical Requirements Points	Bidder Total Requirements Points
	Threshold #1 Points	Threshold #2 Points	Total Points			
Max Points	1,200 points	1,200 points	2,400 points	320 points	280 points	3,000 points
Bidder A	1,035	1,080	2,115	300	260	2,675 points
Bidder B	1,060	995	2,055	250	240	2,545 points
Bidder C	600	600	1,200	260	250	1,710 points
Bidder D	552	830	1,382	275	200	1,857 points (DQ)
Bidder E	1,105	580	1,685	255	230	2,170 points (DQ)

IX.E.3.a Step 10: Calculation of the Bidder Requirements Score

The Bidder with the highest Bidder Requirements Points will achieve a Bidder Requirements Score of 3,000, the maximum available Requirements Points. All other Bidders will receive a Score that is the ratio of their Total Requirements Points to the Total Requirements Points of the Bidder with the highest Total Requirements Points, multiplied by the maximum number of Requirements points available (3,000). This calculation is illustrated below in Table IX-11 Bidder Requirements Score Formula.

Table IX-11 Bidder Requirements Score Formula

Bidder Requirements Score Formula	
$\frac{(\text{Bidder Total Requirements Points}) \times (3,000 \text{ points})}{(\text{Highest Total Requirements Points})} = \text{Bidder Requirements Score}$	

To help illustrate this process, refer to Table IX-12 Example #7 Bidder Requirements Score Calculation, below. Point values in the example below explain the calculations and have no other significance. They are rounded to the nearest whole Point for simplicity only.

Table IX-12 Example #7 Bidder Requirements Score Calculation

Example #7: Bidder Requirements Score Calculation			
Bidder	Bidder's Total Requirements Points	Calculation	Bidder Requirements Score
A	2,675	$\frac{2,675 \times 3,000 \text{ points}}{2,675}$	3,000 points
B	2,545	$\frac{2,545 \times 3,000 \text{ points}}{2,675}$	2,854 points
C	1,710	$\frac{1,710 \times 3,000 \text{ points}}{2,675}$	1,918 points

IX.E.4 Phase 3: Evaluation of Cost Proposal

IX.E.4.a Cost Analysis

The required cost worksheets will be checked for mathematical accuracy. Errors and inconsistencies will be addressed in accordance with Section II.C.7.d Errors in the Final Proposal. Adjustments will be made for the purpose of evaluation in accordance with procedures described in RFP SECTION VII [Cost Proposal](#). Only those cost adjustments will be made for which a procedure is described in this RFP.

Volume III, Cost Proposal, shall remain sealed until the evaluation of the Administrative, Technical, and Functional Requirements is completed and will only be opened at the Public Cost Opening. All participating Bidders and interested parties shall be notified as to the date and time when a public opening of Cost Proposals will be conducted.

IX.E.4.b Step 1: Cost Proposal Screening

The first step of evaluating a Cost Proposal is to screen it for compliance with all submission and formatting requirements. If a Cost Proposal meets such requirements the Evaluation Team will continue to Step 2 to calculate the Bidder Cost Score. If the Cost Proposal does not meet all submission and formatting requirements the Proposal may be disqualified from further consideration.

Note: If a Bidder's Cost Workbook fails to meet the requirement to be submitted under separate, sealed cover, the State may immediately deem the Bidder's Proposal to be "non-responsive" and may discontinue the evaluation of the Proposal.

IX.E.4.c Step 2: Calculation of the Bidder Cost Score

(Maximum Cost Score = 3,000 points)

The Evaluation Team will calculate a Bidder Cost Score for each qualified Bidder's Cost Proposal. The Bidder Cost Score will be the ratio of the Total Cost of the responsive Proposal with the lowest Total Cost to the Bidder's Total Cost multiplied by the maximum number of Cost points (3,000 points). Table IX-13 Bidder Cost Score Formula, below, explains the calculation used to determine the Bidder Cost Score.

Table IX-13 Bidder Cost Score Formula

Bidder Cost Score Formula	
$\frac{(\text{Lowest Total Cost}) \times (3,000 \text{ points})}{(\text{Bidder Total Cost})} =$	Bidder Cost Score

To help illustrate this process, refer to Table IX-14 Scoring Example #6 Bidder Cost Score Calculation, below. Point values in the example below explain the calculations and have no other significance. They are rounded to the nearest whole Point for simplicity only.

Table IX-14 Scoring Example #6 Bidder Cost Score Calculation

Example #8: Bidder Cost Score Calculation			
Bidder	Bidder's Total Cost	Calculation	Bidder Cost Score
A	\$500,000	$\frac{\$400,000 \times 3,000 \text{ points}}{\$500,000}$	2,400 points
B	\$600,000	$\frac{\$400,000 \times 3,000 \text{ points}}{\$600,000}$	2,000 points
C	\$400,000	$\frac{\$400,000 \times 3,000 \text{ points}}{\$400,000}$	3,000 points

NOTE: If at any time during the evaluation process the State or CDE's Proposal Evaluation Team deems a Bidder's Final Proposal to be a "non-responsive" Proposal, the State reserves the right to immediately reject the Bidder's Final Proposal and the State will not open the Bidder's Sealed Cost Proposal.

IX.E.4.d Step 3: Calculation of the Bidder Proposal Score

The Bidder Proposal Score is the total calculated score (Bidder Requirements and Bidder Cost Scores) of the Bidder's Final Proposal and is calculated as follows in Table IX-15 Bidder Proposal Score Formula:

Table IX-15 Bidder Proposal Score Formula

Bidder Proposal Score Formula	
Bidder Requirements Score + Bidder Cost Score = Bidder Proposal Score	

To help illustrate this process, refer to Table IX-16 Scoring Example #7 Bidder Proposal Score Calculation, as shown below. Point values in the example below explain the calculations and have no other significance. They are rounded to the nearest whole Point for simplicity only.

Table IX-16 Scoring Example #7 Bidder Proposal Score Calculation

Example #9: Bidder Proposal Score Calculation			
Bidder	Bidder Requirements Score	Bidder Cost Score	Bidder Proposal Score
A	3,000 points	2,400 points	5,400 points
B	2,854 points	2,000 points	4,854 points
C	1,918 points	3,000 points	4,918 points

IX.E.5 Phase 4: Evaluation of Preference Claims and DVBE Incentive

IX.E.5.a Step 1: Evaluation of Small Business Preference Claim

Cost adjustments for preference claims (TACPA, EZA, LAMBRA and Small Business) and DVBE participation incentives will be performed during cost assessment.

Per Government Code, Section 14835, et seq., Bidders who qualify as a small business will be given a 5 percent preference (5%) for Contract evaluation purposes only. The 5 percent (5%) preference is calculated on the total number of points awarded to the highest scoring non-small business that is responsible and responsive to the Proposal requirements. The rules and regulations of this law, including the definition of a 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.

A 5% Proposal preference is also available to a non-small business claiming 25% California certified small business subcontractor participation. The 5 percent (5%) preference is calculated

on the total number of points awarded to the highest scoring non-small business that is responsible and responsive to the Proposal requirements and that is not subcontracting a minimum of 25% to a small business.

If claiming the non-small business subcontractor preference, the Proposal response must include a list of the small business(es) with which you commit to subcontract in an amount of at least 25% of the net Proposal price with one or more California certified small businesses. Each listed certified small business must perform a "commercially useful function" in the performance of the Contract as defined in Government Code section 14837(d)(4).

The required list of California certified small business subcontracts must be attached to the Proposal response and must include the following: 1) subcontractor name, 2) address, 3) phone number, 4) a description of the work to be performed and/or products supplied, 5) and the dollar amount or percentage of the net Proposal price (as specified in the solicitation) per subcontractor.

Bidders claiming the five percent (5%) preference must commit to subcontract at least 25% of the net Proposal price with one or more California certified small businesses. Completed certification applications and required support documents must be submitted to the Office of Small Business and DVBE Services (OSDS) no later than 5:00 p.m. on the Proposal due date, and the OSDS must be able to approve the application as submitted. Questions regarding certification should be directed to the OSDS at (916) 375-4940.

To help illustrate this process, refer to Table IX-17 Scoring Example #8 Small Business Preference Points Calculation, as shown below. Points in the example below explain the calculations and have no other significance.

The Preference Points for Bidder A are based on five percent (5%) of the Bidder Proposal Score of Bidder B, the highest scorer of a non-small business, which is $(4,854 \text{ points}) \times (.05) = 242.7$ points. The Preference Points for Bidder B are based on five percent (5%) of the Bidder Proposal Score of Bidder C, the highest scorer of a non-small business that is not subcontracting a minimum of 25 percent (25%) to a small business, which is $(4,918 \text{ points}) \times (.05) = 245.9$ points. Bidder C, which is not a small business and is not a non-small business subcontracting a minimum of 25 percent (25%) to a small business gets no Preference Points.

Table IX-17 Scoring Example #8 Small Business Preference Points Calculation

Example #10: Small Business Preference Points Calculation				
Bidder	Bidder Proposal Score	Small Business Preference Claim?	Non-Small Business Preference Claim?	Small Business Preference Points Awarded
A	5,400 points	Yes	No	242.7
B	4,854 points	No	Yes	245.9
C	4,918 points	No	No	0

IX.E.5.b Step 2: Evaluation of DVBE Incentive Claim

In accordance with Section 999.5(a) of the Military and Veterans Code, an incentive will be given to Bidders who provide DVBE participation. For evaluation purposes only, the State shall apply an incentive to Proposals that include California certified DVBE participation as identified on the Bidder Declaration 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 only given to those Bidders who are responsive to the DVBE Program Requirement and propose more than the required DVBE participation (3%) in the resulting contract.

All Bidders are required to have a confirmed DVBE participation of a minimum of 3% for this procurement. Participation above 3% will be awarded incentive points based on the percentage of confirmed DVBE participation. Table IX-18 DVBE Incentive Points Methodology, below, indicates the DVBE Incentive Points available based on the confirmed Bidder percent of DVBE participation.

Table IX-18 DVBE Incentive Points Methodology

DVBE Incentive Points Methodology	
Confirmed DVBE Participation of:	DVBE Incentive Points:
5.0% or More	300 Points
4.0% to 4.9%	240 Points
3.1% to 3.9%	180 Points

To help illustrate this process, refer to Table IX-19 Scoring Example #9 DVBE Incentive Points Calculation, as shown below.

Table IX-19 Scoring Example #9 DVBE Incentive Points Calculation

Example #11: DVBE Incentive Points Calculation		
Bidder	Confirmed % of DVBE Participation	DVBE Incentive Points Awarded
A	25%	300 points
B	5%	300 points
C	4%	240 points

IX.E.6 Phase 5: Calculation of the Bidder Final Score

The Evaluation Team will determine which Bidder's Final Proposal has the highest Bidder Final Score by calculating the sum of the Bidder's scores for all evaluation areas, as shown in Table IX-20 Bidder Final Score Formula:

Table IX-20 Bidder Final Score Formula

Bidder Final Score Formula
Bidder Proposal Score + Small Business/Non-Small Business Preference Points + DVBE Incentive Points = Bidder Final Score

To help illustrate this process, refer to Table IX-21 Scoring Example #10 Bidder Final Score Calculation as shown below. Percentages and point values in the example below explain the calculations and have no other significance.

Table IX-21 Scoring Example #10 Bidder Final Score Calculation

Example #12: Bidder Final Score Calculation				
Bidder	Bidder Proposal Score	Small Business Preference Points Awarded	DVBE Incentive Points Awarded	Bidder Final Score
A	5,400 points	242.7 points	300 points	5,942.7 points
B	4,854 points	245.9 points	300 points	5,399.9 points
C	4,918 points	0	240 points	5,158 points

IX.F SELECTION OF CONTRACTOR AND INTENT TO AWARD

The Evaluation Team will rank all qualified Proposals by Bidder Final Score and then recommend the Bidder with the highest Bidder Final Score to be the "Selected Contractor" and receive the award.

IX.G BIDDER CHECKLISTS

This subsection includes the exhibits that contain Bidder Checklists referred to above. Bidder Checklists identify the scoring criteria and allocation of points for each scored requirement. These Checklists are intended as a tool to assist Bidders in finalizing their Proposal response. The State makes no warranty that the checklist is a full comprehensive listing of every requirement specified in the solicitation. Checking off the items on the checklist does **NOT** establish your firm's intent nor does it constitute responsiveness to the requirement(s). Bidders are encouraged to carefully read the entire solicitation.

THE NEED TO VERIFY ALL DOCUMENTATION AND RESPONSES PRIOR TO THE SUBMISSION OF FINAL PROPOSALS CANNOT BE OVER-EMPHASIZED.

Exhibit IX-1 Format Compliance Checklist

Format Compliance Checklist

Item #	Item Description	Bidder Compliance	
		Yes	No
1.	Proposal Package Includes:		
	• Proposal was delivered to the location and by the deadline identified in I.G KEY ACTION DATES		
	• Proposal container is sealed		
	• Proposal is properly labeled with • Draft Proposal or Final Proposal • Title: "RFP CDE 6110-98" • Name of Bidder • Address of Bidder		
	• One (1) printed Master and six (6) copies of the Proposal Volumes I and II		
	• One (1) printed Master and one (1) copy of the Proposal Volume IV.		
	• Two (2) electronic copies of the entire Proposal (Volumes I, II, IV) on CD or DVD		
	• One (1) printed Master and six (6) copies of the Cost Proposal (Volume III), sealed separately		
	• Two (2) electronic copies of the Cost Proposal (Volume III) on Compact Disc, sealed separately		
	• Both Draft and Final Proposals use Arial 11 point font		
	• Each page of the Proposal includes: • RFP CDE 6110-98 • Label: "Draft Proposal" or "Final Proposal" • Name of Bidder • Proposal Volume number • Proposal Section and Subsection • Requirement Number (For Volume I, Section 5 Response to Business, Functional, and Technical Requirements) • Page number • Date		
2.	Volume I – Response to Requirements Includes:		
	Section 1 – Table of Contents		
	• All Sections, subsections, forms, diagrams, and exhibits are identified by page number		

Format Compliance Checklist

Item #	Item Description	Bidder Compliance	
		Yes	No
	Section 2 – Cover Letter and Final Proposal Certification		
	There is a signed Cover Letter in accordance with Section II.C.5.e Signature of Proposals		
	The Cover Letter is on the Bidder's official business letterhead stationery and contains a statement that substantiates that the person who signs the letter is authorized to bind the Bidder's firm contractually		
	The signature indicates the title or position that the individual holds in the firm		
	The Cover Letter states that the Bidder commits to fulfilling all requirements of the RFP		
	There is no cost information in the Cover letter		
	Final Proposal Certification (see APPENDIX B FORM V.15 FINAL PROPOSAL CERTIFICATION)		
	Section 3 - Executive Summary/Proposal Overview		
	There is no cost information in the Executive Summary/Proposal Overview		
	Section 4 - Administrative Requirements Response		
	Workers' Compensation Certification (see APPENDIX B FORM V.1 WORKERS' COMPENSATION INSURANCE CERTIFICATION) that meets the requirements of APPENDIX A ATTACHMENT 1 – STATEMENT OF WORK		
	Proof of Commercial General Liability Insurance that meets the requirements of APPENDIX A ATTACHMENT 1 – STATEMENT OF WORK		
	Copy of Letter of Bondability with all cost information blacked out or replaced with "XXXX" (see APPENDIX B FORM V.2 LETTER OF BONDABILITY)		
	DVBE – Form STD. 843 (see APPENDIX B FORM V.4 DISABLED VETERAN BUSINESS ENTERPRISE DECLARATIONS FORM)		
	Bidder's Declaration Form – Form GSPD-05-105 (see APPENDIX B FORM V.5 BIDDER DECLARATION FORM)		
	Commercially Useful Function Certification (see APPENDIX B FORM V.6 COMMERCIALLY USEFUL FUNCTION CERTIFICATION)		
	Seller's Permit (see APPENDIX B FORM V.7 SELLER'S PERMIT)		
	Optional Preference Claim Forms		
	TACPA Preference Form – Form STD. 830 (see APPENDIX B FORM V.8 TARGET AREA CONTRACT PREFERENCE ACT (TACPA) FORM)		
	EZA Preference Form – Form STD. 831 (see APPENDIX B FORM V.9 ENTERPRISE ZONE ACT (EZA) FORM)		

Format Compliance Checklist

Item #	Item Description	Bidder Compliance	
		Yes	No
	LAMBRA Preference Form – Form STD. 832 (see APPENDIX B FORM V.10 LOCAL AGENCY MILITARY BASE RECOVERY ACT (LAMBRA) FORM)		
	Bidder's Summary of Contract Activities and Labor Hours - Form DGS/PD 526 (see APPENDIX B FORM V.11 BIDDER'S SUMMARY OF CONTRACT ACTIVITIES AND LABOR HOURS)		
	Manufacturer's Summary (see APPENDIX B FORM V.12 MANUFACTURER'S SUMMARY)		
	Certification Regarding Debarment (see APPENDIX B FORM V.13 CERTIFICATION REGARDING DEBARMENT)		
	Certification Regarding Lobbying (see APPENDIX B FORM V.14 CERTIFICATION REGARDING LOBBYING)		
	Contractor Information Form for the Primary Contractor (see APPENDIX B FORM V.16 CONTRACTOR INFORMATION FORM)		
	Contractor Information Form for all proposed Subcontractors that expect to receive more than ten percent (10%) of the value of the Contract (see APPENDIX B FORM V.16 CONTRACTOR INFORMATION FORM)		
	California Secretary of State Certificate of Status (see APPENDIX B FORM V.17 SECRETARY OF STATE STATUS)		
	Payee Data Record – Form STD. 204 (see APPENDIX B FORM V.18 PAYEE DATA RECORD)		
	Section 5 - Business, Functional, and Technical Requirements Response Includes:		
	Bidder has provided a completed APPENDIX C DETAILED BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS MATRIX		
	Bidder has responded "Yes" to the Requirement to meet ALL Mandatory ("M", "MS", and "MO") Business, Functional, and Technical requirements for RFP CDE 6110-98, as described in Appendix C.0 Bidder/Subcontractor Response to Mandatory Requirements		
	All Subcontractors have responded "Yes" to the Requirement to meet ALL Mandatory ("M", "MS", and "MO") Business, Functional, and Technical requirements for RFP CDE 6110-98, as described in Appendix C.0 Bidder/Subcontractor Response to Mandatory Requirements		
	Bidder's Response to each Requirement begins on a new page		
	Bidder has replicated the requirement heading, number, and text prior to the Proposal response, for each requirement response		
	<u>ALL</u> cost figures are blacked out or replaced with "XXXX"		
	Three (3) Project Reference Forms for Bidder		

Format Compliance Checklist

Item #	Item Description	Bidder Compliance	
		Yes	No
	• Three (3) Project Reference Forms for Project Manager		
	• Three (3) Project Reference Forms for Technical Architect		
	• Project References for any Subcontractor whose experience is used to meet a Business Requirement		
	• Project Team Skills Matrix (see APPENDIX B FORM VI.2 PROJECT TEAM SKILLS MATRIX)		
	• Project Team Tools and Products Experience Matrix (see APPENDIX B FORM VI.3 PRODUCTS AND TOOLS EXPERIENCE MATRIX)		
	• Bidder Experience Form (see APPENDIX B FORM VI.4 BIDDER EXPERIENCE FORM)		
	• One (1) Team Member Experience Form: Project Manager (see APPENDIX B FORM VI.5 TEAM MEMBER EXPERIENCE FORM)		
	• One (1) Team Member Experience Form: Technical Architect (see APPENDIX B FORM VI.5 TEAM MEMBER EXPERIENCE FORM)		
	• One (1) Team Member Experience Form: Quality Assurance Manager (see APPENDIX B FORM VI.5 TEAM MEMBER EXPERIENCE FORM)		
	• One (1) or more Team Member Experience Forms: Systems/Business Analyst (see APPENDIX B FORM VI.5 TEAM MEMBER EXPERIENCE FORM:)		
	• One (1) or more Team Member Experience Forms: Application Developer (see APPENDIX B FORM VI.5 TEAM MEMBER EXPERIENCE FORM)		
	• One (1) or more Team Member Experience Forms: Tester (see APPENDIX B FORM VI.5 TEAM MEMBER EXPERIENCE FORM)		
	• One (1) or more Team Member Experience Forms: Trainer (see APPENDIX B FORM VI.5 TEAM MEMBER EXPERIENCE FORM)		
	• Hardware and Software Proposed (see APPENDIX B FORM VI.6 PROPOSED HARDWARE AND SOFTWARE)		
	• Project Organization Chart		
	• Resume for each proposed Team Member		
3.	Volume II – Completed Contracts Includes:		
	• Complete APPENDIX A1: Model Contract and Attachments Implementation Services		
	• Complete APPENDIX A2: Model Contract and Attachments Maintenance and Support Services		
	• All copies of the Contracts bear the signature of an individual authorized to bind the		

Format Compliance Checklist

Item #	Item Description	Bidder Compliance	
		Yes	No
	firm as specified in Section II.C.5 Submission of Proposals		
	The Final Proposal Master contains an original signature		
	Signed Confidentiality Statement (see EXHIBIT A-6 CONFIDENTIALITY STATEMENT)		
	FORM Standard Agreement (STD. 213) for Contract A.1 System Implementation Services		
	Section 1 - CONTRACTOR'S NAME is filled in		
	STD. 213, Section 2 - The term of this Agreement is <u>NOT</u> filled in		
	STD. 213, Section 3 - The maximum amount of this Agreement is <u>NOT</u> filled in		
	STD. 213, Section 4 - There are no additional attachments		
	STD. 213, CONTRACTOR – All fields are filled in		
	STD. 213, CONTRACTOR – The “BY” field of each copy contains an original signature of an individual authorized to bind the Contractor (Final Proposal only)		
	FORM Standard Agreement (STD. 213) for Contract A.2 Maintenance and Support Services		
	Section 1 - CONTRACTOR'S NAME is filled in		
	STD. 213, Section 2 - The term of this Agreement is <u>NOT</u> filled in		
	STD. 213, Section 3 - The maximum amount of this Agreement is <u>NOT</u> filled in		
	STD. 213, Section 4 - There are no additional attachments		
	STD. 213, CONTRACTOR – All fields are filled in		
	STD. 213, CONTRACTOR – The “BY” field of each copy contains an original signature of an individual authorized to bind the Contractor (Final Proposal only)		
	There are no deviations from terms and conditions previously approved for this RFP		
	<u>ALL</u> cost figures are blacked out or replaced with “XXXX”		
4.	Volume III – Sealed Cost Proposal		
	Cost Proposal is sealed separately from the Proposal		
	Cost Proposal is labeled with		

Format Compliance Checklist

Item #	Item Description	Bidder Compliance	
		Yes	No
	“Cost Proposal”		
	“RFP CDE 6110-98”		
	Name of Bidder		
	Address of Bidder		
	Section 1 – Appendix D: Cost Workbook Includes:		
	Appendix D.1 Cost Workbook Summary (see Figure VII-1 D.1 Cost Workbook Summary)		
	Appendix D.2 Hardware Costs (see Figure VII-2 D.2 Hardware Costs)		
	Appendix D.3 Software Costs (see Figure VII-3 D.3 Software Costs)		
	Appendix D.4 Deliverables – Cost and Payment Schedule (see Figure VII-4 D.4 Deliverables – Cost and Payment Schedule)		
	Appendix D.5 OTech Costs (see Figure VII-5 D. 5 OTech Services Costs)		
	Appendix D.6 Additional Equipment and Software Costs (see)		
	Appendix D.7 Mandatory Optional Requirement Costs (see Figure VII-7 D.7 Mandatory Optional Requirements Costs)		
	Appendix D.8 Ongoing Maintenance and Operations Costs – Contract A1 (see Figure VII-8 D.8 Ongoing Maintenance & Operations Costs by Year)		
	Appendix D.9 Ongoing Maintenance and Operations Costs – Contract A2 (see Figure VII-9 D.9 Ongoing Maintenance & Operations Costs by Year - Contract A2)		
	Appendix D.10 Support Services Rates (see Figure VII-10 D.10 Support Services Rates)		
	Draft Proposal: ALL cost figures on all cost worksheets are blacked out or replaced with “XXXX”		
	Section 2 – All Other Documents With Cost Data Includes:		
	Letter of Bondability (see APPENDIX B FORM V.2 LETTER OF BONDABILITY)		
	Other documents or exhibits with cost data, if applicable		
	Draft Proposal: ALL cost figures on the Letter of Bondability and all other documents or exhibits with cost data are blacked out or replaced with “XXXX”		
5.	Volume IV – Supporting Documentation and Literature:		

Format Compliance Checklist

<i>Item #</i>	<i>Item Description</i>	<i>Bidder Compliance</i>	
		<i>Yes</i>	<i>No</i>
	<u>ALL</u> references to cost figures in the literature are blacked out or replaced with "XXXX"		
6.	Bidder Response to Mandatory Requirements:		
	Bidder has responded "Yes" to the Requirement to meet ALL Mandatory ("M", "MS", and "MO") Business, Functional, and Technical requirements for RFP CDE 6110-98, as described in Appendix C Detailed Business, Functional, and Technical Requirements.		
<i>CDE Evaluation Comments:</i>			

Exhibit IX-2 Bidder Qualifications Checklist

Business Requirements: Bidder Qualifications Checklist – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.1.1: Bidder must complete and provide a copy of Table C.0 Bidder/Subcontractor Response to Mandatory Requirements for the Bidder and for each Subcontractor whose project involvement exceeds ten percent (10%) of the proposed Total Cost. The company name must be identified in the header of the Table.	M	1	• Bidder has provided a completed copy of Table C.0 for the Bidder and for each Subcontractor whose project involvement exceeds 10% of the Total Cost.		N/A	
C.1.2: Bidder's firm must have been in existence for a minimum of five (5) years prior to the due date of the Final Proposal to ensure corporate stability.	M	1	• Bidder has provided a completed copy of Form V.16 Contractor Information Form.		N/A	
	M	1	• Bidder's firm has been in existence for at least 5 years.		N/A	
	DS (10)	2	• Bidder's firm has been in existence 10 years or more.			
C.1.3 Mandatory Requirement Not Evaluated						
C.1.4: Bidder must identify and describe any current, known, or pending lawsuits involving Bidder	M	1	• Bidder has identified and described any current, known, or pending lawsuits		N/A	

Business Requirements: Bidder Qualifications Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
and/or any Subcontractors. Bidder and all Subcontractors must not have any known or pending lawsuits that may inhibit or infringe upon its ability to perform under the Terms and Conditions of this contract, as evaluated by CDE.			involving Bidder and/or any Subcontractors.			
	M	1	Bidder does not appear to have any known or pending lawsuits that may inhibit or infringe upon its ability to perform under the Terms and Conditions of this contract.		N/A	
C.1.5 Mandatory Requirement Not Evaluated						
C.1.6: Bidder must have a minimum of five (5) years of successful experience managing and fully implementing systems development and implementation projects that include at the minimum: - New custom system development projects; - Web-based applications; and - Utilizing SDLC methodology techniques.	M	1	Bidder has submitted a completed Form VI-4.		N/A	
	M	1	Bidder has at least 5 years of indicated experience.		N/A	
	DS (40)	3	Bidder has experience successfully managing systems development and implementation projects to completion that are preferably similar in scope and size to this project.		N/A	
	DS (20)	2	Bidder has at least 10 years of experience successfully managing systems development and			

Business Requirements: Bidder Qualifications Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
system of record.” To comply with this requirement Bidder must provide a completed APPENDIX B Form VI.4: BIDDER EXPERIENCE FORM.			implementation projects to completion.			
	DS (15)	2	• Bidder has successfully managed five (5) or more systems development and implementation projects to completion.			
	DS (10)	2	• Bidder has successfully managed one (1) or more State of California systems development projects to completion.			
	DS (15)	2	• Bidder has successfully managed five (5) or more State of California systems development projects to completion.			
	DS (5)	2	• Bidder has successfully managed a systems project at DTS (now OTech).			
	DS (5)	2	• Bidder has successfully managed one or more systems projects similar in scope and size to this project and implemented at			

Business Requirements: Bidder Qualifications Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
			DTS (now OTech).			
	DS (10)	2	Bidder has successfully managed three or more systems projects similar in scope and size to this project and implemented at DTS (now OTech).			
C.1.7: Bidder should have experience developing and fully implementing web-based systems using the proposed products and tools, as identified on APPENDIX B FORM VI.3 PRODUCTS AND TOOL EXPERIENCE MATRIX. To comply with this requirement Bidder must provide a completed Appendix B FORM VI.3 Products and Tools Experience Form and a completed FORM VI.4 Bidder Experience Form. CDE may validate claimed experience with References or Contacts identified.	M	1	Bidder has submitted a completed Form VI.3.		N/A	
	DS (10)	2	Bidder has successfully implemented proposed products and tools (2 points each significant product up to 10 points).			
	DS (10)	2	Bidder has successfully developed and implemented web-based systems using MS SQL Server 2005, MS Visual Studio 2005 Team Edition, ASP .Net 2.0, MS Windows 2003 and/or Visual Basic 2005 (2 points each			

Business Requirements: Bidder Qualifications Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
			product = 10 points total);			
	DS (15)	2	Bidder has successfully developed and implemented web-based systems using MS SQL Server 2008, MS Visual Studio 2008 Team Edition, ASP .Net 3.5, MS Windows 2008, and/or Visual Basic 2008 (3 points each product = 15 points Total).			
C.1.8: Bidder must have successful experience managing and fully implementing financial and accounting systems projects that include accounts receivable, payment processing, and auditing components. “Successful experience” is defined as “the system is in production and is being utilized by the users as the system of record.” To comply with this requirement Bidder must provide a completed FORM VI.4 Bidder Experience Form.	M	1	Bidder has successfully managed and implemented at least one (1) completed financial and accounting system project.		N/A	
	DS (20)	3	Bidder has successfully managed and implemented at least three (3) completed financial and accounting system projects, preferably in scope and size similar to this project.			
	DS (20)	3	Bidder has successfully managed and implemented at least five (5) completed financial and accounting			

Business Requirements: Bidder Qualifications Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
Bidder must identify the Project number of projects that should be used to evaluate Bidder's experience for this requirement. CDE may validate claimed experience with References or Contacts identified.			system projects, preferably in scope and size similar to this project.			
C.1.9: Bidder must have successful experience fully implementing systems that include a workflow component.	M	1	Bidder has successfully implemented at least one (1) completed system with a workflow component.		N/A	
To comply with this requirement Bidder must provide a completed FORM VI.4 Bidder Experience Form. Bidder must identify the Project number of projects that should be used to evaluate Bidder's experience for this requirement. CDE may validate claimed experience with References or Contacts identified.	DS (20)	3	Bidder has successfully implemented at least three complete systems with a complex workflow component.			
C.1.10: Bidder should have experience with projects that included SCO claims processing.	DS (5)	2	Bidder has successfully implemented one (1) or more projects that included SCO claims processing.			
To comply with this requirement Bidder must provide a completed FORM VI.4 Bidder Experience Form.	DS (5)	2	Bidder has successfully implemented three (3) or more projects that included			

Business Requirements: Bidder Qualifications Checklist – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
Bidder must identify the Project number of projects that should be used to evaluate Bidder's experience for this requirement. CDE may validate claimed experience with References or Contacts identified.			SCO claims processing.			
C.1.11: Bidder should have experience with projects that included EFT.	DS (5)	2	Bidder has successfully implemented one (1) or more projects that included EFT.			
To comply with this requirement Bidder must provide a completed FORM VI.4 Bidder Experience Form. Bidder must identify the Project number of projects that should be used to evaluate Bidder's experience for this requirement. CDE may validate claimed experience with References or Contacts identified.	DS (5)	2	Bidder has successfully implemented three (3) or more projects that included EFT.			
Maximum Total Points Bidder Qualifications	245	Bidder Total Score Bidder Qualifications:				

Exhibit IX-3 Project Team Checklist

Business Requirements: Project Team Checklist						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.2.1: Bidder must identify and describe proposed team roles and responsibilities. The minimum expected team roles are identified in Table VI-1 Project Team Roles and Responsibilities.	M	1	• Bidder has identified team roles and responsibilities as stated in the RFP.		N/A	
	DS (10)	2	• Bidder has provided a comprehensive description of roles and responsibilities that is tailored to the Bidder's solution.			
C.2.2: Bidder must provide an organization chart that identifies the proposed team members who will fulfill the identified project team roles. The organization chart must include the Bidder and State provided resources as per APPENDIX A EXHIBIT A-1 STATE PROVIDED PROJECT RESOURCES to provide the CDE an understanding as to how the Bidder envisions utilizing resources.	M	1	• Bidder has provided an organization chart that includes the Bidder and State provided resources and identifies proposed team members.		N/A	
C.2.3: Bidder must propose a project team with sufficient team members with experience in the skill domains CDE believes to be necessary to successfully implement the Bidder's proposed	M	1	• Bidder has submitted a completed Form VI.2.		N/A	
	M	1	• Bidder has submitted a completed resume for each proposed team		N/A	

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
solution.			member.			
To comply with this requirement Bidder must provide a completed APPENDIX B FORM VI.2 PROJECT TEAM SKILLS MATRIX and a completed resume for each proposed team member that may be used to confirm claimed experience.	M	1	• Each Skill Domain #1-4 has at least one (1) Team Member with one (1) or more years of experience in that Skill Domain.		N/A	
	DS (15)	2	• Each Skill Domain #1-4 has at least one (1) Team Member with three (3) or more years of experience in that Skill Domain.			
	DS (10)	2	• Each Skill Domain #1-4 has at least two (2) Team Members with three (3) or more years of experience in that Skill Domain.			
	DS (5)	2	• Project Team has at least one (1) team member with experience in Skill Domain #5.			
C.2.4: Bidder must propose a project team experienced with implementing the proposed products and tools.	M	1	• Bidder has submitted a completed Form VI.2 (points N/A).		N/A	
To comply with this requirement Bidder must provide a completed APPENDIX B	M	1	• Each proposed product and tool has at least one (1) team member with		N/A	

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
FORM VI.3 PRODUCTS AND TOOLS EXPERIENCE MATRIX, a completed Appendix B FORM VI.5 TEAM MEMBER EXPERIENCE FORM, and a completed resume for each proposed team member that may be used to confirm claimed experience.			deployment experience with that product or tool.			
	DS (20)	2	Some proposed products and tools have at least two (2) team members with deployment experience with that product or tool.			
	DS (20)	2	Each proposed product and tool has at least two (2) team members with deployment experience with that product or tool.			
C.2.5: Bidder must provide, for each proposed Team Member: - A resume that includes relevant education, experience, and qualifications, including dates and that describes Team Member's role in all relevant jobs or projects in sufficient detail for the CDE to confirm the validity of the team member's experience claimed by the Bidder in other Experience requirements; and - A completed Appendix B Form VI.5 Team Member Experience Form that reflects the Team Member's	M	1	- Bidder has provided a resume for each proposed team member. - Bidder has provided a completed Form VI.5 for each team member.		N/A	

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
experience relevant to his or her proposed role. Bidder responses to Experience requirements that cannot be substantiated by the provided resumes will not be awarded points. The State reserves the right to contact any and all of the customers referenced to validate the information provided on the Project Team Member Experience Forms.						
C.2.6: Bidder must propose only one (1) Project Manager, who serves only in that role, has PMP-certification or the equivalent from PMI or an equivalent organization, and is in good standing (has a current Certificate), with a minimum of 10 years managing software development and implementation projects that includes at the minimum, overall experience: • Managing systems development projects; • Performing quality assurance activities; • Managing the implementation of new systems; • Managing financial and accounting	M	1	• Bidder has provided evidence of current Certification with PMI or an equivalent organization.		N/A	
	M	1	• Project Manager has a minimum of 10 years relevant experience.		N/A	
	MS (45)	3	• Project Manager has relevant experience managing financial and accounting systems development and implementation projects, preferably similar in scope and size to this project.			
	MS (25)	3	• Project Manager has experience with systems			

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
systems development and implementation projects; • With projects that include a workflow component; • Managing the implementation of web-based systems; and • Utilizing structured project management and SDLC methodology techniques. Desirable experience includes experience with State of California system development projects, contracts or agreements management, DTS (now OTech), the SCO, and/or EFT. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Project Manager. Bidder must identify the Project number of projects that should be used to evaluate the proposed Project Manager's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts. Bidder must also provide evidence of the proposed			with a workflow component, preferably similar in scope and size to this project.			
	DS (10)	2	• Project Manager has experience managing systems projects implemented at DTS (now OTech).			
	DS (5)	2	• Project Manager has successfully managed at least one (1) project that included SCO claims processing or EFT.			
	DS (5)	2	• Project Manager has successfully managed at least three (3) projects that included SCO claims processing or EFT.			
	DS (10)	2	• Project Manager has successfully managed a systems implementation project involving contracts management.			
	DS (5)	2	• Project Manager has experience with State of California systems			

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
Project Manager's current certification with PMI or an equivalent organization.			development projects.			
	DS (10)	2	• Project Manager has successfully managed one (1) or more State of California systems development projects.			
	DS (15)	2	• Project Manager has successfully managed five (5) or more State of California systems development projects.			
C.2.7: Bidder must propose only one (1) Technical Architect with a minimum of 10 years overall experience designing and implementing technical infrastructures to support application and database implementation. Concurrent with or in addition to the overall experience, the Technical Architect must have a minimum of 5 years of design and/or implementation experience that includes, at the minimum: • Developing Technology Architecture plans; • Architecting financial and accounting systems;	M	1	• Technical Architect has a minimum of ten (10) years of overall relevant experience.		N/A	
	M	1	• Technical Architect has a minimum of five (5) years of the indicated specific design and/or implementation experience.		N/A	
	MS (25)	3	• Technical Architect has successfully architected multiple financial and accounting systems, preferably in scope and			

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
- Architecting systems with a workflow component; - Designing web-based applications; - Participating in the transition and conversion to the new environment; - Implementing proposed hardware components; - Implementing proposed software components; and - Implementing proposed network/internet components. Desirable experience includes experience with State of California system development projects, contracts or agreements management, DTS (now OTech), the SCO, and/or EFT, and use of the Embarcadero modeling tool. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Technical Architect. Bidder must identify the Project number of projects that should be used to evaluate the proposed			size similar to this project.			
	MS (25)	3	Technical Architect has successfully architected multiple systems with a workflow component, preferably in scope and size similar to this project.			
	DS (20)	3	Technical Architect has experience as a Technical Architect for one (1) or more State of California systems implementation projects.			
	DS (15)	2	Technical Architect has experience as a Technical Architect on one (1) or more State of California systems implementation projects at DTS (now OTech).			
	DS (10)	2	Technical Architect has successfully developed and implemented web-based systems using MS SQL Server 2005, MS Visual Studio 2005 Team Edition, ASP .Net 2.0, MS			

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
Technical Architect's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts.			Windows 2003, and/or Visual Basic 2005 (2 points each product = 10 points).			
	DS (20)	2	Technical Architect has successfully developed and implemented web-based systems using MS SQL Server 2008, MS Visual Studio 2008 Team Edition, ASP .Net 3.5, MS Windows 2008, and/or Visual Basic 2008 (4 points each product = 20 points)			
	DS (5)	2	Technical Architect has previous experience using the Embarcadero modeling tool.			
	DS (5)	2	Technical Architect has one or more relevant professional certification(s).			

