

EXERCISE 1  
STRUCTURING REQUIREMENTS

DOCUMENT SET 6



## Table of Contents

<b>Section I – Introduction and Overview of Requirements</b>	
A.	Purpose of this Request for Proposal .....I-1
B.	Scope of the RFP and Bidder Admonishment .....I-1
C.	Availability .....I-2
D.	Department Official .....I-2
E.	Bidder's Library Department Contact .....I-2
F.	Key Action Dates .....I-2
G.	Intention to Submit a Proposal .....I-3
H.	Bidder Financial Responsibility Information .....I-3
I.	Americans with Disabilities Compliance .....I-5
<b>Section II – Rules Governing Competition</b>	
A.	Introduction .....II-1
B.	Identification and Classification of RFP Requirements .....II-1
C.	Proposal Requirements and Conditions .....II-1
D.	Bidding Steps .....II-3
E.	Demonstrations .....II-7
F.	Sealed Cost Opening .....II-7
G.	Rejection of Proposals .....II-7
H.	Contract Award .....II-8
I.	Debriefing .....II-8
J.	Other Information .....II-9
<b>Section III – Current Systems and Opportunities</b>	
A.	Introduction .....III-1
B.	Business Program and Background .....III-1
C.	Functional Descriptions .....III-2
D.	Key Features of the Existing Systems .....III-3
E.	Business Problem and Opportunities .....III-4
F.	Current Workload Statistics .....III-8
G.	Current Technical Environment and Existing Infrastructure .....III-9
<b>Section IV – Proposed System Business Processes</b>	
A.	Introduction .....IV-1
B.	Replacement System Project Goals and Objectives .....IV-1
C.	Business Benefits .....IV-1
D.	Current Process Descriptions and Workflows .....IV-2
<b>Section V – Administrative Requirements</b>	
A.	Introduction .....V-1
B.	Productive Use Requirements .....V-2
C.	Bidder Responsibility .....V-4
D.	Confidentiality .....V-5
E.	Interface to Existing Equipment .....V-5
F.	Conditions to be Examined .....V-5
G.	Disabled Veteran Business Enterprise (DVBE) Participation Requirement .....V-5
H.	Preference Programs .....V-7
I.	Certification to do Business in the State of California .....V-9
J.	Other Administrative Requirements .....V-10

**Section VI – Business and Technical Requirements**

A.	Introduction .....	VI-1
B.	Project Activities and Plans .....	VI-1
C.	The Management Role .....	VI-5
D.	Project Staffing and Organization .....	VI-5
E.	Project Work Standards .....	VI-6
F.	Business Functional Requirements .....	VI-6
G.	Technical Requirements .....	VI-31

**Section VII – Cost Tables**

A.	Introduction .....	VII-1
B.	Payment Terms .....	VII-1
C.	Cost Table Instructions .....	VII-2
D.	Cost Tables .....	VII-2

**Section VIII – Proposal Format**

A.	Introduction .....	VIII-1
B.	Final Proposal Format and Content .....	VIII-1
C.	Draft Proposal Format and Content .....	VIII-2

**Section IX – Evaluation and Selection**

A.	Introduction .....	IX-1
B.	Evaluation Team .....	IX-1
C.	Review of Draft Proposals .....	IX-1
D.	Evaluation of Final Proposals .....	IX-2
E.	Cost Assessment .....	IX-8
F.	Determination of Winning Proposal .....	IX-10
G.	Contract Award .....	IX-13

**Section X – Demonstration of Requirements**

A.	General .....	X-1
B.	Preparation .....	X-1
C.	Requirements .....	X-1

**Glossary**

**Appendix A – State Contract**

## SECTION I - INTRODUCTION AND OVERVIEW OF REQUIREMENTS

### A. PURPOSE OF THIS REQUEST FOR PROPOSAL

The purpose of this Request for Proposal (RFP) is to replace/upgrade the information management system for the State of California's [REDACTED] Systems administered by the State [REDACTED] on behalf of all State departments providing internal and external (public) access to the [REDACTED] records, providing future opportunities for implementing electronic workflow, and ensuring the integrity of the processes. [REDACTED] goal of this procurement is to identify a commercial off-the-shelf (COTS) product that can be modified to meet all of the State's business and technical needs. The objective of this RFP is to provide a thorough understanding of the State's current [REDACTED] Systems and related needs, such as for scheduling [REDACTED] and certifying [REDACTED] for all State departments on a timely basis. The term of this contract is one (1) year implementation plus one (1) year warranty and two (2) years maintenance. Full implementation of all functions must be accomplished not later than January 2, 2008.

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

### B. SCOPE OF THE RFP AND BIDDER ADMONISHMENT

This RFP is being conducted under the policies developed by the Department of Information Technology and procedures developed by the Department of General Services (DGS) as provided under Public Contract Code Section 12122 et seq. This RFP contains instructions governing the requirements for a firm quotation to be submitted by interested Bidders. The format that bid information is to be submitted and the material to be included therein, follows. This RFP also addresses the qualifications that Bidders must meet to be eligible for consideration, as well as addressing Bidder's responsibilities before and after award.

This procurement will follow a phased approach designed to increase the likelihood that Final Proposals will be received without disqualifying defects. The additional step(s) will (1) ensure that the Bidder clearly understand the State's requirements before attempting to develop their final solutions; (2) ensure that the State clearly understands what each Bidder intends to propose before those proposals are finalized; and (3) give the State and each Bidder the opportunity to discuss weaknesses or potentially unacceptable elements of a Bidder's proposal and give the Bidder the opportunity to modify its proposal to correct such problems. Specific information regarding such steps is found in Section I, Rules Governing Competition, and the RFP sections on Proposal Format (RFP Section VIII) and Evaluation and Selection (RFP Section IX).

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

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

[Redacted]

