

Cal-PCA Requirements Development

**EXERCISE 1
STRUCTURING REQUIREMENTS**

DOCUMENT SET 4

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[Redacted]

REQUEST FOR PROPOSAL

SECTION I – INTRODUCTION AND OVERVIEW

I. INTRODUCTION AND OVERVIEW

This Request for Proposal (RFP) is being released by the State of California Department of General Services (DGS) in conjunction with the State of California Department of [REDACTED]. In this document, the term "State" shall mean DGS and [REDACTED] acting on behalf of the State of California. The term "Department" shall refer to [REDACTED].

I.1. Purpose of this Request for Proposal

The purpose of this RFP is to obtain proposals from responsible firms who can provide Caltrans with an Enterprise Resource Planning (ERP) and Business Intelligence (BI) solution for use by [REDACTED] headquarters and district offices. The selected Bidder will provide [REDACTED] with a set of Commercial-Off-The-Shelf (COTS) software packages with functionality for general ledger, accounts receivable, accounts payable, budgetary control and funds management, and financial reporting, including project cost accounting. The selected Bidder will provide installation and customization services, including development of interfaces to existing systems, development of customized standard reports, data conversion, testing, business process re-engineering, change leadership, training and ongoing licensing.

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 **value effectiveness to the State**. **Value effectiveness 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.

The State intends to award two (2) contracts to a single Contractor for the Enterprise Resource Planning (ERP) Financial Infrastructure [REDACTED] project. The total base term of the contracts will be four (4) years with the option of two (2) one-year (1-year) extensions. One contract will be for the design, configuration/customization, implementation services and software purchase and upgrades for the design, development and implementation phase (which is estimated to be two (2) years). The second contract will include ongoing product licensing and version upgrades of the COTS software and tools for the last two (2) years of the base period and the optional two (2) one-year extensions. The contract terms and conditions are identified in Appendix A of this RFP. If the Contractor wishes to receive progress payments during the first contract for design, configuration/customization and implementation services, a performance bond is required. However for ongoing product licensing and version upgrades, the State will not require the Contractor to provide a performance bond. Bidders will prepare and submit to the State a single proposal based upon the Statements of Work and Functional and Technical Requirements contained in this RFP. The single bidder proposal determined by the State to be the most value effective will be awarded the two contracts, if contract awards are made. Both contracts will be entered into by the State and the Contractor simultaneously upon Contracts Award.

REQUEST FOR PROPOSAL**SECTION I – INTRODUCTION AND OVERVIEW**

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. Any assumptions made by the Bidder in responding to this RFP do not obligate the State in any way. In the event a Bidder's assumption is incorrect, the Bidder still is responsible for meeting the RFP requirements. Additionally, assumptions made by the Bidder may make the proposal conditional and be cause for the Bidder's proposal to be rejected. Bidders should make use of the process described in Section II.2.4, Questions Regarding the RFP, to obtain any needed clarifications.

Responses to this RFP will be evaluated based on the total proposal, and the award, if made, will be to a single Bidder.

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

I.2. Overview

Changes in business needs over the past 20 years have placed the [REDACTED] organization at a crossroads in terms of its financial management processes and supporting systems. Aging technology, an increasing number and complexity of funding sources, and changes in legislation have collectively raised the demands on [REDACTED] and accentuated problems with the current method of executing financial management functions. More importantly, the lack of management data available to [REDACTED] often results in decision-making that is based on untimely, incomplete and anecdotal information.

The current automation method for financial management includes 160 systems that vary from centralized mainframe systems to distributed client-server applications to individual desktop databases and spreadsheets. This environment has resulted in systems that exhibit duplicate functionality and data, redundant data entry into unconnected systems, as well as multiple point-to-point interfaces necessary to provide accessible data to meet user needs.

The largest application in support of financial management functions is the Department's primary accounting system, [REDACTED] is a collection of mainframe applications implemented in 1983. It was designed to meet the Department's accounting needs in the following areas: appropriation control, expenditure accounting, encumbrance accounting, receipt accounting, accounts payable, general ledger accounting, cost accounting, cost allocation and labor distribution. However, functional gaps, both real and perceived, and other limitations in [REDACTED] have led to the development and acquisition of complementary and overlapping systems that negatively impact productivity, data integrity and support costs.

The scope and scale of the business problems and impacts related to financial management functions is challenging to quantify. However, given that [REDACTED] is responsible for an annual [REDACTED] budget, [REDACTED] in capital projects and approximately [REDACTED] contracts for [REDACTED] improvement projects, the impacts of financial management problems are

[REDACTED] REQUEST FOR PROPOSAL

SECTION I – INTRODUCTION AND OVERVIEW

significant for current initiatives and future investments. In addition, the [REDACTED] program has a direct impact on State commerce, tourism, and recreational travel of Californians. Due to the scope and scale of [REDACTED] responsibilities, the Department is often placed in the difficult position of responding without complete information to inquiries from the Legislature, Department of Finance, and the general public regarding the use of, and accountability for, taxpayer dollars.

In 2004, [REDACTED] completed an Integration Study which established an Integrated Financial Management System [REDACTED] Strategic Plan. (The [REDACTED] Integration Study, which includes the Strategic Plan, is available from the Bidders Library. Refer to Section III.7, Bidders' Library.) The plan outlines a series of projects to consolidate and streamline financial operations and systems, including a roadmap, project priorities, sequencing and dependencies. The Enterprise Resource Planning (ERP) Financial Infrastructure [REDACTED] project is the first of these projects identified by the [REDACTED] Strategic Plan.

The [REDACTED] Strategic Plan also identifies future capabilities which will build upon and leverage the [REDACTED] capabilities including budget development, inventory management, asset management, procurement (requisitions), and additional reporting functionality. The Bidder must identify pricing for these modules which the State shall have the option to purchase at a later date, but the implementation and customization of these modules are not part of the requirements of this RFP.

The Department of Finance also is embarking on an enterprise level project to implement a statewide accounting and budgeting system (FI\$Cal). The IFMS solution will be required to interface with this future system. It is anticipated that this interface will be accomplished through the [REDACTED] Enterprise Application Integration (EAI) tools.

For the purpose of this RFP, the term [REDACTED] shall refer to the project and requirements being procured as part of this RFP. [REDACTED] shall be used to refer to the enterprise perspective described in the Strategic Plan, which includes projects and features that will be implemented after the [REDACTED] is in place. The projects and features which will be implemented by future [REDACTED] projects are referred to as "[REDACTED]" items.