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.2.8: Bidder must propose only one Quality Assurance Manager with a minimum of 5 years overall quality assurance experience that includes, at the minimum: • Providing necessary definition, development and deployment of a product quality assurance strategy, addressing all phases of product development; • Managing Team Leads, Engineers and Testers to ensure quality practices are followed; • Maintaining product consistency throughout product cycle, to include the design, define and build phases through quality checkpoints and testing; • Developing and managing quality assurance metrics; • Implementing ongoing quality improvement processes; • Managing and responding to Software Quality Assurance issues with related groups such as Development,	M	1	• Quality Assurance Manager has a minimum of five (5) years of relevant Quality Assurance experience.		N/A	
	MS (35)	3	• Quality Assurance Manager has served as the Quality Assurance Manager on at least one (1) systems implementation project, preferably of similar scope and size.			
	DS (10)	2	• Quality Assurance Manager has a minimum of eight (8) years of relevant Quality Assurance experience.			
	DS (10)	2	• Quality Assurance Manager has professional certification as a Project Manager.			

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
Database, Integration, and Customer Support, etc.; - Assuring the viability, functionality and effectiveness of essential system functionality; and - Anticipating release problems and taking corrective action, escalating as needed, to resolve and achieve commitments. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Quality Assurance Manager. Bidder must identify the Project number of projects that should be used to evaluate the proposed Quality Assurance Manager's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts.	DS (25)	3	Quality Assurance Manager has a background of project management experience on systems implementation projects, preferably of similar scope and size to this project.			
C.2.9: Bidder must propose a Systems/Business Analyst with a minimum of 5 years experience: Assessing current systems and processes;	M	1	Systems/Business Analyst has a minimum of 5 years relevant experience.		N/A	

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
- Developing and validating business requirements and business rules; - Developing detailed system design documentation; - Assisting in the design of system components (e.g., modules, screens/forms, reports, etc.); and - Designing web-based applications. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Systems/Business Analyst(s). Bidder must identify the Project number of projects that should be used to evaluate the proposed Systems/Business Analyst's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts.	MS (30)	3	Systems/Business Analyst has systems analysis experience on financial and accounting projects, preferably of similar scope and size to this project.			
	DS (10)	2	Project Team includes more than one Systems/Business Analyst.			
	DS (5)	2	Systems/Business Analyst has successfully designed for web-based systems using MS SQL Server 2005, MS Visual Studio 2005 Team Edition, ASP .Net 2.0, MS Windows 2003, and/or Visual Basic 2005 (1 points each product = 5 points)			
	DS (10)	2	Systems/Business Analyst has successfully developed and implemented web-based systems using MS SQL Server 2008, MS Visual Studio 2008 Team Edition, ASP .Net 3.5, MS			

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
			Windows 2008, and/or Visual Basic 2008 (2 points each product = 10 points)			
C.2.10: Bidder must propose an Application Developer with a minimum of 5 years experience: - Developing application programs and modules in the software language proposed by the Bidder; - Implementing the reporting tool proposed by the Bidder; - Designing and developing standard reports, letters, screens and forms using the products and tools proposed by the Bidder; and - Utilizing the DBMS proposed by the Bidder. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Application Developer(s). Bidder must identify the Project number of projects that should be used to evaluate the proposed Application Developer's experience for	M	1	Application Developer has a minimum of 5 years relevant experience.		N/A	
	MS (20)	3	Application Developer has experience developing financial and accounting systems using the proposed tools.			
	DS (5)	2	Project Team includes more than one qualified Application Developer.			
	DS (10)	2	Application Developer has successfully developed and implemented web-based systems using MS SQL Server 2005, MS Visual Studio 2005 Team Edition, ASP .Net 2.0, MS Windows 2003, Visual Basic 2005 (2 points each product = 10 points)			
	DS (20)	2	Application Developer has successfully developed			

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
each element of this requirement. CDE may validate claimed experience with the resume or project contacts.			and implemented web-based systems using MS SQL Server 2008, MS Visual Studio 2008 Team Edition, ASP .Net 3.5, MS Windows 2008, and/or Visual Basic 2008 (4 points each product = 20 points)			
C.2.11: Bidder must propose Tester(s), who do not serve in the Application Developer role for this project, and who has a minimum of 5 years experience: • Developing test plans; • Developing test cases; • Testing financial and accounting systems; • Performing unit testing (if applicable to Tester's role in project); • Performing systems integration testing (if applicable to Tester's role in project); and • Testing data conversion. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and	M	1	• Tester has a minimum of 5 years relevant experience.		N/A	
	MS (20)	3	• Tester has experience as a Tester on financial and accounting systems implementation projects, preferably similar in scope and size to this project.			
	DS (5)	2	• Tester has experience testing MS Visual Studio Team System 2005.			
	DS (5)	2	• Tester has experience with MS Visual Studio Team System 2008.			
	DS (5)	2	• Tester has experience testing web-based systems.			

Business Requirements: Project Team Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
resume for the proposed Tester(s). Bidder must identify the Project number of projects that should be used to evaluate the proposed Tester's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts.						
C.2.12: Bidder must propose a Trainer with a minimum of 5 years experience: • Developing training curriculum for software training; • Developing training materials for software training; • Conducting training of financial and accounting systems; • Conducting software training classes for groups of ten (10) persons or more; and • Conducting training classes for the proposed software products. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Trainer(s). Bidder must identify the Project number	M	1	• Trainer has a minimum of 5 years relevant experience.		N/A	
	MS (25)	3	• Trainer has experience as a Trainer on financial and accounting systems implementation projects, preferably similar in scope and size to this project.			
	DS (5)	2	• Trainer has experience conducting training for custom systems.			
	DS (5)	2	• Trainer has experience conducting training on web-based systems.			

<i>Business Requirements: Project Team Checklist</i>						
<i>Requirement</i>	<i>Scoring Type (Points)</i>	<i>Scoring Method (1,2,3)</i>	<i>Evaluation Criteria</i>	<i>(For Evaluation Team Use Only)</i>		
				<i>Bidder Score (P,F,S,W)</i>	<i>Points Awarded</i>	<i>Scoring Comments</i>
of projects that should be used to evaluate the proposed Trainer's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts.						
Maximum Total Points Project Team	595	Bidder Total Score Project Team:				

Exhibit IX-4 References Checklist

Business Requirements: References Checklist						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.3.1: Bidder must have successfully completed <u>three</u> (3) IT implementation projects that include custom system development and web-based applications, each valued at a minimum of \$300K, and completed within seven (7) years of the Final Proposal submission date. To comply with this requirement the Bidder must provide a completed APPENDIX B FORM VI.1 PROJECT REFERENCE FORM for each of three (3) relevant Bidder customer references. Each reference must be an individual who was the project's Sponsor, Project Manager, or individual who had oversight responsibilities for Bidder performance on the project. The State reserves the right to contact any and all references to validate the Bidder's response to the RFP. If the Bidder's response cannot be validated by the references provided, the Proposal may be deemed non-	M	1	Bidder has provided three (3) completed Forms VI.1 for projects valued at a minimum of \$300K, and completed within seven years of the Final Proposal submission.		N/A	
	MS (120)	2	Satisfaction index values for up to 3 references (applied against 40 points each reference).	R1: (Sat) x 40		
				R2: (Sat) x 40		
				R3: (Sat) x 40		

Business Requirements: References Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
responsive and be disqualified.						
C.3.2: Project Manager must have successfully managed <u>three</u> (3) completed IT implementation projects that include custom system development and web-based applications, each valued at a minimum of \$300K, and completed within seven (7) years of the Final Proposal submission date. To comply with this requirement the Bidder must provide a completed APPENDIX B FORM VI.1 PROJECT REFERENCE FORM for each of three (3) relevant customer references. Each reference must be an individual who was the project's Sponsor, Project Manager, or individual who had oversight responsibilities for Bidder performance on the project. The State reserves the right to contact any and all references to validate the Bidder's response to the RFP. If the Bidder's response cannot be validated by the references provided, the Proposal may be deemed non-responsive and be disqualified.	M	1	Bidder has provided three (3) completed Forms VI.1 for projects valued at a minimum of \$300K, and completed within seven years of the Final Proposal submission.		N/A	
	MS (120)	2	Satisfaction index values for up to 3 references (applied against 40 points each reference).	R1: (Sat) x 40		
				R2: (Sat) x 40		
				R3: (Sat) x 40		

Business Requirements: References Checklist

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.3.3: Technical Architect must have successfully architected <u>three</u> (3) completed IT implementation projects that include custom system development and web-based applications, each valued at a minimum of \$300K, and completed within seven (7) years of the Final Proposal submission date. To comply with this requirement the Bidder must provide a completed APPENDIX B FORM VI.1 PROJECT REFERENCE FORM for each of three (3) relevant customer references. Each reference must be an individual who was the project’s Sponsor, Project Manager, or individual who had oversight responsibilities for Bidder performance on the project. The State reserves the right to contact any and all references to validate the Bidder’s response to the RFP. If the Bidder’s response cannot be validated by the references provided, the Proposal may be deemed non-responsive and be disqualified.	M	1	• Bidder has provided three (3) completed Forms VI.1 for projects valued at a minimum of \$300K, and completed within seven years of the Final Proposal submission.		N/A	
	MS (120)	2	• Satisfaction index values for up to 3 references (applied against 40 points each reference).	R1: (Sat) x 40		
				R2: (Sat) x 40		
				R3: (Sat) x 40		
Maximum Total Points References	360	Bidder Total Score References:				

Exhibit IX-5 Project Management and Solution Checklist

Business Requirements: Project Management and Solution Checklist – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.4.1: Bidder must propose an all-inclusive solution that is designed to support the vision provided in Section IV Proposed System and satisfy all mandatory business, functional, and technical requirements identified in SECTION VI. Bidder must provide an overview of the proposed solution in sufficient detail to allow the State to assess the Bidder's understanding of the CDE's needs and develop a solution tailored to meet those needs. The proposed solution must provide functionality that fully supports the major processes discussed in Section IV Proposed System .	MS (50)	3	Bidder's solution demonstrates an accurate understanding of the CDE's needs and desired end product.			
	MS (50)	3	The Proposal includes a clear, thorough, and accurate description of the intended functionality that is consistent with the Proposed System in SECTION IV.			
	MS (25)	3	The solution provides functionality that supports the CDE's major business processes.			
	MS (25)	3	The proposed solution is tailored to meet the PARI\$ requirements.			
	DS (40)	3	The description of the solution is straightforward, describing a solution that is efficient, easily understood,			

Business Requirements: Project Management and Solution Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
			and reasonable to implement.			
C.4.2: Bidder must provide a list and description of proposed deliverables that includes, at a minimum, the deliverables as identified and described in Table VI-2 Required Project Deliverables.	M	1	• Bidder has proposed and described the required deliverables.		N/A	
	DS (30)	3	• The proposed deliverables are tailored to the proposed solution and needs of the CDE.			
	DS (30)	3	• Deliverables are well-described and thorough in content.			
	DS (25)	3	• The proposed solution includes a well-described approach to producing deliverables.			
C.4.3: Bidder must describe the proposed approach to effectively managing the project. Bidder must provide an outline of the proposed Project Management Plan as described in Table VI-2 Required Project Deliverables.	M	1	• Bidder has proposed and described its project management methodology and included an outline of the proposed Project Management Plan.		N/A	
	M	1	• Bidder's proposed project management methodology		N/A	

Business Requirements: Project Management and Solution Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
			is recognized as PMI, IEEE, or comparable industry standard.			
	DS (25)	3	• Bidder has provided a thorough and well-described approach to project management.			
	DS (20)	3	• Bidder has provided a thorough and well-described outline for a Project Management Plan.			
	DS (15)	3	• The proposed project management methodology is logical, straightforward, and easily understood.			
	DS (20)	3	• The proposed project management methodology is tailored to the CDE PARI\$ project.			
	DS (20)	3	• The proposed Project Management Plan is tailored for use with the proposed solution.			
C.4.4: Bidder must describe the proposed approach to System Security	M	1	• Bidder has proposed and described its approach to		N/A	

Business Requirements: Project Management and Solution Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
and must provide an outline of the proposed System Security Management Plan as described in Table VI-2 Required Project Deliverables.			System Security and included an outline of the proposed System Security Management Plan..			
	DS (25)	3	• Bidder has provided a detailed, logical, thorough, and easily understood description of its approach to system security.			
	DS (25)	3	• Proposal includes a thorough and well-described outline for a System Security Management Plan.			
C.4.5: Bidder must describe the proposed approach to Project Implementation and must provide an outline of the proposed Project Implementation Plan as described in Table VI-2 Required Project Deliverables.	M	1	• Bidder has proposed and described its approach to Project Implementation and provided an outline of the proposed Project Implementation Plan.		N/A	
	DS (25)	3	• Bidder has provided a detailed, logical, and easily understood description of its approach to project implementation.			

Business Requirements: Project Management and Solution Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
	DS (25)	3	• Bidder has provided a thorough and well-described outline for a Project Implementation Plan.			
	DS (25)	3	• The proposed Project Implementation Plan is reasonable to meet the needs of the project.			
	DS (25)	3	• The proposed Project Implementation Plan is tailored for use with the proposed solution.			
C.4.6: Bidder must provide a Draft Work Plan with Project Schedule that meets the requirements of this RFP and the dates identified in Section I.G KEY ACTION DATES and includes, at a minimum, all project phases, stages, tasks, subtasks, respective start and end dates and duration, dependencies, resource allocations, deliverables, and key milestones, including procurement, receipt, and installation dates for hardware, software, and network as applicable.	M	1	• Bidder has provided a Draft Work Plan and Project Schedule that include all required elements.		N/A	
	MS (25)	3	• The Draft Work Plan is tailored to the proposed solution.			
	DS (25)	3	• The Draft Work Plan is thorough and well-described.			
	DS (25)	3	• The proposed Project			

<i>Business Requirements: Project Management and Solution Checklist – Evaluated Requirements ONLY</i>						
<i>Requirement</i>	<i>Scoring Type (Points)</i>	<i>Scoring Method (1,2,3)</i>	<i>Evaluation Criteria</i>	<i>(For Evaluation Team Use Only)</i>		
				<i>Bidder Score (P,F,S,W)</i>	<i>Points Awarded</i>	<i>Scoring Comments</i>
			Schedule supports the conceptual implementation schedule, appears reasonable for the proposed solution, and is easy to follow.			
C.4.7 – C.4.8 Mandatory Requirements Not Evaluated						
Maximum Total Points Project Management and Solution	600	Bidder Total Score Project Management and Solution:				

Exhibit IX-6 Other Checklist

Business Requirements: Other – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.5.1: Bidder must describe the comprehensive Tracking System that it proposes for tracking at least the following items, through all stages of the Project: • Identification of the defect and tracking number; • Narrative description of the defect; • The date the defect is identified; • Who identified the defect; and • Defect disposition for at least the following metrics: • Open Defects by severity; • Open Defects by code module or functionality component; • Open Defect density (Defects per lines of code) over time; and • Requirement changes (pending, approved, rejected).	M	1	• Bidder proposes a Tracking System with the indicated features.		N/A	
	DS (30)	3	• Bidder proposes a well-described Tracking system that is comprehensive and tailored to the CDE PARI\$ needs and proposed solution.			
C.5.2: Bidder must describe its proposed system design and development methodology in sufficient detail for the	M	1	• Bidder has proposed and described a system design and development		N/A	

Business Requirements: Other – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
State to assess the Bidder's knowledge of, and intended approach to system design and development. At a minimum the Bidder's response must: - Describe a structured, documented, and proven approach that is generally accepted as an industry standard; - Address working with key PARI\$ stakeholders within CDE and OTech; - Address developing detailed functional and technical requirements through the use of Joint Application Development sessions or other requirements gathering approach that is considered an industry standard; - Include tasks to perform a detailed system design, including an in-depth analysis of validation and business rules; and - Include tasks to conduct a detailed report analysis to validate the contents of reports and the optimal way to generate the report with the greatest level of flexibility using various data points and report generation parameters.			methodology that includes all the required elements.			
	DS (30)	3	Bidder's description of its proposed system design and development methodology is thorough and well-described.			
	DS (15)	3	Bidder's system design and development methodology are tailored to the CDE PARI\$ needs.			
	DS (15)	3	Bidder's system design and development methodology are tailored to the proposed solution.			
C.5.3: Bidder must provide an outline of	M	1	Bidder has provided an		N/A	

Business Requirements: Other – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
its proposed Requirements Management Plan as defined in Table VI-2 Required Project Deliverables.			outline of its proposed Requirements Management Plan.			
	DS (20)	3	• Bidder's description of its proposed Requirements Management Plan is thorough and well-described.			
C.5.4: Bidder must provide an outline of its proposed Detailed System Design Document as defined in Table VI-2 Required Project Deliverables.	M	1	• Bidder has provided an outline of its proposed Detailed System Design Document.		N/A	
	DS (20)	3	• Bidder's description of its proposed Detailed System Design Document is thorough and well-described.			
C.5.5: Bidder must provide an outline of its proposed System Development Plan as defined in Table VI-2 Required Project Deliverables, in sufficient detail for the State to assess the Bidder's knowledge of the SDLC and its approach to systems development.	M	1	• Bidder has provided an outline of its proposed System Development Plan.		N/A	
	DS (20)	3	• Bidder's description of its proposed System Development Plan is thorough and well-described.			

Business Requirements: Other – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.5.6: Bidder must provide a description of its approach toward Data Conversion and an outline of its proposed Transition and Conversion Plan as described in Table VI-2 Required Project Deliverables, in sufficient detail for the State to assess the Bidder's knowledge of and intended approach to Data Conversion. Bidder's response must include, at a minimum, descriptions of the following deliverables, as described in Table VI-2 Required Project Deliverables: • Data Mapping Document; • Data Conversion Software; • Data Conversion Results Report; and • A Cutover Checklist.	M	1	• Bidder has described its approach to Data Conversion and provided an outline of its proposed Transition and Conversion Plan and descriptions of the required deliverables.		N/A	
	DS (10)	3	• Bidder's approach to Data Conversion is thorough and well-described.			
	DS (20)	3	• Bidder's outline of its proposed Transition and Conversion Plan are thorough and well-described.			
	DS (20)	3	• Bidder's description of the required deliverables is thorough and well-described.			
C.5.7: Bidder must propose a comprehensive testing strategy to meet and support all of the Functional Requirements identified in APPENDIX C.6 – C.20 and must provide an outline of its System Test Plan, as defined and described in Table VI-2 Required Project	M	1	• Bidder has provided a description of its comprehensive test strategy and an outline of its System Test Plan.		N/A	
	MS (10)	2	• Bidder's strategy supports all of the Functional			

Business Requirements: Other – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
Deliverables. Bidder's response must address at a minimum, the System and Integration Test Environment and Detailed System and Integration Test Plans and Results, as described in Table VI-2 Required Project Deliverables.			Requirements.			
	DS (20)	3	Bidder's comprehensive testing strategy is well-described and thorough.			
	DS (20)	3	Bidder's outline of its proposed System Test Plan is thorough and well-described.			
C.5.8: Bidder must describe its approach to Training and provide an outline of its proposed Training Plan, as described in Table VI-2 Required Project Deliverables. Bidder's response must address at a minimum, training methods, materials, aids, and participants, as described in Table VI-2 Required Project Deliverables.	M	1	Bidder has described its approach to Training and provided an outline of its proposed Training Plan.		N/A	
	DS (20)	3	Bidder has provided a clear description of its approach to training that is thorough and well-described.			
	DS (15)	3	Bidder's training methods, materials, and aids are comprehensive.			
	DS (15)	3	Bidder's proposed Training Plan is thorough and well-described.			
C.5.9: Bidder must describe its proposed	M	1	Bidder has provided a		N/A	

Business Requirements: Other – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
Functional End-User Training for up to 100 CDE staff members, and must address, at a minimum: • All PARI\$ modules and functions; • Use of tools; • Multiple training techniques (e.g., formal classes, online tutorial, written tutorial); • Methods of ensuring CDE ability to conduct ongoing training; and • Training aids or materials, including, at a minimum, a User Manual and Operations Manual, as described in Table VI-2 Required Project Deliverables.			description of its proposed Functional End-User Training and included all required elements.			
	DS (15)	3	• End user training is well-described and comprehensive and includes multiple techniques.			
	DS (15)	3	• Bidder has described training aids and materials, including a User Manual and Operations Manual that is thorough and well-described.			
C.5.10: Bidder must describe its proposed Technical Training for up to 10 State staff, which must include, at a minimum: • PARI\$ System Architecture Training; • PARI\$ System Maintenance and Operations Training; and • PARI\$ System Administration Training.	M	1	• Bidder has provided a description of its proposed Technical Training.		N/A	
	DS (10)	3	• Bidder's description of System Architecture Training is thorough and well-described.			
	DS (10)	3	• Bidder's description of System Maintenance and Operations Training is thorough and well-			

Business Requirements: Other – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
			described.			
	DS (10)	3	• Bidder's description of System Administration Training is thorough and well-described.			
	DS (5)	2	• Bidder offers Technical Training in addition to the minimum required.			
C.5.11: Bidder must describe its proposed approach to User Acceptance Testing. Bidder's response must include at a minimum, an outline of its proposed Detailed User Acceptance Test Plan and overview of its proposed User Acceptance Testing Results deliverable, as described in Table VI-2 Required Project Deliverables.	M	1	• Bidder has described its approach to User Acceptance Testing and provided an outline of its proposed Detailed User Acceptance Test Plan and an overview of its proposed User Acceptance Testing Results deliverable.		N/A	
	DS (20)	3	• Bidder has described a detailed and comprehensive approach to User Acceptance Testing.			
	DS (20)	3	• Bidder has provided a thorough and well-described outline of its proposed Detailed User			

Business Requirements: Other – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
			Acceptance Test Plan.			
	DS (10)	3	Bidder has provided a thorough and well-described outline of its proposed User Acceptance Testing Results deliverable.			
C.5.12: Bidder must propose and describe a structured implementation approach for the PARI\$ solution consistent with the Bidder's proposed Project Implementation Plan, and with the following goals in mind: - Reduce project risk; - Minimize operational disruption; and - Provide for the successful implementation of PARI\$. Bidder's response must address, at a minimum, Environment Readiness, as described in Table VI-2 Required Project Deliverables, and proposed system documentation, to include, at a minimum, Systems Maintenance/Operations, Administration, Help Desk, and Architecture Manuals, as defined in Table VI-2 Required Project	M	1	Bidder has proposed and described a structured implementation approach for the PARI\$ solution.		N/A	
	DS (20)	3	Bidder's implementation approach is comprehensive and well-described.			
	DS (10)	2	Bidder's approach addresses project risks and risk mitigation.			
	DS (25)	3	Bidder has proposed thorough and well-described, system documentation that is tailored to the Bidder's solution.			

Business Requirements: Other – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
Deliverables.						
C.5.13: Bidder must describe the implementation phases, proposed schedule, impacted stakeholders (e.g., CDE, OTech), and system functionality at each implementation phase.	M	1	• Bidder has described the implementation phases, proposed schedule, impacted stakeholders and system functionality at each implementation phase.		N/A	
	DS (20)	3	• Bidder has provided a comprehensive and well-defined description of each implementation phase.			
	DS (20)	3	• Proposed phases and schedule are tailored to the proposed solution and needs of CDE.			
C.5.14: Bidder must describe the approach to providing Help Desk support to CDE through the maintenance period. The approach must address, at a minimum: • Description of the Help Desk services; • Overview of the Help Desk Manual as defined in Table VI-2 Required Project Deliverables;	M	1	• Bidder has described its approach to providing Help Desk support to CDE through the maintenance period.		N/A	
	DS (15)	3	• Bidder has provided a comprehensive and well-described approach to Help Desk support.			

Business Requirements: Other – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
• Problem initiation, escalation, and resolution procedures; • Methods and service hours for contacting the Contractor with problems; and • • • Roles and responsibilities of OTech, the CDE, and the Contractor.	DS (15)	3	• Bidder has provided a comprehensive and well-described overview of the proposed Help Desk Manual.			
C.5.15: Bidder must describe its proposed approach to system acceptance and project closeout. At a minimum, the description must include a proposed Project Closeout Action List, as defined in Table VI-2 Required Project Deliverables.	M	1	• Bidder has described its approach to system acceptance and project closeout, including a Project Closeout Action List.		N/A	
	DS (15)	3	• Bidder has proposed a comprehensive and well-described approach to system acceptance.			
	DS (15)	3	• Bidder has proposed a comprehensive and well-described approach to project closeout.			
C.5.16: Bidder must provide an outline for its proposed System Maintenance Plan, as described in Table VI-2	M	1	• Bidder has provided an outline for its proposed System Maintenance Plan.		N/A	

<i>Business Requirements: Other – Evaluated Requirements ONLY</i>						
<i>Requirement</i>	<i>Scoring Type (Points)</i>	<i>Scoring Method (1,2,3)</i>	<i>Evaluation Criteria</i>	<i>(For Evaluation Team Use Only)</i>		
				<i>Bidder Score (P,F,S,W)</i>	<i>Points Awarded</i>	<i>Scoring Comments</i>
Required Project Deliverables.	DS (30)	3	Bidder's proposed System Maintenance Plan is comprehensive and well-described.			
C.5.17 – C.5.18 Mandatory Requirements Not Evaluated						
Maximum Total Points Other:	600	Bidder Total Score Other:				

Exhibit IX-7 Functional Requirements Checklist

<i>Business Requirements: Functional Requirements Checklist – Evaluated Requirements ONLY</i>						
<i>Requirement</i>	<i>Scoring Type (Points)</i>	<i>Scoring Method (1,2,3)</i>	<i>Evaluation Criteria</i>	<i>(For Evaluation Team Use Only)</i>		
				<i>Bidder Score (P,F,S,W)</i>	<i>Points Awarded</i>	<i>Scoring Comments</i>
C.6.1: Bidder must provide an overall description of its proposed solution with regard to delivering the proposed system as described in SECTION IV PROPOSED SYSTEM and with regard to meeting the functional requirements of this RFP as described in Appendix C.6 through Appendix C.20. Bidder must describe its solution in sufficient detail for the CDE to evaluate Bidder's understanding of the desired system, its features, and functionality. At a minimum, the Bidder's description of its proposed functional solution must address the following: • Functionality Related to the PARI\$ Business Functions, as described in SECTION III CURRENT SYSTEM; • Description of the Proposed PARI\$ System Application; • Workflow; • Software Features and Capabilities; • Reporting; - Online Access by Outside Entities.	MS (20)	3	Bidder has provided an overall description of its proposed solution and proposed PARI\$ application that demonstrates Bidder's accurate understanding of CDE's needs and the desired end product.			
	MS (10)	3	• System includes a comprehensive workflow component.			
	MS (10)	3	• Proposed solution incorporates online access by outside entities.			
	DS (10)	3	• Bidder has proposed software features and capabilities that are well-described and robust.			
	DS (10)	3	• Bidder has described a comprehensive reporting component.			
C.6.2 Mandatory Requirement Not Evaluated						

Business Requirements: Functional Requirements Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.6.3: The system must include user-friendly “Help” features that allows the user to search for help by entering one or more keywords whereby the system displays a list of help topics that match the search criteria, from which the user may select the topic desired or by viewing and selecting from an index of help topics. The system must also include mouse-over capability. Desirable characteristics of this feature include that the system will automatically display help text, descriptions associated with reference codes, and/or relevant function/feature definitions when the cursor moves over a field. The ability to toggle this feature on or off at the user level is also desirable.	M	1	System provides a “Help” feature as described.		N/A	
	M	1	System provides a mouse-over capability.		N/A	
	DS (15)	2	System’s “Help” feature is comprehensive and intuitive.			
	DS (10)	2	System’s mouse-over capability is comprehensive and intuitive.			
	DS (5)	2	System mouse-over capability may be toggled on or off at the user level.			
C.6.4: The system must provide a user-friendly interface that consists of point and click functionality, an easy-to-navigate menu structure with pull down menu options, pick lists, and on-line window and field help, with visually distinguished optional and required fields.	MS (20)	3	System provides a user-friendly interface.			
C.6.5 – C.8.7 Mandatory Requirements Not Evaluated						

Business Requirements: Functional Requirements Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.9.1: The system must provide the ability to display agency-specific notifications upon login (e.g., list of reports that are due or delinquent, agreement(s), amendments(s) and/or revisions outstanding).	M	1	The proposed solution provides the ability to display agency-specific notifications upon login.		N/A	
	DS (20)	3	The system's ability to display notifications is comprehensive, flexible, easy to use, and well-described by the Bidder.			
C.9.2 – C.10.19 Mandatory Requirements Not Evaluated						
C.11.1: The system must provide the ability to define and apply a multi-step workflow for the process of creating, processing, and executing an agreement, amendment, or revision that, at a minimum: - Requires review and/or approval at each step before proceeding to the next; - Provides a mechanism at each step for rejecting or approving the work in process and returning it with comments to a previous step for revision and re-submission or forwarding it to the next step in the workflow; and	M	1	The proposed solution includes a workflow component as described.		N/A	
	DS (20)	3	The system's workflow component is comprehensive, straightforward, flexible in its capabilities, efficient, and well-described by the Bidder			
	DS (15)	2	The proposed workflow component is configurable to define new steps to existing workflows or create new workflows.			