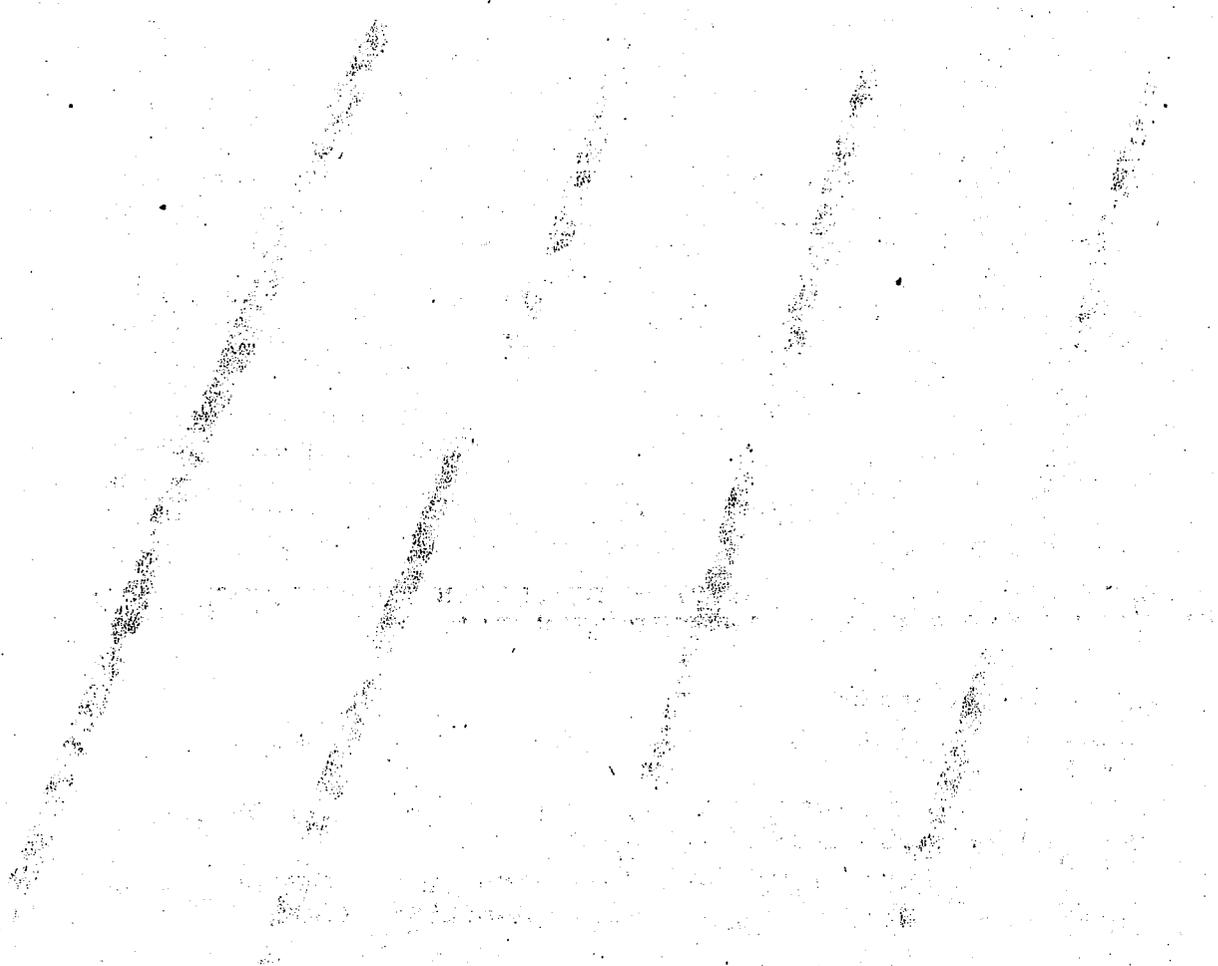
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## SECTION IV - PROPOSED SYSTEM BUSINESS PROCESSES

### A. INTRODUCTION

Traditionally, this section of the RFP document includes a description of the proposed system. The State has chosen not to describe the type of system that must be proposed, but instead has elected to provide a description of the business processes (and associated activities) and business requirements that the system must support. Each Bidder is to review the business processes and develop its own system solution to satisfy the stated business processes and requirements. Assume approximately 211,000 state employees with 400 concurrent licensed users, 500 - 1,000 annually, an pool of 10,000 - 15,000 for some and 100 - 1000 for , making an annual total of 1.5 .

The business functional requirements are documented in Section VI, Business and Technical Requirements, while the business processes are defined in this Section as the Business Model. The Bidder's proposed solution must support all of the processes described in this Business Model and meet the business requirements contained in Section VI, Business and Technical Requirements. Considerations must also be given to the information provided in Section III, – Current System and Opportunities, when developing a proposed solution.

### B. REPLACEMENT SYSTEM PROJECT GOALS AND OBJECTIVES

The following are the project target goals and objectives for the business solution to ensure that the State's business needs are met and that the statutory and operational responsibilities and requirements are achieved.

- Increase use of the System to 85% of departments using it to plan, execute, and
- Increase -maintained personal information by 30%.
- Increase the number of that can be electronically by 20%.
- Reduce time by 30%.
- Increase the number of conducted by departments for their specific by 25%.
- Reduce the number of service wide open conducted by departments by 50%.
- Reduce the average cost per by 20%.
- Reduce manual processing by 30% within 2 years.

### C. BUSINESS BENEFITS

has identified 14 target Strategic Benefits that can potentially be achieved through implementation of an upgraded solution. They are:

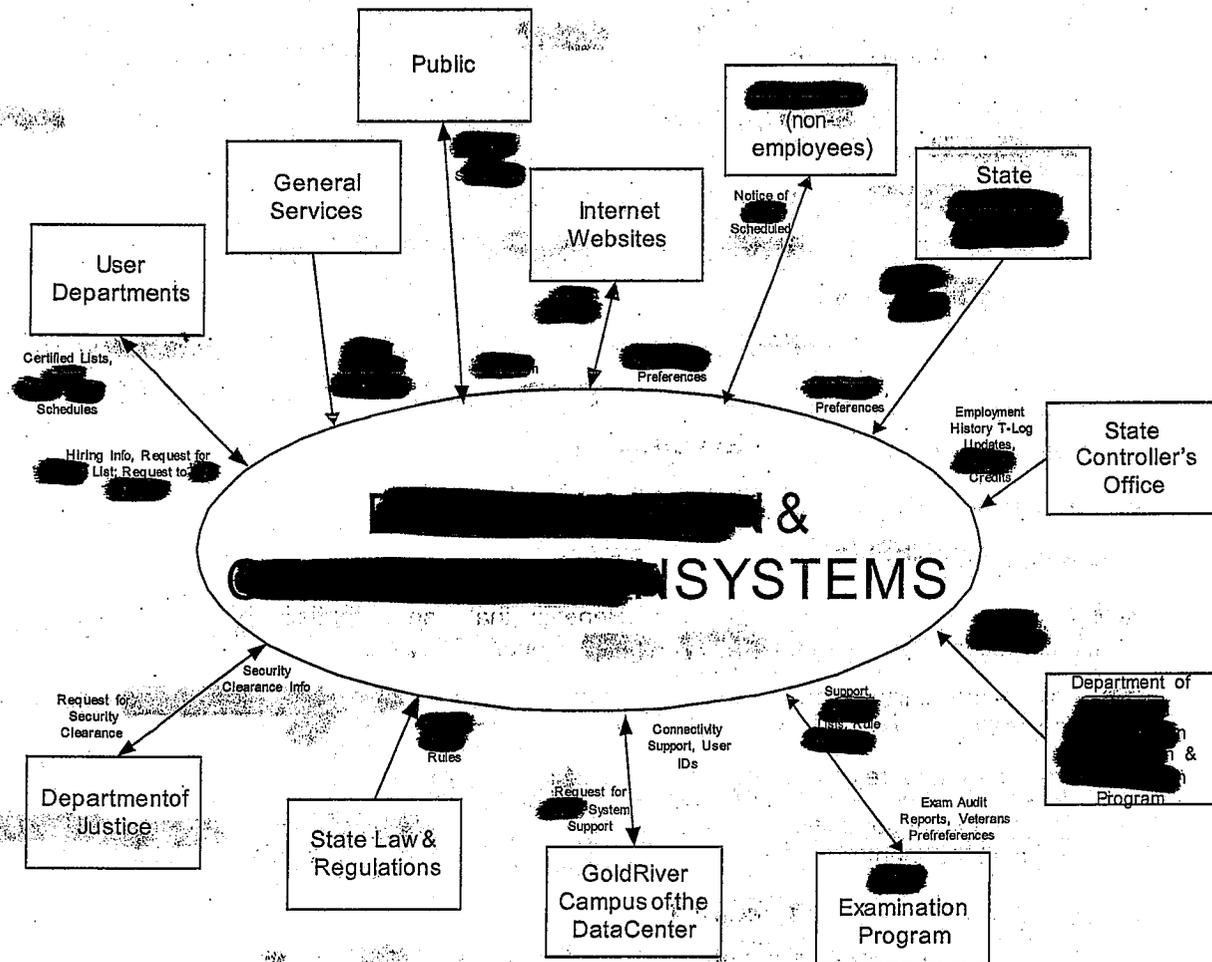
- Ensure the ability to deliver consistency and fairness of processes across departments with availability of centrally-administered
- Provide for a more cost-effective statewide program.
- Provide the opportunity for departments to focus on for within their department through more effective state wide general
- Ensure timely, accurate
- Implement effective eligibility when accepting
- Facilitate meeting needs due to unprecedented number of retirements.

