CHILDREN'S MEDICAL SERVICES
CMS NET

REQUEST FOR PROPOSAL
RFP DHS 4260-144A

June 10, 2002

Issued By:

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

In conjunction with:

Department of Health Services
Children's Medical Services
1515 K Street, Room 400
Sacramento, CA 94234

Table of Contents

I. INTRODUCTION AND OVERVIEW I-1
I.A. PURPOSE OF THIS REQUEST FOR PROPOSAL I-1
I.B. OVERVIEW I-1
I.C. CONTRACT TERMS AND CONDITIONS I-2
I.D. AVAILABILITY I-2
I.E. PROCUREMENT OFFICIAL AND CONTACT I-3
I.F. KEY ACTION DATES I-3

II. BIDDING PROCESS AND PROPOSAL FORMAT II-6
II.A. IDENTIFICATION AND CLASSIFICATION OF RFP REQUIREMENTS II-6
II.A.1. Requirements II-6
II.A.2. Desirable Items II-6
II.B. BIDDING REQUIREMENTS AND CONDITIONS II-6
II.B.1. General II-6
II.B.2. Alternative Procurement Process II-6
II.B.3. RFP Documents II-6
II.B.4. Electronic Copies of the RFP II-7
II.B.5. Questions Regarding the RFP II-7
II.B.6. Addenda II-7
II.B.7. Bonds or Security Documents II-8
II.B.8. Discounts II-8
II.B.9. Joint Proposals II-8
II.B.10. Air or Water Pollution Violations II-8
II.B.11. Fair Employment and Housing Commission Regulations II-9
II.B.12. Exclusion for Conflict of Interest II-9
II.B.13. Follow-on Contracts II-9
II.B.14. Disclosure of Financial Interests II-9
II.B.15. Independent Contractor Reporting II-10
II.B.16. Protests II-10
II.B.17. Contract Terms and Conditions II-11
II.C. BIDDING STEPS II-11
II.C.1. Bidders' Conference II-12
II.C.2. Bidders' Intention to Submit a Proposal II-12
II.C.3. Pre-Qualification Proposals II-12
II.C.4. Notification of Pre-Qualification Results II-12
II.C.5. Draft Proposals II-13
II.C.6. Confidential Discussions II-13
II.C.7. Final Proposals II-13

II.C.8. Delivery of Pre-Qualification, Draft, and Final Proposals II-13
II.C.9. Withdrawal and Resubmission/Modification of Proposals II-14
II.C.10. Errors in the Final Proposal II-14
II.C.11. Flawed Final Proposals II-15
II.C.12. Rejection of Bids II-15
II.C.13. Oral Interviews II-15
II.C.14. Contract Award II-15
II.C.15. Debriefing II-16
II.D. PROPOSAL FORMAT II-16
II.D.1. Intention to Submit a Proposal II-16
II.D.2. Pre-Qualification Proposal Format and Content II-16
II.D.3. Draft Proposal Format and Content II-18
II.D.4. Final Proposal Format and Content II-18
II.E. EVALUATION AND SELECTION II-25
II.E.1. State Evaluation Team II-25
II.E.2. Receipt of Proposals II-25
II.E.3. Pre-Qualification Proposal Review II-25
II.E.4. Draft Proposal Review II-26
II.E.5. Evaluation of Final Proposals II-27
II.E.6. Determination of winning proposal II-31

III. SYSTEM OVERVIEW III-1
III.A. CURRENT SYSTEM III-1
III.A.1. CMS Net Overview III-1
III.A.2. Current Technical Architecture III-3
III.A.3. Hardware and Software III-5
III.A.4. Automated Interfaces III-6
III.B. SYSTEM ENHANCEMENTS III-6
III.B.1. Planned Physical Environment III-6
III.B.2. CCS Client Eligibility System Phase II – Insurance III-9
III.B.3. Provider Enrollment III-9
III.B.4. CCS Service Authorizations III-10
III.C. BIDDERS' LIBRARY III-11
III.C.1. Bidders' Library Contact III-11
III.C.2. Bidders' Library Contents III-11

IV. ADMINISTRATIVE REQUIREMENTS IV-1
IV.A. REQUEST FOR ADDITIONAL INFORMATION NOTICE IV-1
IV.B. SMALL BUSINESS PARTICIPATION ENCOURAGEMENT IV-1
IV.C. DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) PARTICIPATION IV-1
IV.D. NOTICE REGARDING BIDDING PREFERENCES IV-2

V. STATEMENT OF WORK V-1
V.A. PAYMENT TERMS AND CONDITIONS V-1
V.A.1. Maximum Contract Amount – System Enhancements V-1
V.A.2. Payment Methodology V-1
V.B. INDEPENDENT PROJECT OVERSIGHT REVIEW PROVISION V-2
V.C. EXECUTIVE COMMITTEE V-2
V.D. LIQUIDATED DAMAGES V-2
V.E. SOFTWARE OWNERSHIP V-4
V.F. PROJECT PHASE OUT AND TRANSFER TO NEW CONTRACTOR V-4
V.G. CMS NET STATE STAFF RESOURCES V-5
V.H. CONTRACTOR STAFFING V-6
V.H.1. Contractor Staff Location V-6
V.H.2. Staff Resource Allocation Planning V-7
V.H.3. Proposed Staff V-7
V.H.4. Key Staff Minimum Requirements V-7
V.H.5. Staff Management V-11
V.H.6. Staffing Changes V-11
V.I. PROJECT MANAGEMENT PLAN (SCORABLE) V-12
V.I.1. Project Work Plan V-12
V.I.2. Requirements Control Plan V-13
V.I.3. Schedule Control Plan V-14
V.I.4. Issue Resolution Plan V-14
V.I.5. Operations Plan V-14
V.J. PROJECT MANAGEMENT PRACTICES V-14
V.J.1. Weekly Status Reports – System Enhancements V-14
V.J.2. Weekly Status Reports – System Maintenance and System Operations V-14
V.J.3. Earned Value Metrics V-15
V.J.4. Monthly Progress Report – System Enhancements V-15
V.J.5. Monthly Progress Report – System Maintenance and System Operations V-15
V.J.6. System Enhancement Meetings V-16
V.J.7. System Maintenance and Operations Meetings V-16
V.J.8. Issue Management V-17
V.J.9. Stakeholder Communication V-17
V.J.10. Standards for Acceptance of Deliverables V-17
V.J.11. State Access to Development/Management Tools and Data V-19
V.K. SYSTEM DEVELOPMENT REQUIREMENTS V-20
V.K.1. CCS Client Eligibility System Phase II - Insurance V-20
V.K.2. Provider Enrollment V-20
V.K.3. CCS Service Authorizations V-20
V.K.4. System Hardware and Software Requirements V-21

V.K.5. General *V-22*
V.K.6. System Development Planning *V-22*
V.K.7. System Security *V-23*
V.L. TESTING V-23
V.L.1. Software Testing *V-23*
V.L.2. System Testing *V-24*
V.L.3. On-Line Release Performance Testing *V-25*
V.L.4. Batch Performance Testing *V-26*
V.L.5. System Stress Test *V-26*
V.L.6. User Acceptance Test *V-26*
V.M. SYSTEM IMPLEMENTATION V-27
V.M.1. Training *V-27*
V.M.2. Warranty Period *V-28*
V.N. TECHNICAL APPROACH (SCORABLE) V-28
V.N.1. Proposed Technical Architecture *V-28*
V.N.2. Application Development Languages and Tools *V-29*
V.N.3. Middleware Languages and Tools *V-29*
V.N.4. Application and Web Server Languages and Tools *V-29*
V.N.5. Existing Database Architecture *V-30*
V.N.6. New Database Architecture *V-30*
V.N.7. Data Modeling Methodology *V-30*
V.N.8. Unit, System, Performance and User Acceptance Testing Tools and Approach *V-30*
V.N.9. Application Performance and Capacity Planning Tools and Approach *V-30*
V.N.10. Software Configuration Management *V-31*
V.N.11. Hardware and Software Requirements *V-31*
V.N.12. CCS Service Authorization Phased Implementation Approach *V-32*
V.O. SYSTEM MAINTENANCE ACTIVITIES V-33
V.P. PERIOD OF PERFORMANCE V-33
V.Q. ESTIMATED EFFORT V-33
V.R. SYSTEM MAINTENANCE SUPPORT SERVICE INITIATION V-34
V.R.1. Incident Reports (IRs) *V-34*
V.R.2. System Maintenance Change Requests (SMCRs) *V-35*
V.R.3. Work Requests (WRs) *V-35*
V.R.4. County Data Conversion *V-35*
V.S. CONTRACTOR RESPONSE TIMES V-36
V.T. RELEASE MANAGEMENT V-37
V.T.1. Emergency Software Fix *V-38*
V.T.2. Change Management *V-38*
V.U. SYSTEM OPERATIONS TRANSITION V-39

V.V. PERIOD OF PERFORMANCE V-39
V.W. PERFORMANCE SERVICE LEVEL AGREEMENT V-39
V.X. BACKUP AND RECOVERY PLAN V-40
V.Y. SYSTEM CAPACITY/PERFORMANCE MONITORING V-41
V.Y.1. Performance Monitoring and Management V-41
V.Y.2. System Operations Activities V-41
V.Y.3. Resolution of Items Identified During System Monitoring Activities V-42
V.Z. TECHNICAL SUPPORT/MONITORING ADMINISTRATION V-42
V.AA. SYSTEM AVAILABILITY V-42

APPENDIX A - CONTRACT TERMS AND CONDITIONS A-1

APPENDIX B - CALIFORNIA CHILDREN SERVICES (CCS) CLIENT ELIGIBILITY PHASE II – INSURANCE BUSINESS/FUNCTIONAL REQUIREMENTS B-1

APPENDIX C - PROVIDER ENROLLMENT BUSINESS/FUNCTIONAL REQUIREMENTS C-1

APPENDIX D - CALIFORNIA CHILDREN SERVICES (CCS) SERVICE AUTHORIZATIONS BUSINESS/FUNCTIONAL REQUIREMENTS D-1

APPENDIX E - SAMPLE MAINTENANCE REQUEST AUTHORIZATION E-1

APPENDIX F - SAMPLE SMALL BUSINESS PARTICIPATION NOTIFICATION F-1

APPENDIX G - QUESTION AND ANSWER SET #1 ..... G-1

APPENDIX H – QUESTION AND ANSWER SET #2 ..... H-1

APPENDIX I – QUESTION AND ANSWER SET #3 ..... I-1

List of Tables

TABLE 1. KEY ACTION DATES I-3
TABLE 2. RFP MAXIMUM POINTS II-28
TABLE 3. COST SCORE SAMPLE II-30
TABLE 4. SYSTEM INFORMATION III-5
TABLE 5. DATA BASE INFORMATION III-5
TABLE 6. DEVELOPMENT TOOLS III-5
TABLE 7. SYSTEM INFORMATION III-5
TABLE 8. DATA BASE INFORMATION III-5
TABLE 9. DEVELOPMENT TOOLS III-5
TABLE 10. PAYMENT SCHEDULE V-1
TABLE 11. ESTIMATED SYSTEM MAINTENANCE EFFORT V-34
TABLE 12. PRIORITY LEVEL RESPONSE TIMES V-37

List of Figures

FIGURE 1. CMS NET CURRENT ARCHITECTURE DIAGRAM III-4
FIGURE 2. FUTURE FUNCTIONAL CMS NET ARCHITECTURE III-8

I. INTRODUCTION AND OVERVIEW

I.A. Purpose of this Request for Proposal

The purpose of this procurement is to obtain proposals from qualified firms that can develop and implement solutions to correct inefficiencies in the California Children Services (CCS) Information Technology (IT) systems and create efficiencies that are expected to result in significant annual savings to the State and counties. In addition, the selected firm will provide application maintenance and operational support for the existing CMS Network (CMS Net) system. As identified and approved in the CMS Net E47 Special Project Report, the CMS Net base budget for maintenance and operational support is $300,000 during Fiscal Year 2002/03 with a 10 percent increase each year thereafter. The budget for the three enhancements included in this RFP is approximately $1 million per year for Fiscal Years 2002/03 and 2003/04.

This procurement is being conducted under the provisions of Public Contract Code 12102. Only Bidders who do not have a conflict of interest (as defined by State Administrative Manual (SAM) Section 5202) may compete for this award. All entities or individuals who helped to develop the business requirement specifications included in this RFP are precluded from bidding or subcontracting for any of the services being procured by this RFP. This prohibition extends to individuals who have switched employers since helping to develop the business requirement specifications included in this RFP.

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

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

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

I.B. Overview

CMS Net is an automated case management system that includes the CCS and Genetically Handicapped Persons Program (GHPP) programs' demographic data and is used to establish and maintain client eligibility status, service authorization information, provider information, and claims review information. CMS Net is currently used by 49 counties, 3 Children's Medical Services' (CMS) Branch regional offices, and the GHPP program administered by the CMS Branch.

The system enhancement portion of the Contract will address the essential functionality needed for automation of CCS claims and recovery processing and has been divided into three phases: CCS Client Eligibility Phase II - Insurance, Provider Enrollment and CCS Service Authorizations:

- CCS Client Eligibility Phase II – Insurance will collect third party coverage information from CCS clients to assist DHS in recovering costs from other third party payers providing services. CCS is the payer of last resort. The claims adjudication process will charge claims to other third parties including Medi-Cal and Healthy Families before CCS is charged.
- The Provider Enrollment Phase will provide a statewide database of medical and dental providers and facilities approved to provide services to CCS clients. Additionally, the Provider database developed in this phase will be used for GHPP clients when the GHPP phase is completed.
- CCS Service Authorizations Phase will provide a statewide database of service authorizations issued by the CCS program. The database will be used for claims processing, enabling providers to submit claims directly to the FI for processing and eliminating delays and inefficiencies in the current manual process.

In addition to the system enhancements specified above, the successful Bidder will be responsible for performing application maintenance and operational support functions for the existing CMS Net system and the new functionality implemented during this contract. The period of performance for System Maintenance and System Operations activities will be three (3) years. At the State's option, after the three years the Contract may be extended for up to two (2) two-year periods.

Detailed information about the existing system and proposed enhancements is included in Section III, System Overview.

I.C. Contract Terms and Conditions

The following contractual terms are incorporated into this procurement and are included in Appendix A:

- Exhibit C - General Provisions
- Exhibit D - Information Technology General Terms/Conditions
- Exhibit E - Information Technology Software License Special Provisions
- Exhibit F - Information Technology Personal Services Special Provisions
- Exhibit G – Special Terms and Conditions

I.D. Availability

The selected Bidder must be able to meet the requirements of this RFP and be ready to begin work on the Contract Award date specified in Section I.F, Key Action Dates. If personnel offered by the selected Bidder leave the Bidder's firm or are otherwise unable to participate in this Contract, they must be replaced with comparatively qualified personnel who are accepted by the State, in accordance with Section V.H.6, Staffing Changes. The Department

of Health Services shall designate certain positions as Key Staff. A condition precedent to Contract Award is that the Bidder make available the personnel it bid and the State evaluated, in the Key Staff positions, on the proposed Contract Award date. Failure to make any such Key Staff available at the required time will allow the State the choice of exercising one of the following two (2) options: 1) accept comparatively qualified personnel in accordance with Section V.H.6, Staffing Changes; or 2) award this bid to and execute a contract with the Bidder with the next highest combined score. Should the selected Bidder fail in its performance of this Contract or any other term or condition of this Contract it may be excluded from participating in the State's bid processes for a period of up to 360 calendar days.

I.E. Procurement Official and Contact

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

Tom Burton, Senior Procurement Manager
Department of General Services
Procurement Division
707 Third Street, 2nd Floor
West Sacramento, CA 95605
Phone: (916) 375-4493 Fax: (916) 375-4490
tom.burton@dgs.ca.gov

I.F. 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, it will be accomplished via an addendum to this RFP. **ALL DATES AFTER THE SUBMISSION OF FINAL PROPOSALS ARE APPROXIMATE AND MAY BE ADJUSTED AS CONDITIONS INDICATE, WITHOUT ADDENDUM TO THIS RFP.**

Table 1. Key Action Dates

	ACTION	DATE
1.	Release RFP	June 10, 2002
2.	Bidders' Conference – 9:00 a.m.	June 14, 2002
3.	Last Day to Submit a letter of Intention to Submit a Proposal	June 21, 2002
4.	Pre-Qualification Proposals Due (by 4:00 p.m.)	June 28, 2002
5.	Notification to Bidders of Pre-Qualification Results	July 10, 2002
6.	Last Day to Submit Questions regarding the RFP prior to submission of Draft Proposals	July 11, 2002
7.	Draft Proposals Due (by 4:00 p.m.)	July 29, 2002
8.	Confidential Discussions	Aug. 26 – Sept. 6, 2002
9.	Last Day to Request a Change in the RFP Requirements	September 12, 2002
10.	Second Draft Proposals Due (by 4:00 p.m.)	October 11, 2002
11.	Confidential Discussions	November 25 – 27, 2002
12.	Final Proposals Due (by 2:00 p.m.)	December 13, 2002
13.	Oral Interviews	January 24 – 27, 2003
14.	Cost Opening	January 31, 2003

	ACTION	DATE
15.	DGS Approval	February 20, 2003
16.	DOF Approval	March 6, 2003
17.	Notice of Intent to Award	March 7, 2003
18.	Contract Award*	March 21, 2003
19.	CCS Client Eligibility Phase II – Insurance Phase Implementation Completed**	February 2004
20.	Provider Enrollment Phase Implementation Completed**	May 2004
21.	CCS Service Authorizations Phase Implementation Completed**	July 2004

* Pending control agency approval. Contract Award is made only after all required signatures are obtained.

** Estimated implementation dates only; actual dates will be determined based on the winning Bidder's proposal.

EXHIBIT I – 1. ADA COMPLIANCE POLICY

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

To meet and carry out compliance with the nondiscrimination requirements of Title II of the Americans with Disabilities Act (ADA), it is the policy of the Procurement Division (within the State Department of General Services) to make every effort to ensure that its programs, activities, employment opportunities, and services are available to all persons, including persons with disabilities.

For persons with a disability needing reasonable accommodation to participate in the Procurement process, or for persons having questions regarding reasonable accommodation for the Procurement process, please contact the Procurement Division at (916) 375-4400 (main office); the Procurement Division TTY/TDD (telephone device for the deaf) and California Relay Service numbers are listed below. You may also contact directly the Procurement Division contact person that is handling this procurement.

IMPORTANT: TO ENSURE THAT WE CAN MEET YOUR ACCOMMODATION, IT IS BEST THAT WE RECEIVE YOUR REQUEST AT LEAST 10 STATE WORKING DAYS BEFORE THE SCHEDULED EVENT (i.e., MEETING, CONFERENCE, WORKSHOP, etc.) OR DEADLINE DUE-DATE FOR PROCUREMENT DOCUMENTS.

The Procurement Division TTY telephone numbers are:

Sacramento Office: (916) 375-4400

Fullerton Office: (714) 773-2093

The California Relay Service Telephone Numbers are:

Voice: 1-800-735-2922

TTY: 1-800-735-2929

II. BIDDING PROCESS AND PROPOSAL FORMAT

II.A. Identification and Classification of RFP Requirements

II.A.1. Requirements

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

II.A.2. Desirable Items

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

II.B. Bidding Requirements and Conditions

II.B.1. General

A Bidder's Final Proposal is an irrevocable offer for one hundred and eighty (180) calendar days following the scheduled date for Contract Award specified in Section I.F, Key Action Dates. A Bidder may extend the offer in the event of a delay of contract award.

The State reserves the right to modify or cancel this RFP, at any time, in whole or in part.

II.B.2. Alternative Procurement Process

The State is using the Alternative Procurement Process in this procurement. The alternative procurement process is a flexible process that was designed to provide the “best value” solution to the State and to allow a higher level of Bidder input during the procurement process. The State *may* respond to information that becomes available during the procurement process by making modifications to the requirements, evaluation or alternative process. Because of this, Bidders are reminded that the State *may* require additional information from Bidders in the future that is not identified in this RFP at the present time.

II.B.3. RFP Documents

In addition to an explanation of the State's needs which must be met, this RFP includes instructions which prescribe the format and content of Proposals to be submitted.

All Bidders are advised to:

- **CAREFULLY REVIEW THE CONTENTS OF THIS RFP;**
- **IF CLARIFICATION IS REQUIRED, ASK IN A TIMELY MANNER; AND**

- **MAKE SURE THAT ALL PROCEDURES AND REQUIREMENTS OF THE RFP ARE ACCURATELY FOLLOWED AND APPROPRIATELY ADDRESSED.**

If a Bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Bidder shall immediately notify the State of such error in writing and request clarification or modification of the document. Modifications will be made by addenda issued pursuant to Section II.B.6, Addenda. Such clarifications shall be given by written notice to all parties who have submitted a letter of Intention to Submit a Proposal, without divulging the source of the request for the clarification.

If the RFP contains an error known to the Bidder, or an error that reasonably should have been known, the Bidder shall bid at its own risk. If the Bidder fails to notify the State of the error prior to the date fixed for submission of proposals, and is awarded the Contract, the Bidder shall not be entitled to additional compensation or time by reason of the error or its later correction.

II.B.4. Electronic Copies of the RFP

An Electronic copy of the RFP is available to all Bidders to assist with their preparation of the proposal. It is available at the DHS CMS web site (http://www.dhs.ca.gov/cmse47/) in both WORD 2000 and PDF formats. **While this RFP is available electronically in WORD 2000, the PDF version of the RFP is the official version and will be used to resolve any and all discrepancies between RFP documents.**

II.B.5. Questions Regarding the RFP

Bidders requiring clarification of the intent or content of this RFP or on procedural matters regarding the procurement process may request clarification by submitting questions, with the envelope or email clearly marked "Questions Relating to RFP DHS 4260-144A" to the Procurement Official listed in Section I.E. To ensure a response prior to the submission of Draft Proposals, questions must be received in writing by the scheduled date given in Section I.F, Key Action Dates. Question and answer sets will be provided to all Bidders without identifying the submitters.

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

II.B.6. Addenda

The State may modify this RFP by issuance of an addendum to all parties who are participating in the bidding process at the time the addendum is issued. This will be accomplished by posting the Addenda on the CMS Network Enhancement 47 Project website at http://www.dhs.ca.gov/cmse47/. Addenda will be numbered consecutively. If any Bidder determines that an addendum unnecessarily restricts its ability to bid, the Bidder is

allowed five (5) State working days from the release date of the addendum to submit a protest to the addendum according to the instructions contained in Section II.B.16, Protests.