The [REDACTED] project scope includes:

- Establishing the base infrastructure to support the ERP, data warehouse and other related applications.
- Procuring and customizing the General Ledger, Accounts Receivable, Accounts Payable, and Reporting functionality of a COTS ERP product, including workflow processes, configurable business rules and validations, and standard reports.
- Installing a COTS Enterprise Application Integration (EAI) infrastructure to support interfaces among legacy, existing, and future systems.
- Establishing a COTS data warehouse, including data extraction, transformation and load (ETL) tools, and creating the required data feeds for pertinent financial and related information.
- Implementing COTS business intelligence and reporting tool(s) that will provide managerial and operational reporting and data analysis functionality.

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SECTION I - INTRODUCTION AND OVERVIEW

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

I.3. Availability

The selected Bidder must meet the requirements of this RFP and be ready to begin work on the Project Start Date specified in Section I.5, Key Action Dates. If personnel offered by a selected Bidder leave the Bidder's firm or are otherwise unable to participate in these Contracts, they must be replaced with equally qualified personnel who are accepted by the State, in accordance with Section V.6.7, Project Team Organization. A condition precedent to Contracts Award is that the Bidder makes available on the proposed Project Start Date the personnel it bid, and that the State evaluated as part of the evaluation and selection process. Failure to make any such staff available at the required time will allow the State the choice of exercising one of the following two (2) options: 1) accept equally qualified personnel in accordance with Section V.6.7, Project Team Organization, or 2) award this bid to and execute the Contracts with the Bidder with the next highest combined score.

Should the selected Bidder fail in its performance of these Contracts, or any other term or condition of these Contracts, the Contractor may be excluded from participating in the State's bid processes for a period of up to 36 calendar months.

I.4. Procurement Official

The Procurement Official and the mailing address to send proposals and questions are:

T [REDACTED]
Department of General Services
Procurement Division
707 Third Street, 2nd Floor
West Sacramento, CA 95605
Phone: [REDACTED]
Email: [REDACTED]

I.5. Key Action Dates

Listed below are the key activities, actions, dates and times by which the activities must be taken or completed for this RFP. If the State finds it necessary to change any of these dates up to and including the date that Final Proposals are submitted, it will be accomplished via an addendum to this RFP. The Bidder will have five (5) State business days after issuance of an addendum to request clarification or propose changes to the requirements.

ALL DATES LISTED AFTER THE SUBMISSION OF FINAL PROPOSALS ARE APPROXIMATE AND MAY BE ADJUSTED AS CONDITIONS INDICATE, WITHOUT ADDENDUM TO THIS RFP

RFP [REDACTED]
[REDACTED] REQUEST FOR PROPOSAL
SECTION IV – CONCEPTUAL SYSTEM

IV. CONCEPTUAL SYSTEM

IV.1. Introduction

Over the next few years [REDACTED] seeks to execute multiple procurements and projects to replace its existing financial management systems. The collective name for these projects and the resulting system is the Integrated Financial Management System [REDACTED]. In previous documents, including the IFMS Integration Study Strategic Plan, the IFMS Feasibility Study Report (FSR), and IFMS Information Technology Procurement Plan (ITPP) the scope of the [REDACTED] procurement was termed "Project [REDACTED]". (Refer to the Bidders' Library for copies of these documents.)

[REDACTED] is the foundation and critical first step required to realize the goals defined in the [REDACTED] Strategic Plan. The [REDACTED] scope includes the implementation of the infrastructure components and core financial management functionality — General Ledger (GL), Accounts Receivable (AR), and Accounts Payable (AP) — which will be accessed and utilized by each of the subsequent [REDACTED] projects. Integral to this strategy is housing all facets of [REDACTED] at the Department of Technology Services Data Center. Other key components of [REDACTED], including budget tracking, funds management, and financial reporting, will also be highly leveraged by subsequent projects.

[REDACTED] knows that the new system will require a change in business processes. To the extent possible, [REDACTED] wishes to maximize the best practices provided by the COTS products and to limit the amount of customization performed. The successful Bidder will be responsible for leading the business process re-engineering and change leadership efforts. The [REDACTED] project team will provide subject matter expertise to oversee and support the Bidder in these efforts. The [REDACTED] subject matter experts include 14 staff from D of A, four (4) staff from [REDACTED], and two (2) staff from the Budgets program area. These staff will be available approximately 33 hours per week.

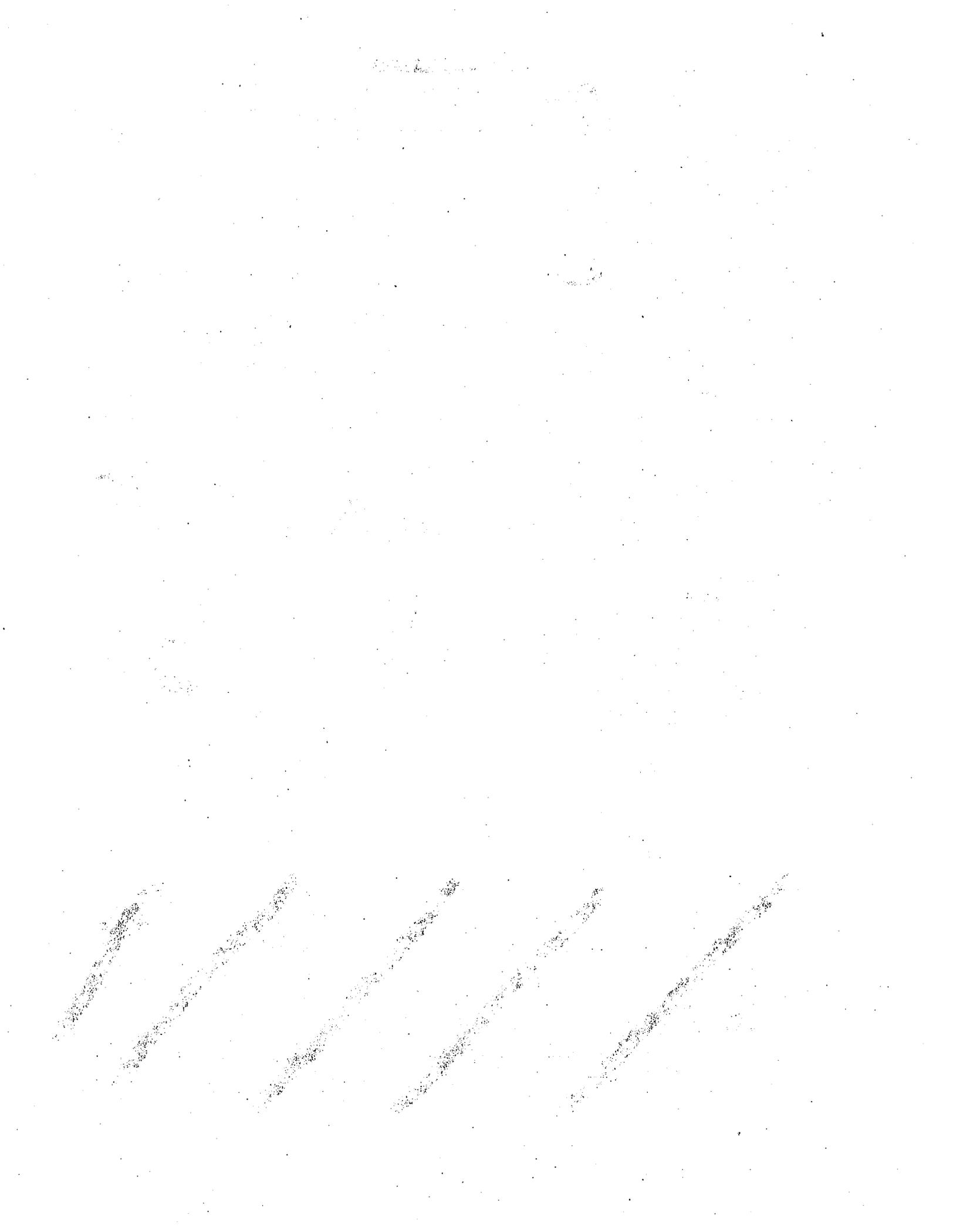
The following section summarizes the proposed vision for the [REDACTED] in the form of a conceptual system model. Detailed functional and technical requirements are referenced in Section VI, Functional and Technical Requirements.

