

EXERCISE 1  
STRUCTURING REQUIREMENTS

DOCUMENT SET 2



## TABLE OF CONTENTS

<b>I.</b>	<b>INTRODUCTION AND OVERVIEW.....</b>	<b>I-1</b>
I.1	PURPOSE OF THIS REQUEST FOR PROPOSAL .....	I-1
I.2	OVERVIEW .....	I-1
I.3	AVAILABILITY .....	I-2
I.4	PROCUREMENT OFFICIAL.....	I-3
I.5	KEY ACTION DATES .....	I-3
<b>II.</b>	<b>RULES GOVERNING COMPETITION .....</b>	<b>II-1</b>
II.1	IDENTIFICATION AND CLASSIFICATION OF RFP REQUIREMENTS.....	II-1
II.1.1	<i>Mandatory Requirements</i> .....	II-1
II.1.2	<i>Desirable Items</i> .....	II-1
II.2	PROPOSAL REQUIREMENTS AND CONDITIONS.....	II-1
II.2.1	<i>General</i> .....	II-1
II.2.2	<i>RFP Documents</i> .....	II-1
II.2.3	<i>Examination of the Work</i> .....	II-2
II.2.4	<i>Questions Regarding the RFP</i> .....	II-2
II.2.5	<i>Addenda</i> .....	II-2
II.2.6	<i>Bonds</i> .....	II-3
II.2.7	<i>Joint Bids</i> .....	II-3
II.2.8	<i>Air or Water Pollution Violations</i> .....	II-3
II.2.9	<i>Fair Employment and Housing Commission Regulations</i> .....	II-3
II.2.10	<i>Exclusion for Conflict of Interest</i> .....	II-3
II.2.11	<i>Follow-on Contracts</i> .....	II-3
II.2.12	<i>Disclosure of Financial Interests</i> .....	II-4
II.3	BIDDING STEPS .....	II-4
II.3.1	<i>Preparation of Proposals</i> .....	II-4
II.3.2	<i>Bidders Conference</i> .....	II-4
II.3.3	<i>Draft Proposals</i> .....	II-5
II.3.4	<i>Confidential Discussions</i> .....	II-5
II.3.5	<i>Final Proposals</i> .....	II-5
II.3.6	<i>Submission of Final Proposals</i> .....	II-6
II.3.7	<i>Sealed Cost Openings</i> .....	II-8
II.3.8	<i>Rejection of Bids</i> .....	II-8
II.3.9	<i>Contract Award</i> .....	II-9
II.3.10	<i>Debriefing</i> .....	II-9
II.4	CONTRACT TERMS AND CONDITIONS.....	II-9
II.4.1	<i>Incorporation of Contract Language</i> .....	II-9
II.4.2	<i>Term of Contract</i> .....	II-10
II.5	OTHER INFORMATION .....	II-10

**RFP**  
**Request for Proposal**

II.5.1	Protests.....	II-10
II.5.2	News Releases .....	II-11
II.5.3	Disposition of Proposals.....	II-11
<b>III.</b>	<b>EXISTING SYSTEMS OVERVIEW .....</b>	<b>III-1</b>
III.1	PROGRAM OVERVIEW .....	III-1
III.1.1	Program Description.....	III-1
III.1.2	Program Organization.....	III-3
III.2	BUSINESS PROCESS OVERVIEW.....	III-6
III.2.1	Adjudication of Claim Process .....	III-7
III.3	CURRENT VOLUMES .....	III-8
III.4	BUSINESS OBJECTIVES.....	III-9
III.5	EXISTING SYSTEMS OVERVIEW.....	III-10
III.5.1	[REDACTED] On-Line.....	III-10
III.5.2	[REDACTED] System.....	III-10
III.5.3	[REDACTED] Claims and Rating System .....	III-11
III.5.4	[REDACTED] Claims and Collections Management System .....	III-11
III.5.5	Electronic Data Exchange (EDEX).....	III-12
III.5.6	[REDACTED] Information System ([REDACTED] IS) .....	III-12
III.6	EXISTING TECHNICAL INFRASTRUCTURE.....	III-13
III.6.1	Network.....	III-13
III.6.2	Current Hardware .....	III-13
III.6.3	Current Software .....	III-14
III.6.4	Existing Interfaces .....	III-15
III.7	BIDDERS' LIBRARY.....	III-16
III.7.1	Bidders' Library Location.....	III-16
III.7.2	Bidders' Library Contents .....	III-16
<b>IV.</b>	<b>CONCEPTUAL SYSTEM .....</b>	<b>IV-1</b>
IV.1	BUSINESS PROCESSES.....	IV-1
IV.1.1	Case and Contact Management.....	IV-1
IV.1.2	Document Management.....	IV-2
IV.1.3	Workflow Management.....	IV-2
IV.1.4	Calendar Management .....	IV-3
IV.1.5	Cashiering .....	IV-3
IV.1.6	Electronic Lien Filing and [REDACTED] Replacement.....	IV-3
IV.1.7	External User and Public Access.....	IV-3
IV.1.8	System Interfaces .....	IV-4
IV.2	TECHNICAL INFRASTRUCTURE .....	IV-4
IV.2.1	Conceptual Model.....	IV-5
IV.2.2	Network Configuration.....	IV-7

## Request for Proposal

IV.2.3	Hardware.....	IV-7
IV.2.4	Software.....	IV-7
IV.2.5	Security.....	IV-8
IV.3	LOCATIONS .....	IV-9
<b>V.</b>	<b>ADMINISTRATIVE REQUIREMENTS .....</b>	<b>V-1</b>
V.1	INTRODUCTION .....	V-1
V.2	DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) PARTICIPATION .....	V-1
V.3	TARGET AREA CONTRACT PREFERENCE (TACPA) .....	V-1
V.4	EMPLOYMENT AND ECONOMIC INCENTIVE ACT PREFERENCE (EEIA).....	V-1
V.5	LOCAL AGENCY MILITARY BASE RECOVERY ACT PREFERENCE (LAMBRA).....	V-2
V.6	RESPONSES TO ADMINISTRATIVE REQUIREMENTS .....	V-2
V.6.1	Business Qualifications .....	V-3
V.6.2	Business Practices Requirements .....	V-7
V.6.3	Commercially Useful Function Description and Information.....	V-8
V.6.4	Source Code and Data Ownership .....	V-8
V.6.5	Hardware Purchase .....	V-9
V.6.6	Hardware Purchase Option .....	V-9
V.6.7	COTS Version Upgrade Purchase.....	V-9
V.6.8	Performance Bond / Payment Milestones.....	V-10
V.6.9	Performance Bond.....	V-11
<b>VI.</b>	<b>FUNCTIONAL AND TECHNICAL REQUIREMENTS .....</b>	<b>VI-1</b>
VI.1	MANDATORY REQUIREMENTS.....	VI-1
VI.1.1	Functional Requirements.....	VI-2
VI.1.2	Technical Requirements.....	VI-62
VI.1.3	Contractor Staffing.....	VI-76
VI.1.4	System Integration and Implementation Requirements .....	VI-87
VI.1.5	Contract Deliverables.....	VI-96
VI.2	DESIRABLE REQUIREMENTS .....	VI-122
VI.2.1	Functional Requirements.....	VI-123
VI.2.2	Technical Requirements.....	VI-128
<b>VII.</b>	<b>COST.....</b>	<b>VII-1</b>
VII.1	INTRODUCTION.....	VII-1
VII.2	COST CATEGORIES .....	VII-2
VII.2.1	One-Time Costs .....	VII-2
VII.2.2	Ongoing Costs .....	VII-2
VII.2.3	Labor Costs .....	VII-3
VII.2.4	Additional Concurrent External and/or Public User Costs.....	VII-4
VII.3	COST WORKSHEETS .....	VII-4
VII.3.1	Total Cost Summary Worksheet (Appendix B, Form VII-1) .....	VII-5
VII.3.2	Detailed COTS Software Costs Worksheet (Appendix B, Form VII-2).....	VII-5