II.B.7. Bonds or Security Documents

The State reserves the right to require a faithful performance bond or other security document from an admitted Surety Insurer for the goods and services specified in this RFP from the Bidder in an amount not to exceed the amount of the contract. If the State requires the Bidder to actually provide the bond it will pay the contractor's documented reasonable bonding costs.

II.B.8. Discounts

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

Cash discounts of less than twenty (20) calendar days or less than one half of one percent (.5%) will not be considered in evaluating offers for award purposes unless otherwise specified by the State in this RFP; however, offered discounts of less than twenty (20) calendar days will be taken if payment is made within the discount period, even though not considered in the evaluation of offers.

II.B.9. Joint Proposals

A joint Proposal (two or more Bidders bidding jointly on one Proposal) may be submitted and each participating Bidder must sign the joint Proposal. If the contract is awarded to joint Bidders, it shall be one indivisible contract. Each joint Bidder will be jointly and severally responsible for the performance of the entire contract, and the joint Bidders must designate, in writing, one individual having authority to represent them in all matters relating to the contract. The State assumes no responsibility or obligation for the division of orders or purchases among the joint Bidders.

II.B.10. Air or Water Pollution Violations

Unless the contract is less than $5,000 or with a sole source Contractor, Government Code Section 4477 prohibits the State from contracting with a person, including a corporation or other business association, who has been determined to be in violation of any State or federal air or water pollution control law. Government Code Section 4481 requires the State Water Resources Control Board and the Air Resources Board to notify State agencies of such persons.

Prior to an award, the State shall ascertain if the intended awardee is a person included in notices from the Boards by reference to notices. In the event of any doubt of the intended awardee's identity or status as a person who is in violation of any State or federal air or water

pollution law, the State will notify the appropriate Board(s) of the proposed award and afford the Board(s) the opportunity to advise the State that the intended awardee is such a person.

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

II.B.11. Fair Employment and Housing Commission Regulations

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

II.B.12. Exclusion for Conflict of Interest

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

II.B.13. Follow-on Contracts

No person, firm, or subsidiary thereof who has been awarded a consulting services contract, or a contract which includes a consulting component, may be awarded a contract for the provision of services, delivery of goods or supplies, or any other related action which is required, suggested, or otherwise deemed appropriate as an end product of the consulting services contract. Therefore, any consultant who contracts with a State agency to develop formal recommendations for the acquisition of EDP products or services is precluded from contracting for any work recommended in the formal recommendations. (Formal recommendations include, among other things, feasibility studies.)

II.B.14. Disclosure of Financial Interests

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

In addition, should a consultant establish or become aware of such a financial interest during the course of contract performance, the consultant must inform the State in writing within ten (10) State working days of such event. If, in the State's judgment, the newly established

financial interest will jeopardize the objectivity of the recommendations, the State shall have the option of terminating the contract.

Failure to disclose a relevant financial interest on the part of a consultant will be deemed grounds for termination of the contract with all associated costs to be borne by the consultant and, in addition, the consultant may be excluded from participating in the State's bid processes for a period of up to 360 calendar days in accordance with Public Contract Code Section 12102 (j).

II.B.15. Independent Contractor Reporting

Any independent contractor, prior to being awarded a purchase order which contains services, must provide certain information pertaining to its business to the State. The State, in accordance with Unemployment Insurance Code Section 1088.8, will report such information to the Employment Development Department. By submitting a proposal, the Bidder acknowledges this information is required and that it is being reported to the Employment Development Department.

II.B.16. Protests

Before a protest is submitted regarding any issue other than selection of the "successful bidder," the Bidder must make full and timely use of the procedures described in Section II.B.5, Questions Regarding the RFP, to resolve any outstanding issue(s) between the Bidder and the State. The procurement procedure is designed to give the Bidder and the State adequate opportunity to submit questions and discuss the requirements before the Final Proposal is due. The protest procedure is made available in the event that a Bidder cannot reach a fair agreement with the State after exhausting these procedures. In such cases, a protest may be submitted according to the procedure below. Protests regarding any issue other than selection of the "successful bidder" will be heard and resolved by the Deputy Director of the Department of General Services Procurement Division whose decision will be final.

If a Bidder has submitted a bid which it believes to be totally responsive to the requirements of the RFP and to be the bid that should have been selected according to the evaluation procedure in the section on Evaluation and Selection and the Bidder believes the State has incorrectly selected another Bidder for award, the Bidder may submit a protest of the selection as described below. Protests regarding selection of the "successful bidder" will be heard and resolved by the State Board of Control whose decision will be final.

All protests must be made in writing, signed by an individual who has contractual authority to bind the bidding company, and contain a statement of the reason(s) for protest; citing the law, rule, regulation or procedures on which the protest is based. The protester must provide facts and evidence to support the claim. Protests must be mailed or delivered to:

Mailing Address:

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

All protests of the RFP or protests concerning the evaluation, recommendation, or other aspects of the selection process must be received by the Deputy Director of the Procurement Division as promptly as possible, but not later than the respective times and dates specified in Section I.F, Key Action Dates, for such protests or the respective date of the Notification of Intent to Award, whichever is later. Certified or registered mail must be used unless delivered in person, in which case the protester should obtain a receipt of delivery.

II.B.17. Contract Terms and Conditions

The State is currently engaged in efforts to reform its procurement processes, including discussions with the vendor community regarding terms and conditions applicable to State procurements. Due to the current uncertainty between the current Terms and Conditions of the Contract included in this RFP and those that may result from the reform efforts ("Alternative Terms"), these Alternative Terms are offered on the following basis:

1. If the State promulgates the Alternative Terms prior to Contract Award, the State will notify the intended awardee in writing. The intended awardee will then have the option to amend the Contract to incorporate the Alternative Terms. If the intended awardee does not notify the State in writing of its decision to so amend the Contract within five (5) State working days of such notice, the intended awardee will be deemed to have refused such option.
2. If the Contractor and the State execute the Contract before promulgation of the Alternate Terms and the State does eventually promulgate such terms, the State will promptly notify the Contractor in writing. The Contractor will then have the option to amend the Contract to incorporate the Alternative Terms. If the Contractor does not notify the State in writing of its decision to so amend the Contract within five (5) State working days of such notice, the Contractor will be deemed to have refused such option.

The current working version of the Alternative Terms can be obtained by contacting Carol Henton at (650) 357-7728 or by email at chenton@itaa.org.

II.C. Bidding Steps

The procurement process for this RFP is composed of the following steps:

- Bidders' Conference;
- Bidders' Intention to Submit a Proposal;
- Pre-Qualification Proposals;
- Notification of Pre-Qualification Results;
- Draft Proposals;
- Confidential Discussions;
- Final Proposals, including oral interviews and dollar cost information;
- Contract Award; and
- Debriefing.

The Bidder should carefully proof the Pre-Qualification, Draft, and Final Proposal for errors and adherence to the RFP requirements before they are submitted.

II.C.1. Bidders' Conference

A Bidders' Conference will be held during which Bidders will be afforded the opportunity to meet with State personnel to discuss the content of the RFP and the procurement process. In addition, a demonstration of the existing CMS Net system is planned.

The State will accept oral questions during the conference and will make a reasonable attempt to provide answers prior to the conclusion of the conference. A copy of the questions and appropriate answers will be posted within approximately ten (10) State working days on the CMS Network Enhancement 47 Project website http://www.dhs.ca.gov/cmse47/. If questions asked at the conference cannot be adequately answered during the discussion, answers will be posted on the website after the conference. Oral answers or statements made by the State shall not be binding on the State.
The location of the Bidders' Conference is:

Health and Human Services Agency Data Center Training Center
9323 Tech Center Drive, Suite 100
Sacramento, CA 95826

II.C.2. Bidders' Intention to Submit a Proposal

Bidders that choose to participate in this RFP are requested to submit a letter of Intention to Submit a Proposal by the date specified in Section I.F, Key Action Dates. Only those Bidders acknowledging interest in this RFP will receive additional correspondence regarding this procurement.

The State is also interested in a Contractor's reasons for not submitting a proposal. If Bidders have indicated significant problems with the RFP requirements, the State will examine the stated reasons for the problems and will attempt to resolve any issues in contention, if not contrary to the State's interest, and will amend the RFP if appropriate.

II.C.3. Pre-Qualification Proposals

A Bidder that chooses to participate in this procurement must submit a complete Pre-Qualification Proposal. Pre-Qualification Proposals must be complete in all respects, including a signed Pre-Qualification Proposal Transmittal Form. All Pre-Qualification Proposals will be reviewed in accordance with the evaluation criteria defined for the Pre-Qualification Proposal in Section II.E.3, Pre-Qualification Proposal Review.

All Bidders that do not pass the Pre-Qualification step will be excluded from the remaining steps of the procurement process. A Bidder that does not submit a Pre-Qualification Proposal on time is automatically eliminated from further competition.

II.C.4. Notification of Pre-Qualification Results

Bidders selected to continue in the competition from the pre-qualification phase will be notified by the State and will be invited to submit Draft and Final Proposals. All others will be notified that they failed to qualify for the submission of Draft and Final Proposals

II.C.5. Draft Proposals

Submission of a Draft Proposal is strongly recommended so that the Bidder may obtain the benefit of the two-step procurement process. If Draft Proposals are submitted, they must be submitted by Bidders by the date specified in Section I.F, Key Action Dates. The Draft Proposals must be complete in all respects except that dollar cost information must be replaced by XXXs. The State Evaluation Team will evaluate each Draft Proposal and notify the Bidder of any defects it has noted. Such notification is intended to minimize the risk that the Final Proposal will be deemed non-compliant; however, **the State will not provide any warranty that all defects in the Draft Proposal have been detected and that such notification will not preclude rejection of the Final Proposal if such defects are later found.**

II.C.6. Confidential Discussions

The State will conduct confidential discussions with Bidders submitting Draft Proposals. At the confidential discussion, the State will identify areas of the Bidder's Draft Proposal that may not be fully compliant with the requirements of the RFP and areas that are confusing to the State Evaluation Team. Oral statements made by either party during confidential discussions shall not be binding.

II.C.7. Final Proposals

Final Proposals must be complete in all respects, including a signed Proposal Transmittal Form. A Final Proposal may be rejected if it is conditional or incomplete, or if it contains any alterations of form or other irregularities of any kind. The Final Proposal must contain all costs required by Section II.D, Proposal Format, setting forth the price for each unit price item, and a total price for each lump sum price item in the schedule, all in clearly legible figures. Cost data (as identified in the above referenced section) must be submitted under separate, sealed cover.

II.C.8. Delivery of Pre-Qualification, Draft, and Final Proposals

The Draft and Final Proposals must be submitted by Bidders by the dates and times specified in Section I.F, Key Action Dates. If mailed, proposals must be received on or before the specified date. **Pre-Qualification and Final Proposals not received by the date and time specified in Section I.F, Key Action Dates will be rejected.**

Mail or deliver Proposals to the Procurement Official listed in Section I.E. If mailed, Bidders should use certified or registered mail with return receipt requested, as mailing of proposals is done at the Bidder's own risk of untimely delivery, lost mail, etc.

Proposals must be received in the number of copies stated in Section II.D, Proposal Format. As required in Section II.D, Proposal Format, all cost data for the Final Proposal must be submitted under separate, sealed cover and clearly marked "COST DATA". If cost data is not submitted in this manner, the Proposal may be rejected. If discrepancies are found between two or more copies of the Proposal, the Proposal may be rejected. However, if not so rejected, the Master Copy will provide the basis for resolving such discrepancies. If one (1) copy of the Final Proposal is not clearly marked "Master Copy", the State may reject the bid; however, the State, at its sole option, may select, immediately after Proposal opening, one (1) copy to be used as the Master Copy.

II.C.9. Withdrawal and Resubmission/Modification of Proposals

The withdrawal of any Proposal must be made in writing prior to the Proposal submission date and time and must be signed by an authorized Contractor representative. **An oral or telephone request to withdraw a proposal is not acceptable.** The Bidder may thereafter submit a new or modified Proposal prior to such Proposal submission date and time.

II.C.10. Errors in the Final Proposal

An error in the Final Proposal may cause the rejection of that Proposal; however, the State, at its sole option, may retain the Proposal and make certain corrections. In determining if a correction will be made, the State will consider the conformance of the Proposal to the format and content required by the RFP, and any unusual complexity of the format and content required by the RFP.

1. If the Bidder's intent is clearly established based on review of the complete Final Proposal submittal, the State, at its sole option, may correct an error based on that established intent.
2. The State, at its sole option, may correct obvious clerical errors.
3. The State, at its sole option, may correct discrepancy and arithmetic errors on the basis that, if intent is not clearly established by the complete Proposal submittal, the Master Copy shall have priority over additional copies, the Proposal narrative shall have priority over the Contract, the Contract shall have priority over the cost sheets, and within each of these, the lowest level of detail will prevail. If necessary, the extensions and summary will be recomputed accordingly, even if the lowest level of detail is obviously misstated. The total price of unit-price items will be the product of the unit price and the quantity of the item. If the unit price is ambiguous, unintelligible, uncertain for any cause, or is omitted, it shall be the amount obtained by dividing the total price by the quantity of the item.
4. The State, at its sole option, may correct errors of omission, and in the following four situations, the State will take the indicated actions if the Bidder's intent is not clearly established by the complete Proposal submittal.
   - If an item is described in the narrative and omitted from the Contract and cost data provided in the Proposal for evaluation purposes, it will be interpreted to mean that the item will be provided by the Bidder at no cost.
   - If a minor item is not mentioned at all in the Final Proposal and is essential to satisfactory performance, the Proposal will be interpreted to mean that the item will be provided at no cost.
   - If a major item is not mentioned at all in the Final Proposal, the Proposal will be interpreted to mean that the Bidder does not intend to supply that item.
   - If a major item is omitted, and the omission is not discovered until after contract award, the Bidder shall be required to supply that item at no cost.
5. If a Bidder does not follow the instructions for computing costs not related to the Contract (e.g., office space costs), the State may reject the Proposal, or at its sole option, recompute such costs based on instructions contained in the RFP.

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

It is absolutely essential that Bidders carefully review the cost elements in their Final Proposal, since they will not have the option to change them after the time for submittal.

II.C.11. Flawed Final Proposals

The State may declare the Final Proposal to be an additional Draft Proposal in the event that the State Evaluation Team determines that Final Proposals from all Bidders contained material deviations and that it is in the best interest of the State to continue the bid process. If this occurs, the State will issue an addendum to the RFP and a Confidential Discussion will be held with each Bidder that submitted a flawed Final Proposal and any other Bidder that requests a Confidential Discussion. Each Bidder will be instructed of the due date for the submission of a new completed Final Proposal to the State. This submission must conform to all of the requirements of the original Final Proposal as amended by any subsequent addenda. During the evaluation of the new Final Proposal, the State Evaluation Team may request the Bidder to clarify any area of the Proposal that the State Evaluation Team determines to be unclear. However, this request for clarification will not be an opportunity for the Bidder to change its proposal.

II.C.12. Rejection of Bids

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

II.C.13. Oral Interviews

As part of the evaluation of Final Proposals, the State Evaluation Team will conduct an oral interview with the Bidder's proposed Key Staff to confirm and validate the information provided by the Bidder in the Final Proposal. The oral interviews will be conducted in Sacramento, California. It is anticipated that the oral interview for each Bidder's team will last two to three hours.

II.C.14. Contract Award

Award of contract, if made, will be in accordance with Section II.E, Evaluation and Selection, to a responsible Bidder whose Final Proposal complies with all the requirements of the RFP documents and any addenda thereto, except for such immaterial defects as may be waived by the State. Contract Award is made after all required contract signatures are obtained.

If a Bidder, having submitted a Final Proposal, can show that its Proposal, instead of the Proposal selected by the State, should be selected for contract award according to the rules of Section II.E, Evaluation and Selection, the Bidder will be allowed five (5) State working

days to submit a protest to the Intent to Award, according to the instructions contained in Section II.B.16, Protests.

II.C.15. Debriefing

A debriefing may be held after Contract Award at the request of any Bidder for the purpose of receiving specific information concerning the evaluation of their proposal. Information provided in the debriefing discussion will be based primarily on the technical and cost evaluations of the Bidder's Final Proposal. A debriefing is not the forum to challenge the RFP specifications or requirements.

II.D. Proposal Format

II.D.1. Intention to Submit a Proposal

Bidders that choose to participate in this RFP are requested to submit a letter of Intention to Submit a Proposal. The letter should identify the contact person for the solicitation process, street address, e-mail address, a phone number, and a fax number (see Exhibit II-1, Sample Letter of Intention to Submit a Proposal). Information to be provided to a Bidder will only be given to the designated contact person. It shall be the Bidder's responsibility to immediately notify the Procurement Official, in writing, regarding any revision to the information pertaining to the Bidder's designated contact person. The State shall not be responsible for proposal correspondence not received by the Bidder if the Bidder fails to notify the State, in writing, about any change pertaining to the designated contact person.

II.D.2. Pre-Qualification Proposal Format and Content

The Pre-Qualification Proposal must be submitted by the date specified in Section I.F, Key Action Dates, and in the manner specified in Section II.C.8, Delivery of Pre-Qualification, Draft, and Final Proposals. The Proposal must be submitted in the number of copies indicated and should be structured in the following manner:

Volume 1 – Pre-Qualification Proposal 10 copies plus a Master Copy

- Proposal Transmittal Form – Exhibit II-2
- Tab 1 - Financial Information
- Tab 2 - Proof of Bondability
- Tab 3 - Corporate Experience References – Exhibit II-3

II.D.2.a. Volume 1 – Pre-Qualification Proposal

Prior to award of the contract, the State must be assured that the Bidder selected has all of the resources to successfully perform under the contract. This includes experience in similar endeavors and financial resources sufficient to complete performance under the contract.

To evaluate the Bidder's responsibility, the following items shall be submitted as part of the Bidder's Pre-Qualification Proposal, in the order and format indicated below.

(1) Proposal Transmittal Form

The Pre-Qualification Proposal Transmittal Form, Exhibit II-2, must be completed and should be included as the first page of Volume 1.

(2) Tab 1 – Financial Information

Proposal Volume 1 Tab 1 must contain audited financial statements or annual reports for at least the last three (3) years. A Bidder's 10-K is acceptable. In the event of a joint bid, all parties must submit financial information. The following items shall be included:

- Statement of income and related earnings
- Statement of changes in financial position balance sheet
- Form 10-K or personal tax returns for the previous three (3) years
- Opinions concerning financial statements from a CPA

NOTE: If any of the submitted financial information is identified by the Bidder as confidential, and the State agrees it is confidential, it shall be treated as such by the State and returned upon request after the Bidder's financial stability has been determined.

(3) Tab 2 – Proof of Bondability

Proposal Volume 1 Tab 2 must contain proof of bondability. The proof of bondability must be from an admitted Surety Insurer and state that the bonding company will bond the Bidder for $2 million.

(4) Tab 3 - Corporate Experience

Proposal Volume 1 Tab 3 must contain references for a minimum of **THREE (3)** recent projects it has completed that are similar in size (e.g., at least $1 million in development costs), scope (full scope of system development lifecyle activities), and type (e.g., application development, geographically distributed users) of the project specified in this RFP. Recent projects are defined as projects that have been completed within the past three (3) years. Failure to provide verifiable references may cause the Proposal to be rejected. The purpose of the Project/Client Reference requirement is to provide the State the ability to assess the Bidder's prior record and experience in providing similar or relevant services to other organizations. All references must be specific to the services proposed for this procurement. References must include the information specified on Exhibit II-3, Project/Client Reference Form.

The descriptions of these projects must be detailed and comprehensive enough to permit the State to assess the similarity of those projects to the work anticipated in the award of the contract resulting from this procurement. The descriptions should contain project measurements and success statistics as specified on Exhibit II-3 to determine the efficiency and effectiveness of the work performed by the Bidder. The State's determination of the similarity of the projects' included as references to the project specified in the RFP, for the purpose 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 which may become known to the State through any source.

II.D.3. Draft Proposal Format and Content

The Draft Proposal should follow the format and content of the Final Proposal except the submission must not include actual dollar cost information. All dollar cost items must be filled in using XXXs in the Draft Proposal. Costs must include any additional information or language that will be shown in the Final Proposal, without providing any cost figures. It is important that all exhibits and all cost tables be included with all entries completed except dollar figures.

Inclusion of cost figures in the Draft Proposal may result in elimination of the Bidder from further participation in the procurement process.

II.D.4. Final Proposal Format and Content

The Final Proposal must be submitted on the date specified in Section I.F, Key Action Dates, and in the manner specified in Section II.C.8, Delivery of Pre-Qualification, Draft, and Final Proposals. The Proposal must be submitted in the number of copies indicated and should be structured in the following manner:

Volume 1 – Response to Requirements 12 copies plus a Master Copy

- Final Proposal Transmittal Form – Exhibit II-4
- Tab 1 – Response to Administrative Requirements
- Tab 2 – Response to Statement of Work
- Tab 3 – Exhibits
- Tab 4 - Draft Plans
- Tab 5 – Contract 4 original signed copies

Volume 2 – Cost Proposal 12 copies plus a Master Copy

- Part 1 – Cost Tables
- Part 2 – Summary of DVBE Participation with completed cost information
- Part 3 – Small Business Preference Notification

In addition to the number of hardcopies of the Proposal stated above, the Bidder is required to submit an electronic copy of the Proposal on a CD-ROM.

NOTE: For the coding standards required as part of the Technical Approach (specified in Section V.N.2, Application Development Languages and Tools), the Bidder does not need to supply 12 copies; the Bidder must supply a minimum of 2 copies. One copy shall be included in the Master Copy of the Proposal and the Bidder shall submit 1 additional copy as part of Volume 1.

II.D.4.a. Volume 1 – Response to Requirements

This volume must contain all responses to Section IV, Administrative Requirements, and Section V, Statement of Work. All forms and exhibits, except for cost data, must be

completed and included in this Volume. Volume 1 must be in the order and format indicated below.

(1) Proposal Transmittal Form

The Final Proposal Transmittal Form, Exhibit II-4, must be completed and should be included as the first page of Proposal Volume 1.

(2) Tab 1 – Response to Administrative Requirements

Proposal Volume 1 Tab 1 must contain a response for each item (all paragraphs and subparagraphs) identified in Section IV, Administrative Requirements.

It is necessary that each requirement be acknowledged and agreed to. Bidders must state compliance to each requirement by completing the legend found at the end of each requirement. Section IV must be included and inserted into Volume 1 Tab 1 in its entirety with appropriate responses checked "Bidder agrees to the above requirement?

YES _____NO _____".