IV.2. Conceptual Model

The Conceptual Model is intended to describe the proposed system at a higher-level than the detailed requirements referenced in Section VI, Functional and Technical Requirements. It is important to note that the Conceptual Model is not intended to be a specification of the [REDACTED] solution. Bidders should propose their best solution that meets the [REDACTED] requirements as represented by detailed requirements referenced in Section VI, Functional and Technical Requirements.

The [REDACTED] conceptual solution includes the main components:

1. **Enterprise Resource Planning (ERP) Software** — [REDACTED] will use a commercial off-the-shelf (COTS) Enterprise Resource Planning (ERP) suite to include General Ledger, Accounts Receivable, Accounts Payable, and associated standard reporting features, including project cost accounting.



Instructor-Added Information

From the Feasibility Study Report for the project (part of the Bidders' Library referred to in IV.1. Introduction):

The primary objective of Project _____ and the (project) Strategic Plan is to have access to comprehensive information to better manage the Department's organization like a business. The Department intends to create and implement an integrated financial management solution that will:

1. Enable the department to make the best investment decisions by providing all facets of cost of ownership information.
2. Enable the Department to manage the cost of doing business by providing timely and consistent cost management information.
3. Establish efficient financial management processes by modernizing the financial management systems.
4. Support the Department's financial reporting requirements, decision-making needs, and other highly data-dependent objectives that require structured and coherent data.
5. Achieve financial management and tracking capabilities not currently available to the Department.
6. Provide a seamless, streamlined interface for existing legacy systems and other Department infrastructure components.
7. Enable the Department to realize major efficiency and data accuracy gains by consolidating redundant legacy systems into a new, enterprise-wide solution.



SECTION VI – FUNCTIONAL AND TECHNICAL REQUIREMENTS

VI. FUNCTIONAL AND TECHNICAL REQUIREMENTS

This section of the RFP document addresses the Functional and Technical Requirements for the system. These requirements support the business needs as defined in Section III, Program and Systems Overview. The requirements contained in this RFP detail the business needs (i.e., "what") the system will do. The Bidder must commit to meeting these requirements and propose a solution which addresses all the requirements (i.e., "how" the requirements will be met). acknowledges that some of their business processes will need to be adapted to incorporate the best practices of the ERP.

VI.1. Mandatory Requirements

The mandatory requirements are contained in Appendix E. All requirements contained in Appendix E, Section E.1 are mandatory. To be responsive, the Bidder must agree to meet every mandatory requirement contained in Appendix E, Section E.1.

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 (refer to Section II.2.2, RFP Documents). Making a material change to a requirement may make the Bidder's proposal unacceptable to the State and may cause the proposal to be excluded from further consideration.

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

- *Requirement Number* – This denotes the unique number for each requirement provided by the State.
- *Requirement* – This denotes the specific requirement provided by the State.
- *Requirement Type* – This denotes if the requirement is mandatory or desirable. Refer to RFP Section II.1, Identification and Classification of Requirements, for further information.
- *Proposal Reference Section* – The Bidder may identify where additional material to be considered in the evaluation of the requirement response is located in the Bidder's RFP response.
- *Bidder's Certification and Initials* – At the bottom of each section, is a box entitled "Bidder's Certification and Initials". In each box, the Bidder must initial in ink, for validation purposes that they agree to meet all mandatory requirements stated in that section.

NOTE: In Appendix E, Section E.1, the phrase "provide the ability to" indicates a capability which requires some interaction by the user prior to the system initiating the designated action. The capability so designated is considered mandatory and must be provided by the system as

SECTION VI – FUNCTIONAL AND TECHNICAL REQUIREMENTS

delivered, without requiring the State to purchase additional programming services, modules or licenses at a later time in order to fulfill the requirement.

VI.2. Desirable Requirements

The desirable requirements are contained in Appendix E. All requirements contained in Appendix E, Section E.2 are desirable.

For each desirable requirement, the Bidder must provide a response as to whether they will provide (or not provide) the desirable requirement. For each desirable requirement that the Bidder agrees to provide, the Bidder must include a narrative description of how that requirement will be met. If the Bidder claims to meet the requirement and a narrative description is not included or the description does not adequately describe how the requirement will be met, in the opinion of the State Evaluation Team, the Bidder will not be awarded the points associated with that requirement, but the Bidder will be required to meet that requirement.

For each Post-desirable requirement, the Bidder must provide a response as to whether they will provide (or not provide) the desirable requirement. For each Post-desirable requirement that the Bidder agrees to provide, the Bidder must indicate if the requirement will be met “out of the box” or through customizations, and must include a narrative description of how that requirement will be met. If a narrative description is not included or the description does not adequately describe how the requirement will be met, in the opinion of the State Evaluation Team, the Bidder will not be awarded the points associated with that requirement, but the Bidder will be required to meet that requirement.

If the Bidder clearly describes how a Post-desirable requirement will be met through customization (i.e., through additional programming as opposed to “out of the box”), in the opinion of the State Evaluation Team, the Bidder will be awarded half of the points associated with that desirable requirement, but the Bidder will be required to meet that requirement.

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 (refer to Section II.2.2, RFP Documents). Making a material change to a requirement may make the Bidder’s proposal unacceptable to the State and may cause the proposal to be excluded from further consideration.