Business Requirements: Functional Requirements Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
Provides the ability for the user to record results, actions taken, Agency responses, relevant dates, and triggers tied to deadlines during each step, using a combination of user-defined responses in a drop-down menu and free-form comments.	DS (10)	2	Separate and independent workflows can be developed for different functional areas.			
	DS (10)	2	The proposed workflow component is flexible and does not limit the number of workflow steps or triggers.			
	DS (10)	2	The proposed workflow component maintains a complete history of all workflow activity.			
C.11.2 – C.11.8 Mandatory Requirements Not Evaluated						
C.11.9: The system must provide the ability to create and update agreements either individually or as a group through an automated process in accordance with established CDE business rules.	M	1	System has the ability to update agreements individually.		N/A	
	DS (15)	2	System has the ability to update agreements as a group through an automated process that allows flexible selection criteria to determine the group to be updated.			
C.11.10 – C.11.11 Mandatory Requirements Not Evaluated						

Business Requirements: Functional Requirements Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.11.12: The system must provide the ability to create amendments and revisions to existing agreements, preferably as a group through an automated process (e.g., COLA amendments).	M	1	System has the ability to create individual amendments and revisions.		N/A	
	DS (15)	2	System has the ability to create amendments and revisions as a group through an automated process.			
	DS (10)	2	System's automated group process is simple, straightforward, and flexible			
C.11.13 – C.11.22 Mandatory Requirements Not Evaluated						
C.11.23: The system must include an automated means to track the flow of hard copy Face Sheets through up to 10 workflow steps (e.g., bar coding).	M	1	The proposed solution includes automated means to track hard copy documents through 10 workflow steps.		N/A	
	DS (10)	2	The system's ability to track hard copy documents is straightforward, flexible, and well-described by the Bidder.			
	DS (10)	2	Proposed solution includes bar coding or something			

Business Requirements: Functional Requirements Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
			similar.			
C.11.24: The system must integrate standard word processing capabilities when viewing, creating, or updating agreement language (e.g., select font, font size, bold, italic, underline, highlight, indent, bullet, spell check, track changes) from a standard CDE workstation with no dependencies (e.g., word processing products do not need to be installed on the workstation).	M	1	• The system integrates standard word processing capabilities as described.		N/A	
	M	1	• Word processing capabilities are internal to the system.		N/A	
	DS (15)	2	• System word processor integrates with most recent version of MS Word			
	DS (15)	2	• System word processor integrates with multiple versions of MS Word.			
C.11.25 – C.14.11 Mandatory Requirements Not Evaluated						
C.14.12: The system must provide a means to add or remove payment withhold flags to/from an agency or a group of agreements based on user-selected criteria (e.g., all agreements for an agency, agreement list uploaded from a payment withholding request file).	M	1	• Proposed solution offers a manual means to add or remove a group of payment withhold flags as described.		N/A	
	DS (15)	2	• Proposed solution offers an automated means to add or remove a group of payment withhold flags.			
	DS (10)	2	• Proposed solution offers an automated means to			

Business Requirements: Functional Requirements Checklist – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
			add or remove a group of payment withhold flags using flexible selection criteria.			
	DS (10)	2	Proposed solution offers a simple automated means to add or remove a group of payment withhold flags that entails only one or two user steps.			
C.14.13 – C.20.6 Mandatory Requirements Not Evaluated						
Maximum Total Points Functional Requirements:	320	Bidder Total Score Functional Requirements:				

Exhibit IX-8 Technical Requirements Checklist

Business Requirements: Technical Requirements Checklist – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
C.21.1: Bidder must provide an overall description of its proposed technical solution with regard to delivering the proposed system as described in SECTION IV and with regard to meeting the technical requirements of this RFP as described in APPENDIX C.21 - C.30. Bidder must describe its solution in sufficient detail for the CDE to evaluate Bidder's understanding of the desired system, its features, functionality, and challenges. At a minimum the technical solution description must address: • Architecture and Configuration; • Hardware and Equipment; • Software Products and Tools; • Database; • Networking; • Archiving; • Management and Documentation of Data;	MS (35)	3	• Bidder has provided a comprehensive description of its proposed technical solution that is consistent with the vision described in SECTION IV.			
	MS (15)	3	• Bidder has proposed well-described and robust architecture, configuration, hardware, and equipment.			
	MS (15)	3	• Bidder has proposed well-described and comprehensive software products and tools, including the database, networking and archiving.			
	MS (15)	3	• Bidder has addressed system performance, error processing, and monitoring and auditing.			
	MS (5)	3	• Bidder has provided a description of its approach to working with OTech.			
	MS (15)	3	• Bidder has provided a			

Business Requirements: Technical Requirements Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
• Error Processing; • Monitoring/Auditing; • Performance; • Security/Privacy; and • Working with OTech.			well-described approach to security and privacy, and the management and documentation of data.			
C.21.2: Bidder must propose the specific hardware and software components that comprise its solution and confirm that all necessary products and tools are included in the proposed solution or identified as additional products or tools required by the CDE to support the proposed solution but which are not part of the proposed solution.. To comply with this requirement Bidder must complete and submit with its Final Proposal APPENDIX B FORM VI.6 PROPOSED HARDWARE AND SOFTWARE.	M	1	• Bidder has provided a completed FORM VI.6.		N/A	
	M	1	• Bidder has proposed products that are consistent with the architectural vision described in SECTION IV.		N/A	
	M	1	• Bidder has proposed products and tools necessary for all environments.		N/A	
	M	1	• Bidder has confirmed that all necessary products and tools are included in the proposed solution or identified any additional products or tools required by the CDE to support the proposed solution but which are not part of the proposed solution.		N/A	

Business Requirements: Technical Requirements Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
	MS (20)	3	• Proposed products and tools are robust and appear to be appropriate and of sufficient size and quantity to support the proposed solution.			
	MS (20)	3	• Proposed products and tools are tailored to meet the needs of CDE as described in the Technical Requirements and the Architectural vision described in SECTION IV.			
C.21.3 – C.23.1 Mandatory Requirements Not Evaluated						
C.23.2: The system must provide flexibility in the system design to accommodate additional data elements (e.g., expanding fields, adding fields, etc) or tables (new information that must be validated or tracked) to reflect changing business needs, statutory, regulatory, and reporting requirements.	M	1	• Proposed solution includes a flexible design as described.		N/A	
	DS (10)	2	• Bidder has provided a thorough description of the proposed system's flexibility that demonstrates how a variety of new data may be captured, tracked, and integrated.			
C.23.3: The system must be designed	MS (15)	3	• Bidder has provided a			

Business Requirements: Technical Requirements Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
such that changes resulting from legislation can be implemented with a minimum of effort (e.g., consolidation of multiple programs into a single program, changing the adjustment factors for different groups of children served, or changes to administrative and support percentages).			description of the proposed system flexibility that demonstrates its ability to accommodate changes with a minimum of effort.			
C.23.4 – C.24.1 Mandatory Requirements Not Evaluated						
C.24.2: The system must provide the ability for users to identify trigger conditions and responses to them, and have the system automatically execute the response when the trigger condition occurs (e.g., when an agreement is placed on or removed from hold, an email is automatically sent to the Contract analyst, the fiscal analyst, and the CDD consultant; or if the Agency does not submit justification for their current MRA by the indicated deadline, the system will submit electronic notification to the fiscal analyst and generate a Reduced MRA letter to the Agency).	M	1	• Proposed solution includes the trigger functionality as described.		N/A	
	DS (20)	3	• Bidder has provided a clear and thorough description of the proposed system's ability to allow the user to define trigger events and trigger actions.			
	DS (10)	3	• The proposed system's approach to user-defined triggers is flexible and easy for users to configure.			
C.25.1 – C.27.4 Mandatory Requirements Not Evaluated						
C.28.1: The system must provide the	M	1	• The system has the ability		N/A	

Business Requirements: Technical Requirements Checklist – Evaluated Requirements ONLY

Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
ability to validate data type and format, and validate data values according to defined edit rules, at point of entry or prior to importing data into the PARI\$ operational data store.			to validate data at the point of entry or prior to importation.			
	DS (10)	2	Bidder has provided a description of the proposed solution's ability to validate data that demonstrates flexibility and ease of data validation.			
	DS (15)	2	The proposed solution includes user configurable edits at the point of entry.			
C.28.2: The system must include an error messaging architecture that for all application and system errors: - Redirects to a user-friendly Web page when an error occurs; - Generates clear and concise numbered error messages with next steps for correction; - Prevents an error page from displaying any information that can be used to compromise the application or data; - Allows the user to return to the application logon page or continue	M	1	The proposed system includes an error messaging architecture as described.		N/A	
	DS (30)	3	Bidder has provided a detailed description of the error messaging architecture that demonstrates its comprehensiveness and ease of use,			

Business Requirements: Technical Requirements Checklist – Evaluated Requirements ONLY						
Requirement	Scoring Type (Points)	Scoring Method (1,2,3)	Evaluation Criteria	(For Evaluation Team Use Only)		
				Bidder Score (P,F,S,W)	Points Awarded	Scoring Comments
processing for minor errors; - Provides for different error categories and severity levels; and - Handles all errors without displaying source code.						
C.28.3 – C.31.22 Mandatory Requirements Not Evaluated						
C.31.23: The system must provide authentication, authorization, and access control at user and user group levels.	M	1	The system provides authentication, authorization, and access control at user and user group levels.		N/A	
	DS (15)	3	Bidder has described the system security in sufficient detail to demonstrate flexibility and comprehensiveness in terms of security levels.			
	DS (15)	3	The proposed solution shows the relationship between the security model and workflow.			
Maximum Total Points Technical Requirements:	280	Bidder Total Score Technical Requirements:				

Section X Demonstration

A demonstration is not applicable to this procurement.

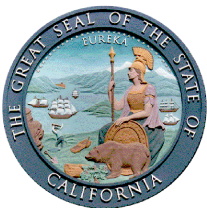
Provider Accounting and Reporting Information System (PARI\$)

Appendices

Original Release Date May 13, 2010

RFP CDE 6110-98

Final Release Version 1.0



STATE OF CALIFORNIA
DEPARTMENT OF EDUCATION
1430 N Street
Sacramento, California 95814
*Jack O'Connell, State Superintendent of
Public Instruction*

This page intentionally left blank.

TABLE OF CONTENTS

A. General Information.....	A-1
B. Preparation of Contracts (Appendix A.1 and A.2)	A-1
C. Statement of Work (SOW)	A-1
Appendix A.1 Model Contract and Attachments System Implementation (Products & Services)	A-3
Standard Agreement	A-3
Attachment 1 – Statement of Work: System Implementation (Products & Services)	A-7
Section A – Introduction.....	A-7
Section B - Contract Scope	A-7
Section C – Contract Term.....	A-7
Section D – State Responsibilities.....	A-7
Section E - Project Environment	A-10
Section F - Contractor Responsibilities.....	A-11
Section G - Project Deliverables	A-17
Section H – Unanticipated Tasks.....	A-19
Section I – Payment for Services	A-19
Section J – Project Schedule	A-20
Section K – Points of Contact.....	A-20
Section L – Change of Contractors	A-20
Confidentiality Statement.....	A-27
Attachment 2 - General Provisions	A-29
Attachment 3 - Information Technology – Purchase Special Provisions.....	A-29
Attachment 4 - Information Technology – Software Special Provisions	A-29
Attachment 5 – Costs	A-29
Attachment 6 – Other Special Provisions	A-30
Federally Funded Project Special Provisions.....	A-30
Appendix A.2 Model Contract and Attachments Maintenance & Support Services	A-31
Standard Agreement	A-31
Attachment 1 – Statement of Work: Maintenance and Support Services.....	A-35
Section A – Introduction.....	A-35
Section B – Contract Term	A-35
Section C – Contractor Responsibilities	A-35
Section D – State Responsibilities.....	A-37
Section E – Unanticipated Tasks	A-38
Section F – Payment for Services	A-38
Attachment 2 - General Provisions	A-39
Attachment 3 - Information Technology – Maintenance Special Provisions	A-39
Attachment 4 - Information Technology – Software Special Provisions	A-40
Attachment 5 - Information Technology – Personal Services Special Provisions	A-40
Attachment 6 – Costs	A-40
Attachment 7 – System Maintenance and Operations Plan	A-40
Appendix B Bidder Response Forms	B-1
FORM I.1 Letter of Intent to Submit a Proposal	B-3
FORM V.1 Workers' Compensation Insurance Certification	B-5
FORM V.2 Letter of Bondability.....	B-7
FORM V.3 Performance Bond Form	B-9
FORM V.4 Disabled Veteran Business Enterprise (DVBE) Declarations.....	B-11
FORM V.5 Bidder Declaration Form (M).....	B-13

FORM V.6 Commercially Useful Function Certification	B-15
FORM V.7 Seller's Permit	B-17
FORM V.8 Target Area Contract Preference Act (TACPA) Form.....	B-19
FORM V.9 Enterprise Zone Act (EZA) Form	B-21
FORM V.10 Local Agency Military Base Recovery Act (LAMBRA) Form.....	B-23
FORM V.11 Bidder's Summary of Contract Activities and Labor Hours.....	B-25
FORM V.12 Manufacturer's Summary	B-27
FORM V.13 Certification Regarding Debarment.....	B-29
FORM V.14 Certification Regarding Lobbying.....	B-33
FORM V.15 Final Proposal Certification	B-35
FORM V.16 Contractor Information Form.....	B-37
FORM V.17 Secretary of State Status.....	B-39
FORM V.18 Payee Data Record.....	B-41
FORM VI.1 Project Reference Form.....	B-43
FORM VI.2 Project Team Skills Matrix	B-47
FORM VI.3 Products and Tools Experience Matrix	B-51
FORM VI.4 Bidder Experience Form	B-55
FORM VI.5 Team Member Experience Form.....	B-59
FORM VI.6 Proposed Hardware and Software	B-63
Appendix C Detailed Business, Functional, and Technical Requirements.....	C-1
C.0 Bidder/Subcontractor Response to Mandatory Requirements	C-5
C.1 Business Requirements: Bidder Qualifications	C-6
C.2 Business Requirements: Project Team	C-9
C.3 Business Requirements: References.....	C-16
C.4 Business Requirements: Project Management and Solution	C-18
C.5 Business Requirements: Other.....	C-20
C.6 Functional Requirements: General	C-25
C.7 Functional Requirements: Historical Tracking	C-28
C.8 Functional Requirements: Integration.....	C-30
C.9 Functional Requirements: Communication.....	C-32
C.10 Functional Requirements: Agency.....	C-35
C.11 Functional Requirements: Agreement.....	C-38
C.12 Functional Requirements: Accounts Receivable.....	C-50
C.13 Functional Requirements: Fiscal and Attendance Reporting.....	C-52
C.14 Functional Requirements: Pay Run	C-56
C.15 Functional Requirements: Audit	C-62
C.16 Functional Requirements: Closeout	C-65
C.17 Functional Requirements: Encumbrance	C-67
C.18 Functional Requirements: Rollover	C-71
C.19 Functional Requirements: Appeals	C-75
C.20 Functional Requirements: General Reporting.....	C-77
C.21 Technical Requirements: General Architecture	C-78
C.22 Technical Requirements: Configuration/Hardware.....	C-82
C.23 Technical Requirements: Database.....	C-83
C.24 Technical Requirements: Application.....	C-85
C.25 Technical Requirements: Network	C-86
C.26 Technical Requirements: Archiving	C-88
C.27 Technical Requirements: Data Dictionary, Data Model, and DRG.....	C-89
C.28 Technical Requirements: Error Processing	C-90
C.29 Technical Requirements: Monitoring/Auditing.....	C-91
C.30 Technical Requirements: Performance.....	C-93

C.31 Technical Requirements: Security/Privacy	C-94
C.32 Mandatory Optional Requirements.....	C-97
Appendix D Cost Workbook	D-2
Appendix E Bidders' Library.....	E-1
Appendix F Glossary of Terms	F-1

TABLE OF EXHIBITS

Exhibit A-1 State Provided Project Resources.....	A-8
Exhibit A-2 PARI\$ Project Deliverable Specification and Submission Sheet	A-23
Exhibit A-3: Work Authorization	A-25
Exhibit A-4: Confidentiality Statement	A-27

This page intentionally left blank.

Appendix A State Contracts

A. GENERAL INFORMATION

These instructions are provided to explain how State contracts are structured. Because neither negotiations nor alterations (unless specified otherwise) of the Contracts are permitted, it is imperative that Bidders follow these instructions carefully in order to be fully responsive, from a Contractual aspect, to the Request for Proposal (RFP).

Volume II, Contracts, of your Final Proposal submittal must include a completed copy of the State Contracts in RFP Appendix A.1 and A.2. For instructions on what needs to be done to complete the Contracts for inclusion as Volume II of your Proposal, carefully read the following Paragraph B, Preparation of Contracts.

B. PREPARATION OF CONTRACTS (APPENDIX A.1 AND A.2)

1. Detach the Contracts, Appendix A.1 Model Contract and Attachments System Implementation (Products & Services and Appendix A.2 Model Contract and Attachments Maintenance & Support Services, from the RFP. These documents will be returned to the State as the final Contract language. Do not retype the Contract.
2. Make an appropriate entry in item 1, Contractor's name and in the Contractor signature block (signature of authorized person to bind the Contractor) at the bottom of the form. Do not include the term of the agreement in item #2 or any dollar figure in line item #3.
3. The signature of the authorized representative for the Bidder must be on the front page of the Standard Agreement (STD. 213) Forms that are included in the Final Proposal. The signatures must be originals on all required copies of the Final Proposal.
4. Make a copy of the Contracts and all attachments. Retain the copies for your files. Your copy will be used during subsequent communications with the State relative to the Contract.
5. Submit the Contracts and all attachments as Volume II of the Proposal as instructed in RFP SECTION VIII PROPOSAL FORMAT.

C. STATEMENT OF WORK (SOW)

A final SOW will be developed and tailored by the State (for both the System Implementation Services and Optional Maintenance and Support Services Contracts) for the solution described in the RFP CDE 6110-98. These will be finalized after the State has released its Notice of Intent to Award.

The final SOW for the System Implementation Services Contract will include, but is not limited to, the following elements:

- Appendix C [Detailed Business, Functional, and Technical Requirements](#)
- RFP Section IV
- RFP Section VI
- Appendix A.1, Attachment 1 - Statement of Work: Implementation Services
- Appendix F [Glossary of Terms](#)
- Signed Confidentiality Statement (see Exhibit A-4: Confidentiality Statement)

- Work Authorization (see Exhibit A-3: Work Authorization)
- Payee Data Record (see Appendix B FORM V.18 Payee Data Record)

The final SOW for the Maintenance and Support Services Contract will include, but is not limited to, the following elements:

- Appendix A.2, Attachment 1 – Statement of Work: Maintenance and Support Services

Appendix A.1 Model Contract and Attachments System Implementation (Products & Services)

Standard Agreement

The State of California's Standard Agreement, STD. 213, is to be signed by the Bidder and submitted to the State with the Final Proposal.

This page intentionally left blank.

STATE OF CALIFORNIA

STANDARD AGREEMENT

STD. 213 (NEW 06/03)

STANDARD AGREEMENT

Page 1 of 1

FOR I.T. GOODS/SERVICES ONLY**System Implementation (Products and Services)**

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

[DEPT NAME] (hereafter called State)

CONTRACTOR'S NAME

2. The term of this Agreement is:

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 (Note: all links provided here to be maintained for 3 years past Contract Expiration):

Attachment 1 – Statement of Work (SOW)

Attachment 2 - General Provisions - Information Technology GSPD-401IT – 04/12/07, <http://www.documents.dgs.ca.gov/pd/modellang/GPIT0407.pdf>Attachment 3 – Information Technology Purchase Special Provisions, <http://www.documents.dgs.ca.gov/pd/modellang/purchasespecial020807.pdf>Attachment 4 - Information Technology Software License Special Provisions, <http://www.documents.dgs.ca.gov/pd/modellang/softwarepecial012103.pdf>Attachment 5 – Information Technology Maintenance Special Provisions, <http://www.documents.dgs.ca.gov/pd/modellang/maintenancespecial12103.pdf>Attachment 6 – Information Technology Personal Services Special Provisions, <http://www.documents.dgs.ca.gov/pd/modellang/PersonalServiceSpecial020807.pdf>

Attachment 7 – Costs

Attachment 8 – Other Special Provisions

RFP CDE PARIS 6110-98 (<ftp://ftp.cde.ca.gov/parisbl/>) and Contractor's Final Proposal for RFP CDE PARIS 6110-98 (Volumes I, II, III, and IV) are hereby incorporated by reference and made part of this Contract.

This award is being made under the provisions of Public Contract Code Section 12125 et seq., the Alternative Protest Process, providing for award while under protest. Under the terms of this contract the State reserves the right to terminate the contract for convenience.

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR

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

California Department of xxx

BY (Authorized Signature)

?

DATE SIGNED

PRINTED NAME AND TITLE OF PERSON SIGNING

ADDRESS

CALIFORNIA
DEPARTMENT OF GENERAL
SERVICES USE ONLY
☐ Exempt
per

This page intentionally left blank.

Attachment 1 – Statement of Work: System Implementation (Products & Services)

Section A – Introduction

The Provider Accounting Information System (PARI\$) Project effort will be a business-based solution that will result in a web-based application and database that the California Department of Education (CDE) users will access through CDE's network. The system will also allow child care and development agencies to submit attendance, fiscal, and caseload reports and review agreement and payment status via the Internet. Pertinent data from the current Provider Accounting and Reporting System (PARIS) database will be converted to the new system database along with data from other stand-alone Microsoft Access databases and Excel spreadsheets.

The SOW defines the roles and responsibilities of the State and the Contractor during the execution of this Contract to implement the PARI\$ solution. The SOW is not a stand-alone document; it is complemented by the requirements identified in RFP CDE 6110-98, which together result in the complete Contract.

Section B - Contract Scope

The Contractor will be responsible for the full design, development, and implementation of the PARI\$ solution as described in RFP SECTION IV PROPOSED SYSTEM of the RFP and as defined by all of the mandatory Business, Functional, and Technical requirements identified in RFP SECTION VI BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS and Appendix C [Detailed Business, Functional, and Technical Requirements](#) of the RFP.

Section C – Contract Term

The Contract period for the system implementation services will be 29 months from July 5, 2010, or upon DGS approval, whichever is later.

Each Contract executed as a result of this RFP must be able to be amended by mutual written consent of the State and the Contractor.

Section D – State Responsibilities

The CDE will provide the Contractor access to the work site during normal business hours, with a provision for increased access during critical project periods. Normal business hours are Monday through Friday, between 7:00 a.m. and 6:00 p.m., excluding State holidays.

Five (5) CDE standard workstations will be provided to the Contractor's project team for use at CDE headquarters. The Contractor will be able to utilize these workstations throughout the duration of the project. Each workstation will be connected to CDE's local area network (LAN) and wide area network

(WAN), through which the Contractor will have connectivity to the internet, the CDE email system, and, as appropriate, to the PARI\$ development, testing, training, and production system environments. Some or all of these environments will be physically located at the Office of Technology Services (OTech) Gold Camp Campus. Upon CDE approval, members of the Contractor's project team may request and obtain access to other CDE systems if necessary to accomplish project goals. Any other required resources are the responsibility of the Contractor.

It is the intention of the PARI\$ project that two-way communication and knowledge transfer occurs throughout the project between the CDE and the Contractor. To support this, the CDE will provide to the project at least the staff resources identified in Exhibit A-1 State Provided Project Resources.

Exhibit A-1 State Provided Project Resources

STATE-PROVIDED PROJECT RESOURCES	
1. Project Sponsor	
• Ensure project objectives are aligned with CDE's strategic vision. • Establish a relationship with the Project Manager. • Review work of the Project Manager, business team, and technical team. • Act as a project advocate and demonstrate support for the project with all project stakeholders. • Ensure resources are made available to the project. • Assist with mitigation strategies on major risks and help resolve significant project issues. • Verify that all project objectives are identified, documented, and achieved. • Review project results after project is completed.	
2. Steering Committee	
• Confirm project goals and scope. • Assist in the resolution of project issues. • Participate in steering committee meetings. • Communicate project status to external stakeholders as needed. • Address cross-division policy issues. • Address barriers to project success.	
3. Project Director	
• Help coordinate work efforts that impact the project. • Resolve significant project issues. • Attend PARI\$ Project management team meetings. • Communicate project status to internal and external stakeholders as needed. • Approve project deliverables.	

4. Contract Manager

- CDE Fiscal and Administrative Services Division (FASD) will manage the project contracts
- Participate in the procurement processes to secure systems integration, project management, RFP development, and independent oversight services.
- Track the project budget and review vendor invoices.
- Maintain information on contracted costs vs. actual costs.
- Manage contract change requests and addendums.
- Serve as project's liaison to the Technology Services Division (TSD) Project Management Office.
- Approve project deliverables.

5. Project Manager

- The State Project Manager responsibilities will be provided to the State by a third-party vendor.
- Coordinate and oversee project activities.
- Develop project management-related deliverables.
- Serve as liaison between Contractor and stakeholders.
- Track and resolve project issues.
- Ensure that issues and changes are documented.
- Maintain the project work plan.
- Institute controls to determine adherence to the project work plan and schedule.
- Develop and execute the risk management plan.
- Review project deliverables.
- Facilitate PARI\$ Project management team and stakeholder meetings.
- Conduct project team meetings.
- Prepare weekly project status reports.
- Facilitate active and timely participation of program and technical staff for the duration of the project.

6. Independent Project Oversight Consultant (IPOC)

- IPOC responsibilities will be provided by State resources.
- Serve as an independent expert that provides oversight in all activities that are critical to the project's success.
- Evaluate the project to ensure that it is following a structured and defined approach.
- Review deliverables to ensure that they are aligned with defined standards, CDE's needs, and contractual requirements.
- Prepare periodic project assessments and develop monthly Office of the State chief Information Officer (OCIO) progress reports.

7. Information Security Officer

- Serve as an independent expert that provides oversight in all security related activities.
- Ensure that the project is following all CDE, State of California, and industry standard security

practices and design.

- Review deliverables to ensure that they are aligned with defined standards, CDE's needs, and contractual requirements.

8. Business Team

- Members of this team will be comprised of State subject matter experts from the Child Development and Nutrition Services Division (CDNFS), the Accounting Office (AO), the Contracts Office (CO), the Audits and Investigations Division (A&I) and the Child Development Division (CDD).
- Assist in the definition of business processes and business rules.
- Assist in the identification of potential new policies and procedures.
- Participate in interviews and working sessions with the PARI\$ project team.
- Communicate project status to stakeholders.
- Develop test scripts for user acceptance testing.
- Participate in system integration and user acceptance testing.
- Document and provide training on new business processes.
- Develop and deliver training for external users.
- Review project deliverables.
- Participate in outreach and communication prior to and during implementation.
- Work with the technical team to develop help desk training manuals and conduct help desk training sessions.

9. Technical Team

- Members of this group will be comprised of State technical team members.
- Assist with the design and development of the PARI\$ environment, as defined by the functional and technical requirements.
- Conduct prototyping sessions with internal and external stakeholders.
- Conduct system design and development walkthrough sessions.
- Conduct unit and system integration tests.
- Facilitate user acceptance testing.
- Review project deliverables.
- Determine technology architecture required for system interfaces.
- Coordinate with representatives from other internal and external systems with which PARI\$ will interface.
- Work with the business implementation team to develop help desk training manuals and conduct help desk training sessions.

Section E - Project Environment

All work must be performed onsite at CDE headquarters located at 1430 N Street, Sacramento, CA 95814 unless previously authorized, in writing, by the State Project Manager.

Section F - Contractor Responsibilities

The Contractor must be the single supplier responsible for the entire project. The Prime Contractor will be responsible for the full design, development, integration, coordination, installation, and implementation of the entire PARI\$ solution as proposed by the Contractor, as described in RFP SECTION IV PROPOSED SYSTEM of the RFP and as defined by all of the mandatory Business, Functional, and Technical requirements identified in RFP SECTION VI BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS and Appendix C [Detailed Business, Functional, and Technical Requirements](#) of the RFP. The Contractor will also be responsible for procuring and holding all proposed integrated Third-Party Software licenses.

1. *Certificate of Insurance Requirement – General Liability Insurance*

- a. Contractor shall furnish to the California Department of Education a Certificate of Insurance, issued by an insurance carrier licensed to write liability insurance in the State of California, stating liability is presently in effect for the Contractor, of not less than one million dollars (\$1,000,000.00) per occurrence for bodily injury and property damage liability combined.
- b. The Certificate of Insurance must provide the following requirements:
 - 1) Cancellation language: That the insurer will not cancel the insured's coverage without (30) days prior written notice to the State; and
 - 2) Additional Insured language: The State of California, its officers, agents, employees, servants are included as additional insured, but only insofar as the operations under this contract are concerned.
- c. The Contractor agrees that the bodily injury liability insurance provided shall be in effect at all times during term of contract. In the event insurance coverage expires at any time or times during the term of the contract, the Contractor agrees to provide a new Certificate of Insurance to:

California Department of Education
Attn: Kathie LaLonde
1430 N Street, Suite 3712
Sacramento, CA 95814

Evidencing coverage as established herein for not less than the number of working days or the remainder of the term of the contract, or of a period, not less than one (1) year.

New Certificates of Insurance are subject to approval of the Department of General Services, Office of Risk Management, if required. The Contractor agrees that no work or services shall be performed prior to such approval.

Failure to continuously maintain insurance coverage as herein provided is a material breach of the contract for which, in addition to any other remedy provided by law, the state and/or

the California Department of Education may terminate the Contractor's control over the work and may proceed with the completion of the work in any manner it deems appropriate.

2. Certificate of Insurance Requirement – Workers' Compensation Insurance

- a. The Contractor shall furnish to the State, a Certificate of Insurance, issued by an insurance carrier licensed to write workers' compensation insurance in the State of California, including the name of the carrier and the date of expiration of the insurance, or a certificate to self insure, issued by the California Department of Industrial Relations.
- b. The Contractor shall be required to secure the payment of the Workers' Compensation to his/her employees in accordance with the provision of *Labor Code* Section 3700.

3. Confidentiality Statement

To preserve the integrity of the security and confidentiality measures integrated into the State's automated information systems, each Contractor is required to sign the Confidentiality Statement, in Exhibit A-4: Confidentiality Statement, attached, and submit it by the date specified in RFP SECTION I.G KEY ACTION DATES.

Any Contractor engaging in Information Technology services to the State that requires they come into contact with confidential State information, during either the solicitation process or contract performance, will be required to exercise security precautions for such data that is made available, including the signing of any additional Confidentiality Statements. Appropriate language must be in the Contract.

4. Staffing and Replacement Staff

The Contractor may presume State-provided staffing as described in Exhibit A-1 State Provided Project Resources. The Contractor must provide all other required staff necessary for the successful completion of the proposed PARIS solution.

The Contractor must obtain prior approval from the CDE Contract Manager before attempting to change project personnel. This includes substitutions made between submission of the Final Proposal and the actual start of the project, as well as staffing changes that may occur during the course of the contract.

The Contractor must agree to submit, for consideration of any replacement staff, a resume that indicates how proposed staff meets all of the minimum requirements of RFP CDE 6110-98 and the resulting contract. The State may conduct interviews at its discretion.

The State reserves the right to approve or deny any or all replacement project team members assigned by the Contractor to this project.

The State reserves the right to require replacement of staff on an individual basis by providing seven (7) business days' written notice to the Contractor.

5. Project Management

The Contractor must create and deliver the proposed Project Management Plan (PMP) and the Proposed Implementation Plan (PIP) within thirty (30) business days of the contract start date in a modifiable Microsoft Word 2003 (or later version, if adopted by the State) document.

The Contractor must update and deliver the proposed Project Work Plan and Initial Project Schedule within thirty (30) business days of the contract start date, in a modifiable Microsoft Project 2003 (or later version, if adopted by the State) file format. All subsequent updates must also be in the same format. The Project Work Plan and Project Schedule, once approved by the State, may not be modified without CDE approval. Any changes to the schedule of more than five percent (5%) for proposed key milestones or any delay in the project implementation date must be identified in a separate document along with cause for slip and forecasted impacts to project activities and near-term deliverables.

The Contractor must participate in at least one (1) project status or coordination meeting on a weekly basis or as requested by CDE. This meeting must address the general status of the project activities, a review of the schedule, forecasted activities for the upcoming week, completed activities for the previous week, risks and issues, and any other items the Contractor or the State wants to add to the agenda.

The Contractor must issue weekly project status reports, which address, at a minimum:

- Weekly accomplishments and completed tasks;
- Activities and tasks in progress;
- Upcoming activities and tasks;
- Deliverable status and anticipated due dates;
- Previous activities and tasks not accomplished, the reason for not accomplishing them, and the plan for bringing them back on schedule, including associated risks and costs;
- Issues and anticipated problems and recommendations for resolution of them; and
- Risks and associated updates on mitigation strategies.

The Contractor Project Manager must expect to participate in management level reviews during the course of the contract, which could entail preparing PowerPoint presentations summarizing the project status, progress metrics, forecasted activities, top risks and issues and associated recommendations, key quality metrics and issues, or any other relevant items CDE wants to include.

6. Design, Development and Implementation

The Contractor must coordinate, conduct and facilitate design meetings, design review meetings, individual and small group meetings, and Joint Application Design (JAD) sessions with CDE staff necessary to support creation and documentation of a detailed design of the PARI\$ system.

The Contractor must work collaboratively with any applicable Financial Information System for California (FI\$Cal) representatives to ensure a design that is consistent with the requirements of this RFP as well as with FI\$Cal for those PARI\$ modules that will be duplicated in FI\$Cal.

All system environments must be housed at OTech. The Contractor must provide a production-ready environment as described in TABLE VI-2 PROJECT DELIVERABLES prior to Implementation. The Contractor must successfully implement the PARI\$ system, including all hardware, software, network or other components necessary to the full functionality as defined by RFP SECTION IV PROPOSED SYSTEM, RFP SECTION VI BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS, and Appendix C [Detailed Business, Functional, and Technical Requirements](#). The Contractor must provide detailed build instructions to a level of detail so that the State can recreate the environment with no outside assistance for both the hardware and software delivered. This requirement does not apply to hardware that is installed solely by OTech. The Contractor must work collaboratively with OTech staff to develop an appropriate recovery plan and procedures.

Version control methods and tools must be consistent with CDE standards located in the Bidders' Library. The Contractor must use and follow all software and hardware standards identified in Appendix C [Detailed Business, Functional, and Technical Requirements](#) unless prior written authorization has been granted to the Contractor by the State to deviate from these standards.

Any reports included in this RFP that later are determined by CDE to be unnecessary in the new PARI\$ will be replaced with comparably complex reports by the Contractor at no additional cost to the State.

7. Source Code

The Contractor must provide to CDE all software development assets and components necessary for CDE to maintain and modify the entire PARI\$ system without additional products or third-party assistance, including source code for all Bidder-developed applications, Bidder-modified public domain software, and Bidder-modified COTS applications. These assets and components, including source code, must be provided with interim builds during software development, as part of the Draft System deliverable, and as part of the Complete PARI\$ System deliverable.

8. Help Desk Support

The Contractor must provide to CDE all documentation to support Level 1 (initial contact and triage of) and Level 2 (resolution of escalated) issues or problems. The Contractor must provide Level 2 Help Desk support to PARI\$ users as described in TABLE VI-4 SERVICE LEVEL OBJECTIVES. CDE will provide Level 1 Help Desk support to PARI\$ users. The Contractor must provide adequate and sufficient Level 2 Help Desk support to meet the minimum system performance requirements identified in the technical requirements in Appendix C [Detailed Business, Functional, and Technical Requirements](#).

The Contractor must meet all SLOs identified in TABLE VI-4 SERVICE LEVEL OBJECTIVES.

9. Testing

The Contractor must conduct Unit Testing that includes all unit logic paths and conditions for accuracy, efficiency, and conformance to the respective requirements, for each individual software module or component.

The Contractor must conduct System and Integration Testing (SIT) in the PARI\$ Test environment, using the proposed Detailed SIT Plans, and must test the integration of the individual modules within a subsystem, subsystems within a system, and the components of the overall PARI\$.

The Contractor must conduct performance and load testing of the PARI\$ application and related network in both the Test and Production Environments. The Contractor must have thoroughly tested the system and resolved any errors or discrepancies before State personnel are requested to verify.

The Contractor must provide assistance to the State when the State is conducting its own testing (e.g., SIT and performance and load testing).