All requirements in Section IV are mandatory. Failure to respond to a requirement may cause the Proposal to be rejected. The Bidder must indicate "YES", which certifies a commitment to the performance of each requirement under the direction of State management while adhering to all specified standards and maintenance procedures as identified in each requirement. A "NO" response to any requirement may result in disqualification of the Contractor.

(3) Tab 2 – Response to Statement of Work

Proposal Volume 1 Tab 2 must contain a response for each item (all paragraphs and subparagraphs) identified in Section V, Statement of Work.

It is necessary that each requirement be acknowledged and agreed to. Bidders must state compliance to each requirement by completing the legend found at the end of each requirement. Section V must be included and inserted into Volume 1 Tab 2 in its entirety with appropriate responses checked. "Bidder agrees to the above requirement?

YES _____NO _____."

All requirements in Section V are mandatory. Failure to respond to a requirement may cause the Proposal to be rejected. The Bidder must indicate "YES", which certifies a commitment to the performance of each requirement under the direction of State management while adhering to all specified standards and maintenance procedures as identified in each requirement. A "NO" response to any requirement may result in disqualification of the Contractor.

(4) Tab 3 – Exhibits

The following RFP exhibits must be completed, as appropriate and/or required, and should be included in Proposal Volume I Tab 3:

- Target Area Contract Preference Act (TACPA) Form 830 (optional)

- Enterprise Zone Act (EZA) Form 831S (optional)
- Local Agency Military Base Recovery Act (LAMBRA) Form 832 (optional)
- DVBE Participation Program Requirements - THE EXHIBIT FOR THIS VOLUME MUST BE COMPLETE IN EVERY DETAIL EXCEPT FOR COST INFORMATION. DO NOT INCLUDE COST INFORMATION IN THIS VOLUME. COMPLETE A DUPLICATE DVBE EXHIBIT WITH THE COMPLETED COST INFORMATION AND SUBMIT WITH VOLUME 2.

(5) Tab 4 –Draft Plans and Documents

The following RFP draft plans and documents must be developed and should be included in Proposal Volume I Tab 4:

- Draft Staffing Management Plan (including Exhibit V-2, Resume Summary Forms and detailed resumes for all proposed staff)
- Draft Project Management Plan
- Technical Approach (including Exhibit V-3, Additional Equipment and COTS Software, if applicable)

  NOTE: For the coding standards required as part of the Technical Approach (specified in Section V.N.2, Application Development Languages and Tools), the Bidder does not need to supply 12 copies; the Bidder shall supply a minimum of 2 copies. One copy shall be included in the Master Copy of the Proposal and the Bidder shall submit 1 additional copy as part of Volume 1.

(6) Tab 5 – Contract

The following document must be completed and included in Proposal Volume I Tab 5:

- Appendix A, in its entirety, including the Standard Agreement Form 213

Fill in only the following items on the Standard Agreement Form 213:

- Contractor's Name in Item #1.
- Contractor's information identified in the box marked "CONTRACTOR".
- An original signature must appear on each of the four (4) originals of this form submitted with the Final Proposal.

Appendix A should be reproduced on single-sided pages.

II.D.4.b. Volume 2 – Cost Proposal

Volume 2 must be separately sealed and clearly labeled: Volume 2 – Cost Proposal. It will not be opened for evaluation until the evaluation and scoring of Section IV, Administrative Requirements, and Section V, Statement of Work, have been completed as described in Section II.E, Evaluation and Selection. Volume 2 must contain all completed tables listed below, as required by the RFP:

- PART 1 - Cost Tables

- Cost Table 1 – System Enhancements
- Cost Table 2 – System Maintenance
- Cost Table 3 – System Operations
- Cost Table 4 – Office Space Costs
- Cost Table 5 – Summary Costs

- PART 2 - Summary of DVBE Participation with completed cost information
- PART 3 - Small Business Preference Notification

Bidders shall present their proposed project prices in the formats provided in this section. If an item has no cost, enter the numeral "0" rather than leaving a blank. If any character other than a numeral is used (e.g., a dash) or an item is left blank, the State will assume the cost of the item to be zero. The Cost Tables are to be used in the format presented in this section (i.e., do not make any additions, deletions, or changes to the format of the Cost Tables).

(1) Cost Table 1 - System Enhancements

Costs for the three (3) System Enhancements (i.e., CCS Client Eligibility Phase II – Insurance, Provider Enrollment, and CCS Service Authorizations) will be paid for on a fixed-price basis. Bidders must provide pricing for each enhancement. In addition, Bidders must provide estimated hours for each enhancement that should map to the draft Project Work Plan required by Section V.I.1, Project Work Plan. Bidders may provide additional supporting cost information (e.g., an explanation of the methodology and assumptions used to arrive at the cost). Bidders must clearly explain the relationship between the supporting cost information provided and the cost. Bidders may submit the supporting cost information in any format. The supporting cost information may be considered during the Proposal evaluation process.

The price for each enhancement must include, but is not necessarily limited to, the costs for the activities for requirements analysis, design, coding, integration, testing, and installation and acceptance related to the enhancement. **Costs for additional Commercial-off-the-Shelf (COTS) products and any additional hardware necessary to implement the Bidder's solution MUST NOT be included in the Bidder's cost.** Any additional COTS products or hardware identified by the Bidder in its response to Section V.N, Technical Approach, must be included in Exhibit V-3, Additional Equipment and COTS Software. These items will be costed by the State and added to the Bidder's proposed costs for evaluation purposes. Any identified additional COTS products and/or hardware will be procured directly by the State.

Cost Table 1 - System Enhancements

System Enhancement	Estimated Staff Hours*	Proposed Cost**
CCS Client Eligibility Phase II - Insurance Phase		
Provider Enrollment Phase		
CCS Service Authorizations Phase		
Total Cost	*0.0*	*$0.00*

*Estimated Staff Hours should map to the draft Project Work Plan
**Proposed cost is a fixed-price bid

(2) Cost Table 2 - System Maintenance

The Bidder is to list here the personnel costs associated with system maintenance activities that may be requested by the State, as described in Section V, Part Four – System Maintenance. Bidders must include the maximum hourly rates by category for all Key Staff positions in Cost Table 2. In addition, the Bidder must include the maximum hourly rates by category for any Bidder-proposed non-key staff positions that will provide system maintenance activities that the Bidder identified in its Staffing Management Plan (refer to Section V.H.3, Proposed Staff.) The hourly rates for non-key staff positions will not be evaluated, but will be included in the Contract.

The Evaluation Factor is based on the estimated yearly workload for system maintenance activities. See Section V.Q, Estimated Effort, for additional information.

Cost Table 2 - System Maintenance

Job Classification	Year 1			Year 2			Year 3		
	Hourly Rate*	Evaluation Factor	Evaluation Cost	Hourly Rate*	Evaluation Factor	Evaluation Cost	Hourly Rate*	Evaluation Factor	Evaluation Cost
KEY STAFF CLASSIFICATIONS									
Application Developer/Programmer		1650	$0.00		1800	$0.00		1890	$0.00
Business Applications Development Specialist		330	$0.00		360	$0.00		378	$0.00
Project Management		330	$0.00		360	$0.00		378	$0.00
Software Architect/Sr Software Developer - Cache/Unix		594	$0.00		648	$0.00		680	$0.00
Software Architect/Sr Software Developer - Browser		396	$0.00		432	$0.00		454	$0.00
NON-KEY STAFF CLASSIFICATIONS									
Totals		3300	*$0.00*		3600	*$0.00*		3780	*$0.00*

Job Classification	Year 4			Year 5		
	Hourly Rate*	Evaluation Factor	Evaluation Cost	Hourly Rate*	Evaluation Factor	Evaluation Cost
KEY STAFF CLASSIFICATIONS						
Application Developer/Programmer		1984	$0.00		2083	$0.00
Business Applications Development Specialist		397	$0.00		417	$0.00
Project Management		397	$0.00		417	$0.00
Software Architect/Sr Software Developer - Cache/Unix		715	$0.00		750	$0.00
Software Architect/Sr Software Developer - Browser		476	$0.00		500	$0.00
NON-KEY STAFF CLASSIFICATIONS						
Totals		3969	*$0.00*		4167	*$0.00*

Job Classification	Year 6			Year 7		
	Hourly Rate*	Evaluation Factor	Evaluation Cost	Hourly Rate*	Evaluation Factor	Evaluation Cost
KEY STAFF CLASSIFICATIONS						
Application Developer/Programmer		2187	$0.00		2299	$0.00
Business Applications Development Specialist		438	$0.00		459	$0.00
Project Management		438	$0.00		459	$0.00
Software Architect/Sr Software Developer - Cache/Unix		788	$0.00		827	$0.00
Software Architect/Sr Software Developer - Browser		525	$0.00		551	$0.00
NON-KEY STAFF CLASSIFICATIONS						
Total Cost		4376	*$0.00*		4595	*$0.00*

*The Proposed Hourly Rate will be the maximum hourly billing rate for approved work authorizations

(3) Cost Table 3 - System Operations

Costs for System Operations activities, as described in Section V, Part Five – System Operations, will be paid for on a fixed-price basis. Pricing for system maintenance activities shall not be included on Cost Table 3; these costs are included in Cost Table 2.

System Operations costs shall be quoted as a per month cost. The Bidder may propose a different monthly cost for various periods of performance, but the Bidder must provide costs that cover the possible seven-year (84-month) System Operations period.

Cost Table 3 - Systems Operations

Time Period*	Estimated Hours Per Month	Monthly Rate**	Number of Months	Extended Cost
Month ____ to Month ____				$0.00
Month ____ to Month ____				$0.00
Month ____ to Month ____				$0.00
Month ____ to Month ____				$0.00
Month ____ to Month ____				$0.00
Month ____ to Month ____				$0.00
Month ____ to Month ____				$0.00
Month ____ to Month ____				$0.00
Total Cost			*0*	*$0.00*

*Time Period must equal 84 months
**Monthly Rate is a fixed-price bid

(4) Cost Table 4 – Office Space Cost

The Office Space Cost Table represents the cost for the State office space that will be utilized by the Bidder, as discussed in SectionV.H.1, Contractor Staff Location.

Cost Table 4 - Office Space Costs

Office Space:	Number of Office Cubicles	Number of Months	Cost per Office Cubical/Month	Total Cost
System Enhancements			$119.00	$0.00
System Maintenance			$119.00	$0.00
System Operations			$119.00	$0.00
			Total Office Space Cost	*$0.00*

(5) Cost Table 5 – Cost Summary

The Summary Cost Table represents the Bidder's proposed total cost for system enhancements, system maintenance, and system operations. The Bidder *should* provide only one Summary Cost Table with their proposal. The Total Costs from Tables 1 – 4 should be entered on this table.

Cost Table 5 - Cost Summary

Cost Category	Summary Cost
System Enhancements (Cost Table 1)	
System Maintenance (Cost Table 2)	
System Operations (Cost Table 3)	
Office Space (Cost Table 4)	
Total Cost	*$0.00*

II.E. Evaluation and Selection

Responses to this RFP will be evaluated based on **best value to the State. Best value to the State** is the proposal that best meets, and potentially exceeds, the State's administrative and technical requirements at the most reasonable overall cost to implement and operate, with an acceptable level of risk.

Once the State has determined which proposal, if any, offers the best business solution, that proposal will become the basis for a contract.

II.E.1. State Evaluation Team

The State has established an Evaluation Team comprised of individuals selected from DGS and DHS management, staff, and their representatives. The Evaluation Team will be responsible for the review and evaluation of Bidder proposals in accordance with the process described in this section of the RFP. The State may engage additional qualified individuals during the process to assist the Evaluation Team in gaining a better understanding of technical, financial, legal, contractual, or program issues. These individuals will not have voting privileges or responsibility for the evaluation process.

II.E.2. Receipt of Proposals

Each proposal will be date and time stamped as it is received and reviewed to ensure that all responses are submitted under appropriate cover and properly identified. Pre-Qualification, Draft, and Final Proposals must be in the quantity and format specified in Section II.D, Proposal Format.

II.E.3. Pre-Qualification Proposal Review

The Pre-Qualification Proposal must contain the information requested. The main purpose of the Pre-Qualification Proposal is to provide the State with enough information for the State to pre-qualify Bidders based on past experience and financial stability to advance to the Draft and Final Proposal step. All Bidders who pass the pre-qualification step will be qualified to submit Draft and Final Proposals.

Pre-Qualification Proposals received by the date and time specified in Section I.F, Key Action Dates will be opened and reviewed for completeness. During the review, the State may contact the listed reference(s) to confirm the information provided by the Bidder and determine the reference's satisfaction with the outcome of the project and/or personnel.

The evaluation of Pre-Qualification Proposals will consist of the following:

II.E.3.a. Completeness Check (pass/fail)

The Evaluation Team will review the Bidder's Pre-Qualification Proposal package to determine whether the required number of copies of the proposal has been submitted and that the structure and content of the proposal are in conformance with the information requirements of this RFP. Absence of required information may result in the Proposal being deemed non-responsive and may be cause for rejection.

II.E.3.b. Financial Information (pass/fail)

The Evaluation Team will review the Financial Information to validate the Bidder's financial responsibility. The State's determination of the Bidder's financial responsibility, for the purpose of this RFP, shall be final.

II.E.3.c. Proof of Bondability (pass/fail)

The Evaluation Team will review the proof of bondability to ensure it meets RFP requirements.

II.E.3.d. Corporate Experience (pass/fail)

Based upon information provided in response to Section II.D.2.a, Volume 1- Pre-Qualification Proposal, the State will be evaluating this requirement based on customer satisfaction with the Bidder's past performance. The State will be seeking information from customer references regarding the Bidder's demonstrated ability in:

- Performance in relation to the project work plan schedule, budget and expected level of quality
- Adjusting project schedules and/or project deliverables based upon changing customer needs
- Providing continuity of staff during the project
- Integration of all project activities over the life of the project
- Resource allocation
- Change Management practices
- Communication
- Addressing project issues and risks

The Evaluation Team may, at its discretion, contact the listed clients to confirm the information provided by the Bidder and determine client satisfaction with the outcome of the project.

II.E.4. Draft Proposal Review

The Draft Proposal must contain the complete Bidder's response, without actual dollar cost information. The proposal must be responsive to all technical, functional, operations and maintenance, and administrative requirements. The main purpose of the Draft Proposal is to

provide the State with a complete proposal (except for actual dollar cost figures) in order for the State to identify any faulty aspects that, if not corrected, could cause the Final Proposal to be rejected.

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

a. Any "qualifiers" or conditions placed on the proposal (conditional proposals are not acceptable).

b. Document areas in which a proposal appears to:

- Be non-responsive
- Require additional clarification
- Introduce unreasonable risk

After the submission of the Draft Proposals, a schedule will be prepared for meeting with each Bidder, showing the date and time that the State will meet with the Bidder to discuss items identified during the Draft Proposal review.

The State does not warrant that all defects will have been detected, and such notification does not preclude the rejection of the Final Proposal due to errors subsequently identified and those remaining in the Final Proposal.

II.E.4.a. Confidential Discussions With Bidders

The Evaluation Team will prepare a Confidential Discussion Agenda of items to be discussed with the Bidder and transmit the agenda to the Bidder at least two (2) State working days before the meeting. Issues identified during the course of the review of Draft Proposals shall be noted as agenda items. The Bidder may request that additional specific items be included in the agenda.

The Bidder may be asked to provide a short overview presentation of its proposed solution at the beginning of the Confidential Discussion.

In order to achieve the maximum benefit from these discussions, the Bidder must bring to the discussion persons who can answer questions, provide clarification, and address reservations the State may have. The result should be an improved understanding by the Bidder of areas where its Final Proposal might be improved.

II.E.5. Evaluation of Final Proposals

During evaluation of the Final Proposal, the Evaluation Team may request that the Bidder clarify any area of the Proposal the Evaluation Team determines to be unclear. However, this request for clarification will not be an opportunity for the Bidder to change its proposal.

The following table illustrates the maximum points for each mandatory scorable requirement.

Table 2. RFP Maximum Points

RFP SECTION	REQUIREMENT	MAXIMUM POINTS AVAILABLE
V.H	Draft Staffing Management Plan	300
V.I	Draft Project Management Plan	100
V.N	Technical Approach	200
II.D.4.b	Total Cost	400
	Total Maximum Points Available	***1000***

The evaluation of Final Proposals will consist of the following:

II.E.5.a. Completeness Check (pass/fail)

The Evaluation Team will review the Bidder's Final Proposal package to determine whether the required number of copies of the proposal has been submitted and that the structure and content of the proposal are in conformance with the information requirements of this RFP. Absence of required information may result in the Proposal being deemed non-responsive and may be cause for rejection.

II.E.5.b. Administrative and Statement of Work Requirements Review (pass/fail)

All Requirements in this RFP are mandatory. The Evaluation Team will review the following components of the Bidder's Proposal to determine whether it meets these requirements:

- Final Proposal Transmittal Form – Exhibit II-4
- Tab 1 – Response to Administrative Requirements
- Tab 2 – Response to Statement of Work

If a proposal fails to satisfactorily meet any requirement, the Proposal may be considered non-responsive and may be rejected.

II.E.5.c. Draft Staffing Management Plan (Maximum 300 points)

Based upon information provided in response to Section V.H, Contractor Staffing, the State will evaluate the Bidder's draft Staffing Management Plan in terms of completeness of the Plan and project team members' qualifications and experience in implementing the proposed solution in settings of a similar nature and scope to the State's (experience may be validated through reference checks).

The personnel proposed for Key Staff positions must meet the minimum experience requirements stated in Section V.H.4, Key Staff Minimum Requirements. Failure to meet these minimum requirements may cause the Proposal to be rejected. The Evaluation Team may contact one or more of the client references for each of the proposed Key Staff positions (Contractor Project Manager, Software Architect/Senior Software Developer(s) – Caché/Unix, and Software Architect/Senior Software Developer(s) – Browser-Based Technology) to confirm the information provided by the Bidder and determine customer satisfaction with the staff's performance.

The Evaluation Team will interview all proposed Key Staff to validate the information provided by the Bidder.

The following factors will be taken into consideration when awarding points for this category:

- Thoroughness of the Staffing Management Plan
- The degree to which the staff experience exceeds the minimum requirements, as determined by the resume, client references, and State interview
- The staff experience in the technical environment proposed by the Bidder in its Technical Approach
- The demonstrated ability of staff to meet or exceed customer expectations
- Consistency between the Staffing Management Plan and the Project Management Plan

II.E.5.d. Draft Project Management Plan (Maximum 100 points)

Based upon information provided in response to Section V.I, Project Management Plan, the State will evaluate the Bidder's draft Project Management Plan in terms of completeness and thoroughness of the Plan. The scoring will reflect how well the Bidder's draft Plan is consistent with the general intent of the *IEEE 1058. Standard for Software Project Management Plan* model.

II.E.5.e. Technical Approach (Maximum 200 points)

Based upon information provided in response to Section V.N, Technical Approach, the State will evaluate the Bidder's Technical Approach. The scoring will reflect the Evaluation Team's assessment of probability that the Bidder's solution will result in a successful implementation of a technical solution that is fully compatible with the existing technical infrastructure and meets the State's requirements.

The following factors will be taken into consideration when awarding points for this category:

- Completeness and thoroughness of the approach
- Risks of the proposed solution

II.E.5.f. *Cost (Maximum 400 points)*

Note: Sealed cost information will not be opened until the Evaluation Team has completed the previous steps in the evaluation process.

If a Bidder's proposal has been determined to be non-responsive during these earlier steps, its cost information will be not be opened.

As discussed in Section II.D.4.b, Volume 2 – Cost Proposal, costs for additional equipment necessary to implement the Bidder's solution MUST NOT be included by the Bidder in Cost Table 1. The cost for any additional COTS products and/or hardware that is identified by the Bidder in its Technical Approach (see Section V.N) will be estimated by the State and added to the Bidder's Total Cost from Cost Table 5 to arrive at the Bidder's Adjusted Total Cost.

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

The maximum number of points that can be awarded for cost is 400. Each Bidder's cost score will be based on the ratio of its Adjusted Total Cost to the Adjusted Total Cost associated with the lowest responsive proposal multiplied by the maximum number of cost points (400), as shown below.

$$\frac{\text{Lowest Adjusted Total Cost} \times 400}{\text{Bidder's Adjusted Total Cost}} = \text{Bidder's Cost Score*}$$

*The Bidder's Cost Score will be rounded to the nearest whole integer

Table 3 provides an example of this calculation process.

Table 3. Cost Score Sample

BIDDER	ADJUSTED TOTAL COST	CALCULATION	BIDDER SCORE
A	$375,000	$350,000 (Bidder B) X 400 (weight) / $375,000 (Bidder A)	373
B	$350,000	$350,000 (Bidder B) X 400 (weight) / $350,000 (Bidder B)	400
C	$420,000	$350,000 (Bidder B) X 400 (weight) / $420,000 (Bidder C)	333

II.E.5.g. Small Business Preference

All bidders who are claiming the small business preference and are responsive certified small businesses and/or microbusiness will have their proposal(s) adjusted as follows:

> 5% of the highest responsive/responsible proposal total score will be added to ALL certified small business' proposed Total Score to determine the Final Evaluated Score.

All Proposals submitted by non small businesses that utilize a small business or microbusiness subcontractor will be adjusted as follows:

> Provided the small business is a certified small business all proposals that have small business and/or microbusiness participation equal to or greater than $50,000 will receive a preference equal to 5% of the highest responsive/responsible proposal total score. Where participation by the small business and/or microbusiness is less than $50,000, points shall be awarded on the following formula:

$$\frac{\text{Small Business/Microbusiness participation}}{} \quad \text{Highest Point}$$

$$\frac{\text{\$ 50,000}}{} \times \text{Point Proposal Score} \times 5\% = \text{Small Business Preference}$$

Following is an example where a bidder proposes to use a small business for $25,000 worth of work and the Highest Point Proposal Score is 920 Points.

$$\frac{\text{\$25,000}}{\text{\$ 50,000}} \times 920 \times 5\% = 23$$

II.E.6. Determination of winning proposal

The winning proposal will be the responsive proposal that has the highest combined score for the draft Staffing Management Plan, draft Project Management Plan, Technical Approach, cost factors, and applicable preferences.

EXHIBIT II-1. SAMPLE LETTER OF INTENTION TO SUBMIT A PROPOSAL

Tom Burton, Senior Procurement Manager
Department of General Services
Procurement Division
707 Third Street, 2nd Floor
West Sacramento, CA 95605
tom.burton@dgs.ca.gov

Reference: RFP DHS 4260-144A

This is to notify you that it is our present intent to *(Bidder shall specify)* **{submit/*not submit}** a proposal in response to the above referenced RFP. The individual to whom all information regarding this RFP should be transmitted is:

Contact Name and Title:

Company Name:

Address:

City, State, & Zip

Phone Number:

Fax Number:

E-mail Address:

***If declining to submit a proposal, please state reason(s) why:**

Sincerely,

_____

Name and Title

EXHIBIT II-2. PRE-QUALIFICATION PROPOSAL TRANSMITTAL FORM

Bidders are required to complete this Exhibit and include it as part of the Pre-Qualification Proposal. By signing this form, the Bidder confirms that it has the ability to provide the goods and services required by the RFP.