The information provided by the State is:

- *Requirement Number* – This denotes the unique number for each requirement provided by the State.
- *Requirement* – This denotes the specific requirement provided by the State.
- *Requirement Type* – This denotes if the requirement is mandatory or desirable. Refer to RFP Section II.1, Identification and Classification of Requirements, for further information.

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- *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.
- *Requirement Met? Y/N* – This column is for use by the State Evaluation Team.

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

- *Requirement will be Met? (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, complete the response with a 'Y' (or Yes). If the requirement will not be met, complete the box with an 'N' (or No).
- *Requirement Met Out of the Box or Custom?* – For each Post-[REDACTED] desirable requirement that the Bidder agrees to provide, the Bidder must indicate if the requirement can be met "out of the box" without additional programming, or if the requirement can be met through customizations, including additional programming.
- *Narrative Description of How Requirement Will Be Met* – For each desirable requirement that the Bidder agrees to provide, the Bidder must include a narrative describing how that requirement will be met.
- *Bidder's Initials* – At the bottom of each section, is a box entitled "Bidder's Certification and Initials". In each box, the Bidder must initial in ink, for validation purposes.

NOTE: In Appendix E, Section E.2, the phrase "provide the ability to" indicates a capability which requires some interaction by the user prior to the system initiating the designated action. The capability so designated is considered mandatory and must be provided by the [REDACTED] system as delivered, without requiring the State to purchase additional programming services, modules or licenses at a later time in order to fulfill the requirement.



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APPENDIX E – DETAILED FUNCTIONAL AND TECHNICAL REQUIREMENTS MATRIX

E.1 Mandatory Functional and Technical Requirements

E.1.1 Mandatory Functional Requirements

The following mandatory functional requirements are provided:

REQ NUMBER	REQUIREMENT	REQUIREMENT TYPE	PROPOSAL REFERENCE SECTION (VOLUME, TAB, PAGE NUMBER(S))
GENERAL FUNCTIONALITY			
<i>The General Requirements represent the overarching requirements that cross all functional areas. This includes requirements for a centralized vendor file accessed by all functional areas.</i>			
G- 1.	The system shall provide industry standard, Windows or browser-based user interface features including: <ul style="list-style-type: none"> • Drag-and-drop • Point and click • Context-sensitive commands 	Mandatory	
G- 2.	REQUIREMENT DELETED.	Mandatory	
G- 3.	The system shall provide file and edit features common to Windows- or browser-based applications including: <ul style="list-style-type: none"> • Cut, copy and paste • Page setup • Print preview • Data correction • Find • Zoom or screen magnification • Comments • Headers and footers 	Mandatory	

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REQ NUMBER	REQUIREMENT	REQUIREMENT TYPE	PROPOSAL REFERENCE SECTION (VOLUME, TAB, PAGE NUMBER(S))
	<ul style="list-style-type: none"> • Spell check • Interactive dialog boxes 		
G-4	The system shall provide menu-driven navigation and “hotkeys” for frequently performed actions.	Mandatory	
G-5	REQUIREMENT DELETED.	Mandatory	
G-6	The system shall provide a Windows Help Engine, or other industry standard help engine, of equal or greater functionality.	Mandatory	
G-7	The system shall provide online context-sensitive help at the module, function/screen and field levels, to display information applicable to the task at hand. Refer to Appendix D, Glossary of Terms and Acronyms, for a definition of these levels.	Mandatory	
G-8	<p>The system shall provide on-line help features, including</p> <ul style="list-style-type: none"> • Step-by-step instructions for performing the task • How-to examples, such as for making changes and deletions • Hints on translating the old coding structure to the new coding structure • A description of the codes, their values, and basic compatibility/restrictions for applying the codes • A description of the coding structure • A comprehensive, searchable index • A comprehensive glossary 	Mandatory	

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REQ NUMBER	REQUIREMENT	REQUIREMENT TYPE	PROPOSAL REFERENCE SECTION (VOLUME, TAB, PAGE NUMBER(S))
	<ul style="list-style-type: none"> • Basic system documentation • Key command instructions 		
G- 9.	The system must provide comprehensive error messages at the field and screen level which fully describe the situation that caused the error and the action necessary to correct the error. Range of value, validation and business rule error messages must provide sufficient information to allow users to correct the problem without requiring additional research.	Mandatory	
G- 10.	The system shall provide the ability to display valid values and full descriptions for reference code fields using drop-down menus.	Mandatory	
G- 11.	The system shall not truncate or round dollar amounts on detail or summary records.	Mandatory	
G- 12.	The system shall use a four-digit year format for all date fields and functions.	Mandatory	
G- 13.	The system shall provide real-time access to data throughout the system.	Mandatory	
G- 14.	The system shall validate incoming or entered data against established business rules and perform edits on specific data elements or checks between two or more related data elements at the point of entry.	Mandatory	
G- 15.	The system shall provide the capability for authorized users to define, modify and remove both separate and shared business rules for business units throughout the system.	Mandatory	
G- 16.	The system shall provide the ability to designate entry fields as required, optional or not allowed.	Mandatory	
G- 17.	The system shall provide a single source of Customer, Vendor, Employee or other Entity (C/VEE) data.	Mandatory	

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REQ NUMBER	REQUIREMENT	REQUIREMENT TYPE	PROPOSAL REFERENCE SECTION (VOLUME, TAB, PAGE NUMBER(S))
G- 18.	The system shall provide the ability for authorized users to define the number of years of history available for various business functions.	Mandatory	
G- 19.	The system shall provide the ability for authorized users to access historical data.	Mandatory	
G- 20.	REQUIREMENT DELETED.	Mandatory	
G- 21.	The system shall provide the ability for users to enter and store dollar fields with a minimum of eighteen (18) numeric digits, which does not include symbols such as dollar signs, decimal point, commas or negative indicators.	Mandatory	
G- 22.	The system shall assign sequential entry numbers to journal entries.	Mandatory	
G- 23.	REQUIREMENT DELETED.	Mandatory	
G- 24.	The system shall provide the ability for users to create and store shell journal entries (speed charts).	Mandatory	
G- 25.	REQUIREMENT DELETED.	Mandatory	
G- 26.	The system shall provide the ability for users to save draft, partial, or incomplete journal entries for future recall or use.	Mandatory	
G- 27.	The system shall restrict posting of journal entries without all necessary coding edits completed.	Mandatory	
G- 28.	The system shall provide the ability for authorized users to edit unposted transactions.	Mandatory	
G- 29.	The system shall provide the ability for authorized users to make real-time error corrections and updates prior to posting.	Mandatory	
G- 29a	The system shall provide the ability for authorized users to correct erroneous posted transactions, and must be able to automatically generate the corresponding reversing transaction.	Mandatory	