The Contractor must test and validate the successful installation and operation of all third-party software.

10. Training

The Contractor must provide training to State staff in Sacramento, California. Training of State staff must be provided at their buildings and within their respective networks. The State will work with the Contractor to provide training locations with sufficient workstations to support the training of State staff.

Training sessions provided by the Contractor to State staff must not exceed fifteen (15) staff in a single session.

11. Acceptance

The Contractor must work with CDE to determine the evaluation criteria for CDE acceptance of each Project Stage. Contractor must conduct user acceptance testing with representatives from all user groups. The Contractor must document and deliver User Acceptance Test Results in a format to be agreed upon by the Contractor and the State.

The State's system acceptance period will begin on the first State workday following the installation (and certified as ready for use) of the system, and will end when the State has signed off on system acceptance. Final system acceptance will complete the one-time cost contract. The one-year warranty and maintenance period will initiate upon final System Acceptance.

Acceptance testing must be conducted with test data created from live production work data.

Any critical system hardware or software failure, as defined in TABLE VI-4 SERVICE LEVEL OBJECTIVES, starts the Acceptance Test over unless the CDE determines that it is not material.

The Contractor must coordinate resolution with the State for any areas that do not pass testing and coordinate re-testing of all related and affected areas of the system, as determined by the State.

The Contractor must complete or correct all Contractor responsibilities identified on the Project Closeout Action List.

Acceptance testing will not be considered complete until:

- CDE and the Contractor mutually agree that all medium, high, and critical defects have been resolved, and an agreed-upon timeframe has been determined for the resolution of low severity defects, as defined in TABLE VI-4 SERVICE LEVEL OBJECTIVES;

- A complete end-to-end test of the system has been performed without failures;
- All identified PARIS and peripheral system data has been successfully and completely converted to PARIS;
- All identified State staff have been successfully trained;
- The Contractor has completed all activities, tasks, and deliverables specified in the Project Closeout Action List;
- The system knowledge transfer and system operations transition have occurred as defined by the Contractor in the proposed Project Implementation Plan (PIP);
- The Contractor has transitioned their training approach, tools, materials, techniques and any other documentation or information needed to support training to the State to meet CDE's ongoing training needs; and
- The Contractor has delivered to CDE all specified deliverables and documentation in its Final form (e.g., after any changes identified during State review have been made, verified, and accepted by the State).

12. One-Year Warranty Period

The Contractor must provide a one-year warranty, which begins at System Acceptance, during which the Contractor must:

- Fix all errors, defects, bugs, harmful code, and/or viruses not discovered during testing;
- Resolve any performance tuning issues discovered; and
- Make any necessary modifications to meet the requirements of this RFP.

The Contractor must monitor system performance, make any necessary modifications to ensure the system is meeting the minimal technical performance requirements identified in C.30 Technical Requirements: Performance, and provide monthly system performance reports to the State.

13. System Maintenance

The Contractor must provide one (1) year of maintenance and operations support, concurrent with the one-year warranty, which begins at System Acceptance, during which the Contractor must be responsible for the following:

- Source Contractor technical support;
- Component repair and/or replacement;
- Configuration control;
- Firmware patch installation;
- Hardware maintenance fees;
- Software licensing fees;
- Installation and testing of any and all relevant product upgrades not included in the OTech contracted service; and
- Any other tasks deemed necessary by the Contractor to ensure the continuing operation of the installed environments but which were not prescribed in the requirements of this RFP.

The Contractor's staff to support the Maintenance and Support phase of the project must include technical staff that participated in the design, development, and implementation of PARI\$.

The Contractor must maintain all proposed PARI\$ environments (e.g., development, test, and production) during development and implementation, as well as post implementation, working closely with the State, as appropriate.

The Contractor must ensure that all software upgrades operate with any changes/customizations made by the Contractor during the design, development, and implementation of PARI\$ and any subsequent customizations made by the Contractor post-implementation. Where applicable, the Contractor must work with OTech to ensure upgrades made by OTech operate with the customizations made by the Contractor during design.

The Contractor is responsible for updating all system documentation (e.g., technical design, testing, help desk, maintenance, data dictionary, training and other user documentation) or creating new documentation when modifications are made to PARI\$ through the one-year maintenance period.

The Contractor must collaborate with State staff while the Contractor is executing all maintenance and operations tasks to facilitate knowledge transfer.

The Contractor must make assistance available during weekend and evening hours when requested and arranged in advance for operating system and application upgrades and other periodic maintenance activities.

The Contractor shall keep the system in good operating condition and shall always be responsive to the maintenance requirements of the State. System maintenance shall be provided in accordance with this Contract, with the maintenance charges, period of maintenance coverage, locations, etc. listed in the approved System Maintenance Plan. The Contractor agrees to make available adequate maintenance service after the installation date.

The System Maintenance Plan will address the maintenance of all delivered system components, including hardware, operating system software, application software ("bugs" / "correction of defects" only) and non-application software. New requirements, which drive modifications to the application software, will be handled as unanticipated tasks or via change order (depending on scope and value) and are not addressed by this plan.

The Contractor must continue to provide Level 2 Help Desk support to PARI\$ users through the maintenance and operations period. Contractor must continue to meet the service level objectives defined in TABLE VI-4 SERVICE LEVEL OBJECTIVES throughout the one-year maintenance period. The Contractor will be the sole contact for all maintenance services, issues, questions, and problems. Contractor maintenance personnel will be notified immediately of an outage.

Section G - Project Deliverables

1. Contractor Responsibilities Regarding Deliverables

The Contractor is expected to deliver all proposed deliverables, by Stage, as described in the Contractor's Final Proposal, which include, at a minimum, those deliverables provided in RFP TABLE VI-2 PROJECT DELIVERABLES. This Section includes and incorporates the Contractor's Final Proposed List of Project Deliverables into this Contract.

The Contractor must be the sole entity submitting deliverables to the State. Each Contractor-created deliverable must be accompanied by a separate completed PARI\$ Project Deliverable Specification and Submission Sheet when the deliverable is submitted by the Contractor to the State. The template for this document is provided in Exhibit A-2 PARI\$ Project Deliverable Specification and Submission Sheet, attached.

The Contractor must provide a Final version of each Project Deliverable to the State Contract Manager and the PARI\$ Project Manager by the due date specified on the approved project work plan unless the State has granted written permission to deviate from the schedule.

The Contractor may not change a deliverable that has been accepted by the State without the approval of the State.

2. State Responsibilities Regarding Deliverables

The State will sign each PARI\$ Project Deliverable Specification and Submission Document as the respective Final Deliverable is accepted by the State as complete and final.

Should the State require revisions to any deliverable document, the State will provide written notification of said changes to the Contractor, who shall make the necessary modifications to reflect the changes in the document within five (5) business days of receiving the changes. The State may, at its discretion, allow a longer period in consideration of the scope of the change.

The State will require up to ten (10) business days to review deliverables, based on the scope and complexity of the deliverable.

If deemed necessary by the State, a formal walkthrough session will be conducted to review the submitted deliverables. The State will identify the reviewers that will attend these walkthrough sessions. The walkthrough sessions will be organized and scheduled by the Contractor, with approval from the State.

State acceptance of deliverables shall be based upon the following, as determined by the CDE:

- The deliverable will address all components required by the contract and any areas agreed upon subsequently through meetings and planning sessions.
- Deliverable documents will be comprehensive in level of detail and quality.
- Deliverable documents will be organized in a structured manner and be professional in presentation.
- Deliverable documents will be consistent in style and quality. This means if a document is the composite work of many people within the Contractor's organization, the document will be edited for style and consistency.

Section H – Unanticipated Tasks

The incorporated Special Provisions Information Technology Personal Services Special Provisions, Section 4, Unanticipated Tasks with an effective date of February 8, 2007, may be invoked if, in the performance of the work, the Contractor determines that a deliverable under this Contract cannot be completed without completion of another deliverable or task that is not within the original SOW.

Contractor and State should reference Uniform Resource Locator (URL)

<http://www.pd.dgs.ca.gov/modellang/ITModules.htm> for full instructions prior to invoking this clause. For each item of unanticipated work, a Work Authorization must be prepared by CDE (see Exhibit A-3: Work Authorization).

Section I – Payment for Services

A single supplier must be the Prime Contractor responsible for the entire project. The Prime Contractor will be responsible for the integration, coordination, installation, and implementation of the entire solution and for delivery of all proposed elements and results. The Prime Contractor will also be responsible for procuring and holding all proposed integrated Third-Party Software licenses. As such, the State shall make payment to the Prime Contractor and shall hold that Prime Contractor accountable for the execution of the requirements as agreed to in the award of the Contract.

The payment structure for this project will be based on the completion of key project deliverables. During the course of the project, the Contractor will receive payment for each completed and State accepted deliverable as defined in the Contractor's Final Proposal. Other non-recurring costs will be paid after receipt of the identified product or services and according to the terms outlined in the Final Contract approved by the State.

Upon State acceptance and approval of the final version of each deliverable, the Contractor may submit an invoice reflecting 100 percent (100%) of the Deliverable Cost as specified in the Contractor's Proposed Deliverable Payment Schedule (Cost Workbook D.4 Deliverable Cost and Payment Schedule), less a ten percent (10%) withhold, less any amounts previously invoiced. The 10% withhold balance will be paid to the Contractor following System Acceptance by CDE.

In the aggregate, invoices will not exceed the maximum 90 percent (90%) of the ceiling amount of the Contract, with the balance (10% withhold) to be invoiced upon satisfactory completion of the Contract.

For unanticipated tasks, post-implementation support, and maintenance, the Contractor will invoice the State monthly for the work hours expended in each work authorization for the preceding month. Each invoice shall reflect the number of hours worked by each classification of Contractor personnel and the applicable billing rate. The billing rates used shall be the rates proposed by the Contractor for Support Services in the Cost Workbook.

For maintenance, the monthly bill shall not exceed the proposed monthly Ongoing Maintenance and Operations cost (Cost Workbook D.8) for the one-year maintenance period.

Project costs related to items such as travel, per diem and travel time to the designated base of operation for the engagement are costs to be included within the Contractor rates. The CDE shall not pay for such costs as a separate item.

Invoices shall include the Agreement Number and shall be submitted in triplicate not more frequently than monthly in arrears to:

California Department of Education
Attn: Kathie LaLonde
1430 N Street, Suite 3712
Sacramento, CA 95814

Section J – Project Schedule

This Section contains and incorporates the Project Schedule required by the State and proposed by the Contractor in their Final Proposal for the PARI\$ Project into this Contract.

Section K – Points of Contact

The project representatives during the term of this agreement will be:

Points of Contact		
	State Agency:	Contractor
	California Department of Education	
Name	Kathie LaLonde	
Title	Contract Manager	
Address	1430 N Street, Suite 3712 Sacramento, California 95814	
Phone	Phone: (916) 323-8538	
Email	klalonde@cde.ca.gov	

Section L – Change of Contractors

The Contractor shall not change subcontractor(s) and / or DVBE subcontractor(s) if such changes conflict with the work to be performed under this Contract. For DVBE subcontractor changes, the

Contractor shall utilize another DVBE subcontractor. The State recognizes that changes to subcontractor(s) may be necessary and in the best interests of the State, however, advance notification of a contemplated change and the reasons for such change must be made to the State no less than seven (7) business days prior to the existing subcontractor's termination. If this should occur, the Contractor should be aware that the State Contract administrator or designee must approve any changes to the subcontractor(s) prior to the termination of the existing subcontractor(s) and hire of the new subcontractor(s). This also includes any changes made between submittal of the Final Proposal and actual start of the Contract. All subcontractor(s) are subject to a corporate reference check. The corporate reference check must produce a good reference and demonstrate a strong probability of successful performance by the subcontractor(s). The State will not compensate the Contractor for any of the Contractor's time or effort to educate or otherwise make the new subcontractor(s) ready to begin work on the Contract.

This page intentionally left blank.

Exhibit A-2 PARI\$ Project Deliverable Specification and Submission Sheet

PARI\$ Project Deliverable Specification and Submission Sheet	
Project Deliverable Number:	Title of Deliverable:
Frequency:	Draft Submission Due:
State's Draft Review and Comment Period:	Final Submission Due:
Approval Required:	Distribution:
Contractor Submission:	
Prepared by (please print):	Date Submitted:
Date Submitted 2:	Date Submitted 3:
Phone Number:	FAX:
E-mail:	
CDE Approval/Comments:	
Approved by:	Date:
Signature:	
Comments:	

This page intentionally left blank.

Exhibit A-3: Work Authorization**STATE OF CALIFORNIA****WORK AUTHORIZATION****Contract Number: CDE-6110-98**

TASK NUMBER		TITLE	
UNANTICIPATED TASK DESCRIPTION (Attach additional sheets if NEEDED)			
PURPOSE, GOAL, OR OBJECTIVE			
CONTRACTOR RESPONSIBILITIES			
STATE RESPONSIBILITIES			
DELIVERABLES		COMPLETION CRITERIA	
SCHEDULED START DATE		SCHEDULED END DATE	
ESTIMATED LABOR HOURS	HOURLY RATE	TOTAL COST	
CONTRACTOR PERSONNEL ASSIGNED			
NAME		CLASSIFICATION	
NAME		CLASSIFICATION	
NAME		CLASSIFICATION	
SUBMITTED BY			
CONTRACTOR PROJECT MANAGER		TELEPHONE NUMBER	
CONTRACTOR PROJECT MANAGER SIGNATURE		DATE	
AUTHORIZATION			
PARI\$ CONTRACT ADMINISTRATOR SIGNATURE		DATE	
PARI\$ PROJECT MANAGER SIGNATURE		DATE	

This page intentionally left blank.

Exhibit A-4: Confidentiality Statement**Confidentiality Statement**

As an authorized representative and/or corporate officer of the company named below, I warrant my company and its employees will not disclose any documents, diagrams, data, information, or information storage media made available to us by the State for the purpose of responding to RFP CDE 6110-98 or in conjunction with any contract arising therefrom. I warrant that only those employees who are authorized and required to use such materials will have access to them.

I further warrant that all materials provided by the State 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 will subject this company to liability, both criminal and civil, including all damages to the State and third parties. I authorize the State to inspect and verify the above.

I warrant that if my company is awarded the contract, it will not enter into any agreements or discussions with a third party concerning such materials prior to receiving written confirmation from the State that such third party has an agreement with the State similar in nature to this one.

(Signature of representative)

(Date)

(Typed name of representative)

(Typed name of company)

This page intentionally left blank.

Attachment 2 - General Provisions

The General Provisions – Information Technology dated 4/12/2007 are incorporated into this Contract. Information Technology General Terms and Conditions may be viewed at the following website:

<http://www.documents.dgs.ca.gov/pd/modellang/GPIT0407.pdf>

Attachment 3 - Information Technology – Purchase Special Provisions

The Information Technology Purchase Special Provisions dated February 8, 2007 are incorporated into this Contract. Information Technology Purchase Special Provisions may be viewed at the following Website:

<http://www.documents.dgs.ca.gov/pd/modellang/Purchasespecial020807.pdf>

Attachment 4 - Information Technology – Software Special Provisions

The Information Technology Software Special Provisions dated January 21, 2003 are incorporated into this Contract. Information Technology Software Special Provisions may be viewed at the following Website:

www.documents.dgs.ca.gov/pd/modellang/softwarespecial012103.pdf

Attachment 5 – Costs

This Attachment will include the RFP Section VII and the Contractor's Final Cost Proposal Response to the PARI\$ RFP, Contractor's Final Proposal Volume III Cost Data. Draft Proposals must include the products and services, but not contain cost figures. Final Proposals must include the products and services cost sheets with cost figures in a separately sealed marked envelope or container containing all competed cost sheets. See RFP SECTION VIII PROPOSAL FORMAT.

Attachment 6 – Other Special Provisions

Federally Funded Project Special Provisions

All contracts, except for state construction projects, that are funded in whole or in part by the federal government must contain a 30-day cancellation clause and the following provisions:

1. It is mutually understood between the parties that this Contract may have been written for the mutual benefit of both parties before ascertaining the availability of congressional appropriation of funds, to avoid program and fiscal delays that would occur if the Contract were executed after that determination was made.
2. This Contract is valid and enforceable only if the United States Government makes sufficient funds available to the State for the purpose of this program. In addition, this Contract is subject to any additional restrictions, limitations, or conditions enacted by the Congress or to any statute enacted by the Congress that may affect the provisions, terms, or funding of this Contract in any manner.
3. The parties mutually agree that if the Congress does not appropriate sufficient funds for the program, this Contract shall be amended to reflect any reduction in funds.
4. The department has the option to invalidate the Contract under the 30-day cancellation clause or to amend the Contract to reflect any reduction in funds.

Appendix A.2 Model Contract and Attachments Maintenance & Support Services

Standard Agreement

The State of California's Standard Agreement, STD. 213, is to be signed by the Contractor and submitted to the State with the Final Proposal.

This page intentionally left blank.

STANDARD AGREEMENT

STATE OF CALIFORNIA

STANDARD AGREEMENT

STD. 213 (NEW 06/03)

Page 1 of 1

FOR I.T. GOODS/SERVICES ONLY

Maintenance and Support Services

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

[DEPT NAME] (hereafter called State)

CONTRACTOR'S NAME

2. The term of this Agreement is:

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 (Note: all links provided here to be maintained for 3 years past Contract Expiration):

Attachment 1 – Statement of Work (SOW)

Attachment 2 - General Provisions - Information Technology GSPD-401IT – 04/12/07, <http://www.documents.dgs.ca.gov/pd/modellang/GPIT0407.pdf>Attachment 3 – Information Technology Maintenance Special Provisions, <http://www.documents.dgs.ca.gov/pd/modellang/maintenancespecial12103.pdf>Attachment 4 - Information Technology Software Special Provisions, www.documents.dgs.ca.gov/pd/modellang/softwarepecial012103.pdfAttachment 5 – IT Personal Services Special Provisions, <http://www.documents.dgs.ca.gov/pd/modellang/PersonalServiceSpecial020807.pdf>

Attachment 6 – Costs

Attachment 7 – System Maintenance and Operations Plan

RFP CDE PARIS 6110-98 (<ftp://ftp.cde.ca.gov/parisbl/>) and Contractor's Final Proposal for RFP CDE PARIS 6110-98 (Volumes I, II, III, and IV) are hereby incorporated by reference and made part of this Contract.

This award is being made under the provisions of Public Contract Code Section 12125 et seq., the Alternative Protest Process, providing for award while under protest. Under the terms of this contract, the State reserves the right to terminate the contract for convenience.

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

California Department of xxx

BY (Authorized Signature)

?

DATE SIGNED

PRINTED NAME AND TITLE OF PERSON SIGNING

ADDRESS

☐ Exempt
per

This page intentionally left blank.

Attachment 1 – Statement of Work: Maintenance and Support Services

Section A – Introduction

The SOW reflects the optional continuation of maintenance and support for the hardware and software acquired as part of the acquisition and installation of the PARI\$ solution, at the State's request.

Section B – Contract Term

The Contract period for maintenance and support services is for two (2) optional one-year periods of maintenance and support, which begins at the conclusion of the one-year period of warranty/maintenance included with Contract A.1 Implementation Services. Each optional year is at the State's request.

Section C – Contractor Responsibilities

1. Certificate of Insurance Requirement – General Liability Insurance

- a. Contractor shall furnish to the California Department of Education a Certificate of Insurance, issued by an insurance carrier licensed to write liability insurance in the State of California, stating liability is presently in effect for the Contractor, of not less than one million dollars (\$1,000,000.00) per occurrence for bodily injury and property damage liability combined.
- b. The Certificate of Insurance must provide the following requirements:
 - 1) Cancellation language: That the insurer will not cancel the insured's coverage without (30) days prior written notice to the State; and
 - 2) Additional Insured language: The State of California, its officers, agents, employees, servants are included as additional insured, but only insofar as the operations under this contract are concerned.
- c. The Contractor agrees that the bodily injury liability insurance provided shall be in effect at all times during term of contract. In the event insurance coverage expires at any time or times during the term of the contract, the Contractor agrees to provide a new Certificate of Insurance to:

California Department of Education
Attn: Kathie LaLonde
1430 N Street, Suite 3712
Sacramento, CA 95814

Evidencing coverage as established herein for not less than the number of working days or the remainder of the term of the contract, or of a period, not less than one (1) year.

New Certificates of Insurance are subject to approval of the Department of General Services, Office of Risk Management, if required. The Contractor agrees that no work or services shall be performed prior to such approval.

Failure to continuously maintain insurance coverage as herein provided is a material breach of the contract for which, in addition to any other remedy provided by law, the state and/or the California Department of Education may terminate the Contractor's control over the work and may proceed with the completion of the work in any manner it deems appropriate.

2. Certificate of Insurance Requirement – Workers' Compensation Insurance

- a. The Contractor shall furnish to the State, a Certificate of Insurance, issued by an insurance carrier licensed to write workers' compensation insurance in the State of California, including the name of the carrier and the date of expiration of the insurance, or a certificate to self insure, issued by the California Department of Industrial Relations.
- b. The Contractor shall be required to secure the payment of the Workers' Compensation to his/her employees in accordance with the provision of *Labor Code* Section 3700.

3. System Maintenance

The Contractor must provide two (2) optional one-year maintenance and support periods, at the State's request, during which the Contractor must be responsible for the following:

- Source Contractor technical support;
- Component repair and/or replacement;
- Configuration control;
- Firmware patch installation;
- Hardware maintenance fees;
- Software licensing fees;
- Installation and testing of any and all relevant product upgrades not included in the OTech contracted service; and
- Any other tasks deemed necessary by the Contractor to ensure the continuing operation of the installed environments but which were not prescribed in the requirements of this RFP.

The Contractor's staff to support the Maintenance and Support phase of the project must include technical staff that participated in the design, development, and implementation of PARI\$.

The Contractor must maintain all proposed PARI\$ environments (e.g., development, test, and production) during development and implementation, as well as post implementation, working closely with the State, as appropriate.

The Contractor must ensure that all software upgrades operate with any changes/customizations made by the Contractor during the design, development, and implementation of PARI\$ and any subsequent customizations made by the Contractor post-implementation. Where applicable, the Contractor must work with OTech to ensure upgrades made by OTech operate with the customizations made by the Contractor during design.

The Contractor is responsible for updating all system documentation (e.g., technical design, testing, help desk, maintenance, data dictionary, training and other user documentation) or creating new documentation when modifications are made to PARI\$ through the one-year maintenance period.

The Contractor must collaborate with State staff while the Contractor is executing all maintenance and operations tasks to facilitate knowledge transfer.

The Contractor must make assistance available during weekend and evening hours when requested and arranged in advance for operating system and application upgrades and other periodic maintenance activities.

The Contractor shall keep the system in good operating condition and shall always be responsive to the maintenance requirements of the State. System maintenance shall be provided in accordance with this Contract, with the maintenance charges, period of maintenance coverage, locations, etc. listed in the approved System Maintenance Plan. The Contractor agrees to make available adequate maintenance service after the installation date.

The System Maintenance Plan will address the maintenance of all delivered system components, including hardware, operating system software, application software ("bugs" / "correction of defects" only) and non-application software. New requirements, which drive modifications to the application software, will be handled as unanticipated tasks or via change order (depending on scope and value) and are not addressed by this plan.

The Contractor must continue to provide Level 2 Help Desk support to PARI\$ users through the maintenance and operations period. Contractor must continue to meet the service level objectives defined in TABLE VI-4 SERVICE LEVEL OBJECTIVES throughout the one-year maintenance period. The Contractor will be the sole contact for all maintenance services, issues, questions, and problems. Contractor maintenance personnel will be notified immediately of an outage.

Section D – State Responsibilities

The CDE shall be responsible as described in Attachment 3 Information Technology Maintenance Special Provisions dated January 21, 2003, for the maintenance of equipment.

The CDE shall be responsible as described in Attachment 4 Information Technology Software Special Provisions dated January 21, 2003, for the maintenance of software.

Section E – Unanticipated Tasks

During this Contract period the State may be required to make mandated system modifications to comply with legislative changes or to assist in developing an Agency training program. The incorporated Special Provisions Information Technology Personal Services Special Provisions, Section 4, Unanticipated Tasks with an effective date of February 8, 2007, may be invoked if, in the performance of the work, the Contractor determines that a deliverable under this Contract cannot be completed without completion of another deliverable or task that is not within the original SOW. Contractor and State should reference Uniform Resource Locator (URL) <http://www.pd.dgs.ca.gov/modellang/ITModules.htm> for full instructions prior to invoking this clause. For each item of unanticipated work, a Work Authorization must be prepared by CDE (see Exhibit A-3: Work Authorization).

Section F – Payment for Services

The Contractor will invoice the State a fixed monthly cost, in arrears, for maintenance and operations. For maintenance, the monthly bill shall not exceed the proposed monthly Ongoing Maintenance and Operations costs for the optional years one and two, respectively, (Cost Workbook D.9)

For unanticipated tasks, each invoice shall reflect the number of hours worked by each classification of Contractor personnel and the applicable billing rate. The billing rates used are to be the same rates proposed by the Contractor for Support Services under the Contract for System Implementation Services.

Project costs related to items such as travel, per diem and travel time to the designated base of operation for the engagement are costs to be included within the Contractor rates. The CDE shall not pay for such costs as a separate item.

Invoices shall include the Agreement Number and a copy of the pre-approved work authorization, if applicable, and shall be submitted in triplicate not more frequently than monthly in arrears to:

California Department of Education
Attn: Kathie LaLonde
1430 N Street, Suite 3712
Sacramento, CA 95814

Section G – Points of Contact

The project representatives during the term of this agreement will be:

Points of Contact		
	State Agency:	Contractor
	California Department of Education	
Name	Kathie LaLonde	
Title	Contract Manager	
Address	1430 N Street, Suite 3712 Sacramento, California 95814	
Phone	Phone: (916) 323-8538	
Email	klalonde@cde.ca.gov	

Attachment 2 - General Provisions

The General Provisions – Information Technology (IT) dated April 12, 2007 are incorporated into this Contract. Information Technology General Terms and Conditions may be viewed at the following website:

<http://www.documents.dgs.ca.gov/pd/modellang/GPIT0407.pdf>

Attachment 3 - Information Technology – Maintenance Special Provisions

The Information Technology Maintenance Special Provisions dated January 21, 2003 are incorporated into this Contract. Information Technology Maintenance Special Provisions may be viewed at the following Website:

<http://www.documents.dgs.ca.gov/pd/modellang/maintenancespecial12103.pdf>

Attachment 4 - Information Technology – Software Special Provisions

The Information Technology Software Special Provisions dated January 21, 2003 are incorporated into this Contract. Information Technology Software Special Provisions may be viewed at the following Website:

www.documents.dgs.ca.gov/pd/modellang/softwarepecial012103.pdf

Attachment 5 - Information Technology – Personal Services Special Provisions

The Information Technology Personal Services Special Provisions dated February 8, 2007 are incorporated into this Contract. Information Technology Personal Services Special Provisions may be viewed at the following Website:

<http://www.documents.dgs.ca.gov/pd/modellang/PersonalServiceSpecial020807.pdf>

Attachment 6 – Costs

This Attachment will include the RFP Section VII and the Contractor's Final Proposal Response to the PARI\$ RFP, Contractor's Final Proposal Volume III Cost Proposal.

Attachment 7 – System Maintenance and Operations Plan

This Attachment will include the Contractor's System Maintenance and Operations Plan.

Appendix B Bidder Response Forms

This Appendix includes all Forms that Bidders must complete and include with their Final Proposals in order to be considered responsive to this RFP.

This page intentionally left blank.

FORM I.1 Letter of Intent to Submit a Proposal

Amrit Dhillon
TAB Acquisitions Specialist
DGS-Procurement Division
Technology Acquisitions Branch (TAB)
707 Third Street
West Sacramento, CA 95605

REFERENCE: RFP CDE 6110-98

This is to notify you that it is our present intent to submit information in response to the above referenced RFP. The individual to whom all information regarding this RFP should be transmitted is:

Name:

Address:

City, State, & Zip

Phone Number:

Fax Number:

Email address:

Sincerely,

Name (Signature)

Typed Name and Title

Company

() _____
Phone Number

() _____
Fax Number

Email Address

This page intentionally left blank.

FORM V.1 Workers' Compensation Insurance Certification

The undersigned in submitting this document hereby certifies the following:

I am aware of the provisions of Section 3700 of the California Labor Code, which requires every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with such provisions before commencing the performance of the work of this contract.

Signature

Date

Name and Title (Print or Type)

Street Address

Firm Name

City, State ZIP

This page intentionally left blank.

FORM V.2 Letter of Bondability

(must be on insurance company letterhead)

CONSENT OF SURETY

[DATE]

Ms. Amrit Dhillon
TAB Acquisition Specialist
DGS-Procurement Division
Technology Acquisitions Branch (TAB)
707 3rd Street, 2nd Floor
West Sacramento, CA 95605

RE: [CONTRACTOR NAME] BONDING FOR [PROJECT NAME] UNDER RFP CDE
6110-98 FOR THE CALIFORNIA DEPARTMENT OF EDUCATION

If [Contractor Name] is awarded the above-mentioned Contract, [Insurance Company Name] unconditionally guarantees to the extent of **thirty percent (30%) of the one-time Contract total cost** the Contractor's performance in all respects of the terms and conditions and provisions of the agreement, and unconditionally guarantees that within twenty-one (21) calendar days after the effective start date of the Contract, [Insurance Company Name], as Surety, will write a performance bond on the State's Performance Bond Form in the amount of **(30%) of the one-time Contract total cost**, providing that [Contractor Name] continues to meet [Insurance Company Name] underwriting and collateral requirements.

Yours truly,

SIGNATURE

This page intentionally left blank.

FORM V.3 Performance Bond Form**PERFORMANCE BOND****To be provided within 21 days of Contract effective start date**

(Pursuant to Government Code Section 11380.1)

BOND NO. _____**KNOW ALL MEN TO THESE PRESENTS:**

THAT WHEREAS, The State of California, acting by and through the [DEPT NAME], has awarded to _____ as Principal, and hereinafter designated as the "Contractor", a Contract for the work described as follows:

AND WHEREAS, The Contractor is required to furnish a bond in connection with said contract guaranteeing the faithful performance thereof:

NOW THEREFORE, We the undersigned Contractor and surety are held and firmly bound unto the State of California, in the sum of _____ dollars (\$ _____), to be paid to the said State or its certain attorney, its successors and assigns; for which payment, well and truly to be made, we bind ourselves, our heirs, executors and administrators, successors or assigns, jointly and severally, firmly by these presents.

THE CONDITION of this obligation is such that:

If the above bounden Contractor, his or its heirs, executors, administrators, successors or assigns, shall in all things stand to and abide by, and well and truly keep and perform the covenants, conditions and agreements in the foregoing contract and any alteration thereof made as therein provided, on his or their part to be kept and performed at the time and in the manner therein specified, and in all respects according to their true intent and meaning, and shall indemnify and save harmless the State of California, its officers and agents, as therein stipulated, then this obligation shall become and be null and void; otherwise it shall be and remain in full force and virtue.

PERFORMANCE BOND**To be provided within 21 days of Contract effective start date**

(Pursuant to Government Code Section 11380.1)

IN WITNESS WHEREOF, We have hereunto set our hands and seals on this

_____ day of _____, 20____.

Correspondence or claims relating to this bond should be sent to the surety at the following address:

Contractor

_____ (SEAL)

Name of Surety

By _____

Attorney-in-fact

NOTE: Signatures of those executing for the surety must be properly acknowledged.

CERTIFICATE OF ACKNOWLEDGMENT

STATE OF CALIFORNIA

COUNTY OF _____

On this _____ day of _____ in the year 20 ____ before me, a notary public
in and for the county and state aforesaid, personally appeared,_____ and known to me to
be the attorney-in-fact of __________ and acknowledged to me that he subscribed the
name of the said company there to as surety, and his own name as attorney-in-fact.

_____ (SEAL)

Notary Public

FORM V.4 Disabled Veteran Business Enterprise (DVBE) Declarations

Refer to the following website link to obtain the STD. 843 form:

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

For additional information about the DVBE program and its requirements refer to the following website:

<http://www.pd.dgs.ca.gov/dvbe/default.htm>

This page intentionally left blank.

FORM V.5 Bidder Declaration Form (M)

Refer to the following website link to obtain the GSPD-05-105 form:

<http://www.documents.dgs.ca.gov/pd/delegations/GSPD105.pdf>

This page intentionally left blank.

FORM V.6 Commercially Useful Function Certification

Date: _____

Name of Bidder: _____

On January 1, 2004, Chapter 623, Statutes of 2003, became effective and required all small businesses (SB), micro-businesses (MB), and disabled veteran business enterprises (DVBE) 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 obligation by actually performing, managing or supervising the work involved.
- Performs work that is normal for its business, services and function.
- 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 confirmation for each SB, MB, or DVBE Subcontractor identified on the Bidder Declaration form. The written confirmation must detail the role, services, and/or goods the Subcontractor(s) will provide, the term of intended subcontract with the SB/DVBE, anticipated dates the SB/DVBE will perform required work, the percentage of the contract amount to be paid to the SB/DVBE. If further verification is necessary, the State may obtain additional information to verify compliance with the above requirements.

Note: The Commercially Useful Function Certification must not include any cost figures.

[INSERT WRITTEN STATEMENT HERE]

Sincerely,

Name

Date

Company

Phone

Fax

This page intentionally left blank.

FORM V.7 Seller's Permit

Contract award is conditional on the Bidder providing the following:

- A copy of the retailer's seller's permit or certification of registration; and
- If applicable, the permit or certification of all participating affiliates, issued by California's State Board of Equalization (BOE).

In order to expedite the process of verifying the validity of the Seller's Permit, please provide the Board of Equalization (BOE) permit number in the space provided below:

BOE PERMIT NUMBER: _____

This page intentionally left blank.

FORM V.8 Target Area Contract Preference Act (TACPA) Form

Refer to the following website link to obtain the appropriate form:

<http://www.documents.dgs.ca.gov/osp/pdf/std830.pdf>

This page intentionally left blank.

FORM V.9 Enterprise Zone Act (EZA) Form

Refer to the following website link to obtain the appropriate form:

<http://www.documents.dgs.ca.gov/osp/pdf/std831.pdf>

This page intentionally left blank.

FORM V.10 Local Agency Military Base Recovery Act (LAMBRA) Form

Refer to the following website link to obtain the appropriate form:

<http://www.documents.dgs.ca.gov/osp/pdf/std832.pdf>

This page intentionally left blank.

FORM V.11 Bidder's Summary of Contract Activities and Labor Hours

Refer to the following website link to obtain the appropriate form:

<http://www.documents.dgs.ca.gov/pd/edip/bidsum1001.pdf>

This page intentionally left blank.

FORM V.12 Manufacturer's Summary

Refer to the following website link to obtain the appropriate form:

<http://www.documents.dgs.ca.gov/pd/dispute/mfgsum1001.pdf>

This page intentionally left blank.