Bidder organization name:		
Bidder organization address:	Street:	
	City:	
	State:	Zip:
Printed name of authorized person who can bind the company:		
Signature of authorized person:		
Title of person signing the Bid:		
Phone number of Person signing Bid:		
Date signed:		

EXHIBIT II-3. PROJECT/CLIENT REFERENCE FORM

Attach as part of the response to this Exhibit a description of a minimum of **THREE (3)** recent projects your firm has completed that are similar to the project specified in this RFP. Recent projects are defined as projects that have been completed within the past three years. The State is especially interested in experience with Caché and Fileman databases and M (MUMPS) as the programming language. For each project referenced, complete one of the attached Project/Client Reference Forms. The State may, at its discretion, contact the listed clients to confirm the information provided by the Bidder and determine client satisfaction with the outcome of the project. This information **must** be provided for each reference in order to satisfy this requirement.

If an item does not apply to the specific project, indicate that with "n/a".

FIELD NAME	DESCRIPTION
Contractor Name / Contact Name	Enter the name(s) of the organization that provided the services described on the form. Enter the name of the project contact person from the Contractor's organization.
Date / Phone	Enter the date the reference form was completed by the Bidder. Enter the phone number of the Contractor's contact person.
Project Name	Enter the name of the project.
Client Name / Contact Name	Enter the name(s) of the project's client. Enter the name of the project contact person from the Client's organization.
Address / Phone # / Fax #	Enter the address, telephone number, and fax number of the Client Contact.
Project Objectives	Enter the high-level objectives of the project.
Contractor's Involvement	Enter a description of the project roles and responsibilities of the Contractor's organization for the project.
Project Benefits	Enter a high-level description of the benefits that were to be achieved by the project.
Size of System	Enter the requested statistics about the project, as applicable.
Project Measurements	Enter the Total Estimated Cost, Total Actual Cost, Total Estimated Hours, Total Actual Hours, Estimated Start and Completion Dates and Actual Start and Completion Dates for the Contractor's component of the project.
Success Statistics	Enter responses to the questions based upon the Contractor's component of the project.

PROJECT/CLIENT REFERENCE FORM – PAGE 1

Contractor Name: _____ Contact Name: _____

Date: _____ Phone #: _____

Project Name: _____

Client Name: _____ Contact Name: _____

Address: _____ Phone #: _____

_____ Fax #: _____

Project Objectives: _____

_____

_____

Contractor's Involvement: _____

_____

_____

Project Benefits: _____

_____

_____

Size of System: # of Records: _____

# of Users: _____ Size of Database: _____

# of Workstations: _____ Name of DBMS: _____

# of Geographically-disbursed Locations: _____

Type of Network (i.e., LAN and/or WAN): _____

PROJECT/CLIENT REFERENCE FORM – PAGE 2

PROJECT MEASUREMENTS:

Total Est. Cost: _____ Total Actual Cost: _____

Total Est. Hours: _____ Total Actual Hr.: _____

Est. Start & Completion Dates: From: _____ To: _____

Actual Start & Completion Dates: From: _____ To: _____

SUCCESS STATISTICS:

Was the project/contract terminated prior to successful conclusion? Yes _____ No _____

Were the Contractor's total billings increased by more than 10% of the original contract amount: Yes _____ No _____

Did the Contractor's delivery schedule increase by more than 90 days from the original delivery schedule: Yes _____ No _____

When was the original delivery schedule developed – prior to Contract Award or after Contract Award? _____

If the answer was "yes" to any of the questions above, please provide an explanation below:

_____

_____

_____

_____

_____

_____

EXHIBIT II-4. FINAL PROPOSAL TRANSMITTAL FORM

Bidders are required to complete this Exhibit and include it as part of their Final Proposal. It serves to validate their offer and agreement to the terms and conditions of the RFP. The Bidder, by signing below, (1) acknowledges and agrees to the terms and conditions of this RFP, (2) agrees that it will provide the goods and services detailed in its proposal, for the price quoted, and (3) that the person signing below has contractual authority to bind the bidding company.

Bidder organization name:		
Bidder organization address:	Street:	
	City:	
	State:	Zip:
Printed name of authorized person who can bind the company:		
Signature of authorized person:		
Title of person signing the Bid:		
Phone number of Person signing Bid:		
Date signed:		

III. SYSTEM OVERVIEW

This Section provides background information on the existing CMS Net system as well as the three (3) planned system enhancements included in this procurement.

III.A. Current System

III.A.1. CMS Net Overview

The CMS Branch administers several programs that provide health care services to California children. Two of these programs, CCS and GHPP, use the CMS Net system to provide medical case management, including eligibility determination and prior authorization of services, to assure that program clients receive timely and medically appropriate care from qualified providers.

The CCS program provides services to low income children under the age of 21 with physically handicapping conditions including birth defects, chronic diseases, serious infectious diseases, and severe injuries. CCS is administered by county health departments or, for small counties, by three State CMS Branch regional offices. It is estimated that there are currently 165,000 children registered in the CCS program, approximately 75 percent of whom are also Medi-Cal eligible. The non-Medi-Cal CCS children are from families with annual incomes of less than $40,000 or children whose medical costs exceed 20 percent of their families' annual income. The State and counties equally share the cost for children who are not Medi-Cal eligible. If a child is enrolled in a Healthy Families (HF) plan, the State and counties equally share the 35 percent non-federal share of costs.

GHPP covers Californians with genetic diseases such as cystic fibrosis, hemophilia, sickle cell disease, and specific metabolic diseases. There are approximately 2,000 clients enrolled in GHPP; almost all of them are over 21 years of age, About half are Medi-Cal eligible. Services provided to non-Medi-Cal eligible GHPP clients are funded by the General Fund. GHPP is administered on a statewide basis by the CMS Branch.

The CMS Net system is comprised of two separate applications that support CCS and GHPP. This system was adopted from San Diego County's CCS System around 1992 and was modified for DHS around 1993. CMS Net is a secured, public domain system which allows connected counties and authorized State staff online access to case management services, functions, and patient records. CMS Net users include health care professionals and case managers as well as administrators located at the counties, regional and State offices.

CMS Net is used to support the CCS/GHPP programs in conducting administrative and fiscal activities such as:

- Data collection and analysis
- Quality assurance
- Fiscal planning and forecasting
- Trend analysis
- Federal Title V planning and reporting

CMS Net includes the following system features:

- Mailbox function that allows for on-line communication between CMS Net system users to send/retrieve notifications of required or incurred actions related to a case. Also includes a broadcast system to inform all users of upcoming system changes or program-related events.
- Patient registration that allows for the registration of a potentially CCS/GHPP eligible client on CMS Net. All referred CCS and GHPP cases are registered in CMS Net.
- Automated linkage to the Statewide Client Index (SCI) that allows the system to obtain a Client Index Number (CIN) for the patient registration record.
- On-line inquiry to the Medi-Cal Eligibility Data System (MEDS) to view Medi-Cal eligibility, however, at this time there is no automated mechanism to populate CMS Net from MEDS.
- On-line inquiry from external entities to eligibility information via EDS Point of Service (POS) System.
- Auto-generation of correspondence (letters) to patient's family, providers, caseworker and other entities involved.
- A user maintained vendor file that contains names and addresses of providers.
- Service authorization recording that allows for issuance, cancellation, denial and modification of service authorization requests from providers.
- Event tracking that allows for the processing and monitoring of the following activities:
  - Patient Registration and application processing
  - Medical report requests
  - Medical eligibility determination
  - Financial/residential eligibility determination
  - Narrative generation and editing
  - Correspondence generation
  - Display of patient related events
  - Establishment and review of automated ticklers
- Automatic and ad-hoc report generation that allows user and management reports to be automatically generated. Ad-hoc reports are also available through requests to CMS Branch support staff.
- Standard security features for authorized users.

As of June 2002, CMS Net is used by 50 of the 58 counties within the State of California. The maximum number of concurrent users is approximately 440, with approximately 1,350 total CMS Net logon ids. The system maintains approximately 198,000 total CCS cases and 3,500 total GHPP cases (this includes all statuses: active, pending, denied and closed). If all counties converted, the potential caseload and total logon ids would approximately double,

and the maximum number of concurrent users would be 1000. Historically, there has been an average 20% annual growth rate in the number of cases on CMS Net.

The average daily transaction load processed is approximately 180,000. This includes processing narratives, authorizations, referrals, SCI exchange, and MEDS inquiries.

III.A.2. Current Technical Architecture

CMS Net runs on an IBM RS6000 AIX/Unix platform that is physically located at the Health and Human Services Data Center (HHSDC). The application programming language is Intersystems Caché™ (version of ANSI standard M (MUMPS)). The system is built in Fileman, a public domain M based data base management system (DBMS). CMS Net has been recently converted to the CyberTools user interface management system for full-screen character user interface.

The system is accessed via Telnet over TCP/IP in one of three ways:

- via the CMS Branch's Local Area Network (LAN) for State staff;
- through county LANs and HHSDC-supported routers for those counties who have that technology available; or
- via state-leased terminals and controllers.

The application requires VT-220 for both communications and keyboard mapping.

Figure 1 depicts the current system architecture of CMS Net and the interfaces between CMS Net, HHSDC and Electronic Data Systems (EDS). A description of the technical platform and interfaces depicted in Figure 1 is contained in the sections immediately following the diagram.

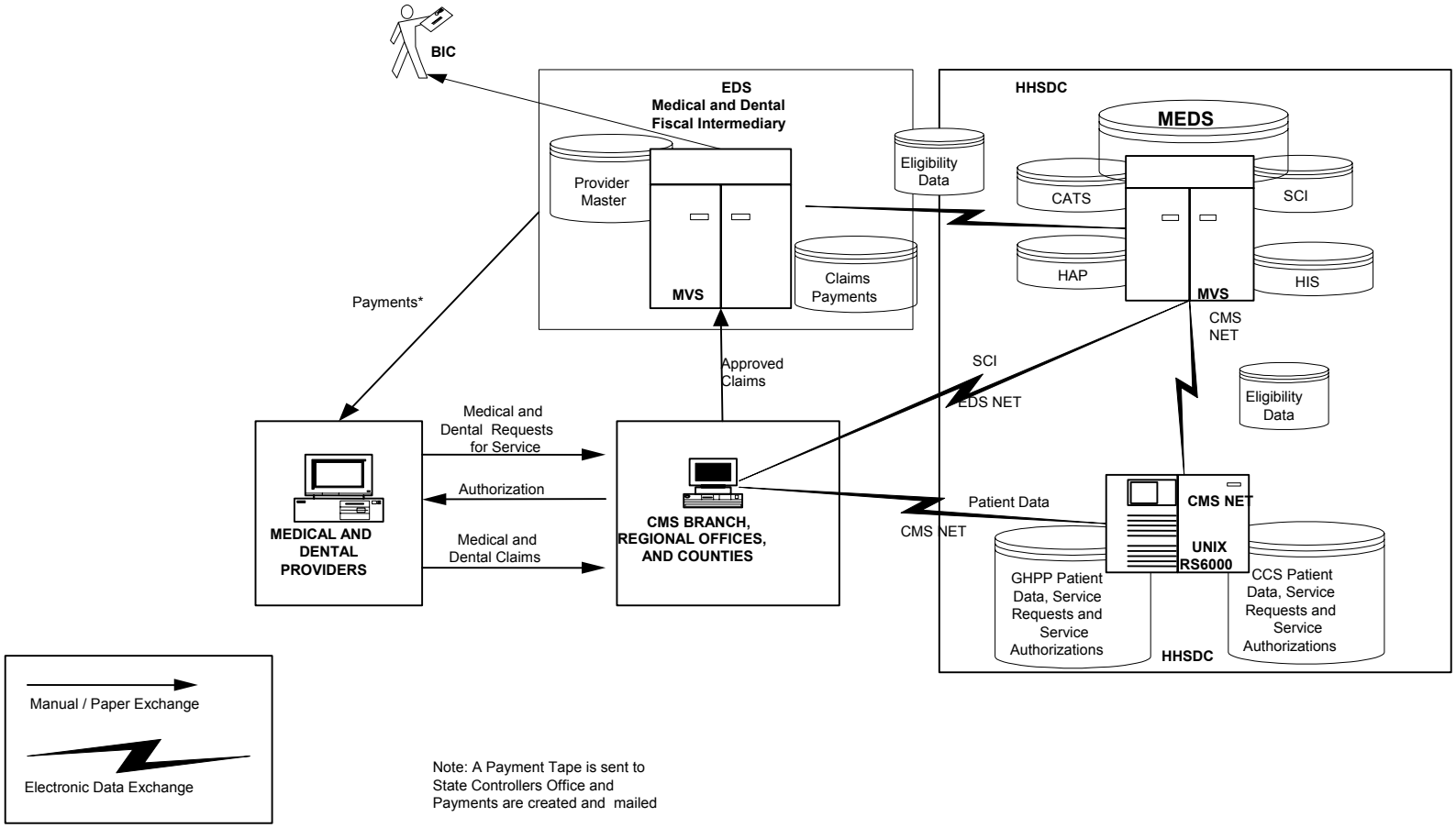

Figure 1. CMS Net Current Architecture Diagram

III.A.3. Hardware and Software

III.A.3.a. CMS Net Production Server

Table 4. System Information

HOST NAME	SERVER TYPE	OS	# PROCESSOR	PROCESSOR SPEED/TYPE
cmsnet	RS/6000 AIX-SP/2	4.3.3.0	2	375 MHz/Power3_SMP_Wide

Table 5. Data Base Information

VENDOR NAME	DATA BASE	RELEASE	# OF LICENSES
Veteran's Administration	FileMan (M Language Database)	CMS/22. GHPP/22.	Unlicensed (Public Domain)

Table 6. Development Tools

VENDOR NAME	DEVELOPMENT SOFTWARE	RELEASE	# OF LICENSES
InterSystems	Caché (M Language Interpreter)	3.2.3	550
CyberTools, Inc.	The CyberTools® Development Suite (includes CyberJ® / CyberTools for Java & The Web, CyberWin!®, CyberBus®, CyberM® and CyberTools® Object Library)	15.	550

III.A.3.b. CMS Net Test and Development Server

Table 7. System Information

HOST NAME	SERVER TYPE	OS	# PROCESSOR	PROCESSOR SPEED/TYPE
cmstrain	RS/6000 AIX-SP/2	4.3.3.0	1	1 GHz/Power4

Table 8. Data Base Information

VENDOR NAME	DATA BASE	RELEASE	# OF LICENSES
Veteran's Administration	FileMan (M Language Database)	CMS/22. GHPP/22.	Unlicensed (Public Domain)

Table 9. Development Tools

VENDOR NAME	DEVELOPMENT SOFTWARE	RELEASE	# OF LICENSES
InterSystems	Caché (M Language Interpreter)	3.2.3	40 (10 available to the Contractor)
CyberTools, Inc.	The CyberTools® Development Suite (includes CyberJ® / CyberTools for Java & The Web, CyberWin!®, CyberBus®, CyberM® and CyberTools® Object Library)	15.	Departmental License

III.A.4. Automated Interfaces

III.A.4.a. Medi-Cal Eligibility Data System (MEDS) Interface to Electronic Data Systems (EDS)

The MEDS interfaces to EDS via a nightly batch FTP process. The interface contains the CCS eligibility information. The information is available to providers via the Point of Service process maintained by EDS.

III.A.4.b. CMS Net Interface to MEDS

CMS Net transmits information to MEDS on a daily basis. There are three main types of transactions to MEDS. The GZ20 transaction is generated when a new client record/add or update of client eligibility is made. The GZ12 transaction is generated when the 'Known to CMS' and 'Notify CMS' indicators are modified by the system administrator. The GZ10 transaction is generated upon a Social Security Number change. GZ transactions are transmitted to MEDS at 2:00 p.m. daily using scheduled task manager job. GZ transactions contain identification and demographic data.

Client Eligibility information is transmitted to MEDS for storage on the Health Access Program (HAP) database. HAP is a full replacement file transmitted daily. HAP contains data for Active/Closed CCS cases for the last three years. The HAP transaction is transmitted to MEDS at 8:00 p.m. daily using a scheduled task manager job.

III.A.4.c. CMS Net Interface to Statewide Client Index (SCI)

When a case is initially registered on CMS Net, a transaction with five core data elements is sent to the DHS Statewide Client Index (SCI) system to determine if the child already has a Client Index Number (CIN). CMS Net users are presented with a selection list if more than one possible "match" is located. If a number is located it will be added to the child's CMS Net record. If a match is not made, a new number will be assigned by the SCI system.

Using the CIN number, the CMS Net system allows users (through the CATS hub) to obtain current and historical (up to 15 months) Medi-Cal eligibility information. Users have the ability to post the Medi-Cal eligibility data to a log file for historical reference or to post the Medi-Cal number and Share of Cost data directly to the Insurance/Other Coverage screen within the CMS Net application.

III.B. System Enhancements

Three (3) system enhancements are included in this procurement. The planned physical environment and each of these enhancements are described below.

III.B.1. Planned Physical Environment

CMS Net will continue to run on the RS6000 AIX/Unix mini-computer located at HHSDC. The enhancements as currently planned will incorporate Intersystems Caché™ (Caché) as the database management system. Caché is a superset of the M language and a shell of utilities that allows ODBC compliance, SQL and a GUI front end. CyberTools is used to develop the full-entry screens. Browser-based technology must be used for the Provider Enrollment and Service Authorization phases; however, the specific technologies to support these features

must be proposed by the Bidder and included in the Technical Approach (see Section V.N, Technical Approach). Access to the system will continue via Telnet over TCP/IP in one of three ways:

- via the CMS Branch's Local Area Network (LAN) for State staff;
- through county LANs and HHSDC-supported routers for those counties who have that technology available; or
- via state-leased terminals and controllers.

Figure 2 depicts a functional system architecture and the interfaces between CMS Net, MEDS, Delta Dental and EDS once the system enhancements are completed. A description of the technical platform and interfaces depicted in Figure 2 is contained in the sections immediately following the diagram.

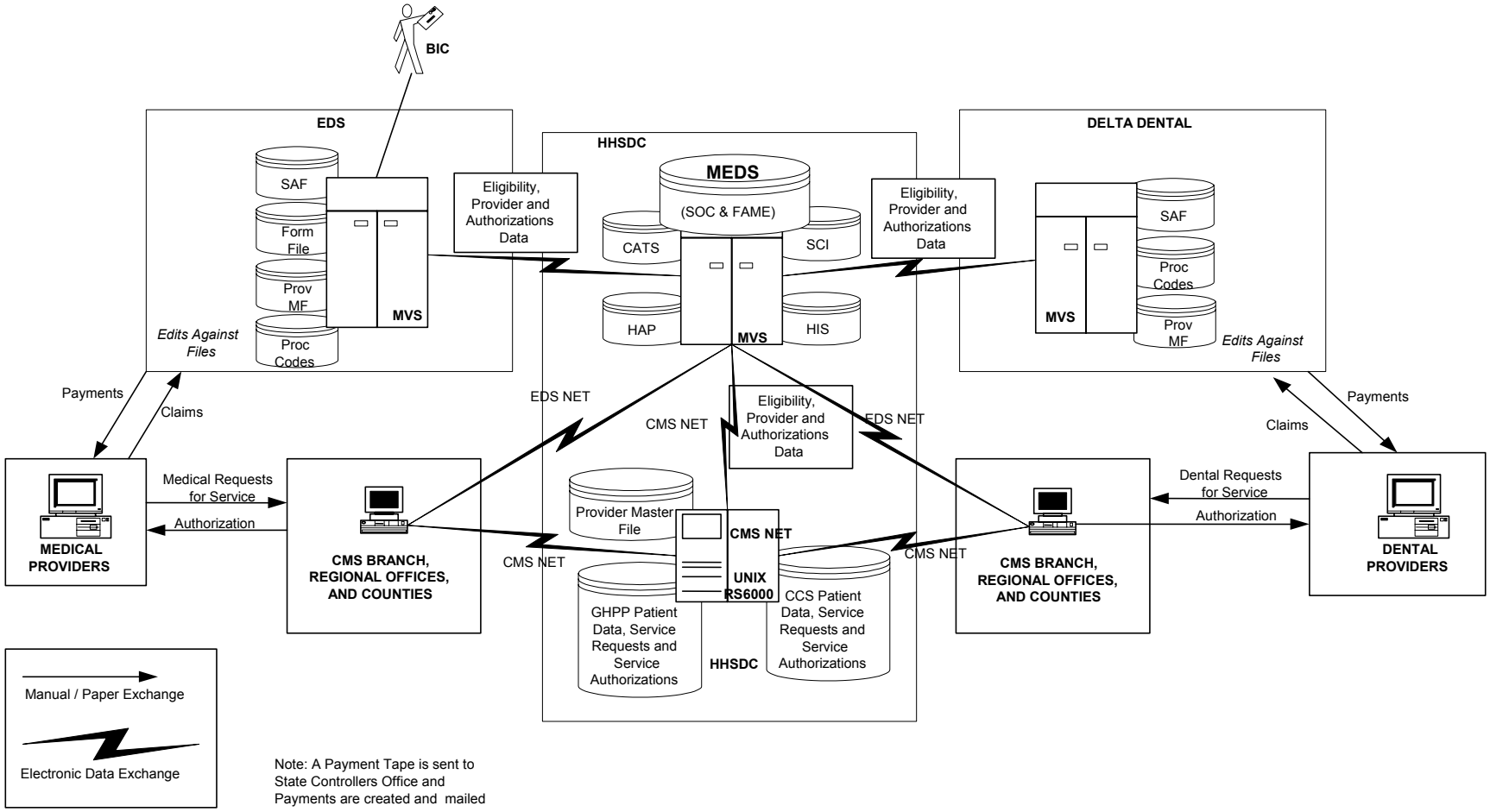

Figure 2. Future Functional CMS Net Architecture

III.B.2. CCS Client Eligibility System Phase II – Insurance

III.B.2.a. Overview

The CCS Client Eligibility System Phase II – Insurance provides health insurance information add/update capabilities from CMS Net to MEDS Health Insurance System (HIS).