**RFI**  
**Request for Proposal**

---

VII.3.3	Detailed <b> </b> Offices Hardware Costs Worksheets (Appendix B, Form VII-3).....	VII-5
VII.3.4	Detailed System Integrator Implementation and Other One-Time Costs Worksheet (Appendix B, Form VII-4) .....	VII-5
VII.3.5	DTS Optical Server Costs Worksheet (Appendix B, Form VII-5).....	VII-6
VII.3.6	COTS Version Upgrade Costs Worksheet (Appendix B, Form VII-6) .....	VII-6
VII.3.7	Ongoing Scanning/Imaging Hardware Maintenance Costs (Appendix B, Form VII-7).....	VII-6
VII.3.8	DTS Hardware Costs Worksheet (Appendix B, Form VII-8).....	VII-6
VII.3.8a	DTS Software Support Costs Worksheet (Appendix B, Form VII-8a).....	VII-7
VII.3.9	Bidder Labor Cost Worksheet (Appendix B, Form VII-9) .....	VII-7
VII.3.10	Additional Concurrent External and/or Public User Costs (Appendix B, Form VII-10).....	VII-7
<b>VIII.</b>	<b>PROPOSAL FORMAT .....</b>	<b>VIII-1</b>
VIII.1	INTRODUCTION.....	VIII-1
VIII.2	PROPOSAL FORMAT AND CONTENTS .....	VIII-1
VIII.2.1	Draft Proposal Format and Content .....	VIII-2
VIII.2.2	Final Proposal Format and Content .....	VIII-2
<b>IX.</b>	<b>EVALUATION AND SELECTION.....</b>	<b>IX-1</b>
IX.1	INTRODUCTION.....	IX-1
IX.2	RECEIPT OF PROPOSALS.....	IX-1
IX.3	STATE EVALUATION TEAM .....	IX-1
IX.4	REVIEW OF DRAFT PROPOSALS .....	IX-1
IX.5	EVALUATION OF FINAL PROPOSALS .....	IX-2
IX.5.1	Proposal Submission Requirements Review (pass/fail).....	IX-2
IX.5.2	Administrative Requirements Review (pass/fail) .....	IX-3
IX.5.3	Functional and Technical Requirements Review (pass/fail).....	IX-3
IX.5.4	Evaluation Factors Assessment Scoring.....	IX-3
IX.5.5	Summary of Overall Evaluation Scoring Process.....	IX-7
IX.6	SELECTION OF CONTRACTOR.....	IX-8
<b>APPENDIX A - CONTRACT TERMS AND CONDITIONS .....</b>		<b>A-1</b>
<b>APPENDIX B - COST WORKBOOK .....</b>		<b>B-1</b>
<b>APPENDIX C - PROPOSAL RESPONSE FORMS .....</b>		<b>C-1</b>
<b>APPENDIX D - GLOSSARY AND ACRONYMS .....</b>		<b>D-5</b>
<b>APPENDIX E - LIST OF REQUIRED FORMS .....</b>		<b>E-5</b>
<b>APPENDIX F - QUESTIONS AND ANSWERS .....</b>		<b>F-5</b>
<b>APPENDIX G - DTS HARDWARE/SOFTWARE STANDARDS .....</b>		<b>G-5</b>

## LIST OF TABLES

TABLE 1. KEY ACTION DATES .....	I-3
TABLE 2. CURRENT DOCUMENT VOLUMES AND DISTRIBUTION OF WORKLOAD.....	III-9
TABLE 3. EXISTING LAN SERVER CONFIGURATIONS.....	III-14
TABLE 4. BIDDERS' LIBRARY CONTENTS.....	III-16
TABLE 5. ADDITIONAL REPORTS AVAILABLE IN HARDCOPY ONLY .....	III-22
TABLE 6. ONE-TIME COST PAYMENT MILESTONES .....	V-10
TABLE 7. COST WORKBOOK COMPONENTS.....	VII-1
TABLE 8. SCORING SCENARIO EXAMPLE.....	IX-4
TABLE 9. TOTAL SOLUTION COST EVALUATION AND SCORING METHODOLOGY EXAMPLE* .....	IX-7
TABLE 10. SUMMARY OF SCORING PROCESS .....	IX-7
TABLE 11. CONTRACTOR SELECTION EXAMPLE .....	IX-8

## LIST OF FIGURES

FIGURE 1. DWC FUNCTIONAL ORGANIZATION.....	III-4
FIGURE 2. EAMS CONCEPTUAL MODEL.....	IV-6

## LIST OF EXHIBITS

EXHIBIT I-A. ADA COMPLIANCE POLICY .....	I-4
EXHIBIT II-A. COMPETITIVE BIDDING AND BID RESPONSIVENESS.....	II-12

10/10/10

10/10/10

## Request for Proposal

## Section I – Introduction and Overview

**I. INTRODUCTION AND OVERVIEW****I.1 Purpose of this Request for Proposal**

The purpose of this procurement is to obtain proposals from responsible firms that can customize and implement an Electronic [REDACTED] Management System [REDACTED] for the California Department of [REDACTED] Division of [REDACTED]

[REDACTED] This procurement includes the acquisition of document imaging equipment, as well as customization of Commercial-Off-The-Shelf (COTS) software packages to meet the business needs of DWC. Equipment will need to be installed in each of the 29 [REDACTED] locations (see Section IV.3, Locations, and a significant data conversion effort will be required.

This procurement is being conducted under the provisions of Public Contract Code Section 12102. Responses to this Request for Proposal (RFP) will be evaluated based on **best value to the State**. **Best value to the State** is the proposal that best meets, and potentially exceeds, the State's administrative and technical requirements at the most reasonable overall cost to implement and operate, with an acceptable level of risk. Bidders should carefully read Section IX, Evaluation and Selection, to ensure they understand the evaluation process.

Issuance of this RFP in no way constitutes a commitment by the State of California to award a contract. The State reserves the right to reject any or all proposals received if the State determines that it is in the State's best interest to do so. The State may reject any proposal that is conditional or incomplete.

This procurement is conducted in compliance with the Americans with Disabilities Act (ADA) as further explained in Exhibit I-1, ADA Compliance Policy. If you have any questions or requests pertaining to this compliance, contact the Procurement Official identified in Section I.4, Procurement Official.

**I.2 Overview**

The mission of the Department of [REDACTED] is to protect the [REDACTED] of California, improve working conditions, and enhance opportunities for profitable employment. These responsibilities are carried out through four major programs:

- Adjudication of [REDACTED] disputes;
- Prevention of [REDACTED];
- Enforcement of laws relating to [REDACTED]; and
- Management of [REDACTED] claims.

In addition, [REDACTED] regulates self-insured [REDACTED] insurance plans, provides [REDACTED] payments to [REDACTED] workers of [REDACTED] employers and other special categories of employees, offers conciliation services in [REDACTED] disputes, and conducts and disseminates [REDACTED] research.

The California [REDACTED] system costs employers more than \$20 billion per year. Estimates of medical and indemnity losses for injuries during 2005 exceed \$16 billion, including benefits for both insured and self-insured employers. There are as many as 1 million injuries each year, of which about 2/3 require only short-term medical treatment.

## Request for Proposal

## Section I – Introduction and Overview

is a complicated system governed by a Labor Code that exceeds 1,000 pages and case law in which the index alone totals more than 2,000 pages. Applicants file approximately 200,000 cases annually; approximately 165,000 are Applications for Adjudication of Claim, while the remaining are requests for approval of settlements. More than 600,000 are reported annually; most involving medical care only. In addition, approximately \$20 - \$24 million in benefits are paid annually by to employees of uninsured employers, with approximately \$5 million eventually being recovered from the uninsured employers.

Currently, case information is kept in paper files created and maintained by each unit involved in the controversy. In a litigated case there will be up to five such separate paper files

These files may or may not be transferred between offices or units where other action is taken on the case. If the claim involves an uninsured or claim for subsequent benefits, there will be separate paper claims unit files which will not be transferred to other units.

There are four separate mainframe-based tracking systems that summarize different information from the paper case file. The systems do not exchange information, though some users are able to access both systems to compare information. Not all staff have computers or e-mail access while others are using outdated or incompatible workstations. Thus, there is currently no holistic view of or the process, and the delays due to routing or misplacement of files has led to significant delays in adjudicating disputes. This routing and shipment of paper files also contributes to significant rates of

requires an integrated, web-based system that provides the functions listed below.

- Case management
- Document management, including scanning, imaging, and data capture
- Calendaring and scheduling
- Cashiering
- Management reporting and business intelligence

In addition, the system must have a robust workflow and business rule engine to automate the business processes and provide for automated notifications of status events and case status.

Detailed information about the existing systems is included in Section III, Existing Systems Overview.