REF [REDACTED] REQUEST FOR PROPOSAL

APPENDIX E - DETAILED FUNCTIONAL AND TECHNICAL REQUIREMENTS MATRIX

REQ NUMBER	REQUIREMENT	REQUIREMENT TYPE	PROPOSAL REFERENCE SECTION (VOLUME, TAB, PAGE NUMBER(S))
G- 30:	The system shall provide the ability for authorized users to make corrections and adjustments to current year and prior open accounting periods, including updates to all other affected account funds, as appropriate.	Mandatory	
G- 31.	The system shall provide the ability for authorized users to view posted transactions at a summary, detailed, and drill down level.	Mandatory	
G- 32.	The system shall provide the ability for authorized users to record transactions according to the established coding structure elements.	Mandatory	
G- 33.	The system shall validate debits and credits balance before posting between and among funds.	Mandatory	
G- 34.	The system shall cross reference edits between summary dollar totals with line detail totals and ensure balancing prior to posting.	Mandatory	
G- 35.	The system shall verify expenditures do not exceed appropriations, encumbrance, budget authority, contract amount, and allocation including by categorical program, federal program and fund.	Mandatory	
G- 36.	The system shall allow authorized users to exceed appropriations, encumbrances, budget authority, contract amount and allocations, subject to business rules and user access rights.	Mandatory	
G- 37.	The system shall provide the ability for authorized users to prepare compound debit/credit entries.	Mandatory	
G- 38.	The system shall provide the ability for authorized users to setup automatic offsetting accounting entries.	Mandatory	
G- 39.	The system shall provide the ability for authorized users to convert coding data elements and track historical changes to the coding elements including who made the change, date	Mandatory	

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APPENDIX E - DETAILED FUNCTIONAL AND TECHNICAL REQUIREMENTS MATRIX

REQ NUMBER	REQUIREMENT	REQUIREMENT TYPE	PROPOSAL REFERENCE SECTION (VOLUME, TAB, PAGE NUMBER(S))
	and time of change, effective date of change, and what changed from and to.		
G- 40.	The system shall provide an audit trail for all transactions.	Mandatory	
G- 41.	The system must create an audit trail entry for each system action (whether user-initiated or system-initiated) including identifying information (such as user name, external system name, and/or program name), the action that was performed, date and time of the action, the screen, field, report, function and/or interface transmission involved, and the value(s) that were changed. Audit trail entries shall include, for example, coding changes, changes to C/VEE account information, system and workflow overrides, and changes to user access.	Mandatory	
G- 42.	The system shall record an audit trail entry for each financial transaction including posting date, period effective date, error date, and user ID.	Mandatory	
G- 43.	The system shall track and record the initiator and date of all record creations, approvals and updates for audit trail purposes.	Mandatory	
G- 44.	The system shall track and record an audit trail of all supervisory approvals, including multiple levels of approval.	Mandatory	
G- 45.	The system must permit authorized users to view a formatted display of the audit trail information, including the original data values, the field name, the user/system who performed the action, the date and time the action occurred.	Mandatory	
G- 46.	The system must provide authorized users the ability to query the audit trail information and generate a report of all records and transactions which meet specific user-defined	Mandatory	

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APPENDIX E – DETAILED FUNCTIONAL AND TECHNICAL REQUIREMENTS MATRIX

E.2 Desirable Requirements

E.2.1 Desirable [REDACTED] Functional Requirements

The following desirable functional requirements are provided:

REQ #	REQUIREMENT	RQMT TYPE	POINT VALUE	RQMT WILL BE MET (Y/N)	NARRATIVE DESCRIPTION OF HOW REQUIREMENT WILL BE MET	RQMT MET? (Y/N)
DES- 1.	REQUIREMENT DELETED.	Desirable	0			
DES- 2.	The system should format and verify CVEE addresses in adherence to the U.S. Postmaster standardized mailing address format for IRS Form 1099 mailings.	Desirable	20			
DES- 3.	The system should provide the ability to pro-rate budget allocations.	Desirable	20			
DES- 4.	The system should notify designated users when certain balances approach critical levels which could be fixed values or percentages of the balance. Examples of balances include contract balances, allocation balances, and fund balances. The notification should be via an email or a workflow/task list reminder.	Desirable	52			
DES- 5.	The system should provide the ability to redefine cost centers at varying levels of detail from year to year.	Desirable	20			

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REQ #	REQUIREMENT	ROWT TYPE	POINT VALUE	ROWT WILL BE MET (Y/N)	NARRATIVE DESCRIPTION OF HOW REQUIREMENT WILL BE MET	ROWT MET? (Y/N)
DES- 6.	The system should generate reminders or notifications when follow-up is necessary from key system events within the purchasing process. For example, notify a designated user role when the expiration date for a contract is approaching, or if a pending contract has had no activity for a given number of days/months.	Desirable	36			
DES- 7.	REQUIREMENT DELETED.	Desirable	0			
DES- 8.	The system should allow authorized users to track, monitor and report on the status of conference/event planning activities in accordance with defined workflow and business rules, subject to user-defined criteria. Typical planning activities include identifying potential locations, coordinating rates for the location and travel; coordinating refreshments and meals; and establishing contracts with the appropriate location(s) and suppliers in support of the conference/event.	Desirable	40			
DES- 9.	The system should allow users to attach multiple files to a specific transaction in order to associate background or supporting documentation to the financial transaction. For example, to associate CVEE correspondence to a	Desirable	68			

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REQ #	REQUIREMENT	RQMT TYPE	POINT VALUE	RQMT WILL BE MET (Y/N)	NARRATIVE DESCRIPTION OF HOW REQUIREMENT WILL BE MET	REQMT MET? (Y/N)
	transaction.					

Bidder's Certification and Initials: We agree to provide all desirable E-FIS functional requirements as indicated by a 'Y' in Section E.2.1, above.

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E.2.2 Desirable Technical Requirements

The following desirable technical requirements are provided:

REQ #	REQUIREMENT	REQMT TYPE	POINT VALUE	REQMT WILL BE MET (Y/N)	NARRATIVE DESCRIPTION OF HOW REQUIREMENT WILL BE MET	REQMT MET? (Y/N)
DTR- 1.	The system should have the ability to participate as a client in Lightweight Directory Access Protocol (LDAP) and should be capable of using LDAP to retrieve information from LDAP servers. Having this ability to participate in LDAP will allow Caltrans to implement single sign-on functionality.	Desirable	48			
DTR- 2.	The system should provide the ability to implement single sign-on to access all authorized modules and functions.	Desirable	16			
DTR- 3.	The system should allow an authorized user to initiate a query in the data warehouse and have the ability to drill into detailed data from the query which resides in the ERP.	Desirable	48			

Bidder's Certification and Initials: We agree to provide all desirable E-FIS technical requirements as indicated by a 'Y' in Section E.2.2, above.