This enhancement provides several benefits to the program and the State:

- All CCS eligible children's health insurance information, for the counties using CMS Net, will be added to the MEDS HIS database allowing the claims payment system to enforce 'payer of last resort logic'.
- Benefits Identification Card (BIC) will display insurance information for CCS clients.
- Allows inquiry, retrieval and storage of Medi-Cal and Healthy Families eligibility information for CCS clients on CMS Net.
- Allows access to timely CCS eligibility information by all users of the MEDS system.
- Puts in place more full screen edit mode development, towards the ultimate goal of complete elimination of the 'roll and scroll' design technique in CMS Net.

III.B.2.b. Technical Platform Considerations

The technical platform for CCS Client Eligibility Phase II – Insurance will be the current technical architecture as stated in Section III.A.2, Current Technical Architecture, of this document.

III.B.2.c. Interfaces

The interface for this phase will be with MEDS. The interface will include transaction types HI39 and HI40 as stated in the Functional Specification Document for CCS Client Eligibility Phase II – Insurance. The transactions will be generated by an existing daily transaction generator component in a batch mode and sent to the MEDS system via FTP. Transactions will be processed by the MEDS systems. Errors will be recorded and posted on MEDS.

III.B.3. Provider Enrollment

III.B.3.a. Overview

The Provider Enrollment phase of CMS Net E47 will create completely new functionality for CMS Net users. While some business functions will remain the same (e.g., site review by medical consultants to assess provider qualifications), much of the manual processing will be eliminated. The Provider Enrollment phase will include these features:

- Automated tracking of provider paneling applications
- Accurate provider data available through CMS Net for service authorization processing
- Elimination of the CGP Number and instead use the Medi-Cal provider ID
- Automated update to the fiscal intermediary (FI) Provider Master files
- Automated letter generation

- Automated Special Care Center Directory generation
- Automated upload of provider data from the FI to CMS Net
- Access to provider data by all CMS Net users
- Centralize all data relating to providers
- Reduce provider enrollment related paperwork
- Simplify/streamline enrollment processing procedures
- Improve provider enrollment integrity
- Enable regional offices, counties and other resources to quickly access provider information and to verify paneling status
- Enable staff to maintain provider files more efficiently
- Create a single source for inquiries relating to provider enrollment

III.B.3.b. Technical Platform Considerations

The technical platform considerations will be the same as the current technical architecture for the hardware configuration. Caché will continue to be used as the database. A new browser-based user presentation and component-based business rules processes will be deployed for this phase.

III.B.3.c. Interfaces

The Provider Enrollment phase will have interfaces with the FI's through HHSDC. CMS Net will send add and update transactions to HHSDC via FTP then on to the FI's. The FI's will process the requests and post confirmation and errors for the transactions. The FI's will then extract CCS provider information from their master files and send it to CMS Net via FTP. CMS Net will apply the updated provider information to its database.

The CMS Net Provider information will also interface with the existing Client Eligibility component as well as the new CCS Service Authorization component.

III.B.4. CCS Service Authorizations

III.B.4.a. Overview

The enhancements related to the CCS Service Authorization process will not significantly change the manner in which requests are received, processed and approved by CCS case managers. However, the system enhancements are significant in that they are expected to greatly improve the efficiency of the review process and expedite the turn around time for claims processing. The CCS Service Authorization phase will include these features:

- New browser-based user presentation
- Access to accurate provider data online through CMS Net
- Services entered by selecting a valid procedure code or by searching procedure description, in addition allows for units, quantities and amounts to be entered
- Ability to extend, modify, deny and cancel a request will continue to be provided

- Real-time transmission of authorization transactions sent to the FI's for use in adjudicating claims
- On-line inquiry access to the fiscal intermediary service authorization and claim files
- The automation of this function will eliminate a great deal of manual workload currently performed by the FI

III.B.4.b. Technical Platform Considerations

The technical platform considerations will be the same as the current technical architecture for the hardware configuration. Caché will continue to be used as the database. A new browser-based user presentation and component-based business rules processes will be deployed for this phase.

III.B.4.c. Interfaces

The CCS Service Authorization will have interfaces with the FI's through HHSDC. CMS Net will send add and update transactions to HHSDC via FTP, which are then sent on to the FI's. CMS Net will create and send transactions nightly for approved authorizations to the FI's to be used during the claims adjudication process. The FI's will send back information regarding the authorization as it changes to reflect claims against it.

The CMS Net Service Authorization information will also interface with the existing Client Eligibility component as well as the new Provider Enrollment component.

III.C. Bidders' Library

III.C.1. Bidders' Library Contact

The Bidders' Library Contact may be contacted only for the purpose of information from the Bidders' Library. All other communication between Bidders and the State must be with the Department Official noted in Section I.E.

The Bidders' Library Contact is:

Terry Daffin, Project Manager
Department of Health Services
1515 K Street, Room 400
Sacramento, CA 94234
Phone: (916) 327-3075
tdaffin@dhs.ca.gov

III.C.2. Bidders' Library Contents

The Bidders' Library contains the following documents:

DOCUMENT NAME	ORIGINATING ENTITY	DOCUMENT DATE
Documentation for the CMS Net Database System Version 1.2	D-M Information Systems, Inc.	November 27, 2001
Draft SMCR 2001-20: Automated Processes to Manage General User Access to CMS Net	D-M Information Systems, Inc.	August 15, 2001
Amendment To Patient Identification to Support	Visionary Integration	September 11, 2000

DOCUMENT NAME	ORIGINATING ENTITY	DOCUMENT DATE
User Security	Professionals, Inc.	
User Security Functional Design Specifications	Visionary Integration Professionals, Inc.	April 12, 2000
CMS Net E47 Special Project Report	Department of Health Services	December 2001
DHS CMS Net / GHPP Change Management Process	Department of Health Services	January 9, 2002
CMS Net E47 Risk Management Plan	Department of Health Services	December 2001
DHS - HHSDC Service Level Agreement for CMS Net	Department of Health Services / Health and Human Services Agency Data Center	December 28, 2000
Statement of Work, D-M Information Systems, Inc.	Department of Health Services	July 2002
This Computes! CMS Net Designated Holiday Schedule – 2002	Department of Health Services	October 26, 2001
CMS Net Incident Reports – 6/1/2002 – 8/23/2002	Department of Health Services	August 2002
CMS Net Sample SMCR – Small, Medium, Large	Department of Health Services	August 2002
CMS Net SMCR/WR Outstanding List	Department of Health Services	August 2002
CMS Net System Metrics and 2 Sample Routines	Department of Health Services	September 2002
Provider Applications	Department of Health Services	September 2002

IV. ADMINISTRATIVE REQUIREMENTS

IV.A. Request for Additional Information Notice

If during the evaluation process the State is unable to assure itself of the Bidder's ability to perform under the Contract if awarded, the State has the option of requesting from the Bidder any financial or past performance information which the State deems necessary to determine the Bidder's responsibility. If such information is required, the Bidder will be so notified and will be permitted five (5) State working days to submit the information.

If the information submitted by the Bidder, or available from other sources, is insufficient to satisfy the State as to the Bidder's contractual responsibility, the State may ask for additional information or reject the proposal. The State's determination of the Bidder's responsibility, for the purpose of this RFP, shall be final.

Bidder agrees to the above requirement? Yes_____ No_____

IV.B. Small Business Participation Encouragement

Public Contract Code 14845. (c) states, "Whenever the director consolidates the needs of multiple state agencies and establishes a contract for repetitively purchased or commonly needed goods or services, the director shall both encourage Bidders to utilize small business suppliers and subcontractors whenever practicable to further ensure that a fair proportion of needed goods and services are obtained from small businesses."

Bidders responding to this RFP are encouraged to utilize small businesses whenever possible.

Bidder agrees to the above requirement? Yes_____ No_____

IV.C. Disabled Veteran Business Enterprise (DVBE) Participation

The Bidder's Final Proposal must contain the completed forms from DGS' website depending on the option you choose for DVBE Participation. To review the instructions and complete the appropriate form(s), see http://www.pd.dgs.ca.gov/default.asp?mp=osbcr/dvbepp/.

For this procurement, the State has a Disabled Veteran Business Enterprise goal of three percent (3%) of the Total Summary Cost proposed in response to the requirements of this RFP. Failure to comply with the DVBE participation requirement may cause your solicitation response to be considered non-responsive and ineligible for contract award. To meet this requirement the bidder must do at least one of the following: 1) Meet the contract goal of 3% of the sum of the Total Cost from Cost Tables 1 - 3 in the proposal; 2) Provide documentation as prescribed to show that the bidder has done a "Good Faith Effort"; or 3) provide evidence that the bidder has an approved DVBE Utilization Plan with the Department of General Services, Procurement Division. Note that, at the time that a Bidder submits the Draft Proposal, the Bidder may not have calculated the DOLLAR VALUE of the total cost proposed in response to the requirements of this RFP. For this reason, if the Bidder claims to meet the DVBE goal in the Draft Proposal, **the Bidder shall identify a percentage figure** (of 3% or more of the sum of the Total Cost from Cost Tables 1 - 3 in the proposal) representing the rate of participation **rather than an actual dollar figure**. This data shall be

identified on the DISABLED VETERAN BUSINESS ENTERPRISE PARTICIPATION SUMMARY form (STD. 840 Revised 7/98) in the column marked "CLAIMED DVBE VALUE". **IF THE DRAFT PROPOSAL IS SUBMITTED CONTAINING ANY DOLLAR FIGURES, THE BIDDER'S DRAFT PROPOSAL MAY BE REJECTED AND THE BIDDER PROHIBITED FROM FURTHER PARTICIPATION IN THIS PROCUREMENT.**

At the time that a Bidder submits the Final Proposal, the Bidder will have calculated the DOLLAR VALUE of the total cost proposed in response to the requirements of this RFP. For this reason, if the Bidder claimed to meet the DVBE goal in the Administrative Proposal, **the Bidder shall identify the actual dollar figure** (3% of the sum of the Total Cost from Cost Tables 1 - 3 in the proposal, or more) representing the rate of participation for each proposed DVBE subcontractor. This data shall be identified on the DISABLED VETERAN BUSINESS ENTERPRISE PARTICIPATION SUMMARY form (STD. 840 Revised 7/98) in the column marked "CLAIMED DVBE VALUE" and submitted ONLY as part of the Bidder's separately sealed cost proposal. **COST FIGURES SHALL ONLY APPEAR IN THE BIDDER'S SEALED FINAL COST PROPOSAL. IF THE NON-COST PORTION OF THE FINAL SOLUTION PROPOSAL IS SUBMITTED CONTAINING ANY DOLLAR FIGURES, THE BIDDER'S FINAL SOLUTION MAY BE REJECTED AND THE BIDDER PROHIBITED FROM FURTHER PARTICIPATION IN THIS PROCUREMENT**

Bidder agrees to the above requirement? Yes_____ No_____

IV.D. Notice Regarding Bidding Preferences

The following provisions address various bidding preferences. They will factor in the determination of the winning Bidder.

1. Small Business Preference

- Section 14835, et seq. of the California Government Code requires a 5% preference be given to Bidders who qualify as a small business. Small businesses are desired and encouraged to participate in this RFP.
- To claim the small business preference, the firm must have its principal place of business located in California, have a complete application (including proof of annual receipts) on file with the Office of Small Business and Disabled Veteran Business Enterprise Certification by 5:00 p.m. on the date the Final Proposal is due, and be verified by such office. Questions regarding the preference approval process should be directed to the Office of Small Business and Disabled Veteran Business Enterprise Certification at (916) 375-4940.
- Proposals submitted by certified small business and microbusinesses will be scored after consideration of the small business preference. The score of all certified small businesses shall be adjusted as follows: a preference equal to 5% of the highest responsible bidder's total score shall be computed and shall constitute the small business preference amount. The preference amount shall be added to the proposals submitted by all responsive certified small business Bidders.

- Proposals submitted by non small businesses that utilize a small business or microbusiness subcontractor will be scored after consideration of the following small business preference. The participating small business and/or microbusiness must submit a letter to the State as part of the Cost Proposal that identifies the amount of the proposed costs that are to be paid to the small business and/or microbusiness. A sample of this letter may be found in Appendix F. If multiple small and/or microbusinesses are utilized, their participation shall be added together for consideration. The score for the bidder shall be adjusted as follows: for all proposals that have small business and/or microbusiness participation equal to or greater than $50,000, a preference equal to 5% of the highest responsive/responsible bidder's total score shall be computed and shall constitute the small business preference. Where participation by the small business and/or microbusiness is less than $50,000, points shall be awarded on the following formula:

$$\frac{\text{Small Business/Microbusiness participation}}{\$\ 50{,}000} \times \text{Highest Point Proposal Score} \times 5\% = \text{Small Business Preference}$$

Example where a bidder proposes to use a small business for $25,000 worth of work and the Highest Point Proposal Score is 920 Points.

$$\frac{\$25{,}000}{\$\ 50{,}000} \times 920 \times 5\% = 23$$

The preference amount shall be added to the Bidder's proposal.

ALL BIDDERS, PLEASE CHECK THE APPROPRIATE LINE:

_____ I am a certified small business and/or microbusiness and the Small Business Preference is applicable to this bid. A copy of my certified form from the Office of Small Business and Disabled Veteran Business Certification is attached.

_____ I have recently filed for small business and/or microbusiness preference but have not yet received certification.

_____ I am not a certified small business and I am not claiming the small business preference.

_____ I am not a certified small business but I am using a small and/or microbusiness as a subcontractor.

Name of Small Business:

_____

2. Target Area Contract Preference Act (TACPA)

Target Area Contract Preference will be granted to California based firms in accordance with Government Code Section 4530 whenever contracts for goods or services are in excess of $100,000 and the Bidder meets certain requirements as defined in the California Administrative Code (Title 2, Section 1806.30 et seq.) regarding labor needed to provide the goods being procured.

Bidder's questions regarding this preference are to be directed to the Office of Small Business and Disabled Veteran Business Certification, 707 3rd Street, Second Floor, West Sacramento, California, 95605. Bidders desiring to claim this preference must submit a fully executed copy of the ***Standard Form 830***, with their Final Proposal, which can be found at:

http://www.osp.dgs.ca.gov/StandardForms/Forms+Search.htm

If this preference is being sought, please check here:_____

3. Enterprise Zone Act (EZA)

Government Code Section 7070, et seq., provides that California based companies may be granted preferences when bidding on State contracts in excess of $100,000 for goods and services (excluding construction contracts) if the business site is located within designated "Enterprise Zones". Bidders desiring to claim this preference must submit a fully executed copy of the ***Standard Form 831S*** with their Final Proposal, which can be found at:

http://www.osp.dgs.ca.gov/StandardForms/Forms+Search.htm

If this preference is being sought, please check here:_____

4. Local Agency Military Base Recovery Act (LAMBRA)

California Government Code Section 7118, et seq. provides that California based companies may be granted preferences when bidding on State contracts in excess of $100,000 if they qualify and apply for the LAMBRA preference.

Bidders desiring to claim this preference must submit a fully executed copy of the ***Standard Form 832,*** with their Final Proposal, which can be found at:

http://www.osp.dgs.ca.gov/StandardForms/Forms+Search.htm

If the preference is being sought, please check here:_____

NOTE: Bidders are not required to apply for TACPA, EZA, or LAMBRA preferences. Denial of TACPA, EZA, or LAMBRA preference requests is not a basis for rejection of the Proposal.

Contracts awarded with applied preferences will be monitored throughout the life of the contract for compliance to statutory, regulatory and contractual requirements. The State will take appropriate corrective action to apply sanctions as necessary to enforce performance programs.

V. STATEMENT OF WORK

PART ONE - GENERAL TERMS AND CONDITIONS

V.A. Payment Terms and Conditions

V.A.1. Maximum Contract Amount – System Enhancements

The maximum total fixed-price cost for the three (3) System Enhancements, detailed in Section V, Part Three – System Enhancements, and included in Cost Table 1 – System Enhancements, shall not exceed $2,144,000.

Bidder agrees to the above requirement? Yes_____ No_____

V.A.2. Payment Methodology

The payment methodology for this Contract is as follows:

- Costs for the three (3) System Enhancements, detailed in Section V, Part Three – System Enhancements, will be on a fixed-price basis. The fixed-price cost for each enhancement is included in Cost Table 1 – System Enhancements.
- Costs for System Maintenance, detailed in Section V, Part Four – System Maintenance, will be on a time and materials basis via approved Maintenance Request Authorizations. The approved Maintenance Request Authorization will contain a CMS Branch approved cost estimate. This CMS Branch approved cost estimate will be the **maximum** amount that the Contractor is authorized to invoice the State for services provided under that Maintenance Request Authorization. Any additional hours required to complete the services under the Maintenance Request Authorization will be at no cost to the State. The Contractor will bill the State for only the actual hours worked. The maximum hourly billing rate for each job classification is included in Cost Table 2 – System Maintenance.
- Costs for Systems Operation, detailed in Section V, Part Five – System Operations, will be on a fixed-price basis. The fixed-price monthly cost is included in Cost Table 3 – System Operations.
- Travel costs, or any other Contractor costs not specifically included in this Statement of Work or authorized in writing by the State, will not be reimbursed by the State.

The Payment Schedule to the Contractor for work completed under this Contract is detailed in Table 10:

Table 10. Payment Schedule

COMPONENT	PAYMENT SCHEDULE
System Enhancements	The Contractor may invoice the State for up to 80% of each System Enhancement cost after User Acceptance testing has been successfully completed for that enhancement. The Contractor may invoice the State for the remaining 20% of the cost after all major defects identified during the first sixty (60) calendar days of production for the enhancement have been corrected. [Note: The State will make the final determination of the class of

COMPONENT	PAYMENT SCHEDULE
	any defect identified (i.e., minor or major).]
System Maintenance	The Contractor may invoice the State monthly in arrears for approved Maintenance Request Authorizations that have been completed and accepted by the State. Invoices for Maintenance Request Authorizations that span multiple months cannot be submitted until the entire Maintenance Request Authorization has been completed and accepted by the State.
System Operations	The Contractor may invoice the State monthly in arrears for System Operations services.

Bidder agrees to the above requirement? Yes_____ No_____

V.B. Independent Project Oversight Review Provision

The State will utilize an Independent Project Oversight Consultant (IPOC) who will verify and validate the selected contractor's performance and deliverables provided under this contract. The Contractor must work cooperatively with the State's IPOC.

Bidder agrees to the above requirement? Yes_____ No_____

V.C. Executive Committee

Should the Contractor Project Manager and the State Project Manager not be able to agree on a resolution to any particular issue, the Contractor and the State agree to raise the issue to an Executive Committee prior to the assertion of rights under the Contract's Dispute provisions (see Appendix A). The Executive Committee, made up of the State's Project Manager, the Contractor's Project Manager, the CMS Net E47 Steering Committee, and a senior representative from the Contractor's firm that is at least two (2) reporting levels above the Contractor Project Manager, or the designees or successors thereof (the "Executive Committee"), will be convened and a resolution decided within five (5) State working days from the date that the Executive Committee is convened. Either project manager may request the Executive Committee to convene, and the Committee will convene in person or by telephone within three (3) State working days of such a request. The Executive Committee will use whatever resources it deems necessary to seek a rapid and just resolution to an issue at the Executive Committee level. If resolution cannot be reached at the Executive Committee level within the time frame prescribed above, either party may assert its other rights and remedies as provided by the Contract.

Bidder agrees to the above requirement? Yes_____ No_____

V.D. Liquidated Damages

The Contractor agrees that in addition to all other remedies available to the State, the State may collect, prior to Acceptance and/or payment, Liquidated Damages in the amounts specified below under the following circumstances:

1. If the Contractor does not submit one or more of the Deliverables identified in Exhibit V-1, Contract Deliverables, on time or if the Contractor does not correct the deliverables within the specified time identified in the State-approved Project Work Plan, the State may assess the Contractor Liquidated Damages for each deliverable not provided for each

calendar day thereafter, until the Contractor provides the Deliverable. The amount of Liquidated Damages to be assessed is based on the Category of the Deliverable, as stated on Exhibit V-1, Contract Deliverables.

a. For Category 1 Deliverables, Liquidated Damages will be assessed in the amount of $2,000 per calendar day.

b. For Category 2 Deliverables, Liquidated Damages will be assessed in the amount of $750 per calendar day.

c. For Category 3 Deliverables, Liquidated Damages will be assessed in the amount of $200 per calendar day.

2. If the State does not accept one or more of the Deliverables identified in Exhibit V-1. Contract Deliverables by the date specified in the State-approved Project Work Plan because the Deliverable does not meet the acceptance criteria approved in its Deliverable Expectation Document (see Section V.J.10, Standards for Acceptance of Deliverables), the State may assess the Contractor Liquidated Damages for each deliverable not accepted for each calendar day thereafter, until the State accepts the Deliverable. The amount of Liquidated Damages to be assessed is based on the Category of the Deliverable, as stated on Exhibit V-1. Contract Deliverables.

   a. For Category 1 Deliverables, Liquidated Damages will be assessed in the amount of $2,000 per calendar day.

   b. For Category 2 Deliverables, Liquidated Damages will be assessed in the amount of $750 per calendar day.

   c. For Category 3 Deliverables, Liquidated Damages will be assessed in the amount of $200 per calendar day.

   The Contractor shall not be liable for this liquidated damage for the same event that triggers liquidated damages specified in paragraph 1 of this Section.

3. Each time the Contractor does not meet the System Maintenance response times specified in Section V.S, Contractor Response Times, the State may assess the Contractor Liquidated Damages for each hour thereafter, until the Contractor responds to the State. The amount of Liquidated Damages to be assessed is based on the Priority Level of the problem, as stated in Table 12. Priority Level Response Times.

   a. For Priority Level I, Liquidated Damages will be assessed in the amount of $500 per hour.

   b. For Priority Level II, Liquidated Damages will be assessed in the amount of $200 per hour.

4. If the Contractor does not meet the system availability time specified in V.AA, System Availability, the State may assess the Contractor Liquidated Damages for each hour that the system is not available during CMS Net system production hours above the maximum downtime hours allowed per calendar month. Liquidated Damages will be assessed in the amount of $500 per hour.

The State may deduct monies owed for the Liquidated Damages from invoices as necessary to offset the full amount owed.

The State will attempt to notify the Contractor, in writing, when liquidated damages are being invoked. However, should the State fail to do so, the liquidated damages will still accrue. The State will, in any case, provide the Contractor a complete accounting for all liquidated damages.

Bidder agrees to the above requirement? Yes_____ No_____

V.E. Software Ownership

The State shall maintain full ownership of the existing CMS Net system and any modifications and enhancements developed by the Contractor under this contract, notwithstanding the License Grant provision stated in the Software Special Provisions contained in Appendix A.