### 1.3 Availability

The selected Bidder must meet requirements of this RFP and be ready to begin work on the Contract Award date specified in Section 5, Key Action Dates. Personnel offered by a selected Bidder leave the Bidder's firm or are otherwise unable to participate in this Contract, they must be replaced with equally qualified personnel who are accepted by the State, in accordance with Section V, 1.8, Project Team Organization. A condition precedent to Contract Award is that the Bidder makes available the personnel it bid and the State evaluated and selected on the proposed Contract Award date. Failure to make any such staff available at the required time will allow the State the choice of exercising one of the following two

## Section III – Existing System Overview

Table 2. Current Document Volumes and Distribution of Workload

	5 Items	% of Total	Pages/Day Estimate
ANAHEIM	31,432	4.3%	9682
BAKERSFIELD	10,729	1.5%	3305
EUREKA	2,533	0.3%	780
FRESNO	28,738	3.9%	8852
GOLETA	8,816	1.2%	2715
GROVER BEACH	7,085	1.0%	2182
LONG BEACH	45,773	6.2%	14099
LOS ANGELES	67,669	9.2%	20843
OAK&WC	41546	5.6%	12797
OXNARD	18,926	2.6%	5830
POMONA	27,607	3.7%	8503
REDDING	14,637	2.0%	4508
RIVERSIDE	21,907	3.0%	6748
SACRAMENTO	38,135	5.2%	11746
SALINAS	17,044	2.3%	5250
SAN BERNARDINO	24,293	3.3%	7483
SAN DIEGO	41,054	5.6%	12645
SAN FRANCISCO	32,346	4.4%	9963
SAN JOSE	23,825	3.2%	7338
SANTA ANA	37,961	5.2%	11693
SANTA MONICA	60,784	8.2%	18722
SANTA ROSA	15,139	2.1%	4663
STOCKTON	28,482	3.9%	8773
VAN NUYS	90,327	12.3%	27822
<b>STATEWIDE</b>	<b>736,874</b>	<b>100.0%</b>	<b>226943</b>
Sacramento			3026
San Francisco - Claims			165
San Francisco - Collections			18
Los Angeles			2367
Admin/HQ			130
<b>ESTIMATED PAGES/DAY TOTAL</b>			<b>232,648</b>

### III.4 Business Objectives

The overall goals of the [REDACTED] are to:

- Streamline the process of creating case files, filing liens, setting hearings, and serving decisions, orders and awards.
- Establish a uniform, modern desktop infrastructure that adheres to departmental standards and enables the use of new business applications.

## Request for Proposal

## Section III – Existing System Overview

- Improve access to case records while preserving confidentiality.
- Provide cost and time savings to parties to a case and to the State.
- Reduce delays in processing cases.
- Eliminate duplication of files and data.
- Increase uniformity in practices and procedures.
- Gather data to measure workload to allow management to determine better distribution of resources.
- Ensure a complete and up-to-date case record.

In addition, the [REDACTED] system must enable DWC to:

- Conduct [REDACTED] within the 30-day statute period 80 percent of the time within one year of implementation; and
- Conduct trials within the 75-day statute period 85 percent of the time within one year of implementation.

### III.5 Existing Systems Overview

#### III.5.1 [REDACTED] On-Line

The [REDACTED] On-line system is the primary application utilized by the trial level judges of the [REDACTED]. On-line is an enterprise mainframe application used for claims adjudication and data and file management for appeals of workers' compensation decisions that are adjudicated by [REDACTED]. Case information, such as applicant information, parties to the case, case status, medical information, and law information from incoming documentation (e.g., lien claims, medical reports, petitions, etc.) is maintained electronically in [REDACTED] On-line. In addition to these functions, [REDACTED] On-line creates and sends data mailers informing parties of hearing logistics, decisions and other relevant information related to a particular case.

For every case stored electronically in [REDACTED] On-line, a corresponding physical file folder exists in the district office where the case is being adjudicated that contains all the documentation relevant to the case. Physical file folders commonly comprise pleadings, admitted and unadmitted medical documents, correspondence, judges' opinions, and other related documents. [REDACTED] On-line only stores digitized information from paper documentation but does track the current physical location of the file folder, thereby serving as a file management tool as well.

In terms of technical architecture, the [REDACTED] On-line system is a custom developed application written in COBOL with a [REDACTED] database that resides on an Amstel 2102 C mainframe at the Department of Technology Services (DTS) and users typically connect to the application via an Attachmate terminal emulation application on a personal computer across a T-1 telecommunications line. All units utilize the system on a regular basis.

#### III.5.2 Vocational Rehabilitation System

In cases where an injured worker must receive rehabilitation in order to perform job duties more appropriate for his or her diminished working capabilities, the Vocational Rehabilitation system

## IV. CONCEPTUAL SYSTEM

The goal of this RFP is to select a system integrator to design, integrate, test, and implement a COTS-based system to meet [REDACTED]'s needs. The proposed [REDACTED] system will consist of a central repository to collect case information, including images of all case documentation. This new system will entirely replace the [REDACTED] systems with an Internet-based solution composed of the following major components:

- Case management, including workflow and business rules processing
- Document management, including scanning, imaging and data capture (e.g., OCR/ICR)
- Calendaring and scheduling for hearings, conferences and trials
- Cashiering, including support for Electronic Funds Transfer (EFT) and credit cards
- Management reporting and business intelligence tools

The following sections summarize the proposed vision for the [REDACTED] system. Detailed functional and technical requirements are contained in Section VI, Functional and Technical Requirements.

### IV.1 Business Processes

#### IV.1.1 Case and Contact Management

The [REDACTED] system will serve as the primary case management repository for [REDACTED] staff and management. The system will collect and track personal and business contact information for all parties to a case, including:

- [REDACTED] Workers
- Employers
- Insurance Companies and Claims Administrators
- Attorneys (for the [REDACTED] worker, the employer and/or the insurance company) and Law Firms
- [REDACTED] Counselors and Consultants
- Consultants and Institutions providing supplemental job displacement services
- [REDACTED] Care Providers and Evaluators
- Lien Claimants
- Judges
- Court Reporters
- Arbitrators

The system will store and track information related to [REDACTED] cases, as well as [REDACTED] cases, [REDACTED] cases, [REDACTED] cases, [REDACTED] cases, and [REDACTED] cases. (Refer to definition of [REDACTED] case in Appendix D, – Glossary and Acronyms.) The contact information for parties to a case will be linked to the

**Request for Proposal****Section IV – Conceptual System**

---

case record and the system will manage changes and re-assignments of parties to the case, as appropriate. The system will maintain a case summary showing the current status of the case in brief, and a case history log recording all events taken for a case including documents sent and received, hearings/trials/conferences scheduled and held, inquiries about a case, liens filed against a case, etc.

**IV.1.2 Document Management**

District office staff will receive documents and scan them into electronic case folders in the system. Where appropriate, forms will be data captured by the scanning software. After being scanned/data captured, the item can be routed to clerical staff for document indexing and review of accuracy and readability. The automated system will generate as much of the index information as possible (e.g., form type, date received, case number, etc.). After the document has been indexed and validated, the physical paper will be destroyed. The electronic document then will be routed to the appropriate work queue/unit for action based on the type of document.

Appropriate forms will be available via the Internet, either for direct electronic submission to [REDACTED] or as "fill-and-print" forms, which can be printed and submitted via U.S. Mail or fax.<sup>7</sup> Forms submitted electronically must be processed in the same manner as those submitted via paper.

Different levels of document security will need to be managed and documents will need to be classified both as "admitted" vs. "unadmitted", and sensitive/confidential or public record.

**IV.1.3 Workflow Management**

The [REDACTED] system must provide secure access to information based on defined roles and business rules. Users will be presented with case and document information appropriate to their security access and role(s). The workflow engine and business rules will route work items to the users for action and ensure items are worked within the appropriate timeframes or escalated for management attention, as needed. Most actions associated with a case are driven by documents received, defined deadlines, or specific events (e.g., call center receives a request for information from [REDACTED] worker, judge calls a conference to obtain additional information or clarification, etc.). The system will provide appropriate "ticklers" and notifications to remind staff of upcoming deadlines, high priority work items, and recurring activities to be performed.

The system will allow authorized technical staff to create, modify and delete workflows to respond to changing business needs. Authorized supervisors will be permitted to monitor their staff's workload and re-route work items, as appropriate, to account for illness, vacation, specialized skills, and unexpected volumes of work. Staff members will be permitted to "pass" work items to their supervisor for assistance, approval, and escalation, as well as to forward work items to other units for assistance in completing the work item. The system must track statistics on workflow processing and work items to allow for management review and refinement of workflows and staffing levels.

---

<sup>7</sup> Many of the forms currently require a signature, witness signatures or attachments. The selected vendor must assist [REDACTED] in reviewing and redesigning forms to take advantage of electronic submission where possible.

**Request for Proposal**  
**Section IV – Conceptual System**

---

**IV.1.4 Calendar Management**

The system will allow [REDACTED] staff to manage calendars for facilities, equipment, judges, court reporters, and parties to a case (e.g., attorneys). External users will be permitted to view the calendars appropriate to their case and to request changes based on personal availability. [REDACTED] staff will review and approve the external users' requests prior to enacting them on the system.