E.2.3 Desirable Post-E-FIS Functional Requirements

The following desirable Post-E-FIS functional requirements are provided:

SECTION IX – EVALUATION AND SELECTION

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 is the most value effective for the State. The most value effective 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% technical points for the proposed solution and 50% for cost, with a maximum of 12106 points, prior to applying preferences.

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. 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, demonstrates lack of responsibility, or introduces unacceptable risk. The review will address each Bidder's response to the following:

- Section V, Administrative Requirements
- Section VIII, Proposal Format
- Appendix E, Detailed Functional and Technical Requirements

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The State Evaluation Team, or member designees from within the team, may 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 without having to share those questions with the other participating Bidders, thus protecting the confidential nature of each unique solution.

Prior to each confidential discussion, the State Evaluation Team (or member designees) 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 any defects does not preclude rejection of the Final Proposal if defects are 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 proposals items during the confidential discussions. Refer to Exhibit II-A, Competitive Bidding and Proposal 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.5.2. 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

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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.5.2.1 Corporate Experience Review

Failure to provide verifiable references may cause the Proposal to be rejected. The purpose of the Corporate Experience 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 project. References must include the information specified on Appendix C, Form C6.

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 contracts resulting from this procurement. The State's determination of similarity of the projects included as references to the project specified in this 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. Negative feedback provide by a reference may cause a Bidder's proposal to be rejected.

IX.5.3. Functional and Technical Requirements Response Review (Pass/Fail)

Response to all Functional and Technical Requirements referenced in Section VI is mandatory. A pass/fail evaluation will be used for written proposal responses to substantiate that the Functional and Technical Requirements Responses are responsive (refer to Exhibit II-A, Competitive Bidding and Proposal 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 prior to the assessment of preferences is 12106 points (6053 points maximum for the Requirements Assessment and 6053 points for the Cost Assessment), which will be awarded based on a consensus of the State Evaluation Team. The scoring model to assess Bidder proposals was developed in adherence to the business objectives and the overall goals of the project.

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The scoring model includes a point structure for each evaluation factor. The State Evaluation Team will evaluate if the proposal fully addresses the evaluation factor, partially addresses the evaluation factor, or does not address the evaluation factor. Points will be awarded accordingly.

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

Proposals that fail to earn 50% or more of the maximum points possible for any evaluation factor³⁰ 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 four bidders.

Table 9. Scoring Scenario Example

BIDDER	REQUIREMENTS ASSESSMENT SCORES BY REQUIREMENT SEGMENT	TOTAL POINTS POSSIBLE	TOTAL EVALUATION FACTOR ASSESSMENT SCORE	POINTS AWARDED
A	Draft Project Management Plan	1440	200	0* Draft Project Management Plan score is sub-50% threshold
	Draft System Architecture Design	2880	1520	0
	Draft Change Leadership Plan	400	160	0
	Draft Training Plan	400	160	0
	E-FIS Desirable Requirements	848	120	0
	Post-E-FIS Desirable Requirements	85	16	0
	Total for Bidder A	6053	2176	0
B	Draft Project Management Plan	1440	1280	1280
	Draft System Architecture Design	2880	2640	2640
	Draft Change Leadership Plan	400	320	320

³⁰ Evaluation factors of the Requirements Assessment include the Draft Project Management Plan, Draft System Architecture Design, Draft Change Leadership Plan and the Draft Training Plan.

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BIDDER	REQUIREMENTS ASSESSMENT SCORES BY REQUIREMENT SEGMENT	TOTAL POINTS POSSIBLE	TOTAL EVALUATION FACTOR ASSESSMENT SCORE	POINTS AWARDED
	Draft Training Plan	400	320	320
	E-FIS Desirable Requirements	848	480	480
	Post-E-FIS Desirable Requirements	85	48	48
	Total for Bidder B	6053	5088	5088
C	Draft Project Management Plan	1440	1320	1320
	Draft System Architecture Design	2880	1560	1560
	Draft Change Leadership Plan	400	280	280
	Draft Training Plan	400	240	240
	E-FIS Desirable Requirements	848	240	240
	Post-E-FIS Desirable Requirements	85	40	40
	Total for Bidder C	6053	3680	3680
D	Draft Project Management Plan	1440	1280	1280
	Draft System Architecture Design	2880	2232	2232
	Draft Change Leadership Plan	400	360	360
	Draft Training Plan	400	304	304
	E-FIS Desirable Requirements	848	560	56
	Post-E-FIS Desirable Requirements	85	48	48
	Total for Bidder D	6053	4784	4784

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

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 Appendix E, Detailed Functional and Technical Requirements, meets the RFP requirements.

IX.5.4.1.1 DRAFT PROJECT MANAGEMENT PLAN (MAXIMUM SCORE = 1440 POINTS)

Scoring of the Draft 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 description of the following components. If a proposal merits less than 720 points for this evaluation factor, it will be considered non-responsive.

1. Proposed Project Management Approach and Methodology
2. Proposed Project Schedule, including detailed tasks, start/end dates, durations, milestones, resources, dependencies and critical path

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3. Approach to Project Deliverables
4. Proposed Organization, Roles and Responsibilities, and Staff Management Approach
5. Development Process Model and Methodology, including tools, techniques, and high-level approach for configuring/customizing the COTS products, developing the interfaces, and converting existing data to the system
6. Issue Resolution Approach
7. Communication Plan
8. Schedule Management Plan
9. Quality Control Plan
10. Document Management Plan
11. Risk Management Plan
12. Configuration Management Plan

IX.5.4.1.2 DRAFT SYSTEM ARCHITECTURE DESIGN (MAXIMUM SCORE = 2880 POINTS)

Scoring of the Draft System Architecture Design includes an assessment of the proposed technical architectural solution and the approach to integrating the various components and existing systems. The System Architecture Design will be assessed and scored based on the Bidder's description of the following components. If a proposal merits less than 1440 points for this evaluation factor, it will be considered non-responsive.