Bidder agrees to the above requirement? Yes_____ No_____

V.F. Project Phase Out and Transfer to New Contractor

If the State will be transitioning to a new contracted service provider at the end of the contract resulting from this RFP the Contractor shall, during the last three (3) months of the Contract, unless a longer period is agreed upon, assist the State in migrating to the new contracted service provider. The Contractor shall provide all necessary support to facilitate a speedy and problem-free transition that does not interfere with service to clients. Failure to cooperate with or withholding any information or records requested by the State, or the new contracted service provider, that impairs in any way the transition to a different party, shall constitute a material breach of the Contract, and shall subject the Contractor to liability for all damages incurred by the State and the new contracted service provider because of such failure. Notwithstanding the above, the State may choose to consider a failure to provide the services required by this section a breach of contract and initiate default proceedings against the Contractor.

The Contractor shall provide current documentation and data files in such format and on such media as may be requested by the State. The Contractor shall develop a Transfer Plan, and submit it for State approval by the date specified in Exhibit V-1. Contract Deliverables, which identifies the necessary activities that must be accomplished prior to and during the conversion in order to be successful. The Contractor shall also work with the State and the new contracted service provider to ensure that the Transfer Plan is completed. The Contractor shall assist in all aspects of the conversion to ensure a successful transition, including, but not limited to, knowledge transfer sessions with the State and/or the new contracted service provider. The Contractor shall provide these services at no additional cost to the State.

Bidder agrees to the above requirement? Yes_____ No_____

V.G. CMS Net State Staff Resources

The estimated State staff resources that shall be available to support the CMS Net System Enhancements include:

- One (1) Full-Time State Project Manager
- Five (5) Subject Matter Business Analysts available approximately 50% of their time

Bidder agrees to the above requirement? Yes_____ No_____

PART TWO – PROJECT MANAGEMENT

V.H. Contractor Staffing

The State anticipates that the Contractor will propose a project team composed of the best-qualified staff for the Contract. The Contractor shall provide, as part of its Proposal, a comprehensive draft **Staffing Management Plan** (Plan). The draft Plan must, at a minimum, address each of the areas listed below. Key staff experience for the Contractor Project Manager, Software Architect/Senior Software Developer(s) – Caché/Unix, and Software Architect/Senior Software Developer(s) – Browser-Based Technology may be validated through reference checks. The Staffing Management Plan must address all components of the contract: System Enhancements, System Maintenance, and System Operations. The Final Staffing Management Plan must be submitted to the State for approval by the date specified in Exhibit V-1. Contract Deliverables.

Bidder agrees to the above requirement? Yes_____ No_____

V.H.1. Contractor Staff Location

Contractor Key Staff working on System Enhancements shall be located at the CMS Branch office in Sacramento, California. All other Contractor personnel working on System Enhancement activities shall be housed either at the CMS Branch office or at a Contractor's location in the greater Sacramento, California metropolitan area. The State will provide office space, chairs, and telephones for these Contractor personnel. The Contractor is responsible for providing all necessary equipment for performing development activities (hardware, software, office supplies, etc.) for its personnel. Contractor personnel shall perform only CMS Net-related State activities while at the CMS Branch office.

Contractor personnel performing System Maintenance and/or System Operations activities shall be housed either at the CMS Branch office or at a Contractor's location in the greater Sacramento, California metropolitan area. Please note the status meeting requirements in Section V.J, Project Management Practices, when determining where Contractor personnel will be located. Contractor personnel shall perform only CMS Net-related State activities while at the CMS Branch office.

The Contractor must include in Cost Table 4, for evaluation purposes only, the number of office cubicles and the period of time that the office space will be required to house Contractor personnel and equipment and the CMS Branch office. Each office cubicle is approximately 8 feet by 8 feet, has a single network connection, and can house a single occupant at any one time. The State will include this cost during the Cost Evaluation.

In addition, the Contractor must specify the address of the Contractor's location where Contractor personnel performing System Maintenance and/or System Operations activities will be housed if they are not housed at the CMS Branch office. If housed at a Contractor site, the Contractor must include in Exhibit V-3, Additional Equipment and COTS Software, for evaluation purposes only, the site address. The State will utilize this information to estimate the telecommunications cost to connect this site to HHSDC with a T1 line.

Bidder agrees to the above requirement? Yes_____ No_____

V.H.2. Staff Resource Allocation Planning

The Plan must present the Contractor's assumptions for estimating the staff resources necessary to meet the needs of the State, including the total number of full time equivalent staff in the various positions proposed. It must include detailed information about what staff will be working on what part(s) of the Contract (i.e., system enhancements, system maintenance, system operations), including the estimated start and completion dates for any staff member that is transitioned into and out of the contract. In addition, this Plan must identify subcontractor staffing, if the Contractor plans to utilize a subcontractor(s). This Plan should be consistent with the Project Work Plan (see Section V.I.1, Project Work Plan).

Contractor staff shall be required to occasionally work non-standard (other than Monday – Friday) and/or additional hours, as necessary, to meet project goals. Examples where non-standard and/or additional hours may be required include performing software upgrades, testing, production implementations, and responding to system problems.

Bidder agrees to the above requirement? Yes_____ No_____

V.H.3. Proposed Staff

For all proposed Contractor staff, the Contractor shall specify the name, position classification, and what part(s) of the Contract (i.e., system enhancements, system maintenance, system operations) the proposed staff will be assigned. The Plan shall also describe in detail the roles and responsibilities of all staff members proposed by the Bidder.

The Contractor shall provide detailed resumes for **all** proposed Contractor staff. All resumes shall be in a consistent format. In addition, for each proposed Key Staff, the Contractor must complete and submit the applicable Resume Summary Form (see Exhibit V-2).

For the Contractor Project Manager, Software Architect/Senior Software Developer(s) – Caché/Unix, and Software Architect/Senior Software Developer(s) – Browser-Based Technology, the Resume Summary Form must contain client references for all work performed which is being used to meet the Key Staff Minimum Requirements. **Information listed on the Resume Summary Forms that is incomplete or missing will not be counted toward the Key Staff Minimum Requirements.**

Bidder agrees to the above requirement? Yes_____ No_____

V.H.4. Key Staff Minimum Requirements

Each key position listed below includes a description of the responsibilities, duties, and minimum experience required of that position. **For each key position, the proposed staff shall be designated as Key Staff. NOTE: Key Staff shall perform at least seventy-five percent (75%) of all work (i.e., system enhancements, system maintenance, and system operations.)**

Key Staff shall have experience in the general areas of responsibility listed for that position and shall possess good verbal and written communication skills. Note: Each position may not translate into a full-time equivalent position. The amount of effort required for each position must be estimated by the Contractor and included in the Staffing Management Plan. As a

result, it may be possible that a single individual can provide the necessary minimum requirements for more than one position.

Bidder agrees to the above requirement? Yes_____ No_____

V.H.4.a. Contractor Project Manager

The Contractor Project Manager will be responsible for the day-to-day management of the Contract including overall performance and Contract compliance. The Contractor Project Manager will be responsible for managing and coordinating the Contractor resources, including any sub-contractor resources, assigned to the contract, and ensuring that all tasks in the Project Work Plan are executed in keeping with the schedules and State requirements.

The Contractor Project Manager will identify any potential problem areas, recommend solutions, and work closely and cooperatively with the State Project Manager to resolve issues quickly and fairly. He or she will also provide the State with written status reports regarding actual progress as compared to what is projected in the work plans. The Contractor Project Manager is responsible for quality control over all deliverables submitted for review.

Minimum Requirements: *-5 years project management experience and at least 2 years of project management experience on a project(s) of at least the size (i.e., a $1 million or 6600 hour application development effort) and scope (i.e., full range of system development lifecycle activities) of this contract.*

Desirable Requirements: *-Project Management Institute Project Management Professional (PMI PMP) Certification*

-Experience working with state and/or federal government agencies

-Knowledge of public health client-based service programs

Bidder agrees to the above requirement? Yes_____ No_____

V.H.4.b. Software Architect/Senior Software Developer(s) – Caché/Unix

The Software Architect/Senior Software Developer(s) - Caché/Unix will be responsible for developing the System Architectural Design, the Software Architectural Design, and the Software Detailed Design. The position(s) will also be responsible for supporting the Business Application Development Specialist(s) in Software Requirements Analysis and for supporting the Application Developer/Programmer(s) in software coding, testing, and implementation activities.

Minimum Requirements: *-Software Architecture Skills; and*

-Experience in architecting a system(s) that utilize a Wide Area Network (WAN); and

-5 years experience in designing systems of at least the size (i.e., a $500,000 or 3300 hour application development effort) of this contract; and

-2 years of experience in utilizing Caché database management system; and

-2 years of experience architecting systems that operate on a UNIX platform;

Desirable Requirements: *-Knowledge of public health client-based service programs*

-2 years of experience utilizing Caché database management system operating on a Unix platform

Bidder agrees to the above requirement? Yes_____ No_____

V.H.4.c. Software Architect/Senior Software Developer(s) – Browser-Based Technology

The Software Architect/Senior Software Developer(s) – Browser Based Technology will be responsible for developing the System Architectural Design, the Software Architectural Design, and the Software Detailed Design. The position(s) will also be responsible for supporting the Business Application Development Specialist(s) in Software Requirements Analysis and for supporting the Application Developer/Programmer(s) in software coding, testing, and implementation activities.

Minimum Requirements: *-Software Architecture Skills; and*

-Experience in architecting a system(s) that utilize a Wide Area Network (WAN); and

-5 years experience in designing systems of at least the size (i.e., a $500,000 or 3300 hour application development effort) of this contract; and

-2 years of experience with the browser-based technology proposed by the Contractor and n-tier development knowledge.

Desirable Requirements: *-Knowledge of public health client-based service programs*

Bidder agrees to the above requirement? Yes_____ No_____

V.H.4.d. Business Applications Development Specialist(s)

The Business Applications Development Specialist(s) will be responsible for working with the State to perform requirements analysis.

Minimum Requirements: *-3 years experience in performing software requirements analysis for systems of at least the size*

(i.e., a $500,000 or 3300 hour application development effort) of this contract; and

-Experience leading joint application development sessions with users.

Desirable Requirements: *-Experience with the browser-based application development technologies proposed by the Contractor*

-Experience working with government agencies

-Experience using the CyberTools application development toolset

-Knowledge of the UNIX operating system

-Knowledge of public health client-based service programs

Bidder agrees to the above requirement? Yes_____ No_____

V.H.4.e. Application Developer/Programmer(s) – Caché/Unix

The Application Developer/Programmer(s) will be responsible for performing application coding, testing, and implementation activities.

Minimum Requirements: *-5 years experience in performing the full range of application development activities for systems of at least the size (i.e., a $500,000 or 3300 hour application development effort) and scope (i.e., full range of system development lifecycle activities) of this contract; and*

-2 years experience performing application development using Caché and Fileman on a UNIX platform using the M (MUMPS) application language

Desirable Requirements: *-Experience performing application development activities for public health client-based service programs*

Bidder agrees to the above requirement? Yes_____ No_____

V.H.4.f. Application Developer/Programmer(s) – Browser-Based Technology

The Application Developer/Programmer(s) will be responsible for performing application coding, testing, and implementation activities.

Minimum Requirements: *-5 years experience in performing the full range of application development activities for systems of at least the size (i.e., a $500,000 or 3300 hour application development effort) and scope (i.e., full range of system development lifecycle activities) of this contract; and*

	-2 years experience performing application development using the browser-based technology and data access methods proposed by the Bidder.
Desirable Requirements:	*-Experience performing application development activities for public health client-based service programs*

Bidder agrees to the above requirement? Yes_____ No_____

V.H.5. Staff Management

The Plan shall also describe how staff will be organized, managed, and where they will be located. This section shall include an organization chart that shows all Contractor staff members, task assignments, and the proposed lines of authority and communication within the Contractor's team. The Plan shall also define the internal process by which all work performed is reviewed and approved. It shall also describe how the Contractor's team will interact with State personnel. In addition, the Plan shall describe the Contractor's management structure and its methods for ensuring adequate oversight and executive direction for the contract. In addressing this area, the Contractor shall identify the corporate officer(s) to be contacted in the event that major problems arise during the performance of the Contract.

Bidder agrees to the above requirement? Yes_____ No_____

V.H.6. Staffing Changes

The Contractor shall not reassign Contractor team members if such reassignment will conflict with the work the individual is to perform on this Contract. The State recognizes that resignation or other events may cause a Contractor team member to no longer be available to the Contractor. If this should occur, the Contractor should be aware that the State Project Manager or designee must approve all staff assigned by the Contractor to the Contract prior to Contractor Staff beginning work on the Contract. This also includes substitutions made between submittal of the Final Proposal and actual start of the Contract, as well as staffing changes that may be made during the course of the Contract. Any replacement personnel proposed during the life of the Contract must meet or exceed the skill level that the Contractor proposed and was scored on.

As part of the personnel replacement process, the Contractor must submit at least two (2) resumes of qualified personnel for State review. The resumes must contain client reference contact information. The State reserves the right to contact references, interview the proposed replacement personnel as part of the replacement approval process, and to base its selection on the resume, references, and/or interview.

The State will not compensate the Contractor for any of the Contractor's time or effort to educate or otherwise make the new staff ready to begin work on the Contract.

Bidder agrees to the above requirement? Yes_____ No_____

V.I. Project Management Plan (Scorable)

The Contractor shall provide, as part of its Proposal, a draft Project Management Plan. The draft will be the basis of the final Project Management Plan, which will be the controlling document for managing the Contract. The final Project Management Plan must be submitted to the State for approval by the date specified in Exhibit V-1. Contract Deliverables. The **final** Project Management Plan must be generally modeled after *IEEE 1058-1998. Standard for Software Project Management Plans* and must contain, at a minimum, the following subsections:

- Overview
- References
- Definitions
- Workplan
- Control Plan(s)
- Supporting Process Plans
  - Configuration Management Plan
  - Documentation Plan
  - Quality Assurance Plan
  - Problem Resolution Plan
  - Operations Plan

The **draft** Project Management Plan, submitted as part of the Bidder's Proposal, must include, at a minimum, the following subsections:

V.I.1. Project Work Plan

The Project Work Plan shall include a schedule of all tasks and deliverables required throughout the life of the Contract (design, development, testing, implementation and operations).

The Project Work Plan shall include a schedule of all tasks and subtasks, including task dependencies and tasks within the critical path. Contract milestones and deliverables shall also be identified. In addition, it should delineate the responsibilities of both the Contractor and the State for each task, and include a description of, and scheduled date for, the completion of each deliverable. The Project Work Plan must also show for each deliverable, the time period for State review and comment, the subsequent time period for correction by the Contractor prior to a revised submission, and a deadline for acceptance of the revised version of the deliverable.

Major Project Contract deliverables, identified in Exhibit V-1. Contract Deliverables, shall not be submitted to the State for review within five (5) State working days of each other, unless prior written approval is obtained from the State Project Manager or designee. For example, if the Contractor submits the System/Software Requirements Analysis for CCS Client Eligibility Phase II – Insurance to the State for review on January 13, 2003, the

Contractor cannot submit any other major project deliverable to the State for review prior to January 20, 2003. If the Contractor proposes any Contract Deliverables not identified in Exhibit V-1. Contract Deliverables, the Contractor shall consider these additional Contract Deliverables as Major Project Contract deliverables.

The Project Work Plan must, at a minimum, contain the elements listed below.

1. Milestones
2. Deliverables
3. Tasks and subtasks, including task dependencies and tasks within the critical path
4. Resource loading – hours by position classification, with names, summarized for each task and subtask
5. Critical path diagram
6. Gantt chart showing planned and actual start and end dates for all tasks and subtasks, and percentage complete
7. Time period for State review and comment, and subsequent time period for Contractor correction

Bidder agrees to the above requirement? Yes_____ No_____

V.I.2. Requirements Control Plan

The Requirements Control Plan shall identify the steps that allow changes to be identified, evaluated, priced, and tracked through closure. The first component of this requirement is to describe methods for identifying issues that may cause requirement changes, evaluating the issues, determining the impact of the issues on the Contract, and reporting critical issues, with an impact analysis, to the State in a timely manner. The second component of this requirement is to describe processes and procedures, as well as an automated system, to report and track requirement changes.

The Requirements Control Plan shall describe how the Contractor will work with the State to establish appropriate change control procedures. The plan shall describe the staff that will be involved in the change control process, including the staff member ultimately responsible for authorizing changes to the Contract. The Plan must provide procedures for a well-defined, authoritative State role in the Change Management process, recognizing no changes will be made without written approval by the State Project Manager or designee. Change requests shall include problem descriptions, areas affected, issues, risks, recommended solutions, anticipated costs, all anticipated man-hours, and projected implementation timelines. The Contractor shall also accept change requests from the State. The procedures for change management activities proposed by the Contractor should be consistent with the DHS CMS Net/GHPP Change Management Process documented in the Bidder's Library.

Bidder agrees to the above requirement? Yes_____ No_____

V.I.3. Schedule Control Plan

The Schedule Control Plan shall specify the methods and tools that will be used to measure the progress of work completed, to compare actual progress to planned progress, and to implement corrective action when actual progress does not conform to planned progress.

Bidder agrees to the above requirement? Yes_____ No_____

V.I.4. Issue Resolution Plan

The Issue Resolution Plan must describe how the Contractor will assess the impact of issues on the Contract, report this information, and make recommendations to the State for resolving these issues. An issue is defined as a topic or concern that may affect Contract scope, risk, schedule, cost, and/or system quality or functionality and can be resolved through action. Any single person typically cannot resolve an issue. Issues may originate from inside and outside of the project.

The Issue Resolution Plan must also present the Contractor's issue resolution procedures including timeframes for resolving issues, automated issue tracking system, lines of responsibility, escalation procedures, and assignment of authority for final resolution.

Bidder agrees to the above requirement? Yes_____ No_____

V.I.5. Operations Plan

The Operations Plan must describe how the Contractor will provide on-going maintenance and operations of the CMS Net System. The Operations Plan shall include a description of the functions, tools, and methodology that the Contractor shall use to maintain and operate CMS Net. In addition, the Operations Plan shall describe how the Contractor will meet performance measurement and reporting requirements detailed in Section V.Y.1, Performance Monitoring and Management.

Bidder agrees to the above requirement? Yes_____ No_____

V.J. Project Management Practices

The following are project management practices to be employed during this Contract:

V.J.1. Weekly Status Reports – System Enhancements

The Contractor Project Manager shall prepare and submit written Weekly Status Reports. Status reports shall address the overall status with respect to the Project Work Plan and shall provide progress information on all completed, ongoing, and planned Contract activities. Every report should have a current Project Work Plan attached that incorporates planned and actual start and end dates, percentage complete, and dependencies. These reports shall summarize any outstanding issues or obstacles and detail any proposed deviations from planned activities, schedules, budgets, or staffing.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.2. Weekly Status Reports – System Maintenance and System Operations

The Contractor Project Manager shall prepare and submit written Weekly Status Reports. Status reports shall address the overall status with respect to the System Maintenance and

System Operations activities and shall provide progress information on all completed, ongoing, and planned Contract activities. Every report should have a current Project Work Plan attached that incorporates planned and actual start and end dates, percentage complete, and dependencies. These reports shall summarize any outstanding issues or obstacles and detail any proposed deviations from planned activities, schedules, budgets, or staffing.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.3. Earned Value Metrics

The Contractor shall employ earned value analysis to measure Contract performance. The Earned Value Analysis will include the Budgeted Cost of Work Scheduled (BCWS), the Actual Cost of Work Performed (ACWP), and the Budgeted Cost of Work Performed (BCWP) (also known as "earned value"). The Contractor will compute the Schedule Variance (SV) and the Cost Variance (CV). This analysis shall be included in each Monthly Progress Report.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.4. Monthly Progress Report – System Enhancements

The Contractor Project Manager shall prepare and submit Monthly Progress Reports. The Monthly Written Progress Report shall provide a formal written project status including the work breakdown of tasks, and shall describe overall progress against approved milestones in the Project Work Plan; earned value metrics; deliverable status and next month schedule for review; problems, risks and issues requiring attention, with proposed remedies; and proposed changes to the Project Work Plan.

The Monthly Progress Report must be certified to be accurate by the Contractor, and must be approved by the State Project Manager or designee. Errors identified by the State as part of the approval process must be corrected by the Contractor within three (3) State working days of the Contractor being notified of the errors.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.5. Monthly Progress Report – System Maintenance and System Operations

The Contractor Project Manager shall prepare and submit Monthly Progress Reports. The Monthly Written Progress Report shall provide a formal written project status including the work breakdown of tasks, and shall describe overall progress against approved milestones in the Project Work Plan; earned value metrics; deliverable status and next month schedule for review; problems, risks and issues requiring attention, with proposed remedies; and proposed changes to the Project Work Plan.

The Monthly Progress Report must be certified to be accurate by the Contractor, and must be approved by the CMS Net Change Management Coordinator (CMS Net CMC) or designee. Errors identified by the State as part of the approval process must be corrected by the Contractor within three (3) State working days of the Contractor being notified of the errors.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.6. System Enhancement Meetings

The regularly scheduled meetings described in this section will be held at a DHS office in Sacramento, California. The Contractor costs for attendance at these meetings must be included in the fixed price bid for the system enhancements.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.6.a. Weekly System Enhancement Status Meeting

The Contractor Project Manager and other Contractor Key Staff as required by the State shall attend weekly status meetings with CMS Branch staff. At these meetings, the Contractor Project Manager shall present, explain, and clarify as necessary the Weekly Status Reports.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.6.b. Weekly System Enhancement Project Management Team Meeting

The Contractor Project Manager shall attend weekly status meetings with the DHS Project Management Office (PMO). At these meetings, the Contractor Project Manager shall support the State Project Manager in reporting progress on the system enhancements.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.6.c. Monthly Steering Committee Meeting

The Contractor Project Manager shall attend the monthly CMS Net E47 Steering Committee meetings. At these meetings, the Contractor Project Manager shall present, explain, and clarify as necessary the Monthly Progress Reports.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.7. System Maintenance and Operations Meetings

The regularly scheduled meetings will be held at a DHS or HHSDC office in Sacramento, California. The Contractor costs for attendance at these meetings must be included in the fixed price bid for the system operations.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.7.a. Weekly System Maintenance and Operations Status Meeting

Planning and coordination are required in order to successfully maintain CMS Net. This includes information exchange using e-mail, the CMS Net Web site and meetings to be scheduled weekly.