The system will monitor case timelines and will automatically schedule appointments based on defined criteria. The system will use the information in the calendars to determine an appropriate date, time and location for the appointment, as well as randomly assigning a WCJ in accordance with business rules. Authorized users will be permitted to manually schedule (or reschedule) appointments, as appropriate.

**IV.1.5 Cashiering**

The system will track and generate receipts for payments received, such as payment for copies, transcripts, records retrieval, and lien applications. In addition, the system will support the needs of the [REDACTED] program that disburses payments (either by check or Electronic Funds Transfer (EFT)) to [REDACTED] workers of [REDACTED], including a claims balance sheet, and attempts to recoup payments from the [REDACTED]. The system must also track reimbursements made as part of the [REDACTED] program<sup>8</sup>. The system must allow for [REDACTED] staff to monitor the state of the accounts and to generate standard reports for tracking, reconciliation and auditing purposes.

The system will allow parties to a case to make payments via credit cards or checks. The system must provide appropriate security and controls for these financial transactions and provide appropriate reports to assist with settlement and reconciliation. Payment information will be transmitted and coordinated by [REDACTED] Accounting staff to ensure update and reconciliation with the State's CALSTARS system.

**IV.1.6 Electronic Lien Filing and EDEX Replacement**

The new system will replace the [REDACTED] EDI component with an electronic lien filing capability that will allow users to electronically submit liens either via an on-line form or through bulk transmission to a secure FTP site, using HTTPS or SMIME. Lien claimants may also file liens manually with the district offices. Liens filed in person will be scanned and entered into the document management system. Electronic liens should be processed at least nightly, with more frequently processing being desirable.

In addition, the [REDACTED] will permit users to submit bulk transmissions containing queries and resident inquiries/pre-employment screening inquiries. For pre-employment screenings, the system must produce the required notification to the injured worker that an inquiry has been made against them in accordance with Labor Code Section 138.7.

**IV.1.7 External User and Public Access**

The [REDACTED] would allow external users access to case information. The external user (i.e., parties to a specific case) would be required to sign up for a user ID and password, which would

---

<sup>8</sup> The [REDACTED] program was created in January 2005. Regulations for the [REDACTED] unit are still pending but the program is considered in scope for [REDACTED].

RFP [REDACTED]  
[REDACTED] Request for Proposal  
Section IV – Conceptual System

---

be used to authenticate the person requesting or submitting the information. The user would login via the Internet and be permitted access to detailed case status and summary information, calendar information for a case, and the current documents associated with a case. External users could request copies of case documents, and complete and submit certain forms electronically. External users would be permitted to change any address and contact information directly, but changes to availability/case calendars would need to be approved by [REDACTED] staff.

Members of the public who are not party to a case would be permitted to view case summary information for specific cases, if they could provide certain identifying information. At present, the EAMS is not intended to provide full access to case information for members of the general public.

#### IV.1.8 System Interfaces

The [REDACTED] system must provide the same data exports as described in Section III.6.4, Existing Interfaces (with the exception of [REDACTED] which is being replaced as described above in Section IV.1.6, Electronic Lien Filing and [REDACTED] Replacement).

At present, no direct interface is planned with the [REDACTED] call center or [REDACTED] Accounting.

##### IV.1.8.1 [REDACTED] Information System ([REDACTED] IS)

The new system must provide daily imports and exports of data to the [REDACTED] system. This interface will be accomplished by a download of information from E[REDACTED] to [REDACTED] IS consisting of case openings which did not match to a [REDACTED] IS record, [REDACTED] ratings, and case closing and award data. This information will be extracted and formatted in [REDACTED] EDI format. In addition, [REDACTED] may generate queries for specific additional information about a case from [REDACTED] IS. These requests will be processed nightly and return the detailed [REDACTED] IS data for a specific case. The information will be routed to the specific [REDACTED] staff member who made the request in [REDACTED].

On a nightly basis, [REDACTED] will extract a summary of pertinent case and medical information to a flat file for reference by [REDACTED]. [REDACTED] will read and query the information when a new case is opened and if a match is found, pre-populate the [REDACTED] information to the new case record.

#### IV.2 Technical Infrastructure

The [REDACTED] system must be a web-based, client-server application and database repository for all data, documents and images associated with a [REDACTED] case. The production hardware and software must reside at the DTS located in Rancho Cordova, California. Development and test platforms may reside at either DTS or the [REDACTED] office in Oakland.

The Bidder must identify and recommend all infrastructure components (network, hardware, and software) required for the [REDACTED] system, including third party software. The cost of infrastructure components and the estimated costs for continuing licenses must be included in the Bidder's proposal for evaluation purposes.

The [REDACTED] and/or the DTS staff will acquire the required network and hardware components to be housed at DTS in accordance with the Bidder's specifications and current DTS standards, provided in Appendix G, with the exception of the scanning hardware and software. The

## VI. FUNCTIONAL AND TECHNICAL REQUIREMENTS

This section of the RFP addresses the Functional and Technical Requirements for the [REDACTED]. These requirements support the business needs as defined in Section III, Existing Systems Overview.

### VI.1 Mandatory Requirements

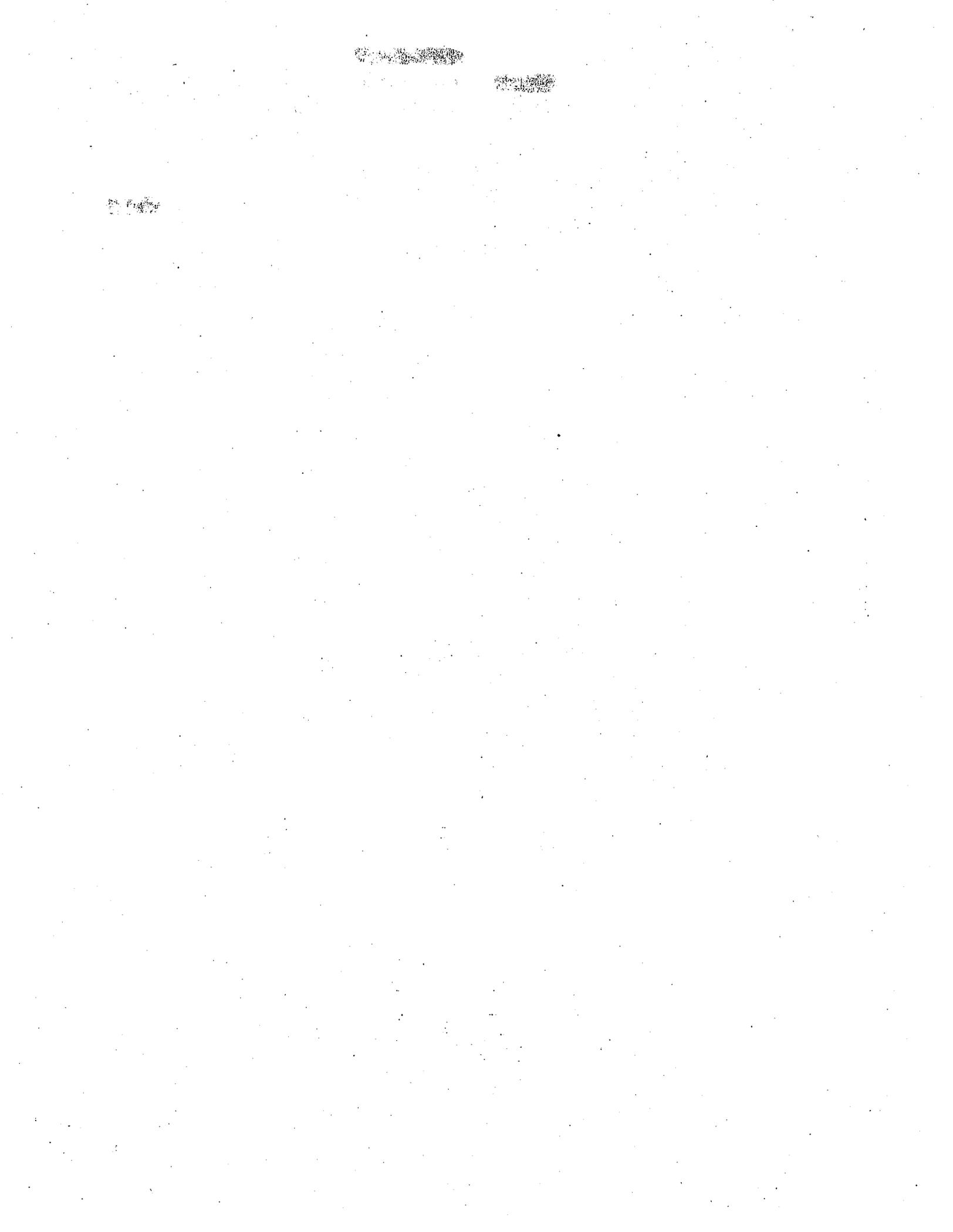
All requirements in section are mandatory. To be responsive, the Bidder must provide a response to all requirements contained in this paragraph.