- Improve information for statewide policy and management decisions.
- Reduce statewide costs for system support.
- Provide flexibility to implement legal and business improvements.
- Streamline statewide processes.
- Provide cost savings with employee and manager self-service.
- Provide staff turnover savings.
- Improve morale and productivity of professionals in all state departments.
- Improve timeliness, accuracy, and availability of data and reports for statewide use.

#### D. CURRENT PROCESS DESCRIPTIONS AND WORKFLOWS

The new business solution must provide the business process as discussed in this section as well as meet the technical and business requirements in Section VI. All of the processes, functions, and requirements are Mandatory.

The following diagram illustrates the context for the Exam and Cert Replacement Project followed by the Level 0, Level 1, and Level 2 detail processes. Refer to Attachment IV.1 for the legend for reading the process diagrams.



## SECTION VI - BUSINESS AND TECHNICAL REQUIREMENTS

### A. INTRODUCTION

The purpose of this section is to present the mandatory business and technical requirements that must be addressed by the proposed solution as described in Section IV. See Section V, Administrative Requirements; Section VIII, Proposal Format; and Section II, Rules Governing Competition, for other requirements that must be met in order to be considered responsive to this RFP.

The [REDACTED] is seeking to identify a commercial off-the-shelf (COTS) application that can be modified (MOTS) to meet all of its business functional requirements for the [REDACTED] Replacement Project (RFP). It is important to understand that these requirements are intentionally written at a summary level of detail to facilitate an alternative procurement process. As described in Section I, the underlying intent of this process is to focus business requirements on the business need ('what must be done'), not on current methods or constraints ('how it is currently done'). [REDACTED] has identified the resultant performance criteria but the method of delivery or achievement is optional. [REDACTED] recognizes there may be more than one means of meeting the requirements and wants to evaluate alternatives.

The [REDACTED] has defined its own needs, desired operating objectives, and desired operating environment. The [REDACTED] will not tailor these needs to fit some solution a Bidder may have available; rather, the Bidder shall propose to meet the [REDACTED] needs as defined in this RFP. Additionally, Bidders must provide a one (1) year warranty on the solution after full system acceptance by [REDACTED]. [REDACTED] also intends to contract for two (2) years of maintenance after full system acceptance.

### B. PROJECT ACTIVITIES AND PLANS

To facilitate the Evaluation process, Bidders must complete Attachment VI.1 – Project Activities and Plans Requirements Response Matrix. (A list of requirement numbers and the page number in Bidder's Proposal where the response can be found.)

It is [REDACTED] intent to evaluate the Bidder's past level of effort and performance as well as their capability to execute certain tasks successfully. Tasks include:

- System preparation (project planning, tracking, and control).
- System requirements and gap analysis.
- System configuration, design, modification, integration, and testing.
- Data conversion.
- System implementation.
- Train the Trainer training.
- System maintenance and management, and
- System operation, maintenance, and support.

For this reason, the Bidder must provide, as part of this Proposal response, evidence in the form of client references of the required capability and experience as specified in this RFP. The references can be for the Prime and/or subcontractors, but must substantiate the capabilities and experience required in this RFP.

In addition, because the proposed solutions and implementation approaches will likely differ among Bidders, [REDACTED] requires the Bidder to prepare and submit information about the Bidder's

Project Management Plan and approach to various project activities. Such information must be submitted along with the Bidder's response to the other Business and Technical Requirements. Bidders must note that when the project is initiated, for each deliverable that is prepared for the project, a Deliverable Expectations Document (DED) will be prepared by the Bidder and approved by the Project Manager and which will set the parameters for the deliverable, acceptance criteria, etc. Refer to Contract, Attachment 1, Exhibit 2, for further details on the DED.

1. **Project Management**

Proposal Item P1

The Bidder's Proposal must provide a Draft Project Management Plan (PMP) that will be the controlling document for managing the Replacement Project (RP) and must include activities related to this project for staff as well as Bidder staff resources. The Bidder must use its PMP to define the technical and managerial project functions, activities, tasks, and schedules necessary to satisfy the project requirements. The PMP is intended to define the project and identify the level of resources and duration required thus providing the "baseline" for the change control process to gauge all future development activities, and for change requests. The Bidder must identify tasks, start and completion dates, task initiation and completion criteria, relationships and dependencies among tasks, timing, major deliverable milestones, resource allocations (e.g., work products and project deliverables, approval points or signoffs), and provide a GANTT chart. The PMP will be used to track the achievement of project milestones and provide the basis for ongoing project communications.

NOTE: This is a fixed-price contract and the primary assumption is that there will be no change orders. Change orders will only be considered under the terms identified under Contract, Attachment 1.7, Unanticipated Tasks or that are the result of Board mandates, or law or regulation changes.

Proposal Item P2

The Bidder's Proposal must describe their approach to schedule management factors including resource updates, tracking of resource activities, tracking of milestone progress and reporting, critical path monitoring, schedule issues, status reporting based on work breakdown structure, and contingency activities.

Proposal Item P3

The Bidder's Proposal must describe their activities to be used in providing a quality assurance review of all work products and activities during the project and including standards (if applicable) to be used and measured.

Proposal Item P4

The Bidder's Proposal must describe their Software Version Control and Configuration Management methods to be employed during this project.

Proposal Item P5

The Bidder's Proposal must include a discussion of the content and development of a Requirements Traceability Matrix and Gap Analysis, and a discussion of how this will be used and updated to track requirements, programming, and test scenarios during the Acceptance Phase.