1. Description of the Proposed Hardware
2. Description of the Proposed Software, including each module/component and what functions/requirements they address
3. Proposed Technical and Application Architecture
4. Network and Communication Interfaces
5. Logical and Physical Topology Diagrams for Each System Environment (i.e., Development, Test, Load/Stress Testing, Training and Production) depicting all hardware and network components required
6. Data Flow Diagram(s)
7. Security Architecture
8. Description of Capacity and Performance Modeling and Archive Strategy for E-FIS

IX.5.4.1.3 DRAFT CHANGE LEADERSHIP PLAN (MAXIMUM SCORE = 400 POINTS)

Scoring of the Draft Change Leadership Plan includes an assessment of the Bidder's approach to helping Caltrans staff prepare for the change to the new system and the

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changes in business processes. The Draft Change Leadership Plan will be assessed and scored based on the Bidder's description of the following components. If a proposal merits less than 200 points for this evaluation factor, it will be considered non-responsive.

1. Strategy and Goals for Change Leadership for the [REDACTED] System
2. Approach to Assessing [REDACTED] Specific Needs and Challenges
3. Approach to Training and Mentoring the [REDACTED] Change Representatives on Change Leadership Activities and Communications
4. Approach to Preparing [REDACTED] Users for the New Business Processes
5. Change Leadership Communication Plan, discussing specific communications to be performed
6. Approach to Monitoring the Effectiveness of the Change Leadership Activities
7. Proposed Change Leadership Roles and Responsibilities for both Contractor and [REDACTED] Staff
8. Examples from Prior Projects of Change Leadership Communication Plans, Strategies, and Communications

IX.5.4.1.4 DRAFT TRAINING PLAN (MAXIMUM SCORE = 400 POINTS)

Scoring of the Draft Training Plan includes an assessment of the Bidder's approach to training [REDACTED] trainers and technical staff on the operation and maintenance of the system and business processes. The Draft Training Plan will be assessed and scored based on the Bidder's description of the following components. If a proposal merits less than 200 points for this evaluation factor, it will be considered non-responsive.

1. Approach to Training [REDACTED] Trainers (Train-the-Trainer Training)
2. Approach to Direct Delivery Training of [REDACTED] End User and Technical Staff
3. Specific Course Curriculums and Descriptions
4. Training Equipment Needs
5. Strategy for Knowledge Transfer to Technical Staff
6. Proposed Training Schedule

IX.5.4.1.5 [REDACTED] DESIRABLE REQUIREMENTS (MAXIMUM SCORE = 848 POINTS)

The Desirable Requirements will be assessed and scored based on the Bidder's ability to meet the requirements referenced as "desirable" in Section VI, Functional and Technical Requirements, and their ability to describe **how** the function or requirement will be met. The points available for each desirable requirement are provided in Section V.6.6, Bidder Corporate References and Capability; and Appendix E, Section E.1.4, Mandatory

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Contractor Key Personnel Staffing Requirements³¹, Section E.2.1, Desirable E-FIS Functional Requirements, and Section E.2.2, Desirable Technical Requirements.

If the Bidder agrees to meet the desirable requirement, and if the State Evaluation Team agrees the description substantiates that the requirement can be met, then the Bidder will receive the full points available for the desirable requirement.

IX.5.4.1.6 POST-DESIRABLE REQUIREMENTS (MAXIMUM SCORE = 85 POINTS)

The Post-Desirable Requirements will be assessed and scored based on the Bidder's ability to meet the requirements referenced as "desirable" in Section VI, Functional and Technical Requirements, and their ability to describe and show **how** the function or requirement will be met, either "out of the box" or through customization. The points available for each desirable requirement are provided in Appendix E, Section E.2.3, Desirable Post-E-FIS Functional Requirements.

If the Bidder agrees to meet the Post-desirable requirement and the requirement can be met "out of the box" (i.e., without additional programming), and if the State Evaluation Team agrees the description substantiates that the requirement can be met "out of the box", then the Bidder will receive the full points available for the desirable requirement.

If the Bidder agrees to meet the Post-desirable requirement and the requirement can be met through customization (i.e., through additional programming), and if the State Evaluation Team agrees the description substantiates that the requirement can be met through customization, then the Bidder will receive half of the available points for the Post-E-FIS desirable requirement.

IX.5.4.2 Cost Assessment

Sealed Cost Proposals 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 Proposal 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 the hardware and software costs, implementation costs, version and upgrade costs, estimated labor costs and post-E-FIS modules cost for the contracts. The maximum number of points that can be awarded for the Cost Assessment score is 6053.

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, EZA and LAMBRA Bidding Preferences, if applicable. Preferences for TACPA, EZA, and LAMBRA shall not exceed \$100,000.

³¹ Note that the desirable Contractor Key Personnel Staffing requirements are listed within each mandatory staffing requirement.

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IX.5.4.2.1 TOTAL SOLUTION COST (MAXIMUM SCORE = 6053 POINTS)

The maximum number of points that can be awarded for the Total Solution Cost assessment is 6053. 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 (6053), as shown.

$$\frac{\text{Lowest Cost Assessment} \times 6053}{\text{Bidder Cost Assessment}} = \text{Bidder Cost Score}$$

Table 10. Total Solution Cost Evaluation and Scoring Methodology Example

BIDDER	TOTAL COST	CALCULATION	COST POINTS AWARDED
A	Cost Proposal not opened as Requirements Assessment was not passed.		
B	\$1,000,000	$\frac{\$1,000,000 \times 6053}{\$1,000,000}$	6053
C	\$1,575,000	$\frac{\$1,000,000 \times 6053}{\$1,575,000}$	3843
D	\$1,103,650	$\frac{\$1,000,000 \times 6053}{\$1,103,650}$	5485

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

IX.5.5. Summary of Overall Evaluation Scoring Process

Table 11 provides a summary of the evaluation process and demonstrates how the State Evaluation team will score each Bidder's Final Proposal.

Table 11. Summary of Scoring Process

EVALUATION COMPONENTS	MAXIMUM SCORE	BIDDER'S SCORE
SUBMISSION REQUIREMENTS REVIEW		
Section VIII, Proposal Format		
All Submission Requirements met? If Pass, continue; Otherwise, stop at this point	N/A	Pass/Fail
ADMINISTRATIVE REQUIREMENTS REVIEW		
Section V, Administrative Requirements		
All Administrative Requirements met? If Pass, continue; Otherwise, stop at this point	N/A	Pass/Fail
FUNCTIONAL AND TECHNICAL REQUIREMENTS RESPONSE REVIEW		
Section VI, Functional and Technical Requirements and Appendix E		

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EVALUATION COMPONENTS	MAXIMUM SCORE	BIDDER'S SCORE
Bidder agrees to provide each mandatory requirement? If Pass, continue; Otherwise, stop at this point	N/A	Pass/Fail
REQUIREMENTS ASSESSMENT REVIEW		
Total Points Available – 6053		
Draft Project Management Plan	1440	
Draft System Architecture Design	2880	
Draft Change Leadership Plan	400	
Draft Training Plan	400	
E-FIS Desirable Requirements	848	
Post-E-FIS Desirable Requirements	85	
COST ASSESSMENT REVIEW		
Total Points Available – 6053		
Total Solution Cost (Appendix B)	6053	
TOTAL POINTS AVAILABLE	12106	

IX.5.6. Preference Programs

All pertinent preferences will be applied to the applicable evaluation criteria before selection is announced. The Small Business Preference will be applied as required by law.