It is the Bidder's responsibility to ensure its proposal is submitted in a manner that enables the State Evaluation Team to easily locate all response descriptions and exhibits for each requirement in this RFP.

The Bidder must not retype or edit requirements or exhibits, except to enter the requested information.

The information to be included in the Bidder's response for each requirement is:

- **Requirement Type**  
This denotes the requirement is mandatory ('M') or desirable ('D') and is assigned by the State. Refer to RFP Section II.1, Identification and Classification of RFP Requirements for further information.
- **Proposal Reference Section**  
The Bidder may identify where in the Bidder's RFP response additional material to be considered in the evaluation of the requirement response is located.
- **Bidder's Certification and Initials**  
In each box entitled "Bidder's Certification and Initials"; the person signing the Bidder's proposal must initial in ink, for validation purposes, that they agree to meet the requirements.
- **Requirement Met? (Y/N)**  
This column is for use by the State Evaluation Team.



RFP [REDACTED] Request for Proposal

Section VI – Functional and Technical Requirements

VI.1.1 Functional Requirements

The following mandatory functional requirements are required:

REQ NUMBER	REQUIREMENT	REQUIREMENT TYPE (M OR D)	PROPOSAL REFERENCE SECTION (VOLUME, TAB, PAGE NUMBER(S))	REQ MET? Y / N
CASE MANAGEMENT REQUIREMENTS				
SY- 1.	The system shall provide a single centralized repository for storing and tracking all case contact information for parties to a case.	M		
SY- 2.	The system shall allow authorized internal users to create and modify identifying and contact information for: <ul style="list-style-type: none"> <li>• [REDACTED] workers</li> <li>• Attorneys and law firms</li> <li>• [REDACTED] companies and [REDACTED] administrators</li> <li>• [REDACTED] counselors and consultants [REDACTED]</li> <li>• Employers</li> <li>• Lien claimants, and</li> <li>• Arbitrators.</li> </ul>	M		
SY- 3.	The system shall track changes of address and change of status for all contacts. Change of status may include change of address/location, retirement, company closure, company reorganization, company splits, and separations (e.g., of attorneys from a law firm).	M		
SY- 4.	The system shall note the change of address or status in	M		

**RFP [REDACTED]**  
**Request for Proposal**  
**Section VI – Functional and Technical Requirements**

REQ NUMBER	REQUIREMENT	REQUIREMENT TYPE (M OR D)	PROPOSAL REFERENCE SECTION (VOLUME, TAB, PAGE NUMBER(S))	REQ MET? Y / N
	the case history and the individual's contact information.			
SY- 5.	The system shall warn the internal user if they attempt to edit or link to a case an attorney, law firm, claims administrator/insurance company, or employer who has been marked as closed, retired or renamed.	M		
SY- 6.	The system shall store and track for each party to a case the preferred method of service (i.e., U.S. Mail, fax, email).	M		
SY- 7.	The system shall have a minimum of three (3) and up to ten (10) available address records per entity. Typically there would be a physical address, mailing address, and a billing address.	M		
SY- 8.	The system shall allow internal users to select the appropriate address for an entity for different purposes (e.g. one address for correspondence and another address for invoices).	M		
SY- 9.	The system must provide features for capturing both United States and international addresses and phone numbers.	M		
SY- 10.	The system shall allow international bank accounts.	M		
SY- 11.	The system shall capture at least two email addresses for each party to a case.	M		
SY- 12.	The system shall capture at least two telephone numbers for each party to a case.	M		

RFP [REDACTED] Request for Proposal [REDACTED]

Section VI – Functional and Technical Requirements

REQ NUMBER	REQUIREMENT	REQUIREMENT TYPE (M OR D)	PROPOSAL REFERENCE SECTION (VOLUME, TAB, PAGE NUMBER(S))	REQ MET? Y / N
SY- 13.	The system must allow internal users to create, update, delete, track and report case information, including but not limited to the parties to a case, case status, case summary, case history, case hearings, judge's findings, outcomes, documents, liens and payments, and case notes.	M		
SY- 13a	The system shall identify in the contact record and provide a link to all cases to which the contact is a party. This information shall be accessible to internal users for viewing and printing. External users shall be permitted to view and print the listing of cases to which they are a party.	M		
SY- 14.	Each [REDACTED] unit shall have an area within the case record to record their interactions with the case [REDACTED]	M		
SY- 15.	The system shall automatically assign a unique case number to each case entered in [REDACTED]. The Contractor and [REDACTED] will determine the format of the case number. Note that an [REDACTED] case is not necessarily a [REDACTED] case; [REDACTED] and [REDACTED] cases may be opened prior to the filing for an Application for Adjudication which opens a [REDACTED] case. Refer to Appendix D, – Glossary and Acronyms.	M		
SY- 16.	The case record must identify and link to the case both the	M		

RFP [REDACTED]  
Request for Proposal

Section VI - Functional and Technical Requirements

REQ NUMBER	REQUIREMENT	REQUIREMENT TYPE (M OR D)	PROPOSAL REFERENCE SECTION (VOLUME, TAB, PAGE NUMBER(S))	REQ MET? Y / N
SY- 17.	attorney(s) and the respective law firm(s), if applicable. The system must identify in the case summary the number, dates received, and types of documents that have been received for a case and link the documents to the case.	M		
SY- 18.	The system shall group and identify documents within a case which are "admitted" and "unadmitted" (for evidence).	M		
SY- 19.	The system must protect case and document information designated as sealed, sensitive or confidential.	M		
SY- 20.	The system shall provide a feature to identify special resources required for a specific case. Special resources may include special equipment, room accommodations, translators, CHP, etc. There may be multiple resources required for a single case.	M		
SY- 21.	The system must track multiple assignments and changes to assignments on a case. For instance, when an attorney changes on a case the system must track both the new attorney and the prior attorney(s) and the dates when each attorney was active on the case. This requirement applies to all participants in the case including judges, attorneys, insurance companies, etc.	M		
SY- 22.	The system shall track [REDACTED] rating cases (cases) and documents. [REDACTED] cases may be opened prior to the filing for an Application for Adjudication which opens a	M		

**Section VI – Functional and Technical Requirements**

---

**VI.2 Desirable Requirements**

All requirements in this section are desirable. The Bidder must provide a response as to whether they will provide (or not provide) each desirable requirement. For each desirable requirement that the Bidder agrees to provide, the Bidder must include a narrative description of how the requirement will be met. If a narrative description is not included or if the State does not find the solution acceptable, the Bidder will not be awarded the points associated with that requirement. If the Bidder does not include a narrative description of how that requirement will be met, they will still be required to supply that requirement, if so marked with the Bidder's initials.

It is the Bidder's responsibility to ensure its proposal is submitted in a manner that enables the State Evaluation Team to easily locate all response descriptions and exhibits for each requirement in this RFP.

The Bidder must not retype or edit requirements or exhibits, except to enter requested information.

The information to be included in the Bidder's response for each requirement is:

- **Requirement Type**

This denotes the requirement is mandatory ('M') or desirable ('D') and is assigned by the State. Refer to RFP Section II.1, Identification and Classification of RFP Requirements for further information.
- **Point Value**