FORM V.13 Certification Regarding Debarment

Page 1 of 3

This certification is required by the regulations implementing Executive Order, 12549, Debarment and Suspension, 29 CFR Part 98, Section 98.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988, Federal Register (Pages 19160-19211).

(Before completing certification, read the instructions on the next page. They are an integral part of the certification.)

The prospective recipient of Federal assistance funds certifies, by submission of this Proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

Where the prospective recipient of Federal assistance funds is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this Proposal.

Name and Title of Authorized Representative _____

Signature/Date _____

This page intentionally left blank.

INSTRUCTIONS FOR CERTIFICATION REGARDING DEBARMENT

Page 2 of 3

- 1) By signing and submitting this Proposal, the prospective recipient of Federal assistance funds is providing the certification as set out below.
- 2) The certification in this clause is material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of Federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Department of Labor (DOL) may pursue available remedies, including suspension and/or debarment.
- 3) The prospective recipient of Federal assistance funds shall provide immediate written notice to the person to whom this Proposal is submitted if at any time the prospective recipient of Federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- 4) The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules and implementing Executive Order 12549. You may contact the person to whom this Proposal is submitted for assistance in obtaining a copy of those regulations.
- 5) The prospective recipient of Federal assistance funds agrees by submitting this Proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the DOL.
- 6) The prospective recipient of Federal assistance funds further agrees by submitting this Proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions," without modification, in all lower tier covered transaction and in all solicitations for lower tier covered transactions.
- 7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the List of Parties Excluded from Procurement or Non-procurement Programs.

8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9) Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the DOL may pursue available remedies, including suspension and/or debarment.

FORM V.14 Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that:

- 1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- 3) The undersigned shall require that the language of this certification be included in the award documents for all* sub-awards at all tiers (including subcontracts, sub-grants and contracts under grants, loans, and cooperative agreements) and that all* sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Grantee/Contractor Organization: _____

Program/Title: _____

Name and Title of Authorized Signatory: _____

Signature: _____

Date: _____

*Note: In these instances, "All," in the Final Rule is expected to be clarified to show that it applies to covered contract/grant transactions over \$100,000 (per OMB).

This page intentionally left blank.

FORM V.15 Final Proposal Certification

Date: _____

Name of Bidder/Subcontractor: _____

Address of Bidder/Subcontractor: _____

Phone Number: _____

Reference: RFP-CDE-6110-98

This is to notify you that (insert company's name) agrees to all the terms and conditions of this RFP and by signing below certifies that all applicable requirements are met.

Sincerely,

Signature_____
Date_____
Printed Name and Title_____
Company_____
Phone_____
Fax

This page intentionally left blank.

FORM V.16 Contractor Information Form

Use this form to provide information about the Primary Contractor and ALL Subcontractors being proposed as part of this Proposal who are expected to receive 10% or more of the proposed total cost. **A separate form must be provided for each company.**

Contractor Information Form	
☐ Primary Contractor	OR ☐ Subcontractor
Company Name:	
Company Mailing Address:	
Company Contact Person and Title:	
Contact: Telephone Number:	
Contact Fax Number:	
Contact Email Address:	
Number of years in business:	
Number of years in business delivering services consistent with company's proposed role on this project:	
Total number of employees in the company:	
Gross revenue for the prior FY (in US dollars):	
Percentage of gross revenue generated delivering services consistent with company's proposed role on this project:	
Brief history and background about the company:	
Services and products offered by the company:	
Company's HQ office location and closest office for local presence purposes:	

This page intentionally left blank.

FORM V.17 Secretary of State Status

Refer to the following website links to verify status and obtain the required document:

<http://kepler.ss.ca.gov/>

http://www.sos.ca.gov/business/pdf/be_ircform.pdf

This page intentionally left blank.

FORM V.18 Payee Data Record

Refer to the following website link to obtain the appropriate form:

<http://www.documents.dgs.ca.gov/osp/pdf/std204.pdf>

This page intentionally left blank.

FORM VI.1 Project Reference Form

Purpose: This reference Form will be used to evaluate Experience and Reference Requirements for the Bidder/Subcontractor(s) and the Project Manager/Technical Architect Team Member candidates.

Instructions: The Reference must be an individual who was the project's Sponsor, Project Manager, or individual who had oversight responsibilities for Bidder/Subcontractor/Team Member's performance on the project. A single Reference may be used to satisfy multiple requirements.

Bidder must select references whose projects will demonstrate the Bidder/Subcontractor/Team Member's ability to meet the following experience requirements:

- § Experience implementing new custom system development projects
- § Experience implementing web-based systems
- § Experience utilizing structured System Development Life Cycle (SDLC) methodology techniques
- § Experience with the proposed products and tools
- § Experience with Financial and Accounting systems
- § Experience with systems with a Workflow component
- § (Optional) Experience with State of California system development projects, contracts or agreements management, DTS (now OTech), the SCO, and/or EFT

This page intentionally left blank.

Form VI.1 Project Reference Form**Bidder:**

Mark an "X" in the box below that identifies the subject of this Reference

☐

Bidder :

Bidder Contact Name:

☐

Subcontractor:

Subcontractor Contact Name:

☐

Team Member (Project Manager or Technical Architect Name):

Phone:

Email:

Client Reference Information

Client Name:

Client Address:

Client Contact Name:

Title:

Phone #:

Email:

Alternate Client Contact Name #1:

Title:

Phone #:

Email:

Alternate Client Contact Name #2:

Title:

Phone #:

Email:

Form VI.1 Project Reference Form**Bidder:****Project Information**

Project Title:

Project Description:

Total Estimated Cost (Contract Value):

Total Actual Cost:

Project Start Date:

Project Completion Date:

Check all that apply:

☐

Custom System Development

☐

Web-based applications

Bidder/Subcontractor Only:

Bidder/Subcontractor Firm's Role/Involvement:

Total Bidder's/Subcontractor's Share of Contract Value:

Team Member Only:

Team Member's Role:

Team Member's Total Hours:

Dates Team Member performed this Role for this Project:

FORM VI.2 Project Team Skills Matrix

Purpose: This Form is used to summarize each Team Member's experience in the five skill domains identified as being most relevant to this Project.

Instructions: Each row must identify a Project Team Member, including the Project Manager, and their proposed Role. All Proposed Team Members must be included on this Form.

For each Team Member, identify the Team Member Project number(s) (e.g., T1, T2, etc.) identified on Form VI.5 Team Member Experience Form for each project in which the Team Member has direct deployment experience.

This information may be validated against Team Member resumes.

This page intentionally left blank.

Form VI.2 Project Team Skills Matrix

Project Team Member	Project Role	1 Custom System Development	2 Web-Based Applications	3 Financial Systems (Payment Processing, A/R, Auditing)	4 Workflow Management	5 Contracts/Agreement Management

This page intentionally left blank.

FORM VI.3 Products and Tools Experience Matrix

Purpose: This Form is used to identify all significant products and tools proposed by the Bidder and to identify those Team Members with experience with each.

Instructions: Use the matrix below to indicate the Bidder's and Team Members' direct experience with the specific products or product family components, in the case of product suites, that are ***significant to the Bidder's proposed solution***.

Each column must identify the Bidder Firm or a proposed Team Member, including the Project Manager. All proposed Team Members must be included in the matrix.

Each row must identify a significant product proposed in Bidder's solution.

For each product, identify the Bidder Project number(s) (e.g., B1, B2, etc) identified on Form VI.4 Bidder Experience Form and/or the Team Member Project number(s) (e.g., T1, T2, etc.) identified on Form VI.5 Team Member Experience Form for each project in which the Bidder Firm or Team Member has direct deployment experience.

Products and Tools listed on this matrix should also be included in Form VI.6 Proposed Hardware and Software

This page intentionally left blank.

Form VI.3 Products and Tools Experience Matrix					
	<i>Bidder Firm</i>	<i>Team Member #1</i>	<i>Team Member #2</i>	<i>...</i>	<i>Team Member #n</i>
<i>Product #1</i>	<i>B1, B3</i>	<i>T2, T4</i>	<i>T1</i>		
<i>Product #2</i>					
<i>Product #3</i>					
<i>Etc.</i>					

This page intentionally left blank.

FORM VI.4 Bidder Experience Form

Purpose: The purpose of this Form is to identify the Bidder's overall experience relevant to the needs of this project.

Instructions: Uniquely identify each project using the letter "B" (for "Bidder") followed by a sequential number starting with "1" (e.g., B1, B2, etc.).

Identify each client and contact information (name, phone, email address).

Identify the project name and provide a project description in sufficient detail for CDE to evaluate Bidder's experience related to the Business Requirements: Bidder Qualifications, particularly including the identification of proposed products and tools used, experience with financial and accounting systems, workflow, SCO, and EFT.

Identify the project duration using month and year for the project start and end dates.

Indicate with an "X" those qualities that apply to the project.

Please delete example rows prior to submitting the Form.

Enter the total number of years experience in each experience area. Enter overall total years experience under "Project Duration" column.

CDE may contact the Client(s) to confirm claimed experience to determine Bidder's requirement score for specific requirements.

Bidder may use multiple pages, if needed.

This page intentionally left blank.

Form VI.4 Bidder Experience Form

Bidder:

Project #	Client and Contact Information	Project Name and Description	Project Duration	New Custom System Development	Web-Based Applications	SDLC Methodology
B1	<i>e.g., CA Department of Health</i> John Smith <i>(212-555-9000)</i> JSmith@company.com	<i>Name and Description of Project</i>	<i>05/95 – 08/97</i>	X		X
Total Years Relevant Experience			2	2		2

This page intentionally left blank.

FORM VI.5 Team Member Experience Form

Purpose: The purpose of this Form is to identify all relevant projects, their duration, and contacts used to evaluate Project Team Member experience in the role for which the Team Member is being proposed.

Instructions: Bidder must complete a Form VI.5 Team Member Experience Form for each proposed Team Member to demonstrate the Candidates experience in the role for which the candidate is proposed. Please see Appendix C Business Requirements: Project Team, Requirements C.2.6 – C.2.12 for specific requirements for each role.

In the Form header identify the Team Member the Team Member's proposed role for this Project.

Each row should uniquely identify a project using the letter "T" (for "Team Member") followed by a sequential number starting with "1" (e.g., T1, T2, etc.). For each project listed, indicate the client name and contact information (name, phone, email address), project name, start and end dates the candidate performed the role, and the total duration of the Team Member's experience.

Please delete example rows prior to submitting the Form.

Projects identified on this Form must be included in the Candidate's resume and be described in sufficient detail for CDE to evaluate the Team Member's experience related to the Business Requirements: Project Team, particularly including the identification of proposed products and tools used, experience with financial and accounting systems, workflow, SCO, EFT, contracts and agreements management, and experience with DTS/OTech.

CDE may contact the Client(s) to confirm claimed experience.

Bidder may use multiple pages, if needed.

This page intentionally left blank.

Form VI.5 Team Member Experience Form

Team Member Name:

Proposed Role:

Project #	Contact Name/Phone/Email	Project Name	Role Start/End Dates	Role Duration (Years)
<i>T1</i>	<i>e.g., CA Department of Health John Smith (212-555-9000) JSmith@companyname.com</i>	<i>Project Name</i>	<i>01/96 – 12/98</i>	<i>3 years</i>
Total Years Experience in Role				

This page intentionally left blank.

FORM VI.6 Proposed Hardware and Software

Purpose: The purpose of this Form is to identify all proposed hardware and software in a single location to help ensure all elements are included. All items listed here should also be listed on the appropriate Cost Workbook Sheet.

Instructions: Identify all hardware and software items, with manufacturer and specifications required to fully implement the proposed solution. Identify the quantity of each item needed. This Form will be used as a crosscheck to the Cost Workbook to ensure all necessary products are included.

Please delete example rows prior to submitting the Form.

This page intentionally left blank.

[illegible]

This page intentionally left blank.

Appendix C Detailed Business, Functional, and Technical Requirements

This Appendix provides all the detailed business, functional, and technical requirements that must be addressed by the Bidder's proposed solution and Proposal response. It is intended for use by the Bidder, in conjunction with RFP SECTION IV PROPOSED SYSTEM, RFP SECTION VI BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS, and RFP SECTION IX PROPOSAL EVALUATION as a tool to aid in the preparation of a responsive Final Proposal.

BIDDER INSTRUCTIONS: Bidder must complete this Appendix C and include it with their Proposal, as described in RFP SECTION VIII PROPOSAL FORMAT. Bidder must indicate their compliance with all Mandatory requirements by responding to C.0 Bidder/Subcontractor Response to Mandatory Requirements with either "Yes" or "No". A "No" response is considered non-responsive and the Proposal will be disqualified.

Requirements that refer to the "Bidder" must be met through the Bidder's Proposal response. Requirements that must be met by the successful Bidder during the contract period are included in Appendix A.1 Model Contract and Attachments System Implementation (Products & Services).

"Successful", "Fully", and "Complete" with regard to experience with, development of, implementation of, or management of systems projects is defined as "the system is in production and is being utilized by the users as the system of record." These and all other definitions of terms used in this RFP can be found in Appendix F [Glossary of Terms](#).

The following information is included in this Appendix:

Req ID: Each requirement has a unique identifying number. Requirements are numbered sequentially within the categories defined in RFP SECTION VI BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS. Bidders may not alter requirement numbers.

Requirement: The text of the requirement.

Scoring Type: For the purpose of evaluating and scoring Proposals, requirements are designated as follows:

- Requirements identified with an "**M**" are **Mandatory**, and will not be scored. Answering "No" to any of these requirements will result in a Proposal being deemed non-responsive and, therefore, will be disqualified.

- Requirements identified with an **“MS”** are **Mandatory Scorable**, and will be scored based on the defined requirement and evaluation criteria set forth in RFP SECTION IX PROPOSAL EVALUATION. Answering “No” to any of these requirements will result in a Proposal being deemed non-responsive and, therefore, will be disqualified.
- Requirements identified with a **“DS”** are **Desirable Scorable**, where the Bidder may choose to respond to the requirement, or not. If the Bidder responds to requirements listed with a “DS”, then the requirement will be scored based on the defined requirement and evaluation criteria set forth in RFP SECTION IX PROPOSAL EVALUATION. Bidder must also identify separate costs to meet any “DS” requirement.
- Requirements identified with a **“MO”** are **Mandatory Optional**, where it is mandatory for the Bidder to respond to and provide a separate cost to meet the requirement but the decision whether or not to purchase and execute the requirement is at the sole discretion of the CDE and will be determined during contract negotiations.

***Note:** Some requirements include a combination of “MS” and “DS” scoring. This means that the Bidder **MUST** meet the “MS” portion and will be awarded points based on the evaluation criteria for the “MS” portion of the requirement, and that the Bidder **MAY** meet the “DS” portion and be awarded additional points based on the evaluation criteria for the DS portion of the requirement, as identified in RFP SECTION IX PROPOSAL EVALUATION.

Scoring: Please see RFP Section IX.G Bidder Checklists for the scoring criteria and allocation of points for each scored requirement.

Max Points: The maximum possible points that a Bidder may be awarded for the scoring type indicated. Specific scoring criteria and point breakdown is provided in RFP SECTION IX PROPOSAL EVALUATION.

Bidder Reference: If appropriate the Bidder must reference within its Proposal the location(s) of the Bidder's response and for each applicable exhibit or attachment that describes and supports the existence of the functionality to meet the referenced requirement. Bidder must provide Reference numbers that follow a logical sequence and are easy to reference back to a specific numbered requirement. The Reference Number must include the Volume number and specific Section or Subsection number (e.g., Volume IV, Subsection A.9 – A.12).

Functional Requirements are categorized in the following way:

- **General Requirements:** Most requirements addressing the business functions to be addressed by PARI\$.
- **Report Requirements:** Those requirements to produce on-screen or hard-copy output that is used by management or others in tracking or decision-making. Reports consist primarily of data stored in the PARI\$ database and may involve calculations.

- **Letter Requirements:** Those requirements that create correspondence that combine textual verbiage with some minimal data populated from the PARI\$ database, which can be identifying data (e.g., agency, address) or information related to agreement activity (e.g., dates, agreement amounts).
- **Worksheet Requirements:** Those requirements that receive user input of data, which is not only stored in the database but also used to perform complex calculations. Worksheets may be viewed online or printed.

This page intentionally left blank.

C.0 Bidder/Subcontractor Response to Mandatory Requirements

Company Name:

Requirement	Bidder Response (Yes/No)
Bidder/Subcontractor agrees to meet ALL Mandatory ("M", "MS", and "MO") Business, Functional, and Technical requirements for RFP CDE 6110-98, as described in this Appendix C Detailed Business, Functional, and Technical Requirements . A "Yes" response indicates that the Bidder's proposed solution fully meets all Mandatory requirements. . If a Bidder/Subcontractor does not respond "YES" this is considered non-responsive and the Proposal will be disqualified.	

C.1 Business Requirements: Bidder Qualifications				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.1.1	Bidder must complete and provide a copy of C.0 Bidder/Subcontractor Response to Mandatory Requirements for the Bidder and for each Subcontractor whose project involvement exceeds ten percent (10%) of the proposed Total Cost. The company name must be identified in the header of the Table.	M		
C.1.2	Bidder's firm must have been in existence for a minimum of five (5) years prior to the due date of the Final Proposal to ensure corporate stability. To comply with this requirement Bidder must submit a completed Appendix B FORM V.16 Contractor Information Form.	M, DS	10	
C.1.3	Bidder and any Subcontractors must not have any contract terminations for default in the last five (5) years.	M		
C.1.4	Bidder must identify and describe any current, known, or pending lawsuits involving Bidder and/or any Subcontractors. Bidder and all Subcontractors must not have any known or pending lawsuits that may inhibit or infringe upon its ability to perform under the Terms and Conditions of this contract, as evaluated by CDE.	M		
C.1.5	Bidder/Contractor must be a single supplier and will be responsible for the integration, coordination, installation, and implementation of the entire solution and for delivery of all proposed elements and results.	M		
C.1.6	Bidder must have a minimum of five (5) years of successful experience managing and fully implementing systems development and implementation projects that include at the minimum: • New custom system development projects; • Web-based applications; and • Utilizing SDLC methodology techniques.	M, DS	120	

C.1 Business Requirements: Bidder Qualifications				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	“Successful experience” is defined as “the system is in production and is being utilized by the users as the system of record.” To comply with this requirement Bidder must provide a completed Appendix B FORM VI.4 Bidder Experience Form.			
C.1.7	Bidder should have experience developing and fully implementing completed web-based systems using the proposed products and tools, as identified on Appendix B FORM VI.3 Products and Tools Experience Matrix and a completed Appendix B FORM VI.4 Bidder Experience Form. CDE may validate claimed experience with References or Contacts identified.	M, DS	35	
C.1.8	Bidder must have successful experience managing and fully implementing financial and accounting systems projects that include accounts receivable, payment processing, and auditing components. “Successful experience” is defined as “the system is in production and is being utilized by the users as the system of record.” To comply with this requirement Bidder must provide a completed Appendix B FORM VI.4 Bidder Experience Form. Bidder must identify the Project number of projects that should be used to evaluate Bidder’s experience for this requirement. CDE may validate claimed experience with References or Contacts identified.	M, DS	40	
C.1.9	Bidder must have successful experience implementing completed systems that include a workflow component.	M, DS	20	

C.1 Business Requirements: Bidder Qualifications				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	“Successful experience” is defined as “the system is in production and is being utilized by the users as the system of record.” To comply with this requirement Bidder must provide a completed Appendix B FORM VI.4 Bidder Experience Form. Bidder must identify the Project number of projects that should be used to evaluate Bidder’s experience for this requirement. CDE may validate claimed experience with References or Contacts identified.			
C.1.10	Bidder should have experience with projects that included State Controller’s Office (SCO) claims processing. To comply with this requirement Bidder must provide a completed Appendix B FORM VI.4 Bidder Experience Form. Bidder must identify the Project number of projects that should be used to evaluate Bidder’s experience for this requirement. CDE may validate claimed experience with References or Contacts identified.	DS	10	
C.1.11	Bidder should have experience with projects that included EFT. To comply with this requirement Bidder must provide a completed Appendix B FORM VI.4 Bidder Experience Form. Bidder must identify the Project number of projects that should be used to evaluate Bidder’s experience for this requirement. CDE may validate claimed experience with References or Contacts identified.	DS	10	
Maximum Total Points Bidder Qualifications:			245	

C.2 Business Requirements: Project Team				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.2.1	Bidder must identify and describe proposed team roles and responsibilities. The minimum expected team roles are identified in TABLE VI-1 PROJECT TEAM ROLES AND RESPONSIBILITIES.	M, DS	10	
C.2.2	Bidder must provide an organization chart that identifies the proposed team members who will fulfill the identified project team roles. The organization chart must include the Bidder and State provided resources as per Exhibit A-1 State Provided Project Resources to provide the CDE an understanding as to how the Bidder envisions utilizing resources.	M		
C.2.3	Bidder must propose a project team with sufficient team members with experience in the skill domains CDE believes to be necessary to successfully implement the Bidder's proposed solution. To comply with this requirement Bidder must provide a completed Appendix B FORM VI.2 Project Team Skills Matrix and a completed resume for each proposed team member that may be used to confirm claimed experience.	M, DS	30	
C.2.4	Bidder must provide, for each proposed Team Member: • A resume that includes relevant education, experience, and qualifications, including dates and that describes Team Member's role in all relevant jobs or projects in sufficient detail for the CDE to confirm the validity of the team member's experience claimed by the Bidder in other Experience requirements; and • A completed Appendix B FORM VI.5 Team Member Experience Form that reflects the Team Member's experience relevant to his or her proposed role. Bidder responses to Experience requirements that cannot be substantiated by the provided resumes will not be awarded points. The State reserves the right to contact any and all of the customers referenced to validate the information provided on the Project Team Member Experience Forms.	M		

C.2 Business Requirements: Project Team				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.2.5	Bidder must propose only one (1) Project Manager, who serves only in that role, has PMP-certification or the equivalent from PMI or an equivalent organization, and is in good standing (has a current Certificate), with a minimum of 10 years managing software development and implementation projects that includes at the minimum, overall experience: • Managing systems development projects; • Performing quality assurance activities; • Managing the implementation of new systems; • Managing financial and accounting systems development and implementation projects; • With projects that include a workflow component; • Managing the implementation of web-based systems; and • Utilizing structured project management and SDLC methodology techniques. Desirable experience includes experience with State of California system development projects, contracts or agreements management, DTS (now OTech), the SCO, and/or EFT To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Project Manager. Bidder must identify the Project number of projects that should be used to evaluate the proposed Project Manager's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts. Bidder must also provide evidence of the proposed Project Manager's current certification with PMI or an equivalent organization.	M, MS, DS	130	

C.2 Business Requirements: Project Team				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.2.6	Bidder must propose only one (1) Technical Architect with a minimum of 10 years overall experience designing and implementing technical infrastructures to support application and database implementation. Concurrent with or in addition to the overall experience, the Technical Architect must have a minimum of 5 years of design and/or implementation experience that includes, at the minimum: • Developing Technology Architecture Plans; • Architecting financial and accounting systems; • Architecting systems with a workflow component; • Designing web-based applications; • Participating in the transition and conversion to the new environment; • Implementing proposed hardware components; • Implementing proposed software components; and • Implementing proposed network/internet components. Desirable experience includes experience with State of California system development projects, contracts or agreements management, DTS (now OTech), the SCO, and/or EFT, and use of the Embarcadero modeling tool. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Technical Architect. Bidder must identify the Project number of projects that should be used to evaluate the proposed Technical Architect's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts.	M, MS, DS	125	
C.2.7	Bidder must propose only one Quality Assurance Manager with a minimum of 5 years overall quality assurance experience that includes, at the minimum:	M, MS, DS	80	

C.2 Business Requirements: Project Team

Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	• Providing necessary definition, development and deployment of a product quality assurance strategy, addressing all phases of product development; • Managing Team Leads, Engineers and Testers to ensure quality practices are followed; • Maintaining product consistency throughout product cycle, to include the design, define and build phases through quality checkpoints and testing; • Developing and managing quality assurance metrics; • Implementing ongoing quality improvement processes; • Managing and responding to Software Quality Assurance issues with related groups such as Development, Database, Integration, and Customer Support, etc.; • Assuring the viability, functionality and effectiveness of essential system functionality; and • Anticipating release problems and taking corrective action, escalating as needed, to resolve and achieve commitments. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Quality Assurance Manager. Bidder must identify the Project number of projects that should be used to evaluate the proposed Quality Assurance Manager's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts.			

C.2 Business Requirements: Project Team				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.2.8	Bidder must propose a Systems/Business Analyst with a minimum of 5 years experience: • Assessing current systems and processes; • Developing and validating business requirements and business rules; • Developing detailed system design documentation; • Assisting in the design of system components (e.g., modules, screens/forms, reports, etc.); and • Designing web-based applications. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Systems/Business Analyst(s). Bidder must identify the Project number of projects that should be used to evaluate the proposed Systems/Business Analyst's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts.	M, MS, DS	55	
C.2.9	Bidder must propose an Application Developer with a minimum of 5 years experience: • Developing application programs and modules in the software language proposed by the Bidder; • Implementing the reporting tool proposed by the Bidder; • Designing and developing standard reports, letters, screens and forms using the products and tools proposed by the Bidder; and • Utilizing the DBMS proposed by the Bidder. To comply with this requirement Bidder must provide a completed Form VI.5 Team	M, MS, DS	55	

C.2 Business Requirements: Project Team				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	Member Experience Form and resume for the proposed Application Developer(s). Bidder must identify the Project number of projects that should be used to evaluate the proposed Application Developer's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts.			
C.2.10	Bidder must propose Tester(s), who do not serve in the Application Developer role for this project, and who has a minimum of 5 years experience: • Developing test plans; • Developing test cases; • Testing financial and accounting systems; • Performing unit testing (if applicable to Tester's role in project); • Performing systems integration testing (if applicable to Tester's role in project); and • Testing data conversion. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Tester(s). Bidder must identify the Project number of projects that should be used to evaluate the proposed Tester's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts.	M, MS, DS	35	
C.2.11	Bidder must propose a Trainer with a minimum of 5 years experience: • Developing training curriculum for software training; • Developing training materials for software training; • Conducting training of financial and accounting systems; • Conducting software training classes for groups of ten (10) persons or more; and	M, MS, DS	35	

C.2 Business Requirements: Project Team				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	• Conducting training classes for the proposed software products. To comply with this requirement Bidder must provide a completed Form VI.5 Team Member Experience Form and resume for the proposed Trainer(s). Bidder must identify the Project number of projects that should be used to evaluate the proposed Trainer's experience for each element of this requirement. CDE may validate claimed experience with the resume or project contacts.			
Maximum Total Points Project Team:			595	

C.3 Business Requirements: References				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.3.1	Bidder must have successfully completed <u>three</u> (3) IT implementation projects that include custom system development and web-based applications, each valued at a minimum of \$300K, and completed within seven (7) years of the Final Proposal submission date. To comply with this requirement the Bidder must provide a completed Appendix B FORM VI.1 Project Reference Form, for each of three (3) relevant Bidder customer references. Each reference must be an individual who was the project's Sponsor, Project Manager, or individual who had oversight responsibilities for Bidder performance on the project. The State reserves the right to contact any and all references to validate the Bidder's response to the RFP. If the Bidder's response cannot be validated by the references provided, the Proposal may be deemed non-responsive and be disqualified for each relevant Bidder customer reference. Each reference must be an individual who was the project's Sponsor, Project Manager, or individual who had oversight responsibilities for Bidder performance on the project.	M, MS	120	
C.3.2	Project Manager must have successfully managed <u>three</u> (3) completed IT implementation projects that include custom system development and web-based applications, each valued at a minimum of \$300K, and completed within seven (7) years of the Final Proposal submission date. To comply with this requirement the Bidder must provide a completed Appendix B FORM VI.1 Project Reference Form, for each of three (3) relevant customer references. Each reference must be an individual who was the project's Sponsor, Project Manager, or individual who had oversight responsibilities for Bidder performance on the project.	M, MS	120	

C.3 Business Requirements: References				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	The State reserves the right to contact any and all references to validate the Bidder's response to the RFP. If the Bidder's response cannot be validated by the references provided, the Proposal may be deemed non-responsive and be disqualified.			
C.3.3	Technical Architect must have successfully architected <u>three</u> (3) completed IT implementation projects that include custom system development and web-based applications, each valued at a minimum of \$300K, and completed within seven (7) years of the Final Proposal submission date. To comply with this requirement the Bidder must provide a completed Appendix B FORM VI.1 Project Reference Form, for each of three (3) relevant customer references. Each reference must be an individual who was the project's Sponsor, Project Manager, or individual who had oversight responsibilities for Bidder performance on the project. The State reserves the right to contact any and all references to validate the Bidder's response to the RFP. If the Bidder's response cannot be validated by the references provided, the Proposal may be deemed non-responsive and be disqualified.	M, MS	120	
Maximum Total Points References:			360	

C.4 Business Requirements: Project Management and Solution				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.4.1	Bidder must propose an all-inclusive solution that is designed to support the vision provided in SECTION IV PROPOSED SYSTEM and satisfy all mandatory business, functional, and technical requirements identified in SECTION VI BUSINESS, FUNCTIONAL, AND TECHNICAL REQUIREMENTS. Bidder must provide an overview of the proposed solution in sufficient detail to allow the State to assess the Bidder's understanding of the CDE's needs and develop a solution tailored to meet those needs. The proposed solution must provide functionality that fully supports the major processes discussed in SECTION IV PROPOSED SYSTEM.	MS, DS	190	
C.4.2	Bidder must provide a list and description of proposed deliverables that includes, at a minimum, the deliverables as identified and described in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	85	
C.4.3	Bidder must describe the proposed approach to effectively managing the project. Bidder must provide an outline of the proposed Project Management Plan as described in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	100	
C.4.4	Bidder must describe the proposed approach to System Security and must provide an outline of the proposed System Security Management Plan as described in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	50	
C.4.5	Bidder must describe the proposed approach to Project Implementation and must provide an outline of the proposed Project Implementation Plan as described in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	100	
C.4.6	Bidder must provide a Draft Work Plan with Project Schedule that meets the requirements of this RFP and the dates identified in SECTION I.G KEY ACTION DATES and includes, at a minimum, all project phases, stages, tasks, subtasks, respective start and end dates and duration, dependencies, resource allocations, deliverables, and key milestones, including procurement, receipt, and installation dates for hardware, software, and network as applicable.	M, MS, DS	75	

C.4 Business Requirements: Project Management and Solution				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.4.7	Bidder must show traceability from the proposed Work Plan to the scope of work defined in both the RFP and the Bidder's Proposal and must agree to maintain the traceability throughout the project.	M		
C.4.8	Bidder must agree to be responsible for managing all contracted and subcontracted resources.	M		
Maximum Total Points Project Management and Solution:			600	

C.5 Business Requirements: Other				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.5.1	Bidder must describe the comprehensive Tracking System that it proposes for tracking at least the following items through all stages of the Project: • Identification of the defect and tracking number; • Narrative description of the defect; • The date the defect is identified; • Who identified the defect; and • Defect disposition for at least the following metrics: • Open Defects by severity; • Open Defects by code module or functionality component; • Open Defect density (Defects per lines of code) over time; and • Requirement changes (pending, approved, rejected).	M, DS	30	
C.5.2	Bidder must describe its proposed system design and development methodology in sufficient detail for the State to assess the Bidder's knowledge of, and intended approach to system design and development. At a minimum the Bidder's response must: • Describe a structured, documented, and proven approach that is generally accepted as an industry standard; • Address working with key PARI\$ stakeholders within CDE and OTech; • Address developing detailed functional and technical requirements through the use of Joint Application Development sessions or other requirements gathering approach that is considered an industry standard; • Include tasks to perform a detailed system design, including an in-depth analysis of	M, DS	60	

C.5 Business Requirements: Other				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	validation and business rules; and • Include tasks to conduct a detailed report analysis to validate the contents of reports and the optimal way to generate the report with the greatest level of flexibility using various data points and report generation parameters.			
C.5.3	Bidder must provide an outline of its proposed Requirements Management Plan as defined in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	20	
C.5.4	Bidder must provide an outline of its proposed Detailed System Design Document as defined in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	20	
C.5.5	Bidder must provide an outline of its proposed System Development Plan as defined in TABLE VI-2 PROJECT DELIVERABLES, in sufficient detail for the State to assess the Bidder's knowledge of the SDLC and its approach to systems development.	M, DS	20	
C.5.6	Bidder must provide a description of its approach toward Data Conversion and an outline of its proposed Transition and Conversion Plan as described in TABLE VI-2 PROJECT DELIVERABLES, in sufficient detail for the State to assess the Bidder's knowledge of and intended approach to Data Conversion. Bidder's response must include, at a minimum, descriptions of the following deliverables, as described in TABLE VI-2 PROJECT DELIVERABLES: • Data Mapping Document; • Data Conversion Software; • Data Conversion Results Report; and • A Cutover Checklist.	M, DS	50	
C.5.7	Bidder must propose a comprehensive testing strategy to meet and support all of the Functional Requirements identified in Appendix C.6 – C.20 and must provide an outline of its System Test Plan, as defined and described in TABLE VI-2 PROJECT DELIVERABLES. Bidder's response must address at a minimum, the System and	M, DS	50	

C.5 Business Requirements: Other				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	Integration Test Environment and Detailed System and Integration Test Plans and Results, as described in TABLE VI-2 PROJECT DELIVERABLES.			
C.5.8	Bidder must describe its approach to Training and provide an outline of its proposed Training Plan, as described in TABLE VI-2 PROJECT DELIVERABLES. Bidder's response must address at a minimum, training methods, materials, aids, and participants, as described in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	50	
C.5.9	Bidder must describe its proposed Functional End-User Training for up to 100 CDE staff members, and must address, at a minimum: • All PARI\$ modules and functions; • Use of tools; • Multiple training techniques (e.g., (formal classes, online tutorial, written tutorial); • Methods of ensuring CDE ability to conduct ongoing training; and • Training aids or materials, including, at a minimum, a User Manual and Operations Manual, as described in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	30	
C.5.10	Bidder must describe its proposed Technical Training for up to 10 State staff, which must include, at a minimum: • PARI\$ System Architecture Training; • PARI\$ System Maintenance and Operations Training; and • PARI\$ System Administration Training.	M, DS	35	
C.5.11	Bidder must describe its proposed approach to User Acceptance Testing. Bidder's response must include at a minimum, an outline of its proposed Detailed User Acceptance Test Plan and overview of its proposed User Acceptance Testing Results deliverable, as described in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	50	