For bidders that are found responsible and responsive to the proposal requirements, the cost adjustments for preference claims for TACPA, EZA, and LAMBRA will be performed during the cost assessment.

IX.5.6.1 California Certified Small Business Preference

The Small Business participation incentives will be applied after the points for cost have been calculated.

Per Government Code, Section 14835, et seq., Bidders who qualify as a California certified small business and bidders that commit to using California certified small business subcontractors for 25% or more of the value of the contracts will be given a five percent (5%) preference for contract evaluation purposes only. The five percent preference is calculated based on the total number of points awarded to the highest scoring non-small business that is responsible and responsive to the proposal requirements. If after applying the small business preference, a small business has the highest score, no further preferences will be applied, as the small business cannot be displaced from the highest score position by application of any other preference. The rules and regulation of this law, including a definition of a California certified small business for the delivery of goods and services are contained in the California Code of Regulations, Title 2, Section 1896, et seq., and can be viewed online at www.pd.dgs.ca.gov/smbus.

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IX.5.6.2 Disabled Veteran Business Enterprise (DVBE) Preference

The DVBE participation incentives will be applied after the points for cost have been calculated.

In accordance with Section 999.5(a) of the Military and Veterans Code, an incentive will be given to bidders who provide California certified Disabled Veteran Business Enterprises (DVBE) participation. For contracts award evaluation purposes only, the State shall apply an incentive to proposals that include California certified DVBE participation. The maximum incentive for this procurement is 10% of the highest total earned non-technical and cost points, and is based on the amount of DVBE participation obtained, according to Table 12.

Table 12. Confirmed DVBE Participation Incentive

CONFIRMED DVBE PARTICIPATION OR:	DVBE INCENTIVE PERCENTAGE	DVBE INCENTIVE POINTS
More than 3%	10%	605
2% or more, but less than 3%	5%	303
1% or more, but less than 2%	3%	182
Less than 1%	0%	0

The DVBE Incentive percentage is applied to non-technical and cost points earned by the Bidder. For this RFP, all scored requirements are considered technical requirements as each measures the Bidder's technical ability to deliver the desired services. Since administrative requirements are scored only as Pass/Fail, the DVBE incentive percentage is applied only to the cost score points. Table 13 and Table 14 illustrate how DVBE incentives and the Small Business Preferences would be applied.

IX.5.6.3 Small Business Preference Example

In the example, Bidder A was not responsive to the mandatory requirements of the RFP. Bidder B initially has the most technical points (5088). Bidder C is a California certified small business. Bidder D is a non-small business that is using California certified small businesses to perform work that amounts to 25% of the value of the contracts. Bidder C earns the five percent (5%) small business preference, which is applied to the total "earned" points (accumulated technical, non-technical, and cost points, prior to incentives and preferences). Bidder D earns the five percent (5%) small business preference which is applied to the total "earned" points, to yield an overall point total of 10826.

Table 13. Example of Bidder Points with Small Business Applied

#	SCORING STEP	BIDDER A	BIDDER B	BIDDER C	BIDDER D
1.	Meets Small Business Requirement?	No	No	Yes	Yes
2.	Technical Requirements Score	0	5088	3680	4784

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#	SCORING STEP	BIDDER A	BIDDER B	BIDDER C	BIDDER D
3.	Cost Points	0	6053	3843	5485
4.	Non-Technical Points (none for this procurement)	0	0	0	0
5.	The Bid that has the Total Combined Highest Cost and Non-Technical Points (row 3 + row 4)		X		
6.	Total Points Score before any Incentives (row 2 + row 3 + row 4)	0	11141	7523	10269
7.	Small Business Preference ((highest points from row 6 that is not a small business) * 5%)	0	0	(11141 * 0.05) = 557	(11141 * 0.05) = 557
8.	Total Points with Small Business Preference (row 6 + row 7)	0	11141	8080	10826

In this example, Bidder B would receive the award by having 11141 points.

IX.5.6.4 DVBE Preference Example

Table 14 illustrates how DVBE incentives and Small Business Preferences would be applied in a slightly difference scenario. In this example, Bidder B initially has the most points (11141 total technical and cost points). Bidder C is a California certified small business. Bidder D is a non-small business that is using California certified small businesses to perform work that amounts to 25% of the value of the contract. As a small business, Bidder C earns the five percent (5%) small business preference, which is applied to the total “earned” points (accumulated technical, non-technical and cost points, prior to incentives and preferences). As a large business using California certified small businesses to perform work that amounts to 25% of the value of the contract, Bidder D earns the 5% small business preference which is applied to the total “earned” points also. Bidder B earns 182 DVBE preference points. Bidder D earns 605 DVBE preference points and has the highest total points (11431) after applying the small business and DVBE incentives.

Table 14. Example of Bidder Points with Small Business and DVBE Incentives Applied

#	SCORING STEP	BIDDER A	BIDDER B	BIDDER C	BIDDER D
1.	Meets Small Business Requirement?	No	No	Yes	Yes
2.	Technical Requirements Score	0	5088	3680	4784
3.	Cost Points	0	6053	3843	5485
4.	Non-Technical Points (none for this procurement)	0	0	0	0
5.	The Bid that has the Total				

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#	SCORING STEP	BIDDER A	BIDDER B	BIDDER C	BIDDER D
	Combined Highest Cost and Non-Technical Points (row 3 + row 4)		X		
6.	Total Points Score before any Incentives (row 2 + row 3 + row 4)	0	11141	7523	10269
7.	Small Business Preference ((highest points from row 6 that is not a small business) * 5%)	0	0	(11141 * 0.05) = 557	(11141 * 0.05) = 557
8.	Total Points with Small Business Preference (row 6 + row 7)	0	11141	8080	10826
9.	DVBE Incentive	0	1%	0	5%
10.	DVBE Incentive Points from Table 12	0	182	0	605
11.	Total Points for Evaluation Purposes Only (row 8 + row 10)	0	11323	8080	11431

In the example, Bidder D would have the highest number of points (11431) and would receive the award.

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 12106 points.

Table 15 provides an example of how the final total score is determined. In the example below, Bidder B is a large business, Bidder C is a certified California Small Business and Bidder D is a large business committing to using California certified small businesses to perform work that amounts to 25% of the value of the contract.

[REDACTED]

[REDACTED]

[REDACTED]