2. **Project Tracking, Progress Assessment, and Status Reporting**

Proposal Item P6

Bidder must agree to provide a written Monthly Project Status Report to the Project Manager. The Contractor's Project

Manager must track and assess progress relative to the project's goals and schedule. The Contractor will be required to discuss project progress (actual accomplishments in comparison with Project PMP and timetables) with Project Manager or designee, as may request. Each month a formal, written Monthly Project Status Report (MPSR) must be presented to the Project Manager. The report must include the following:

- (a) Overall project status as of the date of the report;
- (b) Work tasks accomplished, deliverables submitted, and milestones achieved during the previous month;
- (c) Work tasks or deliverables currently behind schedule, reason for the delay, and remedial actions specified;
- (d) Work tasks to be accomplished by Contractor during the forthcoming month;
- (e) Identification of high and medium issues and risks or actual and potential problem(s) that could delay completion of the active phases or the production date, along with recommendation(s) for remedial action to ensure successful completion of the project on schedule;

The report must be signed by the Contractor's Project Manager certifying the report to be accurate.

Proposal Item P7

Bidder must agree that its Project Manager will attend the Bi-Weekly Status Meeting and provide an oral update of the previous week's accomplishments.

Proposal Item P8

The Bidder's Proposal must contain a detailed description of the proposed approach and method for the project schedule tracking and progress assessment process (such as weekly timesheets).

3. Training

Proposal Item P9

requires the Bidder to propose Train-the-Trainer training for the program team. will provide one (1) training room in Sacramento for proposed solution training. Any staff training identified by the Bidder not proposed to be conducted at the Sacramento training facility must include, as part of the cost for training, all travel and per diem associated with travel to the training site for all staff attending (refer to the Bidder's Library for per diem rates).

Bidders are required to provide training for twenty (20) program staff and ten (10) information technology system support staff. Bidders must describe their knowledge transfer method as part of the Training Plan.

System requirements for the training room must be specified (e.g. number of workstations, minimum configuration of workstations, connectivity requirements, etc.). Training aids, manuals, quick reference guides and other training materials must be provided as part of the solution, reflect the solution as implemented, provided for each student, and also be delivered to in electronic format. Training materials shall become the property of upon completion of the training and may be

modified or supplemented as needed by [REDACTED]. The Bidder must allow SPB permission to duplicate all materials and manuals.

4. **Data Conversion**

**Proposal Item P10**

The Bidder's Proposal must describe their Data Conversion approach, method, the extent of [REDACTED] legacy data clean-up required as well as a recommendation of how much detail data to convert, and a conversion strategy of "cut-over" or "phased", and a schedule of activities which is integrated with the Project Management Plan. A test data conversion must be performed and all data validated and approved by [REDACTED] prior to the full conversion occurring. Refer to RFP Section III.G for a discussion of the existing databases, file structures, and data volumes. The Bidder must, at a minimum, convert the existing current Cert Lists and provide a mechanism for those exams in process to be converted when lists from these exams are completed.

5. **System Application and Hardware Requirements Documentation**

**Proposal Item P11**

The proposed solution must be housed at the GCDC facility. Bidder's Proposal must contain a detailed list of the hardware (including peripheral equipment, cables, etc.) required to support the proposed solution. (Bidders can refer to the GCDC website at [www.goldcamp.dts.ca.gov](http://www.goldcamp.dts.ca.gov) for hardware currently supported and monthly costs when preparing the cost tables) The Bidder's response must include server configurations and specifications, connectivity requirements, and end-user workstation configuration specifications and requirements. Bidders desiring to meet with the GCDC staff and discuss their proposed solution can arrange to do so through the Department Official indicated in RFP Section I.D.

**Proposal Item P12**

The Bidder must agree to implement the proposed solution applications and to provide systems documentation in hardcopy and electronically for the implemented solution to include, at a minimum, the following.

- (a) System Operations;
- (b) System Technical Documentation;
- (c) System End User's Documentation;
- (d) Help Desk Documentation;
- (e) System Technical Schematics and Data Dictionary;
- (f) As-Built Documentation of All Configuration, Modification, and/or Programming;
- (g) System Back-up and Recovery procedures; and
- (h) System Maintenance Documentation.

6. **Testing**

**Proposal Item P13**

The Bidder must provide a draft Test Plan Methodology and Test Defect Log. The actual detailed Test Plan and Test Defect Log must be submitted no later than ten State working days (10) days prior to the commencement of testing activities. All business functional and technical requirements in this RFP must

be traceable to the Test Plan and the Bidder must provide with a traceability matrix (refer to P5), which will provide a link from each test case back to each of the business functional and technical requirements in the RFP for testing purposes. Negative testing scenarios must be included.

The Test Plan must include "Out-of-the-Box" testing to validate that the base COTS system performs as expected in its unmodified form on GCDC equipment. This will establish a baseline for system set-up, configuration, and modifications. The Test Plan must include testing for all configured items, all COTS-modified programs, and a complete "end to end" test. It will be the decision of the Project Manager when acceptance testing has been successfully completed. The final detailed Test Plan will become the basis for verifying that the system operates as documented and intended.

### C. THE ERP MANAGEMENT ROLE

will provide the following:

1. Full-time Project Manager to oversee and to assist the Contractor Project Manager.
2. One (1) on-site workstation (including desk, telephone, desktop computer with access to printers and GCDC) at the Sacramento Office with space for two (2) staff.
3. will provide Contractor staff access to the Exam and Cert program staff and the IT staff that support the existing applications as required during implementation. staff will participate in design sessions, review deliverables, participate in testing and training as necessary to fulfill their responsibilities of acceptance of the new solution; however, staff will not perform programming, develop contractor deliverables, or configure the system. These are tasks expected to be performed by the Contractor's implementation team. will provide up to two (2) IT staff fulltime and three (3) program staff haltime.
4. An Independent Project Oversight Consultant (IPOC) will be retained to support the Project Manager in terms of monitoring and the Contractor's performance, responsibilities, and deliverables. The IPOC may perform the following activities on behalf of:
  - (a) Independent verification and validation of deliverables including verifying test results, selected Contractor activity and performance in accordance with the Proposal, Project Plan, schedule, and Contractor's progress report accuracy;
  - (b) Validate certifications and validation of claims submitted to the ERP;
  - (c) Support Risk and Issue management and reporting on behalf of to the Department of Finance on timely issue resolution; and,
  - (d) Validate requirements traceability.

### D. PROJECT STAFFING AND ORGANIZATION

#### 1. Bidder Responsibilities and Staffing

##### Proposal Item P14

The Bidder must propose specific individuals to fill all Bidder staffing roles. requires the Bidder to maintain continuity of staffing. Once committed to the project, all proposed staff are

expected to remain for the duration of the project in that role. Staff proposed must demonstrate they have experience with the solution proposed and in the role they are proposed for (demonstrated through experience on previous projects).

recognizes that a resignation or other events may cause Bidder project team members to be unavailable. Project Management reserves the right to approve or deny all Bidder proposed replacement project team members. The proposed replacement staff must have the same or higher-level skills and experience as the staff person leaving the project.

Bidders must complete and return Exhibit VI.2 Bidder Staffing Summary of Experience (one Exhibit for each proposed staff member), listing all proposed Bidder resources assigned to this project. The resources must be grouped according to proposed role on the project (Project Manager, Functional, Technical, Data Conversion, Training, etc.). Bidders must fill in the required information about each proposed staff member.