C.5 Business Requirements: Other				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.5.12	Bidder must propose and describe a structured implementation approach for the PARI\$ solution consistent with the Bidder's proposed Project Implementation Plan (PIP), and with the following goals in mind: • Reduce project risk; • Minimize operational disruption; and • Provide for the successful implementation of PARI\$. Bidder's response must address, at a minimum, Environment Readiness, as described in Exhibit VI-3, and proposed system documentation, to include, at a minimum, Systems Maintenance/Operations, Administration, Help Desk, and Architecture Manuals, as defined in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	55	
C.5.13	Bidder must describe the implementation phases, proposed schedule, impacted stakeholders (e.g., CDE, OTech), and system functionality at each implementation phase.	M, DS	40	
C.5.14	Bidder must describe the approach to providing Help Desk support to CDE through the maintenance period. The approach must address, at a minimum: • Description of the Help Desk services; • Overview of the Help Desk Manual as defined in TABLE VI-2 PROJECT DELIVERABLES; • Problem initiation, escalation, and resolution procedures; • Methods and service hours for contacting the Contractor with problems; and • Roles and responsibilities of OTech, the CDE, and the Contractor.	M, DS	30	
C.5.15	Bidder must describe its proposed approach to system acceptance and project closeout. At a minimum, the description must include a proposed Project Closeout Action List, as defined in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	30	

C.5 Business Requirements: Other				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.5.16	Bidder must provide an outline for its proposed System Maintenance Plan, as described in TABLE VI-2 PROJECT DELIVERABLES.	M, DS	30	
C.5.17	Bidder's Final Proposal must include one (1) year of software and hardware maintenance and operations that begins at System Acceptance.	M		
C.5.18	Bidder agrees to meet the State's Productive Use requirements as defined in SECTION VI.B.5 OTHER BUSINESS REQUIREMENTS.	M		
Maximum Total Points Other:			600	

C.6 Functional Requirements: General				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.6.1	Bidder must provide an overall description of its proposed solution with regard to delivering the proposed system as described in SECTION IV PROPOSED SYSTEM and with regard to meeting the functional requirements of this RFP as described in Appendix C.6 through Appendix C.20. Bidder must describe its solution in sufficient detail for the CDE to evaluate Bidder's understanding of the desired system, its features, and functionality. At a minimum, the Bidder's description of its proposed functional solution must address the following: • Functionality Related to the PARI\$ Business Functions, as described in SECTION III CURRENT SYSTEM; • Description of the Proposed PARI\$ System Application; • Workflow; • Software Features and Capabilities; • Reporting; • Online Access by Outside Entities.	MS	60	
C.6.2	The system must comply with California Government Code Section 11135 (Web Accessibility).	M		
C.6.3	The system must include user-friendly "Help" features that allows the user to search for help by entering one or more keywords whereby the system displays a list of help topics that match the search criteria, from which the user may select the topic desired or by viewing and selecting from an index of help topics. The system must also include mouse-over capability. Desirable characteristics of this feature include that the system will automatically display help text, descriptions associated with reference codes, and/or relevant function/feature definitions when the	M, DS	30	

C.6 Functional Requirements: General				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	cursor moves over a field. The ability to toggle this feature on or off at the user level is also desirable.			
C.6.4	The system must provide a user-friendly interface that consists of point and click functionality, an easy-to-navigate menu structure with pull down menu options, pick lists, and on-line window and field help, with visually distinguished optional and required fields.	MS	20	
C.6.5	The system must provide the capability for users to modify, add, and delete data (e.g., if a new child care and development program is created, a CDE user could add the program to the system rather than it requiring a programmer to add it.)	M		
C.6.6	The system must provide the ability for users to search, filter, or sort by any data field displayed on the page.	M		
C.6.7	The system must eliminate the need for users to re-key data that is already stored in the system and instead must automatically display the currently stored related information (e.g., display the stored agency name when the agency identifier is entered or selected from a drop down menu).	M		
C.6.8	The system must minimize the use of comment, reason, and other free-form text fields and use, where relevant, standardized responses, with maintainable reference tables whose values appear as options using drop down menus.	M		
C.6.9	The system must allow the user to print any form or letter with or without data.	M		
C.6.10	The system must allow the user to have the option to print attachments when printing agreements or other documents that have associated attachments.	M		
C.6.11	The system must provide the ability to include and store complex embedded formulas and calculations by FY and program type for any report or worksheet (e.g., Projected or Final Earnings Calculation Worksheet), which are configurable by the user without	M		

C.6 Functional Requirements: General				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	the aid of a programmer.			
Report Requirements				
C.6.12	The system must provide the ability to electronically identify and report on discrepancies between PARI\$ and downloaded California State Accounting and Reporting System (CALSTARS) data regarding encumbrances, disencumbrances, expenditures, abatements, receivables, and vendor information.	M		
Maximum Total Points Functional Requirements: General:			110	

C.7 Functional Requirements: Historical Tracking				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.7.1	The system must track the complete history of an agreement, amendment, or revision, including comments, and be able to identify its current activity status or where it is in the creation process (e.g., Contract Office review, fiscal processing, awaiting agency signature, awaiting agency response, routed for internal signature, accepted, deemed executed, executed, declined).	M		
C.7.2	The system must provide a mechanism to scan, store, log, and track the receipt and status of hard copy or emailed documents and associate them with an agency and/or agreement.	M		
C.7.3	The system must track the history of all Carryover Account activity and identify the source of all Carryover Account funds, including agreement, Program Cost Account (PCA), dollar amount and date re-allocated to the Carryover Account.	M		
C.7.4	The system must provide the ability to track Contract Maximum Reimbursable Amount (MRA) by Service County.	M		
C.7.5	The system must track the current status and history of all activity, including dates, associated with a billing request (e.g., billing request created, agency appealed, appeal settled, billing submitted to the AO, invoice sent, invoice paid or partially paid, and write-offs).	M		
C.7.6	The system must track audit information (e.g., open/closed audits, audits returned, audit revisions), including, but not limited to relevant dates, agreement type, program and financial findings, audit status, revision information, matching funds identified, and Certified Public Accountant (CPA) information.	M		
C.7.7	The system must track activity and status of agency site visits (e.g., Contract Monitoring Reviews (CMRs), Categorical Program Monitoring Reviews (CPMs), and technical assistance).	M		

C.7 Functional Requirements: Historical Tracking				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.7.8	The system must track and reconcile Reserve Account activity reported by the agency, including status, invoices, beginning and ending balances, interest, and transfers to and from the account.	M		
Report Requirements				
C.7.9	The system must produce history reports for tracked entities, including, but not limited to agencies, agreements, amendments, revisions, fund shift revisions, expenditure transactions, Carryover Account activity, appeals, billing requests, audits, agency site visits, Reserve Account activity, using standard sort and filter capabilities.	M		
C.7.10	The system must produce a report showing Contract MRA by Service County.	M		
Maximum Total Points Functional Requirements: Historical Tracking: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.8 Functional Requirements: Integration				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.8.1	The system must provide an integrated agreement management, payment processing, and fiscal reporting environment that fully supports California Education Code, Chapter 2, Child Care and Development Service Act; Title 5, Chapter 19, Child Care and Development Programs; Code of Federal Regulations, Title 45, Public Welfare and Human Services, Part 98, Child Care and Development Fund; and the California State Budget Act, Item 6110-196.	M		
C.8.2	The system must reproduce all current functionality of the existing PARIS, including workarounds and existing relevant peripheral systems (e.g., various Microsoft Access databases, Microsoft Excel spreadsheets, and paper logs) that have been developed to augment existing functionality involved with agreement management, payment processing, and fiscal reporting, as described in SECTION III CURRENT SYSTEM and SECTION IV PROPOSED SYSTEM.	M		
C.8.3	The system must provide the ability to import data extracted from any existing State or CDE source system (e.g., CALSTARS, FI\$Cal, Claims Audit Database Contract Automated Tracking System (CATS), Budget Enhanced Evaluation System (BEES), Accounts Receivable Invoice System (ARIS)) into PARIS, in ASCII and XML format, per CDE data interchange specifications.	M		
C.8.4	The system must validate data imported from other systems and use it to update PARIS data (e.g., use vendor information imported from the CALSTARS vendor extract file to update relevant PARIS data fields).	M		
C.8.5	The system must protect (prevent update of) data imported from CALSTARS.	M		

C.8 Functional Requirements: Integration				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.8.6	The system must provide the ability to extract and export selected PARI\$ data, in ASCII and XML formats, at a minimum, for use in external systems.	M		
C.8.7	The proposed solution must provide initial data extract, transformation, and import of all existing data (current plus up to the past 12 years of history) from the current PARIS system and any other current data repository required for the new system (e.g., Control Sheets, Agency Appeal Information Sheets, CaWORKs Quarterly Report Summary, CaWORKs Caseload Base Earnings Sheet, Invoice Log, Establish Local Agreement Request (ELAR) Log, Audit Log, Agreement Review Log, and Audit Tracking and Findings System).	M		
Maximum Total Points Functional Requirements: Integration: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.9 Functional Requirements: Communication				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.9.1	The system must provide the ability to display agency-specific notifications upon login (e.g., list of reports that are due or delinquent, agreement(s), amendments(s) and/or revisions outstanding).	M, DS	20	
C.9.2	The system must provide the ability to email any and all correspondence to agencies, including, but not limited to agreements, amendments, letters, worksheets, reports, forms and notifications of important events and deadlines.	M		
C.9.3	The system must provide the ability for agencies to enter data for, submit, and print all required reports (e.g., fiscal, attendance, or caseload reports), forms (the AUD), or surveys directly into PARI\$ via a web page with a single entry point (e.g., web portal).	M		
C.9.4	The system must be architected to accommodate electronic signatures for the certification and submission of enrollment, attendance, caseload, fiscal and other data by child care and development agencies (this is currently utilized by CDNFS for the submission of data through the APORS) and for CDE users to provide levels of approval for various internal processes (e.g., Agreement Review Process) through the use of user IDs and passwords	M		
C.9.5	The system must provide the ability to display a user role-based "News and Announcements" page to users upon login.	M		
C.9.6	The system must provide the ability to customize letters, forms, and reports created from templates and save them for future use based on established CDE security rules.	M		
Letters Requirements				
C.9.7	The system must provide the ability for users to create, store, update, print, and email user-defined Templates for Letters, notices/notifications, and forms that may be populated using data pulled from the PARI\$ data base. The system must produce, at	M		

C.9 Functional Requirements: Communication				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	a minimum, the following: • Apportionment Withhold Letter • Apportionment Adjustment Letter • Preliminary Review Letter • Account Closure Notice • Reserve Fund Status Letter • Preliminary Billing Advise Letter for Private Agencies • Preliminary Billing Advise Letter for Local Educational Agencies (LEA) • Transmittal of AUD Forms • Audit Report Letters: • Account Closed • Amount Due CDE • Reserve Fund Status Letter • Multi-Year Contract (deferred Audit) • Notification of Audit Findings • Agreement Review Letters: • Recommended Reduction • Agree to Cut • No Response – Cut • Partial Cut • Full Cut • No Cut			

C.9 Functional Requirements: Communication				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	- Warning - Abbreviated Review - Agreement Transmittal Letters: - Agreement Submitted - Agreement Executed - Federal Certification Not Received - Federal Certification Incomplete - Mini Application - Conditional Status Ryder - Resolution - Apportionment Letter to accompany a "231" payment transaction file that lists the total payments by original PCAs and provides the authority to pay for them out of the State School Fund PCA - Letter of Intent to Establish and Maintain a Child Development Reserve Account			
Report Requirements				
C.9.8	The system must provide the ability to produce mailing labels, individually or in mass, using standard sort and filter capabilities (by analyst, by geographical location or zip code, by program type, alphabetically, or in agreement number order, etc.) for any entity for which an address is stored in PARI\$. (Existing PARIS Report)	M		
Maximum Total Points Functional Requirements: Communication:			20	

C.10 Functional Requirements: Agency				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.10.1	The system must have the ability to identify and present the appropriate report form(s) specific to the agency and its programs when reports are entered via a web page.	M		
C.10.2	The system must have the ability to accommodate hard copy submission and manual entry by CDNFS staff of all required agency reports.	M		
C.10.3	The system must provide the ability for agencies to view their agreements and amendments and relevant related information, including current status and invoices, and all past reports online.	M		
C.10.4	The system must provide the ability for agencies to view and update selected contact information online.	M		
C.10.5	The system must provide the ability for agencies to specify more than one recipient for email notifications associated with individual agreements.	M		
C.10.6	The system must provide the ability to add and securely store direct deposit information for an agency.	M		
C.10.7	The system must provide the ability to identify both the County where an agency is headquartered and all Service Counties where the agency provides service.	M		
C.10.8	The system must provide the ability to set follow-up dates for agency site visits and trigger reminder notices to the fiscal analyst.	M		
C.10.9	The system must provide the ability to require agency certification of data entered online by an agency's user, for selected applications (e.g., an agency supervisor who certifies the accuracy of fiscal report information entered by a different agency user).	M		

C.10 Functional Requirements: Agency				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.10.10	The system must provide the ability to assign a caseload of agencies to an analyst based on regional location or other grouping criteria.	M		
C.10.11	The system must provide the ability to set and update the status of an agency (e.g., active, inactive, terminated, non-renewed).	M		
C.10.12	The system must have the ability to store both a legal name and a CALSTARS vendor name for an agency vendor and to display both any time CALSTARS vendor information is displayed or printed.	M		
C.10.13	The system must allow the user to select whether to print the agency legal name, the CALSTARS vendor name, or both when printing reports, mailing labels, or documents related to an agency.	M		
Report Requirements				
C.10.14	The system must produce the Print Agency Query - For the Selected Agency report: Displays names, address, telephone number and other selected information. (Existing PARIS Report)	M		
C.10.15	The system must provide the ability to produce the Agency Name and Code Listing: Lists every agency in PARIS' Agency table in county/alpha order. (Existing PARIS Report)	M		
C.10.16	The system must produce an Agency Address Report: Lists demographic information (headquarter and site) about all agencies with current active agreements.	M		
C.10.17	The system must produce a report that identifies agencies with agreements that are over or under earning their agreement amount by service and or costs.	M		
C.10.18	The system must produce a report that would show which agencies received a contingency fund payment for a selected FY. The purpose would be to show how much money each individual agency received and whether or not they earned the	M		

C.10 Functional Requirements: Agency				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	money. The information needed on the report would include the agency name, county, vendor number, amount of contingency funds issued, amount of contingency funds actually earned, amount of contingency funds to be billed. (Existing Excel Report)			
C.10.19	The system must produce a report that lists all agencies that received funding from CDD within a selected time period (e.g., FY), including the funding amounts received.	M		
Maximum Total Points Functional Requirements: Agency: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.11.1	The system must provide the ability to define and apply a multi-step workflow for the process of creating, processing, and executing an agreement, amendment, or revision that, at a minimum: • Requires review and/or approval at each step before proceeding to the next; • Provides a mechanism at each step for rejecting or approving the work in process and returning it with comments to a previous step for revision and re-submission or forwarding it to the next step in the workflow; and • Provides the ability for the user to record results, actions taken, Agency responses, relevant dates, and triggers tied to deadlines during each step, using a combination of user-defined responses in a drop-down menu and free-form comments.	M, DS	65	
C.11.2	The system must provide the ability to set and update the status of an agreement (e.g., conditional, clear, provisional).	M		
C.11.3	The system must provide the ability for users to enter pre-agreement, pre-amendment, or pre-revision data (currently from an ELAR, LAR or other source for revisions) directly into PARI\$ as an initial step in creating an agreement, amendment, or revision, including, but not limited to: • Vendor Number • Current/Prior Year Agreement Number • Agency Legal Name/Address • Agency Name/Address in CALSTARS • Agency Mailing Address • Other Agency Contact Information	M		

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	• Agreement Terms, such as cde, MDO, MRA, and Rates • Startup Information • Matching Funds Requirements and Amounts • Various Dates associated with things such as Start Service, End Service Agreement Execution, Agreement Termination • Agreement Funding Status • Program Type • Interim Flag			
C.11.4	The system must provide an automated process to create pre-agreement, pre-amendment, and pre-revision records for one or more agreements, amendments, and revisions in PARI\$ using valid data imported from Excel spreadsheets or other data files.	M		
C.11.5	The system must provide the ability to create pre-agreements, pre-amendments, and pre-revisions individually by copying selected data from an existing agreement, amendment, or revision already stored in the system.	M		
C.11.6	The system must provide the ability to view or print a pre-agreement, pre-amendment, pre-revision, agreement, amendment, or revision at any Stage, including after execution, for review purposes, with a watermark or other identifier that distinguishes a Draft from the Final printed document.	M		
C.11.7	The system must provide the ability for agreements, amendments, or revisions to be re-printed multiple times and retain the history of all print dates.	M		
C.11.8	The system must provide the ability to save, update, or delete complete or partially entered pre-agreement, pre-amendment, or pre-revision records.	M		

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.11.9	The system must provide the ability to create and update agreements either individually or as a group through an automated process in accordance with established CDE business rules.	M, DS	15	
C.11.10	The system must provide the ability to associate multiple agreements with a single agency.	M		
C.11.11	The system must provide the ability to restrict update of an agreement or specific agreement data fields to user-designated periods of time, such as during the rollover process.	M		
C.11.12	The system must provide the ability to create amendments and revisions to existing agreements, preferably as a group through an automated process (e.g., COLA amendments).	M, DS	25	
C.11.13	The system must provide the ability to associate one or more internal contacts with the agreement (e.g., contract analysts, CDNFS analysts, and CDD consultants assigned to the agency that holds the agreement).	M		
C.11.14	The system must provide the ability to create, edit, and delete agreement language paragraphs for agreement Face Sheets, in a format compatible with Microsoft Word, and be able to restrict that ability by paragraph if desired (e.g. only users in a specified group or role may update standard legal language paragraphs).	M		
C.11.15	The system must provide the ability to sort and filter existing agreement language paragraphs for the purpose of selecting for inclusion in a new or existing agreement Face Sheet.	M		
C.11.16	Editing or deleting stored agreement language paragraph must not impact any prior use of the agreement language paragraph text.	M		

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.11.17	Agreement language paragraphs must have the ability to include user-defined substrings that are auto-populated with agency or agreement data (e.g., name, date, agreement value).	M		
C.11.18	The system must provide the ability to preview agreement language paragraphs with user-defined substrings that have been auto-populated with the selected substring replacement data.	M		
C.11.19	The system must identify the author of each agreement language paragraph but make it accessible to other users to view, copy, or select for use in an agreement Face Sheet.	M		
C.11.20	The system must provide the ability to copy and customize existing agreement language paragraphs without having to re-type the existing text and to store the new text as new agreement language for future use.	M		
C.11.21	The system must provide the ability to identify standard agreement language paragraphs that must be included with agreements of a certain type and automatically pull those into the Face Sheet when creating an agreement.	M		
C.11.22	The system must not limit the number of agreement language paragraphs or pages included in an agreement Face Sheet.	M		
C.11.23	The system must include an automated means to track the flow of hard copy Face Sheets through up to 10 workflow steps (e.g., bar coding).	M, DS	20	
C.11.24	The system must integrate standard word processing capabilities when viewing, creating, or updating agreement language (e.g., select font, font size, bold, italic, underline, highlight, indent, bullet, spell check, track changes) from a standard CDE workstation with no dependencies (e.g., word processing products do not need to be installed on the workstation).	M, DS	30	

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.11.25	The system must have the ability to identify multiple funding sources (PCAs), including special funds, for each agreement.	M		
C.11.26	For agreements funded through more than one PCA code, the system must provide the ability to adjust the funding amounts from each PCA code by providing the user the option of allocating the adjustment equally across all PCA codes, allocating a percentage of the adjustment based on the percent of total of the original PCA distribution, or allocating the adjustment percentage manually, not to exceed a total of 100% or for any PCA allocation to exceed the sum of its part-MRAs.	M		
C.11.27	The system must ensure that the dollar sum of funding from all PCA codes for an agreement must equal the agreement's Total MRA.	M		
C.11.28	The system must allow the user to define the numbering scheme used to identify agreements, amendments, and revisions, and have the system assign and increment sequential numbers automatically.	M		
C.11.29	The system must provide the capability to create and update user-defined program types (CDE child development programs agreement designations for service agreements, e.g., CSPP, CCTR) and associate one or more of them with an agreement.	M		
C.11.30	When an agreement is declined by the agency the system must automatically set the MRA to zero but retain the history of the original MRA.	M		
C.11.31	The system must provide the ability to associate an individual agreement with multiple Service Counties.	M		
C.11.32	The system must provide the ability for a user to put an agreement on "hold" during the creation process with an indicated valid reason, which prevents any activity other than changing agreement terms and making comments, until the hold has been released.	M		

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.11.33	The system must provide the ability to remove a “hold” from an agreement.	M		
C.11.34	The system must provide the ability to send an alert to selected internal contacts when a hold is placed on or released from an agreement.	M		
C.11.35	The system must provide the ability to place an individual or group of agreements, amendments, or revisions on “print hold” (by agency, program type, or other user-selected criteria), which prevents any changes from being made in preparation for printing the final agreement, amendment, or revision.	M		
C.11.36	The system must provide the ability for users to override a “print hold”, in accordance with CDE business rules, and update an agreement/amendment between the time a print hold has been placed and the agreement/amendment has been printed.	M		
C.11.37	When the Final of an agreement, amendment, or revision is printed, the system must automatically change the status from “print hold” to “printed” which prevents any further changes to or Final printing of the Final agreement/amendment, without authorized management override.	M		
C.11.38	The system must provide the ability for users to override the “printed” status, in accordance with CDE business rules, and modify and/or re-print a printed agreement, amendment, or revision before it has been “processed” (mailed), and retain a history of all print dates.	M		
C.11.39	The system must prevent update to an agreement/amendment that has been “processed” (mailed).	M		
C.11.40	The system must provide the ability to encumber and disencumber funds for one or more agreements and to generate the corresponding transaction files for interface with CALSTARS.	M		

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.11.41	The system must provide the ability to identify when an agreement is encumbered or disencumbered.	M		
C.11.42	The system must provide both a manual and an automated means to change the status of an agreement, amendment, or revision or group of agreements, amendments, or revisions from “processed” to “deemed executed”.	M		
C.11.43	The system must provide the ability to consolidate multiple records of the same type (e.g., pre-agreements, pre-amendments, pre-revisions, agreements, amendments, or revisions) for an agency into a single selected record, maintain the relationship between the two, and retain a history of both the original records and the newly created single selected record.	M		
C.11.44	The system must provide the ability to transfer an agreement to another agency and retain the history of its association with the original agency (e.g., whereby an agency takes over an agreement from another agency mid-year.)	M		
C.11.45	The system must provide a means of identifying “interim” agreements.	M		
C.11.46	The system must allow multiple agreements in the same FY and of the same type for a single agency.	M		
C.11.47	The system must allow augmentations and reductions to the agreement MRA after the agreement period has ended for CalWORKs agreements, without requiring the agency’s authorization for reductions.	M		
C.11.48	The system must provide the ability to select agreements for the Agreement Review process based on user-defined selection criteria.	M		
C.11.49	The system must track the history of all activity related to an agreement during the entire Agreement Review process, including dates, responses, and comments, and	M		

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	be able to identify where the agreement is in the Agreement Review process.			
C.11.50	The system must provide the ability to define and apply a multi-step workflow for the Agreement Review process (e.g., analyst file review, recommendation to management, management review, agency notification, agency response, management second review) that, at a minimum: • Requires review and/or approval at each step before proceeding to the next; • Provides a mechanism at each step for rejecting or approving the work in process and returning it with comments to a previous step for revision and re-submission or forwarding it to the next step in the workflow; and Provides the ability for the user to record results, actions taken, Agency responses, relevant dates, and triggers tied to deadlines during each step, using a combination of user-defined responses in a drop-down menu and free-form comments.	M		
C.11.51	The system must provide the ability to reduce available unearned balances from one agency agreement and amend into another agency agreement to increase the MRA.	M		
C.11.52	The system must provide the ability to store matching funds data for agreements.	M		
C.11.53	The system must provide the ability to display a warning message on any relevant data entry or update page (e.g., entry of quarterly or June reports or AUD) if an agreement spans multiple years (e.g., Support agreements).	M		
C.11.54	The system must provide the ability to add comments to agreements by type, as defined by CDNFS (e.g., to indicate the functional area to which the comment applies, such as, but not limited to Contracts, Rollover, Audits, etc.), with the ability to sort and filter for query or reporting purposes.	M		
C.11.55	The system must provide the ability to terminate an agreement as of the end of the agreement period.	M		

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.11.56	When an agency is placed on conditional status, the system must automatically generate an email notification to the agency requiring them to submit a current inventory list of equipment purchased (including dates) in whole or in part with CDE agreement funds,, flag the relevant agreement(s) as requiring an inventory list, and generate an email notification to the analyst.	M		
C.11.57	The system must have the ability to update the agreement record to reflect receipt of and acceptance by the CDNFS analyst of the inventory list..	M		
Worksheet Requirements				
C.11.58	The system must produce a worksheet to be used to establish a new or to amend an existing agreement. Formerly the ELAR and Local Agency Review LAR Worksheets. (Existing Word and Excel Documents)	M		
C.11.59	The system must produce an Agreement Face Sheet and Encumbrance Blocks. (Existing PARIS Report)	M		
C.11.60	The system must produce an Attachment A to Agreement: Agreement summary information. (Existing PARIS Report)	M		
C.11.61	The system must produce an Agreement Status Worksheet: A current log of agreements by FY by program type with agreement summary information and tracking dates (mailed to contractor, approved internally, sent to accounting, received, etc.). This will be created as an on-line function in PARIS with the ability to print the log. (Existing PARIS Worksheet)	M		
C.11.62	The system must provide the ability to generate agreement history worksheets, including, but not limited to the existing Agreement Review Worksheet, based on user-defined selection criteria (e.g., agreements that have earned less than 95% of their MRA for a selected time period), with standard filter and sort capabilities. (Existing PARIS Worksheet)	M		

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
Report Requirements				
C.11.63	The system must produce the List Agreements Not Mailed for a Selected FY report: Lists all agreements that do not have a recorded mail date after fourteen days or more after the agreement was entered. (Existing PARIS Report)	M		
C.11.64	The system must produce the Unflagged Agreements – For a Selected FY – Sorted by Analyst report: Displays all unflagged agreements that have a recorded mail date in PARIS at least 30 days prior to report date. (Existing PARIS Report)	M		
C.11.65	The system must produce the List Agreements by Program, Agency Order For Selected Programs report: Lists agreements with terms and summarizes MRAs by county. (Existing PARIS Report)	M		
C.11.66	The system must produce the Print Agreement Query: Displays all agreement terms for selected agreement revision. (Existing PARIS Report)	M		
C.11.67	The system must produce a Listing of Face Sheet Template Paragraphs: Listing of all stored agreement language paragraphs. (Existing PARIS Report)	M		
C.11.68	The system must produce a Listing of Agreements Pay Flagged: A listing of all contracts within a specified date range that have been deemed executed by the CO and are ready for CDNFS processing for payments. (Existing PARIS Report)	M		
C.11.69	The system must produce the Agreement Review Report: No June Reports Individual Analyst – For a Selected FY Report: lists data by analyst county caseload and by county only and displays agreements for which no June report was entered. (Existing PARIS Reports)	M		
C.11.70	The system must produce the Agreement Review Report: Review Agreements by Analyst – For a Selected FY report: Lists all agreements with final earnings less than a user-defined percentage of the agreement's MRA. (Existing PARIS Report)	M		

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.11.71	The system must provide the ability to query or generate statistical reports based on agreement review status or other criteria (e.g., print a report showing all agreements that received a warning letter, or all agencies that did not submit MRA justification, or print a count of agreements currently in each defined "step"). (Existing Access Reports)	M		
C.11.72	The system must provide the ability to generate a report that shows the original MRA and rate, the proposed MRA, rate, and reduction, and the final MRA, rate, and reduction by analyst, agency, agreement, and dollar amount for the upcoming FY. (Existing Excel Report)	M		
C.11.73	The system must produce a report displaying all agreement terms by FY, by program, including amendments to agreements, prior year agreement number, vendor code and suffix, and PCA. (Current Approach "KWIK" Report)	M		
C.11.74	The system must produce a Listing of Contract Sub Paragraphs: Listing of individual paragraphs by identifier and name. (Existing PARIS Report)	M		
C.11.75	The system must produce the Declined, Refused, Removed agreements – For Selected FY report: Lists all agreements that have been declined, refused, or removed. (Existing Crystal Report)	M		
C.11.76	The system must produce a Contract Award report (STD 16) that captures summary information about agreements issued over \$5,000. (Existing PARIS Report)	M		
C.11.77	The system must produce the Agreements on Conditional or Provisional Status report: List all agreements with a conditional or provisional status. (Existing Crystal Report)	M		
C.11.78	The system must provide the ability to produce the Comparison of MRAs and Earnings –For a Selected FY and Program report: Lists all agreements with projected/final earnings and MRAs. (Existing Crystal Report)	M		

C.11 Functional Requirements: Agreement				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.11.79	The system must provide the ability to generate a report that displays agreements that have pending amendments to adjust their MRAs (View only the amended agreements that have not been mailed to the agencies).	M		
C.11.80	The system must provide the ability to generate a report that displays prior year amendments to agreements.	M		
Maximum Total Points Functional Requirements: Agreement:			155	

C.12 Functional Requirements: Accounts Receivable				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.12.1	The system must provide both a manual and an automated means to generate billing requests for agencies that owe money to CDE, including AO billing instructions, and allow the user to control when the request is submitted electronically to the AO.	M		
C.12.2	The system must provide the ability to create and update user-defined billing reasons (e.g., not fulfilling agreement, insufficient funds spent, inappropriate use of funds, appeal administrative costs), associate one with each billing request, and include the reason or a description with the electronic submission to the AO.	M		
C.12.3	When agencies submit their final fiscal reports for the year, the system must perform the calculations to determine if the agency should be billed for overpayment, and if so, automatically generate a billing request, determine if interest is owed to CDE, and, if so, automatically generate separate line items on the billing request for the interest and total amount owing.	M		
C.12.4	The system must provide the ability to identify a billing request that meets the user-defined criteria for appeal and automatically assign it an appeal deadline date based on user-defined rules.	M		
C.12.5	The system must provide the ability to identify if and when an agency files an appeal on the billing.	M		
C.12.6	The system must prevent an appealable billing request from being submitted to the AO until after the appeal deadline date and only if the agency did not file an appeal and there is an amount due.	M		
C.12.7	The system must provide the ability to modify or delete an electronic billing request before it has been submitted to the AO.	M		

C.12 Functional Requirements: Accounts Receivable				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.12.8	The system must provide the ability to cancel (either in full or in part) billing requests already submitted to and processed by the AO (e.g., has an invoice number).	M		
C.12.9	The system must provide the ability to submit billing requests to the AO electronically in the format required by the AO invoice system.	M		
C.12.10	The system must provide the ability to identify agencies and agreements for which billings should occur but allow the user to set when the billing is actually to be sent.	M		
C.12.11	For agreements funded through multiple PCAs, the system must have invoice amounts default to the same proportion (%) as the PCA allocation to the total agreement allocation, but allow users to override the value, by either percentage or dollar amount, so long as the total for all PCAs remains equal to the total invoice amount for the agreement.	M		
Report Requirements				
C.12.12	The system must provide the ability to produce the Accounts Receivable – For a Selected FY and Analyst report: Lists all agreements with a billing record in PARIS. (Existing Crystal Report)	M		
C.12.13	The system must provide the ability to identify and report on agreements that meet criteria for a billing request but for which no request was sent to the AO.	M		
C.12.14	The system must produce a Final Action Form: Invoice for Amount Due to CDE. (Existing PARIS Report)	M		
C.12.15	The system must produce a Current Contractors With Past Due Accounts Receivable by Agency by date with Paid/Adjusted Amounts Since Last Report. (Existing Excel Report)	M		
Maximum Total Points Functional Requirements: Accounts Receivable: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.13 Functional Requirements: Fiscal and Attendance Reporting				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.13.1	The system must provide the ability to enter, edit, and store the data provided on any agency report, including, but not limited to fiscal and attendance reports and caseload reports, submitted to CDE in hard copy.	M		
C.13.2	The system must require that prior year expenditures have an entered value, even if it's zero, when entering reports.	M		
C.13.3	The system must use data provided on an agency's fiscal and attendance reports to calculate payments for agency services, including adjustments (e.g., attendance, expenses).	M		
C.13.4	The system must provide the ability for an agency to save a partially complete report and return later to complete and submit the report.	M		
C.13.5	The report forms must perform data validation prior to allowing report submittal (e.g., data type, valid dates, all required fields entered, valid reference field values).	M		
C.13.6	The report forms must automatically populate specified data fields using the corresponding data submitted in the last previous report for the current FY and be left blank for the first report of the FY.	M		
C.13.7	The system will provide the ability to toggle the auto-populate feature on or off wherever utilized.	M		
C.13.8	The system must allow an agency to amend previously submitted Attendance, Fiscal and Caseload reports but require them to enter a valid reason.	M		
C.13.9	The system must generate and send notification to the analyst any time an agency amends a previously submitted report.	M		

C.13 Functional Requirements: Fiscal and Attendance Reporting				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.13.10	When an agency amends a previously submitted report, the system must create and identify the amended report as a new version of the report and maintain a history of all submissions.	M		
C.13.11	The system must provide the ability for analysts to review, edit, and validate agency reports submitted electronically.	M		
C.13.12	The system must provide the ability to close a report for agency modification per established CDE business rules.	M		
C.13.13	The system must provide the ability for an agency to access online self-help worksheets with the option to populate them using either the most recent PARI\$ data or data they enter manually at the time of request.	M		
C.13.14	The system must maintain a record of all self-help worksheet requests by an agency and send an alert to the analyst if the number of requests exceeds a user-defined quantity.	M		
C.13.15	After agency self-certification and CDNFS validation of agency reports the system must provide the ability to automatically generate and email a Projected Earnings Calculation Worksheet and relevant letter (e.g., Preliminary Review Letter, Apportionment Adjustment Letter).	M		
Worksheet Requirements				
C.13.16	The system must produce the following CDNFS Worksheets: • Conversion of cde to actual head count of children to determine how many children need to be enrolled in order to earn the full contract amount. (Existing Word Document); • Analysis of the program's cost per child; and • Comparison of service earnings with actual costs for certified children. (Existing	M		

C.13 Functional Requirements: Fiscal and Attendance Reporting						
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)		
	Word Documents)					
C.13.17	The system must produce an Earnings Projection Worksheet: Calculates projected earnings and apportionment amount for the remainder of the FY based on program type and appropriate FY projection formula as well as information provided by the Agency on Fiscal and Attendance Reports to date for the FY. (Existing PARIS Worksheet)	M				
C.13.18	The system must produce a Final Earnings Calculation Worksheet based on the June final report or audit (AUD). Calculates final totals for the FY and determines whether additional payment or a billing is due to the Agency. (Existing PARIS Worksheet)	M				
C.13.19	The system must produce the following Fiscal and Attendance worksheets which can be completed by users on-line and include edit functions and calculations: • General • General - High Rate • California State Preschool Program • Preschool • Migrant Specialized Services • School Age Community Child Care Days • School Age Community Child Care Hours • Alternative Payment including Determination of Reimbursement for Registration Fees • CalWORKs Stage 2 • CalWORKs Stage 3 • Family Child Care Homes • Special Programs for Severely Handicapped	M				