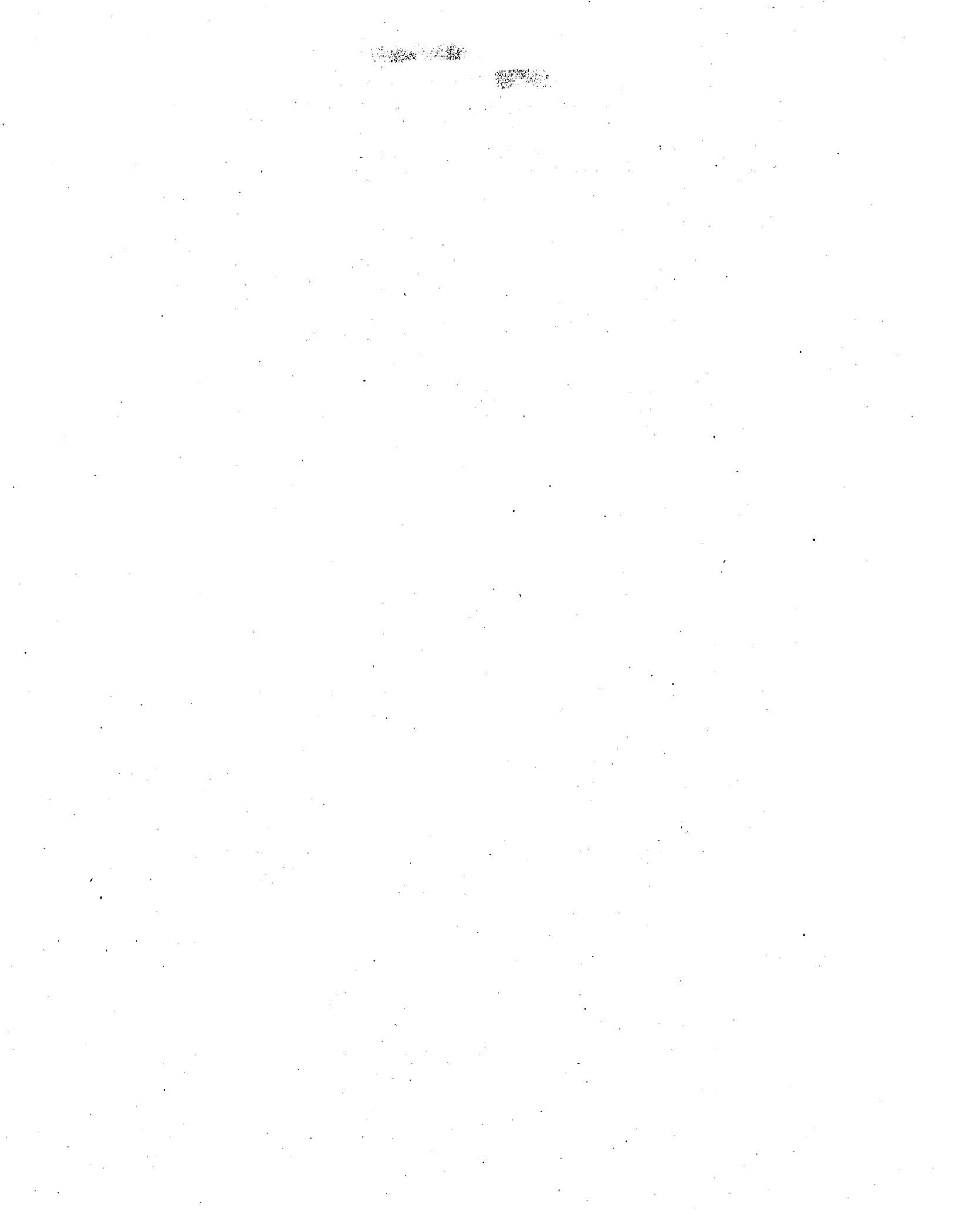
This denotes the point value of the desirable requirement. Refer to RFP Section IX.5.4, Evaluation Factors Assessment Scoring, for further information.
- **Proposal Reference Section**

For each desirable requirement that the Bidder agrees to provide, the Bidder must identify where the narrative is provided describing how that requirement will be met.
- **Requirement will be Provided (Y/N)**

In each box, the Bidder must designate whether they agree to meet the desirable requirement or not. If the Bidder agrees to meet the requirement, the Bidder must enter a 'Y' or "Yes". If the Bidder will not meet the requirement, the Bidder must enter a 'N' or "No".
- **Bidder's Certification and Initials**

In each box entitled "Bidder's Certification and Initials", the person signing the Bidder's proposal must initial in ink, for validation purposes, that their solution includes the desirable requirement they marked with a 'Y' or "Yes".
- **Requirement Met? (Y/N)**

This column is for use by the State Evaluation Team.



RFP [REDACTED] Request for Proposal

Section VI – Functional and Technical Requirements

VI.2.1 Functional Requirements

The following are desirable functional requirements:

REQ NUMBER	REQUIREMENT	REQ TYPE (M OR D)	POINT VALUE	REQ WILL BE PROVIDED (Y OR N)	PROPOSAL REFERENCE SECTION (VOLUME/TAB/PAGE NUMBER(S))	REQ MET? Y / N
DESIRABLE CASE MANAGEMENT REQUIREMENTS						
DSF- 1.	The system should allow internal users to group or combine types of notifications. For instance, allow a user to create a reminder to review a list of specific cases every 30 days without having 30 separate notices to review each individual case (i.e., one notification with 30 case numbers instead of 30 separate case notifications).	D	1			
DSF- 2.	The system should provide an indicator of whether the recusal is permanent or time-limited.	D	2			
DSF- 3.	If time-limited, the system should provide a field which indicates the end of the recusal period.	D	2			
DSF- 4.	The system should automatically remove the recusal flag/identifier when the recusal period expires.	D	1			
DSF- 5.	The end of the recusal period and removal of the flag/identifier should automatically be noted in the case history log.	D	1			
DSF- 6.	The system should allow a different default sort	D	2			

Request for Proposal  
Section VI – Functional and Technical Requirements

REQ NUMBER	REQUIREMENT	REQ TYPE (M OR D)	POINT VALUE	REQ WILL BE PROVIDED (Y OR N)	PROPOSAL REFERENCE SECTION (VOLUME/TAB/PAGE NUMBER(S))	REQ MET? Y / N
	of the "in-box" or work queue by internal user (e.g. configurable individual user preferences).					
DSF- 7.	The system should provide a graphical tool for creation and maintenance of workflows.	D	3			
DSF- 8.	The system should allow the internal user to prioritize items in their "in-box" or work queue based on such fields as case type, case age, deadline, and processing step.	D	3			
DSF- 8a	The system should permit association of documents to a contact record, such as change of address letters, returned mail, etc.	D	1			
DESIRABLE CALENDARING REQUIREMENTS						
DSF- 9.	The system should allow for automatic assigning of court reporters to particular hearings/appointments (e.g., medically sensitive cases usually are handled by a particular reporter; other cases are assigned based on availability of reporters on the day of the case).	D	1			
DSF- 10.	In some cases, the system should provide notices to a specific party to a case for them to serve to the rest of the parties.	D	2			
DSF- 11.	The system should send notifications of current status and changing needs to the presiding	D	3			

RFP [REDACTED] Request for Proposal [REDACTED]

Section VI – Functional and Technical Requirements

REQ NUMBER	REQUIREMENT	REQ TYPE (M OR D)	POINT VALUE	REQ WILL BE PROVIDED (Y OR N)	PROPOSAL REFERENCE SECTION (VOLUME/TAB/PAGE NUMBER(S))	REQ MET? Y / N
	judge on a real-time basis (e.g., continuing cases, availability of judges for expedited items).					
DSF- 12.	The system should identify on a daily report the attorneys scheduled before each judge (so judges can identify potential conflicts or where to find the missing attorney).	D	2			
DSF- 13.	The system should allow for attachment of pertinent files and supporting information to notifications of scheduled hearings regardless of transmission method.	D	2			
DSF- 14.	The system should allow for automatic insertion of hyperlinks to notification of scheduled hearings regardless of transmission method. For instance, allow insertion of a hyperlink to a map with directions to the meeting location.	D	2			
DSF 14a	The system should permit authorized internal users to block out schedules for a group of contacts based on contact type or other specific identifying contact information. For example, to block out calendar dates when an entire law firm or claims/insurance company is out of the office due to a conference. This is to prevent the system from scheduling hearings during	D	3			

Section VI – Functional and Technical Requirements

REQ NUMBER	REQUIREMENT	REQ TYPE (M OR D)	POINT VALUE	REQ WILL BE PROVIDED (Y OR N)	PROPOSAL REFERENCE SECTION (VOLUME/TAB/PAGE NUMBER(S))	REQ MET? Y / N
	that time.					
DESIRABLE FINANCIAL REQUIREMENTS						
DSF- 15.	The system should allow a payment to be allocated to multiple [REDACTED] codes and multiple index codes.	D	3			
DESIRABLE DOCUMENT MANAGEMENT REQUIREMENTS						
DSF- 16.	The system should support incoming fax capabilities. Incoming faxes are not subject to data capture.	D	1			
DSF- 17.	If provided, this incoming fax capability should allow authorized users to turn the capability on and off.	D	1			
DSF- 18.	The system should provide a method of tracking and logging correspondence that has been returned (e.g., bounced email, incomplete faxes, returned mail).	D	3			
DSF- 19.	The system should support sending correspondence to a single recipient via multiple transmission methods (e.g., provide a courtesy copy by fax or email, but also generate the official hardcopy for transmission via U.S. Mail).	D	1			
DSF- 20.	The system should provide a feature to track	D	2			

## **IX. EVALUATION AND SELECTION**

### **IX.1 Introduction**

This section presents the process the State will follow in evaluating proposals submitted by Bidders in response to this RFP. The evaluation process is multi-step comprised of a thorough review of each proposal to determine the responsible and responsive proposal that offers “best value” to the State. The best value proposal is that proposal that meets all requirements set forth in this RFP and offers the State the best combination of value and cost as determined through the evaluation process specified in this section. The process includes reviews of the Draft Proposals, with confidential feedback to each Bidder, followed by a detailed evaluation of Final Proposals. The point structure for evaluation of the final score is 50% for the proposed solution and 50% for cost, with a maximum score of 1400 points.