During the weekly status meeting, the CMS Net CMC will communicate with the Contractor regarding work priorities and task sequence for completion. In addition, any clarifications of specifications will be discussed, as necessary. CMS staff and the Contractor will put in place a control process to track all activities. This will include a weekly change management meeting for the purpose of clarification of specifications and priorities. The Contractor shall include all needed technical staff at the meetings.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.7.b. Monthly Technical Roundtable

One of the Contractor's key technical staff will attend a monthly technical roundtable with CMS Branch and HHSDC staff. The purpose of this meeting is to discuss any technical issue surrounding the support and operation of the CMS Net system.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.8. Issue Management

The Contractor shall track all Contract issues using a Contractor-provided automated issue-tracking system. The issue tracking system shall facilitate documentation of:

- issue description
- issue priority
- issue status (e.g., open, pending, under investigation, resolved)
- plan for resolution
- individual responsible for obtaining resolution
- targeted and actual resolution dates
- resolution action

The Contractor is responsible for tracking issue status and reporting to the State Project Manager. Issue reports generated by the issue tracking system shall become part of the Contractor's Weekly Status and Monthly Progress Reports.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.9. Stakeholder Communication

The Contractor shall provide reasonable assistance at the request of the State in establishing and maintaining communication liaisons and coordinating with internal and external stakeholder groups, government and community organizations and committees, or similar entities that demonstrate an interest in the performance or objectives of the contract.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.10.Standards for Acceptance of Deliverables

V.J.10.a.Work Standards for the Project

- The Contractor shall use the standard project management, word processing, relational database management, presentation and spreadsheets products used by the State (Microsoft Office), at the version levels specified by the State, in the preparation of all Contract correspondence and deliverables. The Contractor is required to establish and maintain compatibility with the State at no cost to the State.
- The Contractor shall propose a format for each deliverable and gain State approval prior to deliverable preparation. This approval process shall include submission of a Deliverable Expectation Document (DED). The goal for the use of DEDs is to ensure that a common understanding exists between the State and the Contractor regarding

the scope and content (depth and breadth) of the deliverable prior to the Contractor beginning work on the deliverable. The complexity of the DED should be proportional to the complexity of the deliverable. The DED will contain items such as:

- Deliverable objectives
- An outline of the deliverable, table of contents, sample format, sample pages, and a general description of the information that will be contained in the deliverable
- Deliverable acceptance criteria which is consistent with the requirements of the contract

- Deliverables shall be provided by the scheduled dates for their completion. The Contractor must make available all deliverables electronically and supply five (5) hard copies of each deliverable.
- Major Project Contract deliverables, identified in Exhibit V-1. Contract Deliverables, shall not be submitted to the State for review within five (5) State working days of each other, unless prior written approval is obtained from the State Project Manager or designee. For example, if the Contractor submits the System/Software Requirements Analysis for CCS Client Eligibility Phase II – Insurance to the State for review on January 13, 2003, the Contractor cannot submit any other major project deliverable to the State for review prior to January 20, 2003.
- Deliverables shall contain the following certification: "I certify that this deliverable has been prepared in accordance with the relevant terms and conditions of the contract." Deliverables shall be signed as complete by the Contractor Project Manager.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.10.b.Standards for State Acceptance of Deliverables

State personnel will be responsible for reviewing and approving each deliverable. For purposes of this paragraph, the term deliverable includes all items listed in Exhibit V-1. Contract Deliverables, with the exception of application code and test data. Each deliverable will require a negotiated State turn-around time to be included in the Project Work Plan. Unless agreed upon otherwise, the State's review time shall not be less than fifteen (15) State working days. Should revisions to the document be required by the State, the Contractor will receive written notification of said changes and reflect them in the document within two (2) State working days of receiving the changes. The State may, at its discretion, allow a period longer than two (2) State working days in consideration of the scope of the change. Unless agreed upon otherwise, the State's review time after receipt of the revised document shall not be less than ten (10) State working days. The Contractor may not change a deliverable that has been accepted by the State without the approval of the State.

State acceptance shall be based upon the following:

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

- The deliverable must address and be consistent with all components included in the DED as presented to the State and approved by the State in preparation for development of the deliverable.
- Deliverable documents must be comprehensive in level of detail and quality consistent with the sample pages presented to the State Project Manager.
- Deliverable documents must be organized in a structured manner and be professional in presentation.
- Deliverable documents must be consistent throughout in style and quality. This means that if the document is the composite work of many people within the Contractor's organization, the document must be edited for style and consistency.
- In the event the State agrees to accept, on an interim basis, a deliverable document with one or more parts left incomplete, the Contractor shall provide to the State a document with the date for completion, note the basis for the incomplete portions and the impact of any incomplete portions of the document on Contract milestones.

Bidder agrees to the above requirement? Yes_____ No_____

V.J.11.State Access to Development/Management Tools and Data

The Contractor shall provide State-designated personnel read access to all Contractor development and management tools and data used by the Contractor in performance of this Contract.

Bidder agrees to the above requirement? Yes_____ No_____

PART THREE – SYSTEM ENHANCEMENTS

V.K. System Development Requirements

V.K.1. CCS Client Eligibility System Phase II - Insurance

The Contractor shall perform all system development activities (e.g., requirements analysis, design, implementation, test, and installation) to implement the CCS Client Eligibility System Phase II – Insurance phase. The Contractor will utilize the Business/Functional Requirements for CCS Client Eligibility System Phase II – Insurance (included as Appendix B) as the base requirement set to perform requirements analysis.

Bidder agrees to the above requirement? Yes_____ No_____

V.K.1.a. Technical Requirements

The CCS Client Eligibility System Phase II – Insurance phase must be developed using the existing platform and architecture: Caché/FileMan database and M (MUMPS) as the programming language.

Bidder agrees to the above requirement? Yes_____ No_____

V.K.2. Provider Enrollment

The Contractor shall perform all system development activities (e.g., requirements analysis, design, implementation, test, and installation) to implement the Provider Enrollment phase. The Contractor will utilize the Business/Functional Requirements for Provider Enrollment (included as Appendix C) as the base requirement set to perform requirements analysis.

Bidder agrees to the above requirement? Yes_____ No_____

V.K.2.a. Technical Requirements

The Provider Enrollment phase must be developed as a browser-based application. The application will need to access the existing Caché/FileMan database and any new database(s) must be created using Caché. The data access method shall be ODBC-compliant and may include the Caché toolset, SQL, or object-oriented access methods.

The Contractor is also required to provide a data model that has been normalized to third normal form and to document the analysis, results and reasoning of all data modeling activities and decisions. Any de-normalization that may be beneficial for performance purposes must be mutually agreed upon between the Contractor and the State Project Manager or designee. The DHS department standard tool for database design is PowerDesign by CyBase. Therefore, the Contractor must use PowerDesign for developing the data model. (Note: The Contractor must supply its own copy(s) of PowerDesign.)

Bidder agrees to the above requirement? Yes_____ No_____

V.K.3. CCS Service Authorizations

The Contractor shall perform all system development activities (e.g., requirements analysis, design, implementation, test, and installation) to implement the CCS Service Authorizations

phase. The Contractor will utilize the Business/Functional Requirements for CCS Service Authorizations (included as Appendix D) as the base requirement set to perform requirements analysis.

The CCS Service Authorizations enhancement shall not be put into production until the Provider Enrollment enhancement has been in production for at least thirty (30) calendar days.

Bidder agrees to the above requirement? Yes_____ No_____

V.K.3.a. Technical Requirements

The CCS Service Authorization phase must be developed as a browser-based application. The application will need to access the existing Caché/FileMan database and any new database(s) must be created using Caché. The data access method shall be ODBC-compliant and may include the Caché toolset, SQL, or object-oriented access methods.

The Contractor is also required to provide a data model that has been normalized to third normal form and to document the analysis, results and reasoning of all data modeling activities and decisions. Any de-normalization that may be beneficial for performance purposes must be mutually agreed upon between the Contractor and the State Project Manager or designee. The DHS department standard tool for database design is PowerDesign by CyBase. Therefore, the Contractor must use PowerDesign for developing the data model. (Note: The Contractor must supply its own copy(s) of PowerDesign.)

Bidder agrees to the above requirement? Yes_____ No_____

V.K.3.b. Phased Implementation

Due to the number and geographical location of the users of the CCS Service Authorization phase, the Contractor shall implement this enhancement in a multi-phased approach to mitigate the inherent issues associated with a large system implementation. The Contractor is responsible for determining and designing an implementation plan and approach within the following constraints:

- The implementation shall take no longer than two months to implement 100% of the CCS Service Authorization users; and
- Each implementation phase shall consist of one or multiple counties.

Bidder agrees to the above requirement? Yes_____ No_____

V.K.4. System Hardware and Software Requirements

V.K.4.a. Operating Environment

The CMS Net development, test, and production systems hardware and software are listed in Section III.A.3, Hardware and Software. The CMS Net development, test, and production servers shall be located at HHSDC.

Bidder agrees to the above requirement? Yes_____ No_____

V.K.4.b. HHSDC-Supported Platforms

If the Contractor's proposed solution includes any additional hardware and/or operating system software, the hardware and/or software must be compliant with HHSDC's Strategic Plan. The operating systems currently identified in the HHSDC Strategic Plan include:

- AIX
- Sun Solaris
- OS/390
- Windows 2000 Series (Compaq)

For web services, HHSDC supports Compaq rack-mounted servers running Win2000 and IIS.

Bidder agrees to the above requirements? Yes_____ No_____

V.K.4.c. Supported Browsers

The Contractor's browser-based enhancements shall, at a minimum, support Microsoft Internet Explorer version 5.5 and above.

Bidder agrees to the above requirement? Yes_____ No_____

V.K.5. General

The Contractor shall use proven system development processes during all development and maintenance activities. Documentation, plans, etc. should be based on the applicable IEEE standard. For the purposes of cost and performance, the Contractor may tailor the IEEE standards. However, where tailoring is performed, the Contractor shall specify in detail, in the applicable DED, what is tailored and for what reason for consideration as part of the State's approval of the DED.

Bidder agrees to the above requirement? Yes_____ No_____

V.K.6. System Development Planning

The Contractor shall develop a System Development Plan. The System Development Plan shall specify the development process model, the technical methods, tools, and techniques to be used to develop the various work products; and the product acceptance plan. Additional guidance on system development planning is available in *IEEE 12207. Standard for Information Technology—Software Life Cycle Processes* Section 5.3, Development Process, and *IEEE 12207.1 Standard for Information Technology—Software Lifecycle Processes* Section 6.5, Development Process Plan.

The Contractor shall perform the following functions according to the System Development Plan:

- System/Software Requirement Analysis
- System/Software Architectural Design
- Software Detailed Design

The System/Software Requirements Analysis function will determine the baseline requirement set for each of the enhancements. While the Business/Functional Requirements included in Appendices B – D will serve as the base requirement set to perform the requirements analysis function, modifications to the base requirement set should be expected and are included in the fixed enhancement price. The requirements approved by the State as a product of the System/Software Requirements Analysis will be the baselined set of requirements against which Requirements Control processes shall be applied, as describe in Section V.I.2, Requirements Control Plan.

Each function will require delivery of a plan and the resulting documentation that will be a deliverable to the State. The scope of each function shall include documentation to include the current system functionality with emphasis on how the current system and its enhancement will be integrated.

Bidder agrees to the above requirement? Yes_____ No_____

V.K.7. System Security

The Contractor shall develop the system enhancements to utilize the current security architecture of CMS Net, unless otherwise approved by the State Project Manager or designee. Information regarding the existing security architecture is included in the Bidders' Library. These documents include:

- SMCR 2001-20: Automated Processes to Manage General User Access to CMS Net
- Amendment To Patient Identification to Support User Security
- User Security Functional Design Specifications

Bidder agrees to the above requirement? Yes_____ No_____

V.L. Testing

V.L.1. Software Testing

Testing will include not only all software but also operating system scripts, database definition scripts, distribution scripts, all procedures, and installation verification scripts.

1. The Contractor shall test each software unit and database in accordance with the System Development Plan and *IEEE 12207. Standard for Information Technology—Software Lifecycle Processes*.
2. The Contractor shall document test requirements in accordance with IEEE and shall verify requirements traceability from the System/Software Requirements Analysis baseline requirements to all code units, all unit test documentation, and to user acceptance test scripts.
3. The Contractor shall develop, maintain, execute and report on an Integration Test Plan. This plan must encompass both the new functionality and the interaction with the legacy system.

4. The Contractor shall design, develop, and maintain automated test scripts for each component of the application. These test scripts will be used in both quality and performance testing.

The Contractor shall deliver to the State for approval all software test materials including, but not limited to:

- Unit Test Scripts and Results Report(s)
- Automated test scripts and Results Report(s)
- Regression test plans, scripts and Results Report(s)
- User Acceptance Test Scripts
- System Test plans, scripts and Results Report(s)
- Requirement Traceability matrices

Bidder agrees to the above requirement? Yes_____ No_____

V.L.2. System Testing

The Contractor shall develop a System Test Plan in accordance with *IEEE 12207.1. Standard for Information Technology—Software Lifecycle Processes.* It will include, at a minimum:

1. The test objectives and basic strategy.
2. The strategy to be used for creating and populating the test database and maintaining the files during the iterative testing.
3. Description of the testing proposed for the project to include:
   a. How the testing will satisfy specific objectives
   b. What design modules will undergo control or data flow analysis
   c. How each phase of the testing is determined to be complete and the formal reports/debriefings conducted for each phase of the testing
   d. Testing activity roles and responsibilities State and Contractor staff will be expected to perform, and the anticipated resource level needed for these activities, for each organization
   e. Documentation to be produced out of each of the testing activities
4. Identification of all planned levels of testing proposed (at a minimum: system, performance, interface and integration, regression, stress, and user acceptance testing).
5. Description of how integration testing with the FIs will be accomplished.
6. Description of Final User Acceptance Testing and User Sign-Off.

For each level of testing, the Contractor shall develop Test Procedures in accordance with *IEEE 12207.1. Standard for Information Technology—Software Lifecycle Processes.* Test Procedures shall include, at a minimum:

1. Equipment preparation
2. Support of software preparation
3. Roles and responsibilities of both the Contractor and State personnel
4. Step-by-step instructions to perform the test
5. Expected results
6. Actions to perform in case of error
7. Data analysis procedures
8. Test results documentation
9. Automated Test Scripts

The Contractor shall test all application changes in as realistic an operational environment as is feasible, to include using actual data and realistic business scenarios.

The Contractor shall deliver to the State for approval all System Test Materials including, but not limited to, test plans, scenarios, scripts, procedures, data, and results.

Bidder agrees to the above requirement? Yes_____ No_____

V.L.3. On-Line Release Performance Testing

Performance testing shall be required prior to each scheduled release. The on-line performance test shall use not less than 10 of the most frequently used user functions in the form of automated scripts, which generate the test data required internally to alleviate the need to retain specific data sets. On-line Release Performance Testing may be executed on the production platform during non-production hours.

1. The on-line test shall run for a minimum of one hour excluding any ramp up /down periods.
2. The performance test shall collect and report on the following metrics during the test:
    a. Average response time for each function
    b. Maximum response time for each function
    c. System metrics including but not limited to CPU, memory, disk I/O, system paging activity
3. Each on-line performance test shall have the following deliverables:
    a. Detailed results of two baseline tests on the current application software that have metrics results within 2% of each other
    b. Explanation of any overall or individual metric that varies by more than 5%
    c. Detailed results of two baseline tests on the scheduled release application software that have metrics results within 2% of each other
    d. Explanation of any overall or individual metric that varies by more than 5%

e. Confirmation that the scheduled release will meet performance requirements

Bidder agrees to the above requirement? Yes_____ No_____

V.L.4. Batch Performance Testing

The Contractor shall perform performance testing on the daily batch cycle. Batch Performance Testing may be executed on the production platform during non-production hours.

1. Each test shall use a representative data set for the tasks involved in the batch cycle. For example, a daily batch cycle test would include all the work expected to be outstanding at the end of a normal business day.
2. The performance test shall collect and report on the following metrics during the test:
   a. Individual executable runtimes
   b. Individual batch script runtimes
   c. System metrics including but not limited to CPU, memory, disk I/O, system paging activity
3. Each performance test shall have the following deliverables:
   a. Detailed results of two baseline tests on the current application software that have metrics results within 2% of each other
   b. Explanation of any overall or individual metric that varies by more than 5%
   c. Detailed results of two baseline tests on the scheduled release application software that have metrics results within 2% of each other
   d. Explanation of any overall or individual metric that varies by more than 5%
   e. Confirmation that the scheduled release will meet performance requirements

Bidder agrees to the above requirement? Yes_____ No_____

V.L.5. System Stress Test

Prior to the Provider Enrollment and CCS Service Authorization enhancements going live the Contractor shall design a Stress Test Plan to be approved by the State Project Manager or designee, the objective of the plan being to ensure that the system can maintain performance requirements with a minimum of 150 concurrent users. Once approved, the Contractor shall execute the plan and report the results to the State as a deliverable.

Bidder agrees to the above requirement? Yes_____ No_____

V.L.6. User Acceptance Test

User acceptance testing shall be required of all software which has been developed and/or modified by the Contractor to satisfy the State's requirements. The User Acceptance Test shall include:

1. The Contractor shall develop and deliver, for State review and approval, a User Acceptance Test Plan, including the format for the User Acceptance Test Report that the State will be responsible for preparing and the acceptance criteria which will be approved by the State Project Manager or designee prior to the test by the State.
2. The Contractor shall develop and deliver, for State review and approval, User Acceptance Test Scripts.
3. The Contractor shall be responsible for providing any tools and/or training to State personnel that is necessary for the State to execute the User Acceptance Tests.
4. The State shall be responsible for executing the User Acceptance Tests, including testing using automated scripts of all on-line and batch functionality.
5. The State shall be responsible for the development of a User Acceptance Test Report.
6. The Contractor shall support State execution of a thorough User Acceptance Test. This test will verify that the application is functioning as required in this RFP for all users statewide.
7. Prior to the User Acceptance Test, the Contractor shall establish, in conjunction with the State, binding pass-fail criteria.

Bidder agrees to the above requirement? Yes_____ No_____

V.M. System Implementation

V.M.1. Training

V.M.1.a. Training Classes

The Contractor will be responsible for providing "Train the Trainer" classes for each of the three (3) system enhancements. The Contractor must provide two (2) classes for each enhancement. Each class will have a maximum of twenty (20) DHS-designated State and/or county staff. The training will be provided at the CMS Branch training facility in Sacramento, California. The Contractor shall provide a Training Plan that will include descriptions of course curriculum, training materials, processes, and a training schedule.

The Contractor shall be responsible for identifying and providing training materials for all class attendees in addition to providing the Contractor trainers. The Contractor must provide fifty (50) hard copy sets and one (1) electronic master the training materials, which shall include:

1. Training guides and materials
2. Documentation of changes to training materials
3. User Manuals

The State will provide the training facility, including any necessary desktop workstations, connectivity to training environments, projectors, projector screens, desks, and tables.

The Contractor shall work with the State to minimize impact on office productivity.

Bidder agrees to the above requirement? Yes_____ No_____

V.M.1.b. Support State Training Efforts

The Contractor will be responsible for providing a lead trainer to support the State during its training efforts for up to ten (10) one (1) day classes for the CCS Service Authorization enhancement. The lead trainer must be one of the trainers who provided "Train the Trainer" classes for the CCS Service Authorization enhancement (Section V.M.1.a, Training Classes). These training classes will be provided at the CMS Branch training facility in Sacramento, California and are estimated to be completed within sixty (60) calendar days following user acceptance of phase 1 implementation (refer to Section V.K.3.b, Phased Implementation).

Bidder agrees to the above requirement? Yes_____ No_____

V.M.2. Warranty Period

After successful deployment of each system enhancement (i.e., CCS Client Eligibility Phase II – Insurance, Provider Enrollment, CCS Service Authorizations) into production, a "Warranty Period" shall start. The Warranty Period will cover 180 calendar days. This Period is to insure that all processes execute properly in the production environment. The Warranty Period will cover all processes and applications deployed with the implementation. The Contractor shall be responsible for all costs for the implementation of the resolution for all defects **identified** during this Warranty Period, including those defects whose resolution extends past the Warranty Period.

Bidder agrees to the above requirement? Yes_____ No_____

V.N. Technical Approach (Scorable)

The Bidder shall provide, as part of its Proposal, a detailed description of its proposed technical approach to satisfying the system enhancements requirements. **Note: The CMS Net System shall not be accessed via the Internet; the browser-based application enhancements shall be accessed through HHSDC's closed intranet.** The description of the technical approach must include, at a minimum, the following components:

V.N.1. Proposed Technical Architecture

The Bidder shall provide a description of the proposed technical architecture at the functional level and include one or more diagrams that detail the relationships between key technical components. In addition, the Bidder shall describe the function and need for all proposed non-mandatory technical components. All proposed non-mandatory technical components, including hardware, software, and development tools shall be standards-based, commercially available, viable, and supported technologies.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.1.a. Database Licensing and Connectivity

As stated in Section III.A.3, Hardware and Software, DHS CMS currently owns 550 concurrent Cache/FileMan database licenses. While it is the responsibility of DHS to ensure the availability of sufficient database licenses for concurrent users, the State is also aware that the design of the Provider Enrollment and CCS Service Authorization enhancements could have a significant effect on the number of required concurrent licenses. This is primarily due to the fact that a single CMS Net user may need to access both the legacy application and the Provider Enrollment and/or CCS Service Authorization components simultaneously.

Therefore, the Bidder's technical architecture shall incorporate an approach to database connectivity that minimizes the number of required concurrent database licenses while ensuring that a new database connection/disconnection is not required for each specific user transaction, due to the processing overhead. This technical architecture challenge may be overcome by the use of techniques such as *database connection pooling* and/or utilizing *serially reusable processes*.