C.13 Functional Requirements: Fiscal and Attendance Reporting						
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)		
	• Resource and Referral or Centralized Eligibility List • Revenue and Expenditure for Support Contracts (Existing Word Documents)					
Report Requirements						
C.13.20	The system must produce the Analyst by County by Year for a Selected FY report: Creates a report log for quarterly reports by CDNFS analyst. (Existing PARIS Report)	M				
C.13.21	The system must provide the ability to produce the June Report Log – For a Selected FY and Analyst report: Lists all agreements that have a June Fiscal Attendance Report due. (Existing Lotus Approach Report)	M				
C.13.22	The system must generate a Status report of caseload data for a selected time period, based on user selection criteria (e.g., by agreement, program type, agency, or county).	M				
C.13.23	The system must produce a report on self-help worksheet requests by agencies.	M				
C.13.24	The system must produce the CalWORKs / AP Monthly Status for a Selected FY report: Lists CalWORKs agreements with agreement terms sorted by agency. Can be saved as an Excel file. (Existing PARIS Report)	M				
C.13.25	The system must produce a Monthly and Quarterly CalWORKs Caseload Report. (Existing Excel Report)	M				
C.13.26	The system must produce a CalWORKs Projection Report by agency, county, statewide and by month, quarter and annual. (Existing Excel Report)	M				
Maximum Total Points Functional Requirements: Fiscal and Attendance Reporting: N/A - ALL REQUIREMENTS ARE MANDATORY						

C.14 Functional Requirements: Pay Run				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.14.1	The system must provide the ability for users to establish and “open” a pay run period during which CDNFS analysts can review their assigned agreements and determine and identify which should receive apportionment payments and the dollar amount of each.	M		
C.14.2	The system must provide the ability to notify analysts that a pay run has been opened and the length of time it will remain open.	M		
C.14.3	The system must store a block of claim schedule numbers assigned to CDE at the beginning of each FY and automatically assign to a pay run the next sequential number from the FY’s block of numbers.	M		
C.14.4	The system must accommodate the ability to have multiple pay runs open at the same time but uniquely identified and separately processed.	M		
C.14.5	The system must provide the ability for users to select agreements eligible for payment to include in a specific pay run (e.g., based on FY or month, agency, analyst, program type, or funding type).	M		
C.14.6	The system must provide the ability to apply user-defined validation rules to agreements selected for pay run (e.g., an agreement may include a payment in only one open pay run at a time).	M		
C.14.7	The system must allow a user to execute multiple pay runs per day that create uniquely named payment transaction files.	M		
C.14.8	The system must provide the ability to verify that all analysts have completed preparation for the pay run for the selected FY and month.	M		
C.14.9	The system must enforce that agreements selected for a pay run have a pay flag, are without holds, have an active month within the selected FY, and meet the selection	M		

C.14 Functional Requirements: Pay Run				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	criteria identified by the user.			
C.14.10	The system must include payment withhold and withhold override reason reference tables with the ability to create, update, and delete associated reasons.	M		
C.14.11	The system must provide the ability for users to add or remove payment withhold flags to/from agreements or agencies.	M		
C.14.12	The system must provide a means to add or remove payment withhold flags to/from an agency or a group of agreements based on user-selected criteria (e.g., all agreements for an agency, agreement list uploaded from a payment withholding request file).	M, DS	35	
C.14.13	The system must provide the ability to record a valid withhold reason (entered either manually or via the withholding request file) for each agreement or agency flagged for payment withholding.	M		
C.14.14	The system must provide the ability to automatically withhold payments from agencies with delinquent invoices, delinquent 801 data, and/or a delinquent audit(s).	M		
C.14.15	The system must provide the ability for a user to override a payment withhold flag, with a valid override reason, so the agency payment may be included in a pay run.	M		
C.14.16	The system must provide the ability to store and modify Apportionment Schedules by FY.	M		
C.14.17	The system must use the relevant stored Apportionment Schedule to determine the normal payment amounts for an agency.	M		
C.14.18	The system must provide the ability for users to make a "normal payment" based on the relevant Apportionment Schedule, pay less than the normal payment, or override that value, with manager approval (via email or other electronic notification), and enter in a payment amount that exceeds the normal apportionment.	M		

C.14 Functional Requirements: Pay Run				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.14.19	The system must not allow payments greater than the agreement MRA.	M		
C.14.20	While the pay run period is open, the system must provide the ability for users to “cancel” the pay run and re-select agreements to include in the pay run.	M		
C.14.21	For agreements funded through multiple PCAs, the system must provide the ability to have payment amounts default to the same proportion (%) as the PCA allocation to the total agreement allocation, but allow the user to override the value, by either percentage or dollar amount, so long as neither the total MRA nor the part-MRAs for each PCA are exceeded.	M		
C.14.22	The system must provide the ability to “transfer” the amounts from each PCA for the payments in a pay run to a single State School Fund PCA for SCO accounting purposes.	M		
C.14.23	The system must provide the ability for users to “close” a pay run period, which prevents changes to the pay run data without manager approval.	M		
C.14.24	After a pay run has been closed, the system must provide the ability to “process” the pay run, which entails creating all necessary payment transaction files and associated letters, and updating relevant PARI\$ data tables.	M		
C.14.25	The system must provide the ability to specify a variable maximum number of payment requests (by transactions or vendor) that can be assigned to a claim schedule number and have the system automatically use that information to assign payment requests to claim schedules during processing of a pay run (e.g., 250 transactions per claim schedule up to 99 vendors).	M		
C.14.26	The system must capture all of the data needed to process payments and generate 231, 245, and 242R payment transaction files.	M		

C.14 Functional Requirements: Pay Run				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.14.27	The system must provide the ability to re-configure existing 231, 245, and 242R payment transaction files and define and generate new transaction files based on changes or needs.	M		
C.14.28	The system must allow the user to generate payment transaction files (e.g., 231, 245, 242R, or other file(s)) more than once for a selected pay run.	M		
C.14.29	The system must provide the ability for users to add, remove, or change payments in a pay run and have the relevant payment transaction file(s) updated automatically, after the pay run period has been closed, per established CDE business rules.	M		
C.14.30	The system must provide the ability to record the date that payment requests are sent to the SCO.	M		
C.14.31	The system must provide the ability to update the SCO payment request date for all payment requests in a pay run by pay run number and/or claim schedule number.	M		
C.14.32	The system must record the warrant number and date the warrant was generated by the SCO using Data Exchange (DEX) files provided by the SCO.	M		
C.14.33	The system must provide the ability to process manual pay runs for current or prior FYs.	M		
Report Requirements				
C.14.34	The system must produce the CDFS Apportionment Schedules by FY. (Existing Word Document)	M		
C.14.35	The system must produce the Prepayment Report by Analyst – For a Selected Pay Run report: To be used by a CDNFS analyst when marking their agreements for payment. (Existing PARIS Report)	M		

C.14 Functional Requirements: Pay Run				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.14.36	The system must provide the ability to perform pay run previews online or in report form, by analyst, that identify agencies, agreements, and amounts included in the pay run.	M		
C.14.37	The system must produce a report that shows eligible agencies excluded from a pay run and the associated reason.	M		
C.14.38	The system must provide the ability to determine and report on which agreements were in payable status but whose payments were not authorized or withheld by the close of the pay run period.	M		
C.14.39	The system must produce the Payment by Agreement report: Displays all payment amounts, PCAs and payment dates for selected agreement. (Existing PARIS Report)	M		
C.14.40	The system must produce the Agency Payment by Claim Schedule – For the Selected Agency and Claim Schedule report: Displays all agreements paid with amounts, PCAs and dates. (Existing PARIS Report)	M		
C.14.41	The system must produce the Payment by Agency – For the Selected Agency and FY report: Lists all agreement payments by agreement number and PCA with payment dates. (Existing PARIS Report)	M		
C.14.42	The system must produce the 231 and 245 Transactions Reports – Upon Closing a Pay Run report: These reports display the data contained in the 231 and 245 transaction files that interface with CALSTARS. (Existing PARIS Report)	M		
C.14.43	The system must produce the Pay 62 Report: Summary report by transaction code (231,245,238) of the payments in a pay run. (Existing PARIS Report)	M		
C.14.44	The system must produce the Claims to Controller List: Lists by payment schedule in alpha order – agencies and payment amounts. (Existing PARIS Report)	M		

C.14 Functional Requirements: Pay Run				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.14.45	The system must produce a listing of the Remittance Advice File.	M		
C.14.46	The system must produce the Pay 51 Report: Summary report by FY and PCA of the payments in a pay run. (Existing PARIS Report)	M		
C.14.47	The system must provide the ability to view and report on payments paid to date against an agreement's Total MRA.	M		
C.14.48	The system must produce a Payment History report for a single agency or multiple agencies for a specific FY or date range. (Existing PARIS Report)	M		
C.14.49	The system must produce a report of agreements funded through multiple PCAs that had their payment amounts overridden, and by how much.	M		
C.14.50	The system must produce payment and receivable history reports by fiscal month.	M		
C.14.51	The system must produce a Delinquent 801 Report: Listing of Agreements to withhold by agency. (Existing Excel Report)	M		
C.14.52	The system must provide the ability to view or print a list of agencies or agreements flagged for payment withhold, the withhold reason, and the length of time on the withhold list.	M		
C.14.53	The system must produce a report that summarizes pay run status by analyst.	M		
Maximum Total Points Functional Requirements: Pay Run:			35	

C.15 Functional Requirements: Audit				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.15.1	The system must interface with the existing A&I Audit Tracking and Findings System functions. (Existing Access Database) .	M		
C.15.2	The system must provide the ability to define and apply a multi-step workflow for the Audit process that, at a minimum: • Requires review and/or approval at each step before proceeding to the next; • Provides a mechanism at each step for rejecting or approving the work in process and returning it with comments to a previous step for revision and re-submission or forwarding it to the next step in the workflow while retaining all versions; and • Provides the ability for the user to record results or Agency responses during each step, using a combination of user-defined responses in a drop-down menu and free-form comments.	M		
C.15.3	The system must store agency CPA information and allow users to add, modify, delete or query this information.	M		
C.15.4	The system must provide the ability to associate stored CPAs with an agency for each FY and notify users when an agency has used the same CPA for five (5) consecutive years.	M		
C.15.5	The system must automatically flag the agreement when the audit has been deemed acceptable and the agreement is ready for CDNFS Closeout.	M		
C.15.6	The system must display a warning message when entering the AUD or June report if the agreement requires matching funds.	M		
C.15.7	The system must provide the ability for users to override the data entered in the AUD, according to established CDE business rules, and maintain a history of the modification.	M		

C.15 Functional Requirements: Audit				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
Worksheet Requirements				
C.15.8	The system must produce a worksheet that would show which agencies audits have been received for a selected FY. The purpose of the worksheet would be to gather information on the number of outstanding audits and the percentage of audits that have been closed. The information needed would include, but not be limited to, agency name, county, vendor number, the date the audit was received, date the audit was closed, whether or not the audit was returned to Audits & Investigations. (Existing Access Worksheet)	M		
C.15.9	The system must produce an Audited Final Attendance and Fiscal Worksheet for non-LEA (private) agencies: Shows enrollment, attendance, revenue and expenses by FY, as reported by the agency, by agreement, and includes adjustments per the audit, and final data, with comments. (Existing Excel Worksheet)	M		
Report Requirements				
C.15.10	The system must produce the Audits List of agreements by Vendor (FY) report: List of agreements with activity in a selected FY for each agency in agency order. (Existing PARIS Report)	M		
C.15.11	The system must produce an Audit Confirmation Report for a single agency or multiple agencies: Displays agreements, terms and payments and includes the PCA(s) making up the MRA and amount paid from each PCA. (Existing PARIS Report, however, does not provide PCA data).	M		
C.15.12	The system must produce a report that would show if an agency had audit findings for a selected FY. The purpose would be to see a pattern in a particular agency. This would indicate if an agency was a going concern. The information needed would include, but not be limited to, agency name, county, vendor number, whether or not there were audit findings, type of finding.	M		

C.15 Functional Requirements: Audit				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.15.13	The system must provide the ability to identify and report on discrepancies in agency reported information (e.g., Audit Report is inconsistent with the CDE's calculated balance from the prior year).	M		
C.15.14	The system must produce a Delinquent Audit Reports by FY and Late Audit Reports by FY. Lists agencies that are delinquent or late in submitting their Audit Reports to CDE. (Existing Excel Reports)	M		
C.15.15	The system must produce a report displaying all CPAs by agency and/or county. (Existing PARIS Report)	M		
Maximum Total Points Functional Requirements: Audit: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.16 Functional Requirements: Closeout				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.16.1	When sending a Final Earnings Calculation Worksheet and closing letter, the system must generate and print or email a Reserve Fund Status Report and Letter to the agency, if it has established one or more Reserve Accounts.	M		
C.16.2	The system must provide the ability to establish Reserve Accounts for agencies by program type.	M		
C.16.3	The system must allow an agency to enter Reserve Fund Account information directly into PARI\$ via the web.	M		
C.16.4	The system must automatically update Reserve Account balance information based on applying newly reported figures to current recorded balances.	M		
C.16.5	The system must provide the ability to flag a Reserve Account with a current balance as "closed" to new deposits but allow transfers of funds as revenue to other active agreements associated with that Reserve Account.	M		
C.16.6	The system must provide the ability to "close" a Reserve Account to any activity and require the user to provide a valid reason for the closure.	M		
C.16.7	The system must automatically "close" a Reserve Account when another process is run that results in an activity that would warrant Reserve Fund Account closure (e.g., agreement termination).	M		
C.16.8	For CalWORKs agencies whose final June report shows they owe money to CDE, the system shall automatically generate a billing request for submittal to the AO.	M		
C.16.9	The system must prevent closeout of an agreement tied to a Reserve Account until all agreements from an agency tied to the same Reserve Account have submitted final reports that have been validated and accepted.	M		

C.16 Functional Requirements: Closeout				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.16.10	The system must provide the ability to define the order in which agreements should be closed when there are multiple agreements tied to the same Reserve Account and to require closeout in that order (e.g., highest to lowest MRA).	M		
C.16.11	The system must automate the process of rolling over Reserve Fund Accounts for a new FY.	M		
C.16.12	The system must provide the ability to set a maximum amount (cap) for reserve account funds by program type.	M		
Worksheet Requirements				
C.16.13	The system must produce a Reserve Account Activity Report: Shows Beginning Balance, Interest, Transfers to/from Reserve, Ending Balance.(Existing PARIS Worksheet)	M		
C.16.14	The system must produce an Audited Final Reserve Account Cash Activity Report.(Existing Excel Worksheet)	M		
Report Requirements				
C.16.15	The system must produce a Reserve Account Status Report : Shows Beginning Balance, Interest, Transfers to/from Reserve, Ending Balance. (Existing PARIS Report)	M		
C.16.16	The system must produce a Reserve Account History Report that shows multiple years worth of activity, by FY, for the purpose of assessing trends.	M		
C.16.17	The system must produce a Reserve Account Adjustments for FY report: Listing of noncompliant CDD Contractors. (Existing Excel Report)	M		
Maximum Total Points This Section: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.17 Functional Requirements: Encumbrance				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.17.1	The system must provide the ability to add, modify, and delete PCA codes, including, but not limited to the PCA code description, budgeted funds allotment, and allocation totals.	M		
C.17.2	The system must support a hierarchy of PCA funding (source of funds and rolled up totals for related PCAs) for accounting purposes.	M		
C.17.3	The system must track total allocation (including funds encumbered or earmarked) against the allotment for a PCA code for a given FY.	M		
C.17.4	The system must track appropriations in the State budget against anticipated funding commitments, including, but not limited to, expected rollover agreements and Cost of Living Adjustments (COLA).	M		
C.17.5	The system must track all fund shift revisions and expenditure transactions.	M		
C.17.6	The system must provide the ability to associate PCAs with Programs by FY.	M		
C.17.7	The system must prevent over-allocation of a PCA at the time an attempt is made to allocate funds from a PCA to a specific program or obligate funds to a specific agreement.	M		
C.17.8	The system must provide the ability to store, update, delete and query Standardized Account Code Structure (SACS) codes and associate one to each PCA code.	M		
C.17.9	The system must provide the ability to earmark funds from unallocated fund balances between FYs for future obligations and ensure their availability when needed for the future expenditure.	M		

C.17 Functional Requirements: Encumbrance				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.17.10	The system must provide the ability to change PCA allocations in response to mid-year State Budget changes in appropriations.	M		
C.17.11	The system must provide the ability to encumber funds from multiple PCA codes to a single agreement.	M		
C.17.12	The system must prevent encumbering funds to an agreement until the agreement has been processed (the CO has mailed the agreement to the agency).	M		
C.17.13	When an agreement is funded through multiple PCA codes, the system must provide the ability for the user to specify the order in which PCA funds are drawn, based on current business rules.	M		
C.17.14	The system must provide the ability to transfer allotted funds from one PCA to another.	M		
C.17.15	The system must provide the ability to identify agreements that have unexpended balances.	M		
C.17.16	The system must generate electronic encumbrance files (e.g., for 206, 207, 061, and 065 transactions).	M		
C.17.17	The system must provide the ability to roll back and re-create an encumbrance file once it has been generated.	M		
C.17.18	The system must provide the ability to specify that payments for disencumbered agreements should be drawn from the PCA code designated by CDNFS as the Carryover Account.	M		
C.17.19	The system must provide the ability to designate a Carryover Account PCA for each agreement to which unearned funds from specified PCAs associated with the agreement are re-allocated.	M		

C.17 Functional Requirements: Encumbrance				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.17.20	When an agreement is disencumbered, the system must re-allocate any unexpended dollar amounts from specified PCAs to the Carryover Account PCA for the agreement.	M		
C.17.21	The system must provide the ability for users to disencumber an agreement and generate an appropriate CALSTARS transaction file.	M		
Worksheet Requirements				
C.17.22	The system must produce a Needs and Resources by Program Type Report for FY, by funding source (Federal and State General Fund) and PCA. Including budget appropriations, encumbrances, planned encumbrances (holds, relinquishments/terminations/declines, Cost of Living Adjustments (COLA) and unobligated balances). (Existing Excel Reports)	M		
Report Requirements				
C.17.23	The system must provide the ability to produce reports that would enable users to reconcile appropriations in PARI\$ with the Budgets Office System (e.g., BEES).	M		
C.17.24	The system must provide a report that shows funds by PCA code. (Existing Approach Report)	M		
C.17.25	The system must produce the PCA Funds Table: PCA Funds Information Listing – For a Selected FY report: Lists budgetary information for each PCA code. (Existing PARIS Report)	M		
C.17.26	The system must produce the PCA Funds Table: Obligated Funds by FY – For a Selected FY report: Displays summary of allotments, obligations, encumbrances, and paid to date funds for each PCA. (Existing PARIS Report)	M		
C.17.27	The system must provide the ability to generate a report to display the agreement administration and support costs associated with each PCA code to provide data for	M		

C.17 Functional Requirements: Encumbrance				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	the reporting of Other Related Child Care Costs (ORCC) required by the Federal Government. (Existing Crystal Report)			
C.17.28	The system must produce the PCA Allotment Summary by FY For a Selected FY report: Displays allotments, obligations, encumbrances and balances for every PCA code. (Existing PARIS Report)	M		
C.17.29	The system must produce obligated and encumbrance funds reports sorted by PCA, Agreement Type, Agreement Terms, Program Type, FY, Part-MRAS, and/or Report Month of obligated/encumbered funds. (Existing Crystal Report)	M		
C.17.30	The system must provide the ability to report on SACS Codes assigned to each PCA utilized in the various programs.	M		
Maximum Total Points Functional Requirements: Encumbrance: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.18 Functional Requirements: Rollover				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.18.1	The system must provide the ability to define and execute a multi-phased “rollover” process whereby user-selected data from current FY agreements is copied, reviewed, validated, and edited for the purpose of automatically generating new agreement records for the new FY. User-selected data includes, but is not limited to, terms and conditions and any relevant agreement data that CDNFS determines may stay consistent from one FY to the next.	M		
C.18.2	The system must provide the ability to execute an “Initiate” phase that defines and declares the beginning of the rollover process for CDNFS, which enables access to selected rollover functions and/or data.	M		
C.18.3	The system must provide the ability to execute a “Prepare” phase of the rollover process that creates a copy of selected current FY agreements as pre-agreements in preparation for converting the copies to valid agreements for the next FY.	M		
C.18.4	During the “Prepare” phase, the system must provide the ability to create pre-agreements for the new FY by allowing the user to select agreements from the current FY for inclusion in the rollover process based on agreement type, status, and/or other selection criteria determined by CDNFS.	M		
C.18.5	In the event that selection of an agreement for inclusion in the rollover process would result in duplicate pre-agreement records, the system must provide a warning and allow the user to specify whether the new pre-agreement should replace the existing one or should be ignored (e.g., to prevent overwriting a pre-agreement that has already been edited).	M		
C.18.6	The system must provide the ability to execute a “Validate” phase of the rollover process whereby pre-agreements may be reviewed and edited, including, but not limited to having holds placed on them and terminating the agreement.	M		

C.18 Functional Requirements: Rollover				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.18.7	The system must provide the ability for the user to flag a pre-agreement as “Validated for Rollover” when a pre-agreement has been determined to be accurate and complete for the new FY.	M		
C.18.8	The system must provide the ability to execute a “Rollover” function that converts validated pre-agreements into valid agreements by assigning them agreement numbers for the new FY.	M		
C.18.9	The system must provide the ability to create “save points” which can be used to rollback and re-run the rollover.	M		
C.18.10	The system must record the final rollover activity as a part of the agreement history.	M		
C.18.11	The system must accommodate deleting pre-agreements that have been terminated, non-renewed, or otherwise deemed ineligible for rollover, with the deletion recorded as the final transaction in the history of the original (prior FY) agreement.	M		
C.18.12	The system must accommodate for pre-agreements with “holds” to be rolled over while maintaining their “hold” status.	M		
C.18.13	The system must provide the ability to execute a “Finalize” process that ensures there are no existing pre-agreement records, only prior FY and new FY live agreement records, and a record of the actions applied to each prior FY agreement.	M		
C.18.14	The system must provide the ability to define and require role-based access to rollover process activities by function, time period, and/or data (e.g., final rollover could only be performed by Paymasters, caseload analyst could only access specific rollover functions when the rollover is “open”).	M		
C.18.15	The system must provide the ability to combine agreements of the same type for the same agency into a single agreement for the upcoming FY as a part of the rollover	M		

C.18 Functional Requirements: Rollover				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	process.			
C.18.16	The system must provide a mechanism for error detection and correction during the rollover process.	M		
C.18.17	The system must provide the ability to notate a reduction in an agreement's existing MRA for the upcoming year and have the new MRA take effect at rollover, while retaining the existing MRA value for the current year.	M		
C.18.18	The system must provide the ability for users to adjust the MRA and PCA allocation percentages or dollar amounts during the rollover process.	M		
Report Requirements				
C.18.19	The system must provide the ability to query, view, or report on pre-agreement records during the rollover process.	M		
C.18.20	The system must produce the Agreements by Analyst in Rollover report: Lists all agreements with terms and conditions in rollover for each analyst. (Existing PARIS Report)	M		
C.18.21	The system must provide the ability to produce the Rollover Manager Reports report: Lists all agreements with new rollover terms by program in county/alpha order (agreement number order or by assigned contract analyst). This report includes PCAs and Part MRAs. (Existing Crystal Report)	M		
C.18.22	The system must provide the ability to produce the Rollover Agreements on Hold report: Lists all agreements in the rollover that have a special rollover hold in place. (Existing Crystal Report)	M		
C.18.23	The system must provide the ability to produce the Agreements Terminated in Rollover report: List of agreements marked for termination in rollover. (Existing Crystal Report)	M		

C.18 Functional Requirements: Rollover				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
Maximum Total Points Functional Requirements: Rollover: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.19 Functional Requirements: Appeals				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
General Requirements				
C.19.1	The system must provide the ability to define and apply a multi-step workflow for the Appeals process that, at a minimum: • Requires review and/or approval at each step before proceeding to the next; • Provides a mechanism at each step for rejecting or approving the work in process and returning it with comments to a previous step for revision and re-submission or forwarding it to the next step in the workflow; and • Provides the ability for the user to record results, actions taken, Agency responses, relevant dates, and triggers tied to deadlines during each step, using a combination of user-defined responses in a drop-down menu and free-form comments.	M		
C.19.2	The system must track the history of an appeal, by agency, including, but not limited to dates, outcomes, and a breach of settlement.	M		
C.19.3	When closing an agreement, the system must provide the ability to generate an Appeals package with relevant documents (e.g., appeal letter, Notice of Defense, Government Code) for an agency if the agency meets pre-defined Appeal criteria (e.g., invoice amount is more than \$25,000 or 4% of the MRA, whichever is less).	M		
C.19.4	The system must provide the ability to store and re-configure Appeal criteria per FY.	M		
C.19.5	The system must provide the ability to define and record the parameters for appeal delinquency for an agreement (e.g., which date to use and the number of days that define "delinquent") by FY.	M		
Worksheet Requirements				

C.19 Functional Requirements: Appeals				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.19.6	The system must produce an Office of Administrative Hearing Schedule for Appeals report, by status: Provides detail and summary showing agencies that are scheduled for hearing, had a default decision, completed the hearing, withdrew, dismissed, and settled. (Existing Excel Worksheet)	M		
Maximum Total Points Functional Requirements: Appeals: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.20 Functional Requirements: General Reporting				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.20.1	The system must produce all existing PARIS and relevant peripheral system reports, letters, and logs used for existing agreement management, payment processing, and fiscal reporting functionality, as described in SECTION III CURRENT SYSTEM and SECTION IV PROPOSED SYSTEM.	M		
C.20.2	The system must provide the ability to view all reports onscreen and to print or email the report.	M		
C.20.3	The system must provide the ability for users to search and filter on designated data (e.g., agreements, agencies, payments, audits), based on the user's role and access rights.	M		
C.20.4	The system must provide a search and filtering capability that is imbedded with the application and available to users based on role and access rights.	M		
C.20.5	In addition to all other reports described in this RFP, the system must include at least forty (40) standard reports, including a minimum of fifteen (15) simple reports, fifteen (15) medium complexity reports, and ten (10) highly complex reports.	M		
C.20.6	The system must generate a report listing all users and their access rights.	M		
Maximum Total Points Functional Requirements: General Reporting: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.21 Technical Requirements: General Architecture				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.21.1	Bidder must provide an overall description of its proposed technical solution with regard to delivering the proposed system as described in SECTION IV PROPOSED SYSTEM and with regard to meeting the technical requirements of this RFP as described in Appendix C.21 through Appendix C.30. Bidder must describe its solution in sufficient detail for the CDE to evaluate Bidder's understanding of the desired system, its features, functionality, and challenges. At a minimum the technical solution description must address: • Architecture and Configuration; • Hardware and Equipment; • Software Products and Tools; • Database; • Networking; • Archiving; • Management and Documentation of Data; • Error Processing; • Monitoring/Auditing; • Performance; • Security/Privacy; and • Working with OTech.	MS	100	
C.21.2	Bidder must propose the specific hardware and software components that comprise its solution and confirm that all necessary products and tools are included in the proposed solution or identified as additional products or tools required by the CDE to support the proposed solution but which are not part of the proposed solution.	M, MS	40	

C.21 Technical Requirements: General Architecture				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	To comply with this requirement Bidder must complete and submit with its Final Proposal FORM VI.6 Proposed Hardware and Software.			

C.21 Technical Requirements: General Architecture				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.21.3	The PARI\$ System's logical and physical architectures must follow an n-tiered architectural design consisting of separate layers for presentation, business, and data, and separated by firewalls.	M		
C.21.4	The system must comply with documented OTech and CDE Standards, Current Hardware and Software Environment, for any new custom-developed application modules or systems necessary to meet the PARI\$ requirements, including, but not limited to, the following: • Server platforms • Operating systems (MS Windows Server 2008 or later) • Database Management System (MS SQL Server 2008 or later) • Web development (MS Visual Studio Team System 2008 Team Suite or later, ASP .NET 3.5 or later, and Visual Basic 2008 or later) • Report writer (MS SQL Server 2008 Reporting Services or later) • Data Modeling (Embarcadero) • Testing (MS Visual Studio Team System 2008 Team Suite or later) • Configuration management (MS Visual Studio Team System 2008 Team Foundation Server) • Accessibility (California Government Code 11135, http://www.cde.ca.gov/re/di/ws/webaccessstds.asp) • Source Control (MS Visual Studio Team System 2008 Team Foundation Server) • CDE Web standards (http://www.cde.ca.gov/re/di/ws/webstandards.asp)	M		
C.21.5	The proposed solution must be able to run within a 64-bit operating system environment.	M		

C.21 Technical Requirements: General Architecture				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.21.6	The user interface must be written as a thin-client web application.	M		
C.21.7	There should be no single point of failure within the proposed solution. Servers at all three tiers (web, application, database) should be either clustered or load-balanced to ensure a high degree of availability.	M		
Maximum Total Points Technical Requirements General Architecture:			140	

C.22 Technical Requirements: Configuration/Hardware				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.22.1	The system must operate on platforms currently supported by OTech and aligned with the CDE's standard architecture and toolset as described in SECTION III CURRENT SYSTEM and SECTION IV PROPOSED SYSTEM (currently Microsoft ASP.NET and SQL Server 2008).	M		
C.22.2	The system must utilize hardware platforms consistent with OTech and CDE standards that can scale from symmetric multiprocessors to multiple parallel processors.	M		
C.22.3	The system must operate in a multi-threaded environment consistent with OTech and CDE standards on multiple, parallel, high-speed servers, for scalability.	M		
C.22.4	The system must be architected to support future growth and enable the incremental addition of hardware capacity (e.g., processing capacity, memory, storage, etc).	M		
C.22.5	All system environments (e.g., development, test, production) must reside at the State's OTech data center and be accessible through the CDE LAN/WAN.	M		
C.22.6	The proposed hardware configuration must meet projected processing and data expansion needs for five (5) years after system acceptance, without additional cost to the State.	M		
Maximum Total Points Technical Requirements: Configuration/Hardware: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.23 Technical Requirements: Database				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.23.1	The system must utilize a database design that conforms to at least the third normal form except where optimized for performance purposes.	M		
C.23.2	The system must provide flexibility in the system design to accommodate additional data elements (e.g., expanding fields, adding fields, etc.) or tables (new information that must be validated or tracked) to reflect changing business needs, statutory, regulatory, and reporting requirements.	M, DS	10	
C.23.3	The system must be designed such that changes resulting from legislation can be implemented with a minimum of effort (e.g., consolidation of multiple programs into a single program, changing the adjustment factors for different groups of children served, or changes to administrative and support percentages).	MS	15	
C.23.4	The system must support full weekly and incremental daily back up procedures. The backup and restore procedures must minimize data loss due to hardware or software failures.	M		
C.23.5	The system must be sufficiently sized to enable the current day's backup to complete successfully prior to 6am of the next calendar day.	M		
C.23.6	The system must limit data loss due to system failure to no more than one (1) day's transactions.	M		
C.23.7	The system must support the Service Level Objectives of TABLE VI-4 SERVICE LEVEL OBJECTIVES.	M		
C.23.8	The system must include system and database administration tools consistent with OTech and CDE standards (http://www.cde.ca.gov/re/di/ws/appdevstandards.asp) that can be used to manage users, add/modify help text or system messages, restructure the physical database schema to improve performance, and accomplish other administrative functions.	M		

C.23 Technical Requirements: Database				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.23.9	The system must incorporate the most recent supported non-Beta version of all tools.	M		
C.23.10	The system must be capable of supporting a ten percent (10%) annual database growth rate (including the 7 years of records retained) while continuing to meet the performance requirements.	M		
C.23.11	The system must be configured and capable of supporting a five percent (5%) annual growth rate of users while continuing to meet the performance requirements.	M		
Maximum Total Points Technical Requirements Database:			25	

C.24 Technical Requirements: Application				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.24.1	The system must utilize the CDE's current development standards, as documented at http://www.cde.ca.gov/re/di/ws/appdevstandards.asp , to develop any new custom-developed application modules or systems necessary to meet the PARI\$ requirements.	M		
C.24.2	The system must provide the ability for users to identify trigger conditions and responses to them, and have the system automatically execute the response when the trigger condition occurs (e.g., when an agreement is placed on or removed from hold, an email is automatically sent to the contract analyst, the fiscal analyst, and the CDD consultant; or if the Agency does not submit justification for their current MRA by the indicated deadline, the system will submit electronic notification to the fiscal analyst and generate a Reduced MRA letter to the Agency).	M, DS	30	
Maximum Total Points Technical Requirements: Application:			30	

C.25 Technical Requirements: Network				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.25.1	The system must be capable of operating in the OTech and CDE network environments, including the public Internet.	M		
C.25.2	The system design must include a web-based interface permitting CDE staff to access and use PARI\$ from any computer with CDE LAN/WAN connectivity and a web browser.	M		
C.25.3	The system must provide a single point of access for all agreement management, reimbursement payment, and fiscal and attendance reporting information.	M		
C.25.4	The system must provide the ability for users to log into PARI\$ via the internet and access all authorized system functionality, based on user group and role definitions.	M		
C.25.5	The system must accept and store Agency Electronic Funds Transfer (EFT) information (bank routing and account number) in a secure manner including encryption at rest and in transit, as appropriate.	M		
C.25.6	The system must support the generation of electronic claims processing files for both warrants and EFT with the SCO in accordance with current SCO specifications. See http://www.sco.ca.gov/5516.html for details.	M		
C.25.7	The transfer of SCO claims transaction files must allow CDE the option of being triggered by a system event, a date/time schedule or manual action.	M		
C.25.8	The SCO claims file creation and transfer process must have robust error checking and recovery capabilities including email notification of progress and success/failure to an individual or email list.	M		
C.25.9	The system must transmit and receive data through the File Transfer Protocol (FTP) Interface, or other interface required by the SCO, to transmit and receive data including but not limited to claim, warrant, electronic fund transfer, and audit information.	M		