### **IX.2 Receipt of Proposals**

Complete proposals must be delivered by the dates and times specified in Section I.5, Key Action Dates. Each proposal will be date and time marked as it is received and verified that all responses are submitted under an appropriate cover, sealed and properly identified. Final Proposals must meet all requirements specified in Section VIII, Proposal Format, and, if not, may be rejected and deemed non-responsive.

### **IX.3 State Evaluation Team**

The State will establish a State Evaluation Team comprised of individuals selected from State management and staff that will be responsible for the review and evaluation of Bidder proposals. A representative from the Department of General Services (DGS) will provide guidance and oversight for the evaluation process. The State may engage additional qualified individuals, termed “Subject Matter Experts” (SMEs) during the evaluation process to assist the State Evaluation Team in gaining a better understanding of technical, financial, legal, contractual, project or program issues. The SMEs will not have voting privileges or responsibility for the evaluation process. The State Evaluation Team will use consensus to determine pass/fail and to arrive at evaluation scores for each proposal.

### **IX.4 Review of Draft Proposals**

The Bidders’ Draft Proposals will be reviewed by the State Evaluation Team to identify and document areas in which a proposal appears to be non-responsive or defective, requires additional clarification, demonstrate lack of responsibility, or introduces potential risk. The review will address each Bidder’s response to the following:

- Section V, Administrative Requirements
- Section VI, Functional and Technical Requirements
- Section VIII, Proposal Format

The State will give the Bidder an opportunity to meet with the State Evaluation Team 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 without having to share those

**REP**  
**Request for Proposal**  
**Section IX – Evaluation and Selection**

---

questions with the other participating Bidders, thus protecting the confidential nature of each unique solution.

Prior to each confidential discussion, the State Evaluation Team and the Bidder will jointly contribute to the development of a discussion agenda. The State Evaluation Team will provide the Bidder with a tentative agenda of items to be discussed and ask the Bidder to identify additional questions or discussion items to be added to the agenda. The Bidder should bring to the confidential discussion persons who can answer questions, provide clarification, and address reservations the State may have.

The State Evaluation Team will not request changes or make counter proposals during discussion of Draft Proposals. It will only identify its concerns, ask the Bidder for clarification, and express reservations if a requirement of the RFP is not, in the opinion of the State Evaluation Team, appropriately satisfied. The State admonishes Bidders that its review of Draft Proposals shall in no way imply a warranty that all potential defects in the Draft Proposals have been detected. Notification that the State did not detect a defect does not preclude rejection of the Final Proposal if a defect is later found.

Oral communications are not binding on either party and only written communications are considered to be official. The State Evaluation Team may identify issues/concerns in regards to the Draft Proposal. The Bidder will be informed of the State Evaluation Team's concerns and any non-responsive proposal items during the confidential discussions. Refer to Exhibit II-A, Competitive Bidding and Bid Responsiveness, located at the end of Section II, for a description of responsiveness.

The State reserves the right to make a final determination with respect to the Bidder's resolution of defects.

### **IX.5 Evaluation of Final Proposals**

The evaluation of Final Proposals will consist of the following steps.

#### **IX.5.1 Proposal Submission Requirements Review (pass/fail)**

The Bidder will be given a "pass" score if the required information is included in the proposal and it meets the requirement(s) of this RFP, and a "fail" score if the required information does not meet the requirements of this RFP, is incomplete, or is missing. If a proposal fails to meet any of the submission requirements in Section VIII.2.2, Final Proposal Format and Content, the State Evaluation Team will determine if the deviation is material. If the deviation is determined to be material, the proposal will be considered non-responsive and excluded from further consideration.

##### **IX.5.1.1 Corporate Experience (pass/fail)**

Failure to provide verifiable references may cause the Proposal to be rejected. The purpose of the Corporate Reference requirement is to provide the State the ability to assess the Bidder's prior record and experience in providing similar or relevant services to other organizations. All references must be specific to the services proposed for this procurement. References must include the information specified on Appendix C, Form C6.

**[REDACTED] Request for Proposal**

**Section IX – Evaluation and Selection**

---

The descriptions of these projects must be detailed and comprehensive enough to permit the State to assess the similarity of those projects to the work anticipated in the award of the contract resulting from this procurement. The State's determination of similarity of the projects included as references to the project specified in the RFP, for the purposes of this RFP, shall be final.

During the evaluation and selection process, the State may contact the specified references and may contact any other customers or references that may have become known to the State through any source.

**IX.5.2 Administrative Requirements Review (pass/fail)**

The Bidder will be given a "pass" score if the required information is included in the proposal and it meets the requirement(s) of this RFP, and a "fail" score if the required information does not meet the requirements of this RFP, is incomplete or missing. If a proposal fails to meet any of the Administrative Requirements in Section V, Administrative Requirements, the State Evaluation Team will determine if the deviation is material. If the deviation is determined to be material, the proposal will be considered non-responsive and excluded from further consideration.

**IX.5.3 Functional and Technical Requirements Review (pass/fail)**

Response to all Functional and Technical Requirements in Section VI is mandatory. A pass/fail evaluation will be used for written proposal responses to substantiate that the Functional and Technical Requirement Responses are responsive (refer to Exhibit II-A, Competitive Bidding and Bid Responsiveness, located at the end of Section II, for a description of responsiveness).

If the Bidder does not agree to provide every mandatory requirement, the proposal will be given a "fail" score and considered non-responsive. No further evaluation will be performed. If the Bidder's proposed solution for a mandatory requirement is included but, in the opinion of the State Evaluation Team, fails to adequately meet the requirement, the State Evaluation Team will determine if it is a material deviation. If the deviation is determined to be material, the proposal will be considered non-responsive and excluded from further consideration.

**IX.5.4 Evaluation Factors Assessment Scoring**

Proposals that comply with the mandatory "pass/fail" evaluation elements discussed above will then move to the factor assessment portion of the evaluation and be scored by the State Evaluation Team. The maximum score possible for a single proposal is 1400 points (700 points maximum for the Requirements Assessment and 700 points for the Cost Assessment), which will be awarded based on a consensus of the State Evaluation Team. The scoring model to assess Bidder's proposals was developed in adherence to the business objectives and the overall goals of the project.

**IX.5.4.1 Requirements Assessment**

The State Evaluation Team will award to each Bidder up to the maximum number of points for each evaluation factor based on the Team's assessment of the Bidder's proposal. Each Bidder's individual evaluation factor points will be combined to obtain their total Requirements Assessment score. Written proposal responses will be evaluated to determine the level of

**RFP**  
**Request for Proposal**  
**Section IX – Evaluation and Selection**

responsiveness to the business solution requirements enumerated in Section VI, Functional and Technical Requirements.

**Proposals that fail to earn 50% or more of the maximum points possible for any segment (i.e., Draft Project Management Plan, Draft System Architectural Design, Draft Data Conversion Plan, Draft Implementation/Transition Plan, Draft Change Management Plan) of the Requirements Assessment, excluding the Desirable Requirements, will be considered non-responsive and excluded from further consideration.**

The following is an example scoring scenario depicting three bidders.

**Table 8. Scoring Scenario Example**

<b>Bidder</b>	<b>Requirements Assessment Scores by Requirement Segment</b>	<b>Total Points Possible</b>	<b>Total Evaluation Factor Assessment Score</b>	<b>Points Awarded</b>
A	Draft Project Management Plan	70	25	0* Draft Project Management Plan score is sub-50% threshold
	Draft System Architectural Design	209	190	0
	Draft Data Conversion Plan	140	110	0
	Draft Implementation/Transition Plan	140	120	0
	Draft Change Management Plan	70	50	0
	Desirable Requirements	71	15	0
	<b>Total</b>	<b>700</b>	<b>510</b>	<b>0</b>
B	Draft Project Management Plan	70	60	60
	Draft System Architectural Design	209	200	200
	Draft Data Conversion Plan	140	120	120
	Draft Implementation/Transition Plan	140	105	105
	Draft Change Management Plan	70	50	50
	Desirable Requirements	71	20	20
	<b>Total</b>	<b>700</b>	<b>555</b>	<b>555</b>
C	Draft Project Management Plan	70	65	65
	Draft System Architectural Design	209	195	195
	Draft Data Conversion Plan	140	115	115
	Draft Implementation/Transition Plan	140	100	100
	Draft Change Management Plan	70	60	60
	Desirable Requirements	71	25	25
	<b>Total</b>	<b>700</b>	<b>560</b>	<b>560</b>

\* This proposal would be excluded from further consideration because the score for the Draft Project Management Plan score does not reach the 50% threshold.