Proposal Item P15

The Bidder must provide resumes for all individuals that have been proposed for this project. Resumes must use Exhibit VI.3 Bidder Staff Resume form. Bidders must include one completed exhibit for each staff member proposed.

**Note:** Bidders should be aware that during the Final Proposal Evaluation, Bidder proposed staff references may be validated. strongly urges the Bidder to bring their proposed Project Manager and other proposed staff to attend the confidential discussion.

## E. PROJECT WORK STANDARDS

The following are work standards for the project and must be adhered to:

1. The Bidder will use Microsoft Office 2003 or the approved version installed at in the preparation of all project correspondence and deliverables. All project materials developed by the Bidder must be delivered in native electronic format (e.g. MS Word, MS Excel, not in PDF format).
2. The Bidder will comply with Information Security Policies and Practices (refer to the Bidder's Library). Any exceptions to the established practices must be agreed to in writing by SPB.
3. The Bidder will maintain the Project Schedule in the approved version of MSProject or an automated tool accepted in writing by.

Proposal Item P16

Bidder's Proposal must include a statement agreeing to comply with the RP Work Standards as stated in this RFP. Approval by Project Manager or designee must be granted prior to any change to these Work Standards.

## F. BUSINESS FUNCTIONAL REQUIREMENTS

### 1. Business Functional Requirements

Table VI.2 contains the RP business functional requirements. The table also indicates the Requirement #, Current Functionality (whether or not the current system can fully or partially meet this requirement), if the requirement is for new functionality or is a

"desirable" functionality. The next column on the right indicates which business process diagrammed in RFP Section IV this requirement supports to meet the business needs. All requirements with "X" in the Current Functionality (full) or (partial) columns are mandatory. Those requirements with "R" in the Proposed New Functionality column are also **mandatory**. Only those requirements with "AV" are considered desirable. Bidders will not be scored lower during the Final Proposal Evaluation process if they do not address the "AV" requirements.

2. **Business Functional Requirements Response Format**

This section contains the detailed business functional requirements that requires of a proposed business solution to address the functions described in the Business Model contained in Section IV. References to government code, CCR, rules and manuals can be found in the Bidder's Library.

Bidders should remember that is expecting Bidders to develop an appropriate solution to meet the business needs while providing the "Best Value".

The Bidder is required to respond to each business requirement listed in VI.F.1. Bidders must not retype the requirements. If there is a discrepancy between the electronic copy and the hardcopy of the stated requirement in the RFP, the Master hardcopy takes precedence. The response must be comprised of a narrative response for each requirement, consisting of:

1. The Proposed Solution Description section containing a detailed description, which includes how the Bidder's proposed solution meets the needs associated with the requirement. (This description must be in sufficient detail for to fully understand all aspects of the proposed solution or the proposal may be deemed non-responsive).
2. COTS Rating: For each requirement, Bidders are required to indicate the method of meeting this functionality (e.g. the proposed product meets this requirement "out of the box", or the product requires some level of configuration or adaptation). Bidders must indicate the method by entering the appropriate number in the space labeled "COTS Rating" (Commercial Off The Shelf) according to the scale in Table VI.1 following.

Table VI.1 – Business Functional Requirements COTS Rating Criteria

Ability to Meet the Requirement	COTS Rating
Meets the requirement as the product is delivered "out of the box"	5
Meets the requirement by way of user-defined set-up parameters or configuration	4
Meets the requirement by integrating with another "off the shelf" product	3
Requires source code modification to meet the requirement	2
Requires development of new module to meet the requirement	1

Bidders must be able to demonstrate requirements that are COTS rated as "5" and "4" and may be required to do so after the Draft Proposal review during the Demonstration phase. If, during the Evaluation, it is found that the rating presented

by the Bidder does not accurately reflect the operational status of a specific functionality, the Team may change the number after clarification has been received from the Bidder.

3. The Supporting Documentation Reference: indicate where (Proposal Response volume number and page number for product literature) in the Bidder's RFP proposal volumes additional material can be found that is to be considered in the evaluation of the requirement response. Bidders are reminded that their response must be complete and in sufficient detail for the Evaluation Team to understand how the requirement is to be met.

Table VI.2 – Business Requirement and Functionality Reference and Requirement Response Form

Req. #	Business Requirement Text	Current Functionality (full)	Current Functionality (partial)	Proposed New Functionality R = Required A.V. = Added Value	Process Diagram Cross Reference	Proposed Solution Description	COTS Rating	Supporting Documentation Reference
B - 1.	The proposed solution must provide for multiple (at least 6) levels of security and data access restrictions		X		General			
B - 2.	The proposed solution must provide the capability for authorized users to develop customized workflow/workplan for their own use to meet milestones when conducting exams.	X			General			
B - 3.	Business rules must be table driven, not hard coded in the application, to permit the business rules to be updatable by authorized users at different departments with specific start and end effective dates for a specific rule.		X		General			
B - 4.	The proposed solution must provide a highly functional, user-intuitive (for State staff in the [Redacted] program areas) report generator that produces reports in hardcopy and electronic form, can report on all data contained in the system, and can perform interactive queries in the database without effecting on-line transaction performance. Current report samples can be found in the Bidder's Library		X		General			
B - 5.	The proposed solution must provide pull-down lists for coded data fields.			R	General			
B - 6.	The proposed solution must use consistent terminology for both [Redacted] processes.		X		General			
B - 7.	The proposed solution must perform functionality on a real time basis (e.g. create/display or print out a [Redacted] list for a specific [Redacted] when requested)			R	General			
B - 8.	The proposed solution must provide access via the Web using a variety of internet browsers.		X		General			

Req. #	Business Requirement Text	Current Functionality (full)	Current Functionality (partial)	Proposed New Functionality R = Required A.V. = Added Value	Process Diagram Cross Reference	Proposed Solution Description	COTS Rating	Supporting Documentation Reference
B - 9.	The proposed solution must provide access to the application in compliance with ADA (American's with Disabilities).		X		General			
B - 10.	The proposed solution must provide tools for performing [redacted] item analysis for purpose of generating statistical reports on [redacted] results [redacted]	X			General			
B - 11.	The proposed solution must provide security of confidential and personal data and allow candidates to update their own information.		X		General			
B - 12.	Produce standard reports as needed, on demand, or at scheduled intervals.	X			General			
B - 13.	Make [redacted] screens customizable by authorized users so that departments can create screens specific to their types of [redacted] and their workflow.			A.V.	General			
B - 14.	The proposed solution must provide functionality to "withhold" individuals from [redacted] list until requirements ( [redacted] ) are met or based on Government Code [redacted]	X			Process 1.0			
B - 15.	The proposed solution must provide functionality to track [redacted] submitted, determine minimum [redacted] process [redacted] via a web based interface		X		Process 1.0			
B - 16.	The proposed solution must provide functionality for an [redacted] analyst/manager to track [redacted] planning/progress throughout the process.		X		Process 1.0			
B - 17.	The proposed solution must provide [redacted] progress capability so [redacted] can find out where they are in the [redacted] process online.			A.V.	Process 1.0			
B - 18.	The proposed solution must provide functionality for multiple (at least 10) types of [redacted] (e.g. [redacted])		X		Process 1.1			