C.25 Technical Requirements: Network				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.25.10	FTP interfaces must support Secure Socket Layer (SSL) to enable encrypted data transmission.	M		
C.25.11	The system must allow the automatic (no manual intervention), predetermined (configurable by CDE), or manual transfer of electronic files to and from servers from different agencies and locations using FTP over SSL and FTP over TLS/SSL in Microsoft Windows and mainframe environments. The system will use established logons for the transfers.	M		
C.25.12	The FTP functionality must include the ability to store and update passwords based on user-defined parameters.	M		
C.25.13	PARI\$ must alert selected CDE staff through e-mail of the status of the FTP process (e.g. successful, not successful).	M		
Maximum Total Points This Section: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.26 Technical Requirements: Archiving				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.26.1	The system must provide a process to purge and archive data to an archive database, data store, or digital storage by fiscal month and year, based on CDE-defined archival rules.	M		
C.26.2	The system must be architected to support the processing capacity and data storage capacity required to retain seven (7) years of PARI\$ data online. The Bidder should anticipate a ten percent (10%) agreement growth rate per year. The Bidder's Proposal must provide an explanation of all assumptions and the sizing approach utilized to develop the 7-year storage estimate.	M		
C.26.3	The system archive feature must include the capability to recall archived FY data back into the live system.	M		
Maximum Total Points This Section: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.27 Technical Requirements: Data Dictionary, Data Model, and DRG				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.27.1	The system must utilize standard naming and abbreviation conventions as established by CDE's DMD for data elements, entities and tables, programs and report names. Deviations from these standard naming conventions can only be made with preapproval from the State. The Common Data Naming Conventions and Common Data Abbreviations documents can be found in Appendix E Bidders' Library .	M		
C.27.2	The system must provide the ability to generate a comprehensive data dictionary, in response to an authorized end user request. Information on each data element must include, but not be limited to: • Data element names, types, and formats; • Table names, valid code values, and the names and definitions of the code values; and • Data element definitions.	M		
C.27.3	The system must provide the ability to produce a CDE predefined file(s) that reflects the PARI\$ data dictionary information, which can be imported into the CDE Data Resource Guide (DRG) on a periodic basis. The file(s) must conform to CDE's specification. The Sample Data File Layout and Sample Data File Layout - Code Sets documents can be found in the Bidders' Library.	M		
C.27.4	The system must have the ability to maintain versions of the physical and logical data models in order to identify changes to the database schema.	M		
Maximum Total Points Technical Requirements: Data Dictionary, Data Model, and DRG: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.28 Technical Requirements: Error Processing				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.28.1	The system must provide the ability to validate data type and format, and validate data values according to defined edit rules, at point of entry or prior to importing data into the PARI\$ operational data store.	M, DS	25	
C.28.2	The system must include an error messaging architecture that for all application and system errors: • Redirects to a user-friendly Web page when an error occurs; • Generates clear and concise numbered error messages with next steps for correction; • Prevents an error page from displaying any information that can be used to compromise the application or data; • Allows the user to return to the application logon page or continue processing for minor errors; • Provides for different error categories and severity levels; and • Handles all errors without displaying source code.	M, DS	30	
C.28.3	The system must automatically generate an email to the responsible development group when a system error is thrown or when an unhandled exception is encountered. The e-mail must include the following information: application name, form, class, and function in which the error occurred; error number; error description; and stack thread. Set the maximum number of error e-mails generated by the application to 500 per day with the ability to reset or change the maximum value.	M		
Maximum Total Points Technical Requirements: Error Processing:			55	

C.29 Technical Requirements: Monitoring/Auditing				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.29.1	The system must provide a comprehensive audit function for capturing and tracking the creation of, and changes to, all data including, but not limited to: • Date/time of record creation; • Input source user ID at record creation/update; • Date/time of record update; • Change mechanism (e.g., batch, online); • Data fields that have changed; and • Previous values.	M		
C.29.2	The system must provide routine system audit and monitoring functions to automatically capture and report data including, but not limited to: • System performance; • Failed user login attempts; and • User activity.	M		
C.29.3	The system must provide the ability for users to run and view system audit and monitoring reports and select to have exceptions automatically forward via email to other users for review.	M		
C.29.4	The system must provide diagnostic utilities for database performance monitoring and optimization.	M		
C.29.5	The system must capture and report on system performance statistics including, but not limited to: • System availability; • Average data validation and transformation times; • Average load times; and	M		

C.29 Technical Requirements: Monitoring/Auditing				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
	Average query response times (for queries used to generate standard reports).			
C.29.6	The system must provide the ability to roll back system updates, with a means to document the rollback activity, including user comments.	M		
C.29.7	The system must generate a report listing all users and their access rights.	M		
Maximum Total Points Technical Requirements: Monitoring/Auditing: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.30 Technical Requirements: Performance				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.30.1	The system must be online, fully functional, and available for inquiry during normal business hours of operation (6am – 10pm), seven (7) days a week with the exception of reasonable scheduled downtime for system maintenance.	M		
C.30.2	The system must implement an accurate, usable, and verifiable system and tools for measuring and reporting system performance, including, but not limited to, performance testing prior to and during implementation, and periodically after the system is in production.	M		
C.30.3	The system must provide a response time of two (2) seconds or less from the point at which a user submits a form or request to the time the resulting page is displayed, using a CDE standard workstation connected to the CDE network.	M		
Maximum Total Points Technical Requirements: Performance: N/A - ALL REQUIREMENTS ARE MANDATORY				

C.31 Technical Requirements: Security/Privacy				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.31.1	The system must comply with Federal laws, state laws/policies, and CDE policies and standards regarding privacy and information security, as documented in the CDE Information Security Standards document located in Appendix E Bidders' Library .	M		
C.31.2	The system must follow the current State EDP standards as described in the State Administrative Manual (SAM): http://sam.dgs.ca.gov/TOC/4800/5100.htm .	M		
C.31.3	The system must align with the CDE Enterprise Architecture and follow the CDE Information Security Standards documented in the CDE Information Security Standards document located in Appendix E Bidders' Library .	M		
C.31.4	The system must follow the current CDE Web Application Security Standards documented at http://www.cde.ca.gov/re/di/ws/webappsecurity.asp .	M		
C.31.5	The system must follow the CDE Guiding Principles for Data Management located in Appendix E Bidders' Library .	M		
C.31.6	The system must comply with the privacy requirements of SB1614 (2005/06 Session), as chaptered in Education Code Sections 10600, 10601, 60900, 10601.5 and 44230.5, documented at http://www.leginfo.ca.gov/cgi-bin/calawquery?codesection=edc&codebody=&hits=20 .	M		
C.31.7	The system must provide a means for users to modify PARI\$ security and privacy rules as law and regulations change over time.	M		
C.31.8	The system must provide the ability to limit access to PARI\$ functions, menus, pages, and logical data groupings (database columns and rows) based on user group and role definitions.	M		
C.31.9	The Proposed Solution shall comply with the International Standards Organization (ISO) Specification for an Information Security Management System ISO 27001 and the Code of Practice for Information Security Management ISO 27002.	M		

C.31 Technical Requirements: Security/Privacy				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.31.10	The system must utilize Microsoft Active Directory to provide authentication and authorization services for the system.	M		
C.31.11	The system must allow the secure addition, modification, deactivation, and removal of users.	M		
C.31.12	The system must send an email to users when they are added, modified, or removed, which must not contain credential and/or password information unless it is encrypted.	M		
C.31.13	The system must include the ability to restrict logon access based on the source IP address falling within a valid range associated with the user's group or role.	M		
C.31.14	The system must provide the ability to lock a user out of the system, after a pre-defined number of unsuccessful user sign-on attempts, and notify the system administrator.	M		
C.31.15	The system must provide the ability to automatically log-off users who are inactive for a configurable period of time.	M		
C.31.16	Passwords for new users and reset passwords must have the option to be updated by the user or randomly generated by the system and securely distributed.	M		
C.31.17	The system must allow users to securely change their own passwords.	M		
C.31.18	The system must allow system administrators to reset and securely distribute user passwords.	M		
C.31.19	The system must allow system administrators to force an agency contact's or other user's password to expire after a configurable period of time.	M		
C.31.20	The system must require users to change their passwords based on a configurable period of time.	M		

C.31 Technical Requirements: Security/Privacy				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.31.21	The system must require passwords that meet the CDE's current password requirements as documented at http://www.cde.ca.gov/re/di/ws/webappsecurity.asp .	M		
C.31.22	The system must include a password history file that can be configured to prevent the reuse of a specific number of passwords previously utilized by the internal user.	M		
C.31.23	The system must provide authentication, authorization, and access control at user and user group levels.	M, DS	30	
C.31.24	The system must provide access logging and reporting at the user level.	M		
C.31.25	Any sensitive or confidential data must be encrypted during transit and encrypted/decrypted within active and archived data repositories as defined by CDE.	M		
C.31.26	Data repositories containing Confidential or Sensitive data must reside on a firewalled VLAN separate from the Web & Application tier(s).	M		
C.31.27	System authentication devices must not take place in the web tier. (e.g., Domain Controllers).	M		
C.31.28	All database connection strings, including user id and passwords, must be encrypted while stored at rest (e.g., in configuration file or database, as defined by CDE).	M		
C.31.29	The system must not allow an unauthorized user to gain access to the system using hacking techniques, including, but not limited to SQL Injection and Cross Site Scripting Attacks.	M		
C.31.30	The system design must accommodate reporting off of data from a data store that is separate from the live transactional data and which does not interfere with production operations.	M		
Maximum Total Points Technical Requirements: Security/Privacy:			30	

C.32 Mandatory Optional Requirements				
Req ID	Requirement	Scoring Type(s)	Max Points	Bidder Reference (Volume, Section, Subsection)
C.32.1	In addition to the formal training curriculum, Bidder will describe proposed Job Aids such as FAQs, error charts, quick reference guides, or other elements.	MO		
C.32.2	Bidder will describe how it proposes to assist the CDE in designing online tutorial training for use by external agencies.	MO		
C.32.3	The system will include at least 10 unused fields, for future definition and use, with associated maintainable reference tables to accommodate future tracking and reporting on new categories of agreements or agencies or means of classifying an agreement or agency, without the use of a programmer.	MO		
C.32.4	The system will provide the option to combine multiple billing requests into a single billing request but still be able to identify the individual billings.	MO		
C.32.5	The system will provide the ability to combine transaction files of the same type (e.g., 231, 245, 242R or other files) from multiple pay runs into a single transaction file sorted by vendor ID.	MO		
C.32.6	When an audit is completed and the agreement closed, the system will automatically disencumber and liquidate any agreement balances.	MO		
C.32.7	The system design will provide for independent operation of each major function such that each has the capability of being removed and replaced with FI\$Cal functionality when FI\$Cal is implemented and those functions become available (e.g., agreement management and tracking, CALSTARS reconciliation, archive of earnings and fiscal data, accounts receivable management).	MO		
Maximum Total Points Mandatory Optional Requirements: N/A - ALL REQUIREMENTS ARE MANDATORY				

This page intentionally left blank.

Appendix D Cost Workbook

This Appendix includes the Cost Worksheets that Bidder must complete for the Cost Proposal. This Appendix is provided in an Excel Spreadsheet format for Bidders to enter directly. See SECTION VII COST PROPOSAL for details and instructions for completing the Cost Workbook.

This page intentionally left blank.

Appendix E Bidders' Library

This Appendix includes a list of the contents of the Bidders' Library, which can be accessed by logging on as "Guest" at the following URL:

<ftp://ftp.cde.ca.gov/parisbl/>

- 01 PARI\$ FSR
- 02 PARI\$ RFP
- 03 CDE Data Management Guide (DRG)
- 04 CDE IT Standards
- 05 CDE Security Standards
- 06 CDE Offices – Divisions – Web sites
- 07 Appendix C Report Samples, by Requirement
- 08 Other Information/Documents Referenced in RFP
- 99 Public Bidder Communications

This page intentionally left blank.

Appendix F Glossary of Terms

Glossary of Terms	
Term	Description
A&I	CDE's Audits & Investigations Division
Abatement	A reduction to an expenditure that has already been made.
ABLS	Automated Batch Log System
Accounts Receivable	Billing to agencies for amounts due CDE.
ADA	Americans with Disabilities Act
ADMO	Application Development and Maintenance Office; develops and maintains software applications for the CDE.
Agreement	A legally binding contract between CDE and a child care agency whereby the agency provides child care and development program services according to defined programmatic and fiscal requirements, and the CDE promises to reimburse the agency for those services according to defined limits.
Allocation	The distribution of the allotment to specific PCAs.
Allotment	The amount provided in the annual State Budget for a particular child care and development program. Allotments are allocated to the specific PCAs, which are then used to create agreements to agencies operating these programs.
Amendment	A change in the agreement terms that requires signature from the agency.
AO	CDE's Accounting Office
APORS	Alternative Payment Online Reporting System. A CDE website that collects caseload and fiscal data from CalWORKs and AP agencies.
APP	Alternative Payment Program
Apportionment	The amount reimbursed to an agency, which is calculated based on the CDFS Apportionment Schedules provided in the Child Development Attendance and Fiscal Reporting and Reimbursement Procedures Manual.
Appropriation	Authorization through the annual state budget to make expenditures or incur liabilities from a specific fund for a specific purpose..
ARIS	Accounts Receivable Invoice System; CDE system that interfaces with CALSTARS.
ASP	Active Server Page
AUD	Audited Final Attendance and Fiscal Report submitted by an agency.
BCP	Budget Change Proposal

Glossary of Terms	
Term	Description
BEES	Budget Enhanced Evaluation System. CDE's Budget Office system from which data extracts are used to reconcile PCA codes and establish funding levels in PARIS.
Bidder	Company who submits a Proposal in response to this RFP.
BO	CDE's Budget Office
BOE	Board of Equalization
CALSTARS	California State Accounting and Reporting System (will be replaced by FI\$Ca).
CalWORKs	California Work Opportunity and Responsibility to Kids program.
CAPP	California Alternative Payment Program
Carryover Account	A PCA that is established annually in which liquidated agreement funds are held until utilized for another purpose prescribed by the Legislature.
CATS	Contract Automated Tracking System. Used by CDD to track agency, contact, and licensing information.
CCDF	Child Care and Development Fund (federal)
CCTR	California Center-Based Program
CDD	Child Development Division
CDE	California Department of Education
cde	child days of enrollment
CDFS	Child Development Fiscal Services, is a sub-unit within CDNFS – Child Development and Nutrition Fiscal Services. CDFS authorizes apportionment payments to agencies, provides technical assistance, and participates in reviews and investigations.
CDMIS	Child Development Management Information System; a web-based self-reporting system for agencies to report information for CDD to track data on the agencies and the families they serve.
CDNFS	Child Development/Nutrition Fiscal Services is a unit of FASD. CDFS – Child Development Fiscal Services is a sub-unit within CDNFS.
CENIC	The Corporation for Education Network Initiatives in California
Center-Based Program	Child care and development program operated at a specific site or through Family Child Care Home Networks.
Certified	Eligible to be subsidized by CDE (See subsidized.)
CFA	Continued Funding Applications. Forms used by agencies with current agreements to request continued funding for the upcoming year.
CFCC	California Family Child Care Home Program
CHAN	California Severely Handicapped Program
CHE	Child Hours of Enrollment

Glossary of Terms	
Term	Description
CLTK	California School Age Community Child Care Services Program (Latchkey)
CMAP	California Migrant Alternative Payment Program
CMIG	California Migrant Program
CMR	Contract Monitoring Review. An onsite visit to an agency by CDE to ensure compliance with all the requirements of the program and agreement provisions.
CMSS	California Migrant Specialized Services
CO	CDE's Contracts Office. Provides agreement services in support of all child care and development programs.
COLA	Cost of Living Adjustment
Completed	The system is in production and is being utilized by the users as the system of record.
Contractor	The successful Bidder awarded the contract to develop and implement the PARI\$ system.
COTS	Commercial Off-The-Shelf software package
CPA	Certified Public Accountant
CPM	Categorical Program Monitoring
CPRE	California Preschool Program
CRRP	California Resource and Referral Programs
CSPP	California State Preschool Program
CUF	Commercially Useful Function
DB	Database
DBMS	Database Management System
DFEH	Department of Fair Employment and Housing
DGS	Department of General Services
DEX	Data Exchange
DHCP	Dynamic Host Configuration Protocol
Days of Attendance	The days that certified children are present in the program for any part of a day for which they are enrolled or if they have excused absences.
Days of Enrollment	The number of days that certified children are enrolled based on the families need for child care and development services.
Days of Operation	The number of days the agency provides child care and development services for one or more certified children that are enrolled in the program.
DOL	Department of Labor

Glossary of Terms	
Term	Description
DRG	Data Resource Guide
DTS	Department of Technology Services (now Office of Technology Services – OTech)
DVBE	Disabled Veteran Business Enterprise
EDP	Electronic Data Processing
EFT	Electronic Funds Transfer
Encumbrance	Obligated funds in an agreement, occurs when the agreement is mailed to the agency and the state Budget has been signed.
ELAR	Establish Local Agreement Request; A CDD document used to establish or amend agreement terms.
ERD	Entity Relationship Diagram
ETL	Extract, Transform, and Load
EULA	End-User License Agreement
EZA	Enterprise Zone Act
Face Sheet	The front page of the agreement that contains terms and conditions.
FAQs	Frequently Asked Questions
FASD	Fiscal & Administrative Services Division
FI\$Cal	Financial Information System for California (will replace CALSTARS)
FSR	Feasibility Study Report
FT&C	Funding Terms and Conditions
FTE	Full-Time Equivalent
FTP	File Transfer Protocol
FY	Fiscal Year
IP	Internet Protocol
IPOC	Independent Project Oversight Consultant
ISO	CDE's Information Systems Office
IT	Information Technology
JAD	Joint Application Development
KWIK	Child Care and Development Contract Data
LAMBRA	Local Agency Military Base Recovery Act
LAN	Local Area Network

Glossary of Terms	
Term	Description
LAR	Local Agreement Review; created by CDNFS, using information from the ELAR, the LAR is a spreadsheet that contains all of the data necessary to establish an Agreement for an Agency or make changes to an Agreement during the year.
Latchkey	School Age Community Child Care Program
LEA	Local Educational Agency, such as school districts and county offices of education.
Liquidation	Process by which encumbered agreement funds are freed up for another purpose.
LLC	Limited Liability Company
LP	Limited Partnership
M	Mandatory
MB	Micro-Business
MDO	Minimum Days of Operation
MO	Mandatory Optional
MOTS	Modified Off-The-Shelf software package
MRA	Maximum Reimbursable Amount
MS	Mandatory Scorable
Non-certified	Not subsidized by a child care and development agreement
Non-LEA	Agencies that are not LEAs
Obligated	Agreement funds that are “reserved” and ready to be encumbered.
OCIO	Office of the State Chief Information Office
OEM	Original Equipment Manufacturer
ORCC	Other Related Child Care Costs
OSDS	Office of Small Business and DVBE Services
OTech	Office of Technology Services (formerly Department of Technology Services – DTS)
Overallocation	When the sum of all agreement amounts exceeds the total allotment for a specific PCA.
P	Addressed Poorly
PARIS	Original Provider Accounting and Reporting Information System developed in 1996; the system being replaced.
PARI\$	New Provider Accounting and Reporting Information System; replacing the original PARIS system.
Pay Run	The process of issuing payment schedules to SCO to issue payments to agencies.
Paymaster	The title of the person(s) responsible for opening, closing, and executing a pay run.

Glossary of Terms	
Term	Description
PCA	Program Cost Account; the code used to track allocated child care and development program funding. Every agreement has one or more associated PCAs.
PIA	Program Implementation Allowance
PIP	Project Implementation Plan
PMI	Project Management Institute
PMO	Project Management Office
PMP	Project Management Plan
Private Agency	Agency other than an LEA (non-LEA)
R&R Agency	Resource and Referral Agency
Reserve Account	Reserve Account funds are state funds that the contractor holds in reserve as deferred revenue until they are properly spent or returned to the CDE. Reserve Account funds are not contract reimbursement and do not belong to the contractor. There are three types of Reserve Accounts (Center-Based, Alternative Payment, and Resource and Referral).
Reversion	When the legislature decreases an allotment.
Revision	A change to an Agreement that is made by CDNFS; an internal change, such as a fund shift, which does not require signature from the Agency.
RFA	Request for Application
RFP	Request for Proposal
Rollover	The process of generating new child care and development agreements for the upcoming FY.
S	Addressed Satisfactorily
SB	Small Business
SACS	Standardized Account Code Structure
SAM	State Administrative Manual
SB/NVSA	Small Business Nonprofit Veteran Service Agency
Schedule	The term for "Program" that is used for budgetary purposes.
SCO	State Controller's Office
SDLC	System Development Life Cycle
SEI	Software Engineering Institute
Service Agreement	An agreement between CDE and an agency to provide child care and development services to eligible families and children..
Service County	The county in which the services are actually provided, versus the county where the agency's headquarters resides.

Glossary of Terms	
Term	Description
SIT	System Integration Testing
SLO	Service Level Objective
SLP	Software Licensing Program
SOS	Secretary of State
SOW	Statement of Work
SPR	Special Project Report
SSL	Secure Socket Layer
SLP	Software Licensing Program
SME	Subject Matter Expert
Subsidized	Funded by a CDE child development agreement (See certified.)
Successful/ Successfully	Used in the context of system experience, “successful experience”, “successfully developed”, “successfully implemented”, “successfully managed” are all defined to mean that the system is in production and is being utilized by the users as the system of record.
Support Agreement	Agreements that do not serve children directly but which supplement child development programs or otherwise support the child development community.
TA	Technical Assistance; provided by CDNFS analysts or CDD consultants to the agency.
TACPA	Target Area Contract Preference Act
TANF	Temporary Assistance to Needy Families
TSD	CDE’s Technology Services Division
TTY	Text Telephone
URL	Uniform Resource Locator
W	Addressed Well
WAN	Wide Area Network
Warrant	A check issued by the State Controller’s Office to an agency.

This page intentionally left blank.

D.1 Cost Workbook Summary (*Note: This sheet is populated automatically from subsequent detailed Worksheets)						
	Item Description	FY 2010/2011	FY 2011/2012	FY 2012/2013	FY 2013/2014	Total Item Cost
1	Total Hardware Cost (D.2):	\$ -	\$ -	\$ -	\$ -	\$ -
2	Total Software Cost (D.3):	\$ -	\$ -	\$ -	\$ -	\$ -
3	Total Deliverables Cost (D.4):	\$ -	\$ -	\$ -	\$ -	\$ -
4	Total OTech Services Cost (D.5):	\$ -	\$ -	\$ -	\$ -	\$ -
5	Total Additional Hardware, Software, and Services Costs (D.6)	\$ -	\$ -	\$ -	\$ -	\$ -
6	Total Mandatory Optional Requirements Cost (D.7)	\$ -	\$ -	\$ -	\$ -	\$ -
7	Total Ongoing M&O (Contract A1) Costs (D.8):	N/A				\$ -
8	Total Ongoing M&O (Contract A2) Costs (D.9):					\$ -
9	Total Support Services Cost (Contract A1) (D.10):	N/A				\$ -
10	Total Support Services Cost (Contract A2) (D.10):					\$ -
PROPOSED COST BY FISCAL YEAR		\$ -	\$ -	\$ -	\$ -	\$ -
BIDDER'S TOTAL PROPOSED COST				\$ -		

D.2 One-Time Hardware Costs								
Item#	Item Description	FY 2010/11			FY 2011/12			Qty
		Qty	Item Cost	Cost(\$)	Qty	Item Cost	Cost(\$)	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
Total One-Time Hardware Costs By FY:		\$ -			\$ -			\$

D.2 One-Time Hardware Costs						
Item#	Item Description	FY 2012/13		FY 2013/14		
		Item Cost	Cost(\$)	Qty	Item Cost	Cost(\$)
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
Total One-Time Hardware Costs By FY:			-	\$		-

D.3 One-Time Software Costs								
Item#	Item Description	FY 2010/11			FY 2011/12			Qty
		Qty	Item Cost	Cost(\$)	Qty	Item Cost	Cost(\$)	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
				\$ -			\$ -	
Total One-Time Software Costs By FY:				\$ -			\$ -	\$

D.3 One-Time Software Costs						
Item#	Item Description	FY 2012/13		FY 2013/14		
		Item Cost	Cost(\$)	Qty	Item Cost	Cost(\$)
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
			\$ -			\$ -
Total One-Time Software Costs By FY:			-	\$		-

D.4 Deliverables - Cost and Payment Schedule										
Deliverable by Stage	Deliverable Name	Deliverable Cost (\$) By Fiscal Year				Cumulative Total Cost	%Total One-Time Costs	Suggested Deliverable Payment % of Total One-Time Costs	Max Cumulative Total %	Bidder Cumulative Total %
		FY 2010/11	FY 2011/12	FY 2012/13	FY 2013/14					
Stage 1: Project Startup										
DEL-1	Project Management Plan (PMP)					\$ -	#DIV/0!	1%		#DIV/0!
DEL-2	Project Implementation Plan (PIP)					\$ -	#DIV/0!	1%		
DEL-3	Initial Project Work Plan with Project Schedule					\$ -	#DIV/0!	1%		
DEL-4	System Security Management Plan					\$ -	#DIV/0!	1%		
Stage 2: System Analysis and Design										
DEL-5	Requirements Management Plan					\$ -	#DIV/0!	2%	12%	#DIV/0!
DEL-6	Detailed System Design Document					\$ -	#DIV/0!	6%		
Stage 3: System Development										
DEL-7	System Development Plan					\$ -	#DIV/0!	2%	22%	#DIV/0!
DEL-8	System Test Plan					\$ -	#DIV/0!	2%		
DEL-9	Draft PARI\$ System					\$ -	#DIV/0!	6%		
Stage 4: Data Conversion										
DEL-10	Transition and Conversion Plan					\$ -	#DIV/0!	1%	31%	#DIV/0!
DEL-11	Data Mapping Document					\$ -	#DIV/0!	2%		
DEL-12	Data Conversion Software					\$ -	#DIV/0!	2%		
DEL-13	Data Conversion Results Report					\$ -	#DIV/0!	3%		
DEL-14	Cutover Checklist					\$ -	#DIV/0!	1%		
Stage 5: Systems and Integration Testing										
DEL-15	Systems and Integration Test Environment					\$ -	#DIV/0!	5%		

D.4 Deliverables - Cost and Payment Schedule										
Deliverable by Stage	Deliverable Name	Deliverable Cost (\$) By Fiscal Year				Cumulative Total Cost	%Total One-Time Costs	Suggested Deliverable Payment % of Total One-Time Costs	Max Cumulative Total %	Bidder Cumulative Total %
		FY 2010/11	FY 2011/12	FY 2012/13	FY 2013/14					
DEL-16	Detailed Systems and Integration Test Plans					\$ -	#DIV/0!	5%	46%	#DIV/0!
DEL-17	Systems and Integration Test Results					\$ -	#DIV/0!	5%		
Stage 6: Training										
DEL-18	Knowledge Transfer and Training Plan					\$ -	#DIV/0!	1%	53%	#DIV/0!
DEL-19	Training Materials					\$ -	#DIV/0!	1%		
DEL-20	PARI\$ System User Manual					\$ -	#DIV/0!	1%		
DEL-21	PARI\$ System Maintenance/Operations Manual					\$ -	#DIV/0!	1%		
DEL-22	PARI\$ System Administration Manual					\$ -	#DIV/0!	1%		
DEL-23	PARI\$ System Architecture Manual					\$ -	#DIV/0!	1%		
DEL-24	Training					\$ -	#DIV/0!	1%		
Stage 7: User Acceptance Testing										
DEL-25	Detailed User Acceptance Test Plan					\$ -	#DIV/0!	2%	64%	#DIV/0!
DEL-26	User Acceptance Test Results					\$ -	#DIV/0!	9%		
Stage 8: Implementation										
DEL-27	Environment Readiness					\$ -	#DIV/0!	2%	68%	#DIV/0!
DEL-28	PARI\$ System Help Desk Manual					\$ -	#DIV/0!	2%		
Stage 9: System Maintenance and Project Closeout										
DEL-29	System Maintenance and Operations Plan					\$ -	#DIV/0!	2%	80%	#DIV/0!
DEL-30	Project Closeout Action List					\$ -	#DIV/0!	10%		
Stage 10: System Acceptance										

D.4 Deliverables - Cost and Payment Schedule										
Deliverable by Stage	Deliverable Name	Deliverable Cost (\$) By Fiscal Year				Cumulative Total Cost	%Total One-Time Costs	Suggested Deliverable Payment % of Total One-Time Costs	Max Cumulative Total %	Bidder Cumulative Total %
		FY 2010/11	FY 2011/12	FY 2012/13	FY 2013/14					
DEL-31	Complete PARI\$ System					\$ -	#DIV/0!	20%	100%	#DIV/0!
Total Deliverables Cost By FY		\$ -	\$ -	\$ -	\$ -	\$ -				

D.5 OTech Services Costs														
Item#		Item Description		FY 2010/11										
				One-Time Costs		O R	Ongoing Monthly Costs		O R	Yearly Cost	Total Item Cost (\$)			One-Time Costs
				One-Time Unit Cost	Qty		Monthly Unit Cost	# Mos				One-Time Unit Cost	Qty	
											\$	-		
											\$	-		
											\$	-		
											\$	-		
											\$	-		
											\$	-		
											\$	-		
											\$	-		
											\$	-		
											\$	-		
											\$	-		
											\$	-		
											\$	-		
											\$	-		
Total OTech Services Costs By FY:											\$	-		

D.5 OTech Services Costs													
				FY 2011/12						FY 2012/13			
				O R	Ongoing Monthly Costs		O R	Yearly Cost	Total Item Cost (\$)	One-Time Costs		O R	Ongoing Monthly Costs
Item#	Item Description	Monthly Unit Cost	# Mos		One-Time Unit Cost	Qty				Monthly Unit Cost			
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
								\$	-				
Total OTech Services Costs By FY:								\$	-				

D.5 OTech Services Costs														
					FY 2012/13				FY 2013/14					
					Monthly	O R	Yearly Cost	Total Item Cost (\$)	One-Time Costs		O R	Ongoing Monthly Costs		O R
Item#	Item Description				# Mos				One-Time Unit Cost	Qty		Monthly Unit Cost	# Mos	
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
								\$ -						
Total OTech Services Costs By FY:								\$ -						

D.5 OTech Services Costs				
			Yearly Cost	Total Item Cost (\$)
Item#	Item Description			
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
Total OTech Services Costs By FY:				\$ -

D.6 Additional Hardware, Software, and Services Costs

				FY 2010/11									
				One-Time Costs		O R	Ongoing Monthly Costs		O R	Yearly Cost	Total Item Cost (\$)	One-Time Costs	
				One-Time Unit Cost	Qty		Monthly Unit Cost	# Mos				One-Time Unit Cost	Qty
Item #	Item Description												
										\$ -			
										\$ -			
										\$ -			
										\$ -			
										\$ -			
										\$ -			
										\$ -			
										\$ -			
										\$ -			
										\$ -			
										\$ -			
										\$ -			
										\$ -			
										\$ -			
										\$ -			
Total Additional Hardware, Software, and Services Costs By FY:										\$ -			

D.6 Additional Hardware, Software, and Services Costs													
				FY 2011/12					FY 2012/13				
				O R	Ongoing Monthly Costs		O R	Yearly Cost	Total Item Cost (\$)	One-Time Costs		O R	Ongoing Monthly Costs
					Monthly Unit Cost	# Mos				One-Time Unit Cost	Qty		
Item #	Item Description												
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
								\$ -					
Total Additional Hardware, Software, and Services Costs By FY:								\$ -					

D.6 Additional Hardware, Software, and Services Costs															
					FY 2012/13				FY 2013/14						
					Monthly	O R	Yearly Cost	Total Item Cost (\$)	One-Time Costs		O R	Ongoing Monthly Costs		O R	
Item #	Item Description	# Mos	One-Time Unit Cost	Qty	Monthly Unit Cost				# Mos						
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
					\$ -										
Total Additional Hardware, Software, and Services Costs By FY:							\$ -								

D.6 Additional Hardware, Software, and Services Costs			
		Yearly Cost	Total Item Cost (\$)
Item #	Item Description		
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
Total Additional Hardware, Software, and Services Costs By FY:			\$ -

D.7 Mandatory Optional Requirements Costs													
				FY 2010/11									
				One-Time Costs		O R	Ongoing Monthly Costs		O R	Yearly Cost			Total Item Cost (\$)
				One-Time Unit Cost	Qty		Monthly Unit Cost	# Mos			One-Time Unit Cost	Qty	
Req #	Item Description												
C.32.1											\$ -		
C.32.2											\$ -		
C.32.3											\$ -		
C.32.4											\$ -		
C.32.5											\$ -		
C.32.6											\$ -		
C.32.7											\$ -		
											\$ -		
Total Mandatory Optional Requirements Costs By FY:											\$ -		

D.7 Mandatory Optional Requirements Costs														
Req #		Item Description		FY 2011/12				FY 2012						
				O R	Ongoing Monthly Costs		O R	Yearly Cost	Total Item Cost (\$)	One-Time Costs		O R	Ongoing Monthly Costs	
					Monthly Unit Cost	# Mos				One-Time Unit Cost	Qty		Monthly Unit Cost	# Mos
C.32.1								\$	-					
C.32.2								\$	-					
C.32.3								\$	-					
C.32.4								\$	-					
C.32.5								\$	-					
C.32.6								\$	-					
C.32.7								\$	-					
								\$	-					
Total Mandatory Optional Requirements Costs By FY:								\$	-					

D.7 Mandatory Optional Requirements Costs											
				13		FY 2013/14					
				O R	Yearly Cost	Total Item Cost (\$)	One-Time Costs		O R	Ongoing Monthly Costs	
Req #	Item Description	One-Time Unit Cost	Qty				Monthly Unit Cost	# Mos			
C.32.1				\$	-						
C.32.2				\$	-						
C.32.3				\$	-						
C.32.4				\$	-						
C.32.5				\$	-						
C.32.6				\$	-						
C.32.7				\$	-						
				\$	-						
Total Mandatory Optional Requirements Costs By FY:					\$	-					

D.7 Mandatory Optional Requirements Costs		
		Total Item Cost (\$)
Req #	Item Description	
C.32.1		\$ -
C.32.2		\$ -
C.32.3		\$ -
C.32.4		\$ -
C.32.5		\$ -
C.32.6		\$ -
C.32.7		\$ -
		\$ -
Total Mandatory Optional Requirements Costs By FY:		\$ -

D.8 Ongoing Maintenance & Operations Costs - Contract A1	
	One Year Mandatory M&O
Monthly Cost	
Total Cost For Mandatory Year 1 - Contract A1 (Monthly Cost x 12):	\$ -

D.9 Ongoing Maintenance & Operations Costs - Contract A2		
	Optional Year 1 Monthly Cost (CDE Option)	Optional Year 2 Monthly Cost (CDE Option)
Monthly Cost		
Total Yearly Cost - Contract A2 (Monthly Cost x 12):	\$ -	\$ -

D.10 Support Services Rates				
Enter Total Number of Team Roles		7		
Average Hours Per Team Role		142.86		
Item#	Team Roles	# Hours	Hourly Rate	Cost
	Project Manager	142.86		\$ -
	Technical Architect	142.86		\$ -
	Quality Assurance Manager	142.86		\$ -
	Systems/Business Analyst	142.86		\$ -
	Application Developer	142.86		\$ -
	Tester	142.86		\$ -
	Trainer	142.86		\$ -
Total Entered Hours		1,000.00		
Total Support Services Costs (Per Year):		1,000		\$ -

Question and Answers for Bid #RFP CDE 6110-98 - Provider Accounting and Reporting Information System (PARIS)

OVERALL BID QUESTIONS

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

Question Deadline: Sep 17, 2010 4:00:00 PM PDT