**Section IX – Evaluation and Selection**

---

The evaluation factors that will be considered are listed on the following pages. The maximum score that is allowed for each factor is shown in parentheses. The Bidder should ensure that the proposed approach to each component identified in Section VI, Functional and Technical Requirements, meets the RFP requirements.

**Draft Project Management Plan (Maximum Score = 70 Points)**

Scoring of the Project Management Plan includes an assessment of how the Bidder will manage their efforts on the [REDACTED] project. The Draft Project Management Plan will be assessed and scored based on the Bidder's (1) proposed project management approach and methodology, (2) proposed project schedule including detailed tasks, start/end dates and durations, milestones resources, dependencies and critical path, (3) approach to project deliverables, (4) proposed organization, roles and responsibilities and staff management approach, (5) issue resolution approach, (6) risk management approach, (7) communications plan, and (8) quality assurance plan. If a proposal merits less than 35 points in this segment, it will be considered non-responsive.

**Draft System Architectural Design (Maximum Score = 209 Points)**

Scoring of the Draft System Architectural Design includes an assessment of the proposed technical architectural solution and its compatibility with the existing [REDACTED] and DTS infrastructure. The System Architectural Design will be assessed and scored based on the Bidder's (1) proposed technical and application architecture; (2) the proposed solution for integrating the application architecture with [REDACTED] and DTS' existing infrastructure; (3) the description of capacity and performance modeling; and (4) the modularity and maintainability of the proposed solution. If a proposal merits less than 104.5 points in this segment, it will be considered non-responsive.

**Draft Data Conversion Plan (Maximum Score = 140 Points)**

Scoring of the Data Conversion Plan includes an assessment of the Bidder's approach to converting the data from the legacy systems and paper case files to the new system. The Draft Data Conversion Plan will be assessed and scored based on the Bidder's (1) proposed approach to data mapping, conversion and validating the legacy data conversion was correct, (2) proposed approach to scanning paper case files to load to the new system, (3) approach to linking the converted paper case files with the converted legacy data to ensure a complete electronic case file, and (4) roles and responsibilities for data conversion. If a proposal merits less than 70 points in this segment, it will be considered non-responsive.

**Draft Implementation/Transition Plan (Maximum Score = 140 Points)**

Scoring of the Implementation/Transition Plan includes an assessment of the Bidder's approach to transitioning from the legacy system to the new [REDACTED] system in each of the district offices. The Draft Implementation/Transition Plan will be assessed and scored based on the Bidder's (1) approach to preparing the district offices for the new system, (2) anticipated schedule and approach to implementing each of the 29 [REDACTED] locations, (3) approach to transitioning from the legacy systems to [REDACTED], (4) roles and responsibilities during the transition period, and (5) proposed criteria and activities to ensure the [REDACTED] is ready for production and functioning correctly once in production. If a proposal merits less than 70 points in this segment, it will be considered non-responsive.

**RFI**  
**Request for Proposal**  
**Section IX – Evaluation and Selection**

---

**Draft Change Management Plan (Maximum Score = 70 Points)**

Scoring of the Change Management Plan includes an assessment of the Bidder's approach to helping staff prepare for the change to the new system and the changes in business processes required to support the new system. The Draft Change Management Plan will be assessed and scored based on the Bidder's (1) strategy for change management for the system, (2) approach to training and coaching change leaders on change management activities and communications, (3) approach to preparing users for the new business processes for , (4) approach to monitoring the effectiveness of the change management activities, and (5) roles and responsibilities for change management activities for both the Contractor and staff. If a proposal merits less than 35 points in this segment, it will be considered non-responsive.

**Desirable Requirements (Maximum Score = 71 Points)**

The Desirable Requirements will be assessed and scored based on the Bidder's ability to meet requirements designated as "desirable" in Section VI, Functional and Technical Requirements. The points available for each desirable requirement are provided in Section VI.2, Desirable Requirements.

**IX.5.4.2 Cost Assessment**

Sealed cost information will not be opened until the State Evaluation Team has completed the previous steps in the evaluation process. If a Bidder's proposal has been determined to be non-responsive during any of the earlier steps, its cost information will remain unopened.

The Cost Assessment consists of a computation of the "Total Solution Cost". Determination of the cost of each Bidder's proposal will be based on an assessment of the total cost of the proposed solution, including the sum of hardware, software, implementation costs, version and upgrade costs, and estimated labor costs for the contract. The maximum number of points that can be awarded for the Cost Assessment score is 700.

The Cost score of each Bidder's Final Proposal will be determined after any adjustments have been made, any errors corrected, and consideration of the TACPA, EEIA, and LAMBRA Bidding Preferences, if applicable. Preferences for TACPA, EEIA, and LAMBRA shall not exceed \$100,000.

**Total Solution Cost (Maximum Score = 700 points)**

The maximum number of points that can be awarded for the Total Solution Cost assessment is 700. Each Bidder's cost score will be based on the ratio of its total cost to the total cost associated with the lowest responsive proposal multiplied by the maximum number of cost points (700), as shown below.

$$\frac{\text{Lowest Cost Assessment} \times 700}{\text{Bidder Cost Assessment}} = \text{Bidder Cost Score}$$

## Section IX – Evaluation and Selection

Table 9. Total Solution Cost Evaluation and Scoring Methodology Example\*

BIDDER	TOTAL COST	CALCULATION	COST POINTS AWARDED
A	Cost not opened as Requirements Assessment was not passed		
B	\$1,000,000	$\frac{\$1,000,000 \times 700}{\$1,000,000}$	700
C	\$1,500,000	$\frac{\$1,000,000 \times 700}{\$1,500,000}$	466.67

The Bidder costs presented here are not meant to be suggestive or prescriptive in regard to the bids for this project. They serve only to demonstrate how the calculations will be performed.

## IX.5.5 Summary of Overall Evaluation Scoring Process

The following table provides a summary of the evaluation process and demonstrates how the State Evaluation Team will score each Bidder's Final Proposal.

Table 10. Summary of Scoring Process

Evaluation Components	Maximum Score	Bidder's Score
<b>SUBMISSION REQUIREMENTS REVIEW</b> Section VII-Proposal Format		
All Submission Requirements met? If Pass, continue; Otherwise, stop at this point	N/A	Pass/Fail
<b>ADMINISTRATIVE REQUIREMENTS REVIEW</b> Section V – Administrative Requirements		
All Administrative Requirements met? If Pass, continue; Otherwise, stop at this point	N/A	Pass/Fail
<b>FUNCTIONAL AND TECHNICAL REQUIREMENTS RESPONSE REVIEW</b> Section VI – Functional and Technical Requirements		
Bidder agrees to provide each mandatory requirement? If Pass, continue; Otherwise, stop at this point	N/A	Pass/Fail
<b>REQUIREMENTS ASSESSMENT</b> Total Points Available = 700		
Draft Project Management Plan	70	
Draft System Architectural Design	209	
Draft Data Conversion Plan	140	
Draft Implementation/Transition Plan	140	
Draft Change Management Plan	70	
Desirable Requirements	71	
<b>COST</b> Total Points Available = 700		

Evaluation Components	Maximum Score	Bidder's Score
Total Solution Cost (Appendix B)	700	
<b>TOTAL POINTS AVAILABLE</b>	<b>1400</b>	

### IX.6 Selection of Contractor

The State Evaluation Team will determine which Bidder proposals are responsive and responsible. From these Bidders, the State Evaluation Team will determine which Bidder has the highest combined score for cost and evaluation factors, up to a maximum of 1400 points. The Small Business Preference will then be applied as required by law. Certified California Small Businesses and large businesses that subcontract 25% or more of the work to certified California Small Businesses will receive preference points equal to 5% of the highest scoring large business not receiving the Small Business preference. The highest sum of the cost score, the evaluation factors score and the Small Business preference points will determine the Bidder selected for contract award.

The table below provides an example of how the final total score is determined. Bidder C is a certified California Small Business and Bidder B is a large business.

**Table 11. Contractor Selection Example**

BIDDER	REQUIREMENTS ASSESSMENT POINTS (X)	COST POINTS (Y)	TOTAL POINTS (X+Y)	SMALL BUSINESS PREFERENCE (Z x 0.05)	TOTAL SCORE
A	0	0	0	0	0
B	555	700	1255	0	1255
C	560	466.67	1026.67	62.75	1089.42

where Z = the highest total point score among the bidders - in this case, 1255 (Bidder B).