SECTION VI – Business and Technical Requirements

Req. #	Business Requirement Text	Current Functionality (Full)	Current Functionality (partial)	Proposed New Functionality R = Required A.V. = Added Value	Process Diagram Cross Reference	Proposed Solution Description	COTS Rating	Supporting Documentation Reference
B - 19.	open, promotional). The proposed solution must provide functionality for a single [Redacted] to create more than one [Redacted] type [Redacted]	X			Process 1.1 and 3.1			
B - 20.	The proposed solution must provide functionality for one or more departments to participate in an [Redacted] and allow the resulting [Redacted] from this [Redacted] to be specific to one or more than one department, or common to all departments participating in the [Redacted]	X			Process 1.1 and 3.1			
B - 21.	The proposed solution must provide functionality to create and print [Redacted] lists based on a single [Redacted] or a series of [Redacted]	X			Process 1.1, 1.2, 1.3, 2.1, 2.2, and 3.1			
B - 22.	The proposed solution must provide functionality for [Redacted] for a single [Redacted] or a series of [Redacted] in a single [Redacted] instance. When an [Redacted] is given, applicants may [Redacted] for one or more, or all [Redacted] offered.	X			Process 1.1, 1.2, 1.3, 2.1, 2.2, and 3.1			
B - 23.	The proposed solution must provide functionality for the setting of maximum possible [Redacted] and [Redacted] thresholds for a specific [Redacted] at any time during the [Redacted] process.	X			Process 1.1, 1.2, 1.3, 2.4, and 3.1			
B - 24.	The proposed solution must provide functionality for authorized personnel to specify specific [Redacted] phases for which [Redacted] must be saved, specify the length of time the [Redacted] must be saved, and make the [Redacted] available with proper authorization for verification at a later date. [Redacted]	X			Process 1.1, 1.2, 1.4, 2.1, and 2.2			

Req. #	Business Requirement Text	Current Functionality (full)	Current Functionality (partial)	Proposed New Functionality R = Required A.V. = Added Value	Process Diagram Cross Reference	Proposed Solution Description	COTS Rating	Supporting Documentation Reference
B - 25.	The proposed solution must provide functionality for [redacted] phases that are increasingly exclusive (e.g., Phase 1 must be passed to qualify the individual to [redacted] Phase 2) or phases that are independent of each other (i.e., all phases are [redacted] regardless of an individual's [redacted] on any one).	X			Process 1.1, 1.2, 2.1, and 2.2			
B - 26.	The proposed solution must provide functionality to change [redacted] criteria (such as the number of [redacted] preferences or revise the current phase [redacted] structure, [redacted] or [redacted] type) by authorized users at any time after an [redacted] has been established, including after an [redacted] has been administered, after all [redacted] have been administered, or after [redacted] have been entered, including effective date and end effective date for each item, and maintain an audit trail of the historic transactions (who did what when) for the life of [redacted] plus one year (5 years).		X		Process 1.1, 2.2, 2.3, and 3.5			
B - 27.	The proposed solution must provide functionality for the system to retrieve from an external system or allow for creation of and store the minimum [redacted] for a specific [redacted] for use when creating the [redacted].			AV	Process 1.2			
B - 28.	The proposed solution must provide functionality for ensuring that departments wishing to offer service-wide [redacted] are approved by [redacted] prior to creating the [redacted].		X		Process 1.2			
B - 29.	The proposed solution must provide functionality for supporting user-designation of geographic regions, which may be based on existing jurisdictional boundaries (city, county), or may cross or combine existing jurisdictional boundaries	X			Process 1.2, 1.3, 1.4, and 3.3			

## SECTION IX – EVALUATION AND SELECTION

### A. INTRODUCTION

The procurement process is a multi-step process to determine the most responsible and responsive proposal that offers "best value" to the California [REDACTED]. A "best value" evaluation does not emphasize least cost at the exclusion of other factors. It is a balanced assessment consisting of cost and perceived risk matched to the business needs.

This section contains the process that the State will follow in evaluating proposals submitted by Bidders in response to the RFP and the criteria to be used in evaluating proposals. The selection process includes reviews of the Draft Proposals, with confidential feedback to each Bidder, followed by a scored evaluation of Final Proposals.

Bidders are required to thoroughly review all RFP requirements to insure that the proposal and the proposed approaches and plans are fully compliant with RFP requirements and thereby avoid the possibility of being ruled non-responsive. If the Evaluation Team finds that a Final Proposal has a material deviation from specified requirements, that proposal will be considered non-responsive and will not be considered for award.

If the Evaluation Team determines that an acceptable, responsive and responsible proposal has been submitted, contract award will be made to the Bidder that is considered to provide the best value, and not necessarily the lowest cost which balances business functionality, service delivery and risks, and ultimately reduces [REDACTED] costs to provide the [REDACTED] functions.

### B. EVALUATION TEAM

SPB has established an Evaluation Team comprised of individuals selected from [REDACTED] management, program areas, and staff. A Procurement Analyst from the Department of General Services (DGS) serves as a contact point with the Bidder for questions and clarification, and identifies the rules governing the procurement. [REDACTED] may engage additional qualified individuals or subject matter experts during the evaluation process to assist the team in gaining a better understanding of technical, financial, legal, contractual, or program issues. These other individuals do not have voting privileges or responsibility for the evaluation process, but they will serve in an advisory capacity.

### C. REVIEW OF DRAFT PROPOSALS

Draft Proposals submitted by the date and time designated in the RFP's Section I.F - Key Action Dates, will be opened and reviewed for compliance with the requirements of the RFP.

#### 1. Draft Proposal Review

The Draft Proposal must contain the complete proposed Bidder solution, without costs. The main purpose of the Draft Proposal is to provide the State with a complete proposal (except for cost figures) to identify areas in the Bidder's proposal that, if not corrected, could cause the Bidder's Final Proposal to be rejected. The State will use the Draft Proposal review results to effectively communicate these areas in Bidder proposals during Confidential Discussions with the Bidder.

The Draft Proposal format and submission must follow the guidelines presented in Section VIII – Proposal Format and Content. **NOTE: Cost information must NOT be included with**

**the Draft Proposal. Cost information submitted with the Draft Proposal will preclude the Bidder from continuing in the evaluation process and will be a basis for rejection.**

Draft Proposals received by the date specified in Section I.F. – Key Action Dates, will be opened and reviewed by the Evaluation Team for compliance with the complete set of RFP requirements. The Evaluation Team will conduct the reviews to:

- Identify Conditional Proposals - Identify “qualifiers” or conditions placed on the proposal (conditional proposals are not acceptable); and
- Document Deficiencies - Document areas in which a proposal appears to be non-responsive, defective, or require additional clarification.

The Draft Proposal review will examine the Bidder's responses to requirements, along with any explanations provided by the Bidder to add substance or provide background on how requirements will be met. After the Draft Proposal has been reviewed, Confidential Discussions will be scheduled with each Bidder to discuss items that need clarification and to disclose defects found by the State. Prior to Confidential Discussions with the Bidder, the State will prepare a Confidential Discussion Agenda itemizing the points to be covered. The Confidential Discussions are intended to minimize the risk that a Bidder's Final Proposal will be deemed defective; however, such discussions will not preclude rejection of the Final Proposal if such defects are later found. The State does not warrant that all defects will be detected because of the Draft Proposal Review.

## 2. Draft Proposal Confidential Discussions

The Evaluation Team will meet with each Bidder to discuss the Bidder's Draft Proposal. These Confidential Discussions will allow the Bidder to request clarification or ask questions specific to its proposed solution, thus protecting the confidential nature of each unique solution. The State will identify its concerns and ask for clarification if a response to a requirement of the RFP is not, in the opinion of the Evaluation Team, clear or well defined. The Evaluation Team may identify aspects of the Draft Proposal that, in its judgment, potentially introduce unreasonable risk to [REDACTED]

## **D. EVALUATION OF FINAL PROPOSALS**

Each Final Proposal received by the date and time specified in the RFP Section I.F, Key Action Dates, 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. Proposal Cost Volumes will remain sealed until the designated time for opening.

Final Proposals will be evaluated based on “best value” to the State. Best value, as defined in this section, is the Final Proposal response that meets all requirements set forth in this RFP and offers SPB the best combination of value, cost, and lowest risk as determined through the evaluation process. The purpose of this Evaluation Section of the RFP is to outline how the points will be awarded (in general terms) and how a winning Final Proposal will be selected in an impartial manner that preserves the integrity of the competitive procurement process.

Material Deviations

During Final Proposal Evaluation, failure to respond to a Technical, Business, or Administrative Requirement is considered to be non-responsive and will be considered a Material Deviation. A Material Deviation is considered a fatal error and will result in disqualification.

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

1. Preliminary Review and Validation

All proposals received by the time and date specified in Section I.F – Key Action Dates, will be acknowledged as having been received at that time. Volume III - Cost Data shall remain sealed and in the possession of DGS until the evaluation of administrative, business, and technical requirements are completed. All participating Bidders and interested parties shall be notified as to the date and time when a public opening of proposal costs will be conducted. The Final Proposals will be checked for the presence of proper identification and the required information in conformance with the bid submittal requirements of this RFP. Absence of required information may deem the proposal non-responsive and may be cause for rejection. **Unsealed proposals will be rejected.**

The Proposal packages will be reviewed to determine completeness of required documentation and compliance with Disabled Veterans Business Enterprise (DBVE) and Small Business requirements as prescribed in Section V using the Preliminary Review Sheet, Exhibit IX.1. All Proposals that fail to meet these requirements may be rejected.

2. Administrative Requirements Review (Pass/Fail)

Review of the details will begin with the Administrative Requirements listed as Proposal Items in Section V – Administrative Requirements, which are Pass/Fail. All Proposals passing this phase of Evaluation will proceed to the Business and Technical Requirement Review. All Proposals that fail to meet these requirements will be rejected.

3. Business Functional Requirement Review (Maximum score = 3930)

Bids will be evaluated for their proposed business, technical and business functional requirement responses (RFP Section VI). Business functional requirements that are Mandatory must be responded to. Those business functional requirements that are Desirable (Added Value) are optional. Bidders are urged to respond to these optional requirements if, in doing so, still provides the State with the best value.

a. Business Functional Requirements Evaluation Criteria

Response to each mandatory business functional requirement will be evaluated by the Evaluation Team composed of individuals and subject matter experts that are knowledgeable in the business requirements and project objectives. Each requirement will be evaluated for compliance with the following criteria in order to obtain the best value solution.

At the discretion of [REDACTED], the Bidder may be asked to validate their response by demonstration if the Bidder indicates the requirement can be met by the existing COTS product (a COTS rating of "5" or "4" may be required to be demonstrated; refer to RFP Section X). Bidders are encouraged to provide references to technical literature in response to the specific requirements where the functionality is discussed in the product literature, user or system manuals, etc., which will assist the Evaluation

Team in validating the COTS rating. If, by consensus of the Evaluation Team, it is found that the Bidder has submitted a failed response to any of the business requirements the Proposal shall be deemed a material deviation and excluded from further consideration to award.

Table IX.1 Business Functional Requirement Evaluation Criteria

Criteria
Business functionality
Project risk based on how the requirement is fulfilled (COTS rating)

b. Business Functional Requirements Evaluation Point Structure

Bidders are encouraged to submit proposal, which meet the business functional requirements, and provide the best value to the State. Risk is a component in determining best value. Risk, for purposes of this procurement is defined as: "An uncertain event or condition that, if it occurs, has a negative effect on accomplishment of the project's objectives." Some areas that may introduce potential risk are:

- Bidder has not implemented/developed a system of this size and complexity previously
- Bidder's proposed team members lack or have limited experience with the solution, working together, or with the technologies proposed
- Data replication and synchronization is required during implementation
- Data conversion and clean-up is extensive
- Poor fit for technology requirements as stated in the RFP

The Evaluation Team will evaluate responses to each business requirement. If, by consensus of the Evaluation Team, it is found that the Bidder has submitted a failed response to any of the technical requirements, [REDACTED] will deem the proposal non-responsive and excluded from further consideration. At the discretion of [REDACTED], the Bidder may be asked to validate their response by demonstration. If the COTS Rating supplied by the Bidder cannot be validated through documentation or by demonstration, [REDACTED] will change the Bidder-provided COTS Rating for the requirement to reflect the actual functional capability of the proposed solution. SPB's determination will be final.

A business functional requirement can be awarded a maximum of thirty (30) points, 15 for business functionality, and 15 for the COTS Rating. Scoring for business functionality will be based on the Evaluation Team's best professional judgment and assessment of the proposal responses and reference materials that they are directed to for additional information. The Evaluation Team will make the determination of what items truly are risky to their business based on the potential impacts if the risk were to be realized related to functionality and how said functionality is delivered (COTS Rating). Evaluation points are used to score the response. Each requirement will be evaluated and scored on functionality based upon the following ratings:

Business Functionality Points

- 15 Points = Bidder Response fully meets business functional requirement, is achievable, applies best practices, clearly and concisely presented, logically organized; well integrated and proven, comprehensive scope of work and services with no identified weaknesses.
- 13 Points = Response fully meets business functional requirement, achievable, suitable, acceptably presented and organized, integrated and proven, comprehensive scope of work and services with configuration with identified weaknesses that are considered minimal and resolvable. Programming or a work-around may be required.
- 10 Points = Response meets business functional requirement with functional weaknesses achievable, somewhat suitable, less than acceptably presented and organized; somewhat integrated and proven, marginal scope of work and services, presents a low to medium level of risk to the project, and are considered resolvable. Programming is required.
- 5 Points = Response is not fully achievable, not integrated or proven, minimal scope of work and services, with extensive weaknesses introducing a high component of risk to the project in meeting the requirement successfully. Programming is required.
- 0 Points = Response is considered to be an undesirable response to the business functional requirement or is determined to be non-responsive. For example, response may require significant additional manual activity or interfaces to other programs.

The COTS Rating will be used to determine the score for how the functionality is delivered. The following table summarizes the business functional evaluation points:

Table IX.2 – Business Functional Requirement COTS Rating Point Structure

COTS Rating	Total Points per Requirement
5	15
4	12
3	9
2	6
1	0-3

4. Project Team Experience and References (Maximum score = 344)

Score is based on the Bidder's proposed project team member's industry qualifications, experience with the solution proposed, and ability to implement the proposed solution. Requirements regarding Bidder Project Team Experience are found in RFP Section VI.D. Project Staffing and Organization. Bidders must complete all matrices regarding the

qualifications of the members of project team to be responsive. Resumes for proposed staff are required (submission of “representative” resumes is not acceptable). The Bidder’s proposed staffing must be sufficient to provide the level of service throughout the term of the contract and the Bidder’s proposed team’s skill levels must be consistent with the Bidder’s proposed solution. Proposed Bidder staff resumes must reflect experience with a civil service system or projects that qualify the individual for a project of this size, scope, and complexity.

The Evaluation Team will validate the proposed staff references. Resumes that demonstrate strong experience in civil service and solution implementation that are confirmed by customer references may receive the maximum score or a portion thereof if the reference provides a less than favorable response.

5. Project Management Approach (Maximum score = 600)

**All Project Management Approach Requirements are Mandatory** (RFP Section VI.B - Project Activities and Plans): Scoring of these requirements will be based on the Evaluation Team’s assessment of the probability that a Bidder’s proposed approach will result in successful implementation at a perceived acceptable risk level. The Bidder’s project plans, implementation methodologies, and schedule will be evaluated. The Project Management Approach are as follows:

Table IX.3 – Project Management Approach Point Structure

<i>Category</i>	<i>Proposal Items</i>	<i>Points</i>
1. Project Management	P1 through P5 and P16	200
2. Project Tracking, Progress Assessment and Status Reporting	P6 through P8	10
3. Training	P9	90
4. Data Conversion	P10	150
5. System Applications and Hardware Requirements Documentation	P11 and P12	50
6. Testing	P13	100
<b>TOTAL POINTS POSSIBLE</b>		<b>600</b>

Evaluation Rates are used to assess the quality of the response through a systematic evaluation process that assesses the Proposal to determine completeness, consistency, conformity to industry best practices and standards, and the effect on project risks. Each requirement will be evaluated and up to 100% of the possible points can be awarded per Proposal Item based on the following ratings:

- 100% of Points      Response fully meets the requirement evaluation criteria and clearly demonstrates a thorough understanding of project management best practices to the extent that a timely and high quality project management performance is anticipated.
- 80% of Points      Response fully meets requirement evaluation criteria and demonstrates good project management process but with weaknesses that are considered minimal and can be mitigated.

- 50% of Points Response meets >50% of the requirement evaluation criteria with weaknesses that are considered moderate and resolvable but will require more involvement by SPB to mitigate.
- 25% of Points Response meets <50% of the requirement evaluation criteria with identified weaknesses that will require significant resources from SPB to mitigate and ensure success.
- 0 Points Response is considered to be an undesirable response or the Bidder did not meet the requirement and the response is determined to be non-responsive.

6. Technical Requirements Evaluation (Maximum score = 946)

**All Technical Requirements are Mandatory.** The evaluation process will assess and score the Bidder's technical response to the RFP. The Evaluation Team will score highest the Bidder who, in its sole and absolute discretion, demonstrates the greatest combination of technical expertise and technology vision. Summarized below are the Technical Requirements evaluation criteria and point structure.

a. Technical Requirements

The Evaluation Team will evaluate responses to each technical requirement. If, by consensus of the Evaluation Team, it is found that the Bidder has submitted a failed response to any of the technical requirements, [REDACTED] will deem the proposal non-responsive and excluded from further consideration. At the discretion of SPB, the Bidder may be asked to validate their response by demonstration. If the COTS Rating supplied by the Bidder cannot be validated through documentation or by demonstration, [REDACTED] will change the Bidder-provided COTS Rating for the requirement to reflect the actual functional capability of the proposed solution. [REDACTED] determination will be final.

b. Technical Requirements Evaluation Criteria

Evaluation criteria are the elements of the proposed technical solution that will be examined to determine the quality of the total Final Proposal solution. The Bidder's Final Proposal technical response to Section VI.G, Technical Requirements, will be evaluated for compliance with the following criteria in order to obtain the technical best value solution:

Table IX.4 Technical Evaluation Criteria

Criteria Descriptions
Technical quality of the product or service, COTS Rating, technical competence, use of proven technologies and methods which have been demonstrated to be successfully applied for similar applications.

c. Technical Requirements Evaluation Points

Evaluation Points for the Technical Requirements are used to assess the quality of the Bidder's response relative to the evaluation criteria. This is determined through a systematic evaluation process that assesses the Bidder's response to the requirements to determine completeness, consistency, conformity to industry best

practices and standards, and the effect on project risks. Each requirement will be evaluated against the following ratings:

- 22 Points = Response fully meets technical requirement evaluation criteria and clearly demonstrates a thorough understanding of the technology proposed to the extent that a timely and high quality solution is anticipated. (COTS Rating of 5)
- 20 Points = Response fully meets technical requirement evaluation criteria with configuration, demonstrates a thorough understanding of the technology proposed to the extent that a timely and high quality solution is anticipated. (COTS Rating of 4)
- 18 Points = Response fully meets technical requirement evaluation criteria but with weaknesses that are considered minimal and resolvable with minor involvement and support of SPB IT resources. (COTS Rating of 3)
- 10 Points = Response partially meets the technical requirement with weaknesses that are considered moderate and resolvable with addition resources provided by SPB. (COTS Rating of 2)
- 5 Points = Response is considered to be an undesirable response to the technical requirement or the Bidder did not meet the technical requirement and the response is determined to be non-responsive to the technical requirement. (COTS Rating of 1)

7. Added Value Assessment (Desirable Business Functional Requirements)

(Maximum score = 180)

Bidders are encouraged to exceed requirements, if doing so provides a tangible benefit to . Scoring for added value will be based in part on the Evaluation Team's assessment of added value features that are identified as such by each Bidder in its Proposal. The Evaluation Team will make the determination of what items truly add value to their business based on how it enhances achievement of the project goals.

There are six (6) business functional requirements that are considered as "desirable". Those requirement numbers are indicated on the Business Functional Requirements Response form with "AV" in the New Functionality column. The Evaluation Team will award to each Bidder up to the maximum of thirty (30) points per requirement for those that the Bidder elects to meet based on the Evaluation Team's assessment.

**E. COST ASSESSMENT**

(Maximum score = 6000)

A maximum score of 6000 points is possible for the Cost Assessment portion of the evaluation. The Cost Proposals from all participating Bidders will not be opened until the Evaluation Team has completed the Administrative, Project Management Approach, Business and Technical, and Added Value Assessment steps in the evaluation process. Only Bidders that are compliant in all previous evaluation areas will continue in the evaluation process and have their Cost Proposals opened.

**All participating Bidders and interested parties shall be notified as to the date and time when a public opening of proposal costs will be conducted.**