The Bidder shall provide a description of its approach to database connectivity in its proposed technical architecture description.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.2. Application Development Languages and Tools

The Bidder shall provide a description of its proposed application development languages, tools, and approach in terms of its Software Development Life Cycle (SDLC) methodology. This description shall include the coding and documentation standards that will be followed by the Bidder. The development approach and tool set should be component-based in order to promote component re-use and ease of maintenance. In addition, any development languages and/or tool set shall be standards-based, commercially available, viable, and supported technologies.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.3. Middleware Languages and Tools

The Bidder shall provide a description of any proposed middleware languages, tools, and implementation approach. If the Bidder proposes a solution that incorporates a middleware component, the Bidder shall provide a description of the reason for the approach and provide an overview of how the middleware components will be incorporated into the application environment, and how the middleware components will be managed and monitored in the runtime environment. Any development languages and/or tools shall be standards-based, commercially available, viable, and supported technologies.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.4. Application and Web Server Languages and Tools

The Bidder shall provide a description of its proposed application and web server languages and tools, if applicable, along with an overview of the proposed runtime environment, describing which application component executes on which tier of their proposed

architecture. Any hardware, development languages and/or tools shall be standards-based, commercially available, viable, and supported technologies.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.5. Existing Database Architecture

The Bidder shall provide a description of its proposed approach for interfacing the system enhancement applications to the existing CMS Net Caché/FileMan database. The description should detail the specific method of DBMS connectivity that will be used and address both online and batch approaches. In addition, if the Bidder is proposing to migrate the existing database to a newer version, the Bidder shall provide a description of its need and approach to the conversion.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.6. New Database Architecture

The Bidder shall provide a description of its proposed approach towards the implementation of any new databases in support of the system enhancements. The description should include the anticipated number of databases and the purpose of each database. The Bidder is required to create any new databases utilizing Caché.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.7. Data Modeling Methodology

The Bidder shall provide a description of its proposed data modeling methodology and identify the tools required for enhancing the existing CMS Net database and for any new database(s) proposed.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.8. Unit, System, Performance and User Acceptance Testing Tools and Approach

The Bidder shall provide a description of its proposed approach towards Unit, System, Performance and User Acceptance Testing including details regarding the use of specialized tools to automate and track testing activities. Any tools shall be standards-based, commercially available, viable, and supported technologies.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.9. Application Performance and Capacity Planning Tools and Approach

The Bidder shall provide a description of its proposed approach and methodologies to both Application Performance and Capacity Planning, including details regarding the use of tool(s) to both capture/report data and plan. This description shall include:

- The initial approach to ensure that the system enhancement applications will perform to an acceptable level
- The approach to on-going performance management and capacity planning during the maintenance and operations components of the Contract.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.10. Software Configuration Management

The Bidder shall describe in detail the tools, process and procedures that will support software configuration management. Software configuration management includes both the application software components and system documentation components. The proposed software configuration management approach should be based on *IEEE 828. Standard for Software Configuration Management Plans*. Any software configuration management tools shall be standards-based, commercially available, viable, and supported technologies.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.11. Hardware and Software Requirements

The Bidder shall provide details of the enterprise and local hardware, and associated operating systems, required for executing the system enhancement applications. The Bidder shall include its approach and detailed information used to size the enterprise hardware. The description should include a diagram indicating the location of each hardware component, the required network hardware and protocols required for connectivity, the type and model (and any other necessary technical specifications) of the hardware component(s), and the date that the hardware component(s) is needed. (Note: If the Bidder is proposing to place any additional hardware outside of Sacramento, California, the Bidder only needs to designate the county where the proposed hardware would be housed – a specific location/address does not need to be provided by the Bidder.)

The Bidder shall provide a description of all COTS products required by its proposed solution (including but not necessarily limited to application development languages, tools, etc.), the number of licenses required, the date that the COTS product(s) is required, and a description of how the COTS products will be utilized and/or incorporated into the solution.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.11.a. Existing Hardware and Software

The CMS Net existing hardware and software components are detailed in Section III.A.3, Hardware and Software. These components should not be included in Exhibit V-3. Additional Equipment and COTS Software.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.11.b. Additional Hardware and Software – Production, Maintenance, and Operations

Any additional hardware and/or COTS products (i.e., hardware and software that is not included in Section III.A.3, Hardware and Software) that will be required for the ongoing production, maintenance and operations phase of the Contract must be **clearly and completely** identified in this section and must be included on Exhibit V-3. Additional Equipment and COTS Software. EXCEPTION: The Bidder shall provide all workstations and office automation software utilized by all Bidder personnel in performance of this Contract; this hardware/software shall not be included on Exhibit V-3. Additional Equipment and COTS Software, but shall be identified by the Bidder in its response to Section V.N.11.c, Additional Hardware and Software – System Enhancement Development.

Such hardware and/or COTS software will be procured and installed by the State. The procurement and installation of such hardware and/or COTS software will take approximately sixty (60) calendar days from Contract Award.

For cost evaluation purposes, the cost of any such additional hardware and/or COTS software will be estimated by the State and will be added to the Bidder's Total Cost to arrive at the Bidder's Adjusted Total Cost. (See Section II.E.5.f, Cost, for further information.)

Should the Bidder's proposed solution require any hardware and/or software that was not identified in its Proposal in Exhibit V-3, Additional Equipment and COTS Software, the cost of such hardware and/or software will be borne by the Bidder. The State will procure the hardware and/or software and the State shall deduct monies owed for such hardware and/or software from invoices as necessary to offset the full amount owed.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.11.c. Additional Hardware and Software – System Enhancement Development

Any additional hardware and/or COTS software (i.e., hardware and software that is not included in Section III.A.3, Hardware and Software) that is required to develop any of the enhancements and that will no longer be required in the production, maintenance and operations phases of the Contract must be **clearly and completely** identified in this section but **must not** be included on Exhibit V-3. Additional Equipment and COTS Software. In addition, all workstations and office automation software utilized by all Bidder personnel in performance of this Contract must be **clearly and completely** identified in this section but **must not** be included on Exhibit V-3. Additional Equipment and COTS Software.

The Bidder shall be responsible for supplying these components.

Bidder agrees to the above requirements? Yes_____ No_____

V.N.12. CCS Service Authorization Phased Implementation Approach

The Bidder shall describe its approach to performing the multi-phased implementation of the CCS Service Authorization enhancement. Specific consideration should be given to the following items:

- The approach taken to assign groups of users to each specific implementation phase
- Data consistency between the legacy database and any enhanced or new database(s) required for the CCS Service Authorization Request enhancement
- How functionality in the legacy system will be disabled on a county-by-county basis to prevent unintentional updates to the legacy system after conversion
- Final implementation activities necessary to ensure complete data integrity

Bidder agrees to the above requirements? Yes_____ No_____

PART FOUR – SYSTEM MAINTENANCE

V.O. System Maintenance Activities

The Contractor will be responsible for providing System Maintenance support services for CMS Net. System Maintenance includes both system "fixes" and system maintenance activities that are required due to program policy changes. The scope of these services will include:

- Incident Reports (IRs) – A formal document issued by the CMS Branch when a system problem is identified and determined to impact the integrity of the application or the data.
- System Maintenance Change Request (SMCRs) – A formal request issued by the CMS Branch to modify the system or fix the source of a system problem.
- Work Request (WRs) – A formal request issued by the CMS Branch limited to perform system restoration, system synchronization and specific technical work as requested.
- County data conversion request – A formal request issued by the CMS Branch to convert CCS caseload data from the county stand-alone system to CMS Net at the time a county converts to using CMS Net.
- Batch operations technical support request – A formal request issued by the CMS Branch to perform batch operations technical support functions.

Bidder agrees to the above requirement? Yes_____ No_____

V.P. Period of Performance

The period of performance for System Maintenance activities is three (3) years from the Contract Award date. At the State's option, after the three years the Contract may be extended for up to two (2) two-year periods.

Bidder agrees to the above requirement? Yes_____ No_____

V.Q. Estimated Effort

The estimated effort that will be required by the State for System Maintenance activities is provided in Table 11. The Contractor must have staff available to perform this anticipated level of work throughout the contract period and any extensions. The increase in the estimated hours for years 1 and 2 represents approximately a 10 percent increase in anticipated workload due to the transition of maintenance contractors and the preparation for implementation of the enhancements. The increase in years 3 through 7 represents an anticipated normal 5 percent annual growth after the implementation of enhancements in year 2. This estimated effort is not a guarantee of a minimum or maximum amount of work that may be requested by the State through the processed described in Section V.R, System Maintenance Support Service Initiation.

Table 11. Estimated System Maintenance Effort

TIME PERIOD	ESTIMATED HOURS
Year 1	3300
Year 2	3600
Year 3	3780
Year 4 (optional extension #1)	3969
Year 5 (optional extension #1)	4167
Year 6 (optional extension #2)	4376
Year 7 (optional extension #2)	4595
7-year Total	*27,787*

Bidder agrees to the above requirement? Yes_____ No_____

V.R. System Maintenance Support Service Initiation

The Contractor shall provide System Maintenance support services, upon approval by the CMS Net CMC or designee of a Maintenance Request Authorization resulting from one of the following types requests:

- The approval of a SMCR by the CMS Net CMC or designee
- IR, WR, County Data Conversion, or Batch Operations technical support request initiated by CMS Branch.

The Contractor will not proceed with providing any System Maintenance support services without prior written authorization by the CMS Net CMC or designee. This authorization will include the CMS Branch approved cost estimates for the Maintenance Request Authorization. Task Completion criteria will be defined by the Contractor and approved by the CMS Net CMC or designee before each Maintenance Request Authorization is approved. A sample Maintenance Request Authorization is included in Appendix E.

Bidder agrees to the above requirement? Yes_____ No_____

V.R.1. Incident Reports (IRs)

Incident Reports (IRs) are issued by one or more designated CMS Branch staff and approved by the CMS Net CMC or designee in response to software problems. The IR is a formal document with a unique number. This document provides the Contractor with an incident name, date, status, priority and other descriptive data to help the Contractor recreate and solve the problem.

The Contractor may communicate with the CMS Net CMC or designee to obtain additional information as needed to solve the problem. When the Contractor has completed programming, unit and integration testing, the resulting work will be included in a release for User Acceptance Testing by CMS Branch staff using a designated test area. When the work is accepted by the CMS Net CMC or designee, it will be included in a Monthly Software Update.

Bidder agrees to the above requirement? Yes_____ No_____

V.R.2. System Maintenance Change Requests (SMCRs)

System Maintenance Change Requests (SMCRs) are specifications issued by the CMS Net CMC or designee for programming changes that modify the system to either fix the source of a problem or change the performance or appearance of some aspect of the system due to program policy changes.

For each SMCR, the Contractor will:

- Prepare an estimate of hours required to complete the work and submit the estimate to the CMS Net CMC or designee for approval
- Upon approval of the work estimate by the CMS Net CMC or designee, submit a technical specification design for approval
- Upon approval of the technical specification design by the CMS Net CMC or designee, code, unit and integration test, and update system documentation, including training materials and user manuals
- Testing for system changes will be performed in accordance with Section V.L, Testing

When the Contractor has completed programming, unit and integration testing, the resulting work will be included in a release for User Acceptance Testing by CMS Branch staff in a designated test area. When the work is accepted by the CMS Net CMC or designee, it will be included in a Monthly Software Update.

Bidder agrees to the above requirement? Yes_____ No_____

V.R.3. Work Requests (WRs)

Work Requests (WRs) include requests for environment synchronization. Environment synchronization may be requested by the CMS Net CMC or designee to maintain similar or identical environments among various systems, e.g. the development system, the production system, the training areas and the testing areas. The Contractor will perform data and program backups, restoration and related environment synchronization as requested by the CMS Net CMC or designee. Some environment synchronization must occur during non-business hours.

For each WR, the Contractor will:

- Prepare an estimate of hours required to complete the work and submit the estimate to the CMS Net CMC or designee for approval
- Upon issuance of the Maintenance Request Authorization by the CMS Branch, perform the requested work

Bidder agrees to the above requirement? Yes_____ No_____

V.R.4. County Data Conversion

If conversion of data is requested, the Contractor will be responsible for converting the necessary existing data in the county stand-alone systems for use with CMS Net. The proposed conversion effort shall not impede the operation of the current processes.

Functions of all systems must continue to process without interruption while data is being converted.

Conversion efforts will include all current and historical data necessary and sufficient to support the proposed business processes.

As part of performing Data Conversion services, the Contractor will:

- Attend planning meetings in Sacramento, California with county and CMS Branch staff, as requested by the CMS Branch
- Analyze and compare data elements between the county system and CMS Net
- Evaluate data load and data conversion to identify to the county corrections needed
- Develop a Data Conversion Plan for conversion of county data to CMS Net. The Data Conversion Plan shall include, at a minimum:
    1. Conversion Method – An automated method of conversion that minimizes intervention from State or County staff
    2. Conversion Reporting – A mechanism for identifying and reporting conversion errors
    3. Conversion Reconciliation – A method to reconcile converted data and differentiate between converted data versus new system data
    4. Conversion Processes and procedures
    5. Conversion schedule (must account for State and County activities and dependencies)
- Perform performance modeling and capacity planning analysis based on the anticipated conversion
- Upon approval of the Data Conversion Plan by the CMS Net CMC or designee, execute the Data Conversion Plan

Bidder agrees to the above requirement? Yes_____ No_____

V.S. Contractor Response Times

The Contractor shall respond to requests from CMS Branch for System Maintenance support services on a priority basis. Response time begins when the State leaves a voice mail, pager message, or contact is made by phone. "Respond" is defined as one of the Contractor's technical staff, assigned to provide system maintenance and/or operational support, contacting the CMS Net CMC and initiating a plan for problem resolution.

Response times for each level are predicated on the system being available to the user within the hours of 0700 and 1900, Monday through Friday and Saturday 0900-1700 (CMS Net System normal business days and hours), excluding CMS Net designated holidays. This is defined as the CMS Net system production hours. The two levels of response are identified in Table 12.

Table 12. Priority Level Response Times

PRIORITY LEVEL	DESCRIPTION	RESPONSE TIME
I	System Inoperable	1 hour during CMS Net system production hours 4 hours during non-CMS Net system production hours
II	Module Errors	4 hours**

**If contractor notification occurs after 1300, the response shall be required by 0700 of the next CMS Net System normal business day. "Module Errors" is defined as not a major impact on the user community.

The Contractor shall be available for notification via business phone (office), cell phone, or pager. The Contractor shall respond by 0700 on the next CMS Net System normal business day for Priority Level II calls left after hours. The Contractor shall designate emergency access telephone numbers and pager numbers that the CMS Branch can call for emergency Priority Level I on a twenty-four hour a day, seven day a week basis. The Contractor shall respond to emergency calls within one hour during CMS Net system production hours. For calls outside of CMS Net system production hours, the Contractor will respond within four (4) hours. The Contractor shall provide a list of contacts as appropriate for notification.

Bidder agrees to the above requirement? Yes_____ No_____

V.T. Release Management

The change cycle occurs monthly for CMS Net. The Contractor shall develop, maintain and execute a Release Management Plan to control the introduction of new or modified software into the production environment. Any software released outside this schedule will be an exception release.

The plan shall describe in detail how the Contractor will meet the following requirements:

1. No software is to be released into a production environment without express consent of the CMS Net CMC
2. All software modifications that have been approved for a specific release are released to the production environment
3. All documentation and plans and test results are generated and/or updated

To meet these requirements, the following deliverables are generated, distributed where necessary, and shall be approved by the CMS Net CMC or designee prior to the release:

a. A software baseline of all modules in the release
b. All software modules modified for the release are identified and published
c. Release Notes
d. Installation Procedures

e. Post Installation verification test plan to ensure that the software was successfully installed and will operate

f. Updated User Documentation

g. Updated Training Materials

h. Updated General Design documentation

i. Updated Detail Design documentation

j. Updated system architecture documentation

k. Updated unit test plans and results

l. Updated system test plans, automated scripts and reports

m. System, Regression, and performance test plans and results

n. Updated Operating procedures

A Post Installation Verification report shall be delivered to the State for review and approval.

Bidder agrees to the above requirement? Yes_____ No_____

V.T.1. Emergency Software Fix

Software may be released outside a normal release cycle for "emergency" fixes. Emergency fixes are defined as updates necessary to correct errors that have a severe adverse affect on the CMS Net and shall be approved by the CMS Net CMC or designee. For emergency fixes, the Contractor shall include a full implementation of emergency updates in the next scheduled release. For each emergency fix, the Contractor shall prepare and deliver an Emergency Release Request summarizing the change, justification for change, and brief impact analysis to be approved by the CMS Net CMC or designee.

Bidder agrees to the above requirement? Yes_____ No_____

V.T.2. Change Management

The Contractor shall be responsible for change management and software maintenance in accordance with *IEEE 1219. Standard for Software Maintenanc*e in addition to the DHS change management processes and procedures. The current DHS Change Management Process is documented in the Bidders' Library.

Bidder agrees to the above requirement? Yes_____ No_____

PART FIVE – SYSTEM OPERATIONS

V.U. System Operations Transition

The transition period of system operation activities necessary to move system operations from the current provider will begin thirty (30) calendars days after Contract Award. The transition period will last thirty (30) calendar days. During this period, the Contractor will work with the existing maintenance and operations provider and the State to smoothly transition maintenance and operations functions with no disruption in production system support. The State will make available to the Contractor all available system documentation. Some of this documentation is available in electronic form and some of the documentation is only available on paper.

Bidder agrees to the above requirement? Yes_____ No_____

V.V. Period of Performance

The period of performance for System Operations activities is three (3) years from the Contract Award date. At the State's option, after the three years the Contract may be extended for up to two (2) two-year periods.

Bidder agrees to the above requirement? Yes_____ No_____

V.W. Performance Service Level Agreement

The Contractor shall develop, through negotiations with the State, a Performance Service Level Agreement for the CMS Net System. The negotiated Performance Service Level Agreement must be comprehensive, and shall include, but not necessarily be limited to, the following types of measurements:

- System Availability
- System Response Times
- System Capacity

Although the Contractor shall develop the Performance Service Level Agreement through negotiations with the State, the State's target system on-line response time is ninety-five percent (95%) of transactions within two (2) seconds and no transaction greater than ten (10) seconds.

The negotiated Performance Service Level Agreement must be formally accepted and approved by the CMS Net E47 Steering Committee and the State Project Manager, or his/her designees. The Contractor agrees to meet, throughout the term of the contract, the State-approved Performance Service Levels.

Bidder agrees to the above requirement? Yes_____ No_____

V.X. Backup and Recovery Plan

The Contractor shall develop a Backup and Recovery Plan, that is consistent with the DHS – HHSDC Service Level Agreement for CMS Net, and submit it to DHS for approval by the date specified in Exhibit V-1. Contract Deliverables, that describes in detail the processes and procedures to satisfy the following requirements in both production and non-production environments:

1. All data files shall be backed up on a regular schedule such that they can be restored following discovery of a system or program error. Non-critical files shall be recoverable to the end of the prior CMS Net System normal business day at a minimum. Critical files shall be journalized to allow restoration up to the last committed transaction.
2. All system maintained files shall be backed up to permit recovery to the prior CMS Net System normal business day. These will include, but are not limited to, user definition files and software setup files, etc.
3. The recovery procedures shall include how the data files will be synchronized to a point in time relating to journalized files and non-journalized files. In cases where files are not backed up, e.g., operating system files or application executables, the recovery procedures shall define how these files are reinstated to the system.
4. The backup and recovery policies and procedures shall include all data stored within the enterprise environment including, but not limited to, print and report files generated by the application. Data stored on user workstations will not be the responsibility of the Contractor.
5. The Contractor shall, prior to placing the system into production, successfully test and publish the results of the recovery procedures. Success is defined as recovering the system from major storage failure to the latest committed transaction without data loss. (but there can be data loss see #1)
6. After commencement of production the Contractor shall successfully test the backup and recovery procedures by recovering the production environment to an alternate system on a quarterly schedule. The results, including the length of time required to fully recover the system operationally, shall be published.
7. Critical data files, e.g. databases, shall be checked for corruption and data integrity prior to being backed up.
8. The Contractor shall document and maintain the backup schedule including incremental and full backup schedules with retention required.

The Contractor shall review the Backup and Recovery Plan at least annually and update as needed. The Contractor shall execute the Backup and Recovery Plan as needed.

Although the actual backups may be performed by HHSDC the Contractor shall monitor adherence to the plan. The State will conduct on-site backup and recovery audits at least annually.

V.Y. System Capacity/Performance Monitoring

V.Y.1. Performance Monitoring and Management

The Contractor shall be responsible for monitoring and managing the performance of all aspects of the system with the exception of the infrastructure and services provided by HHSDC and DHS' Information Technology Services Division. For these specific services the Contractor shall provide performance oversight and will work with the State to resolve any issues that arise.

The Contractor shall produce, on a weekly basis, a System Performance Report to show:

1. System Availability
2. Scheduled Downtime with explanation
3. Un-Scheduled Downtime with explanation and resolution
4. Average system response times both over the period and specifically for the one hour that system response was slowest. This information should be available at the individual task level.
5. System resource utilization through the week
6. Batch processing performance during the week
7. Explanation of any performance anomalies during the reporting period
8. Explanation of any failures to meet performance service level agreements and activities to resolve any potential for future occurrences

Bidder agrees to the above requirement? Yes_____ No_____

V.Y.2. System Operations Activities

The Contractor shall provide system capacity/performance monitoring according to the following schedule:

Daily:

- Check database growth to ensure adequate disk space each State working day at 0700 (Problems requiring immediate attention will be reported to the CMS Branch by 0900)
- Check the database application error log daily and periodically as needed and report problems requiring remedial action

Semi-Monthly:

- Execute database integrity check and report findings

Monthly:

- Remove scratch globals and unnecessary UNIX files

As Needed:

- Perform operating system and development software upgrades and notifications (including analysis on how the upgrade will affect system operation and maintenance)

- Identify high-risk issues with proposed solutions
- Establish and monitor backup/recovery/restore processes, as defined in the Backup and Recovery Plan, through HHSDC provided logs
- Functions performed as a result of system monitoring may include:
  - Database configuration and definition
  - Corrective action for database corrupt
  - System tuning and database parameter setting

Bidder agrees to the above requirement? Yes_____ No_____

V.Y.3. Resolution of Items Identified During System Monitoring Activities

Any functions performed in response to system monitoring shall be fully documented, estimated and approved by the CMS Net CMC or designee prior to any activity taking place unless it is an emergency situation.

Bidder agrees to the above requirement? Yes_____ No_____

V.Z. Technical Support/Monitoring Administration

The Contractor Status Reports identified in Section V.J, Project Management Practices, will contain the following additional information related to System Operations activities:

Weekly Status Report:

a. Database configuration changes

b. System tuning and database parameter settings

c. Changes in database organization and file locations

d. Environment synchronization

e. Problems and proposed solutions

Monthly Progress Report:

a. Database and application growth statistics

b. Activity monitoring (including after hours logins and trends)

Bidder agrees to the above requirement? Yes_____ No_____

V.AA. System Availability

The CMS Net system shall be available (i.e., users can successfully process all transaction types) to the user within the hours of 0700 and 1900, Monday through Friday and Saturday 0900-1700 (CMS Net System normal business days and hours), excluding CMS Net designated holidays. This is defined as the CMS Net system production hours. The system shall have no more than eighteen (18) hours total downtime during system production hours during any calendar month. In addition, the system shall have no more than forty (40) hours

total downtime during any consecutive twelve (12) calendar-month period (The twelve calendar month period will be a "rolling" year. Example: Contract award is in January 2003. At the end of January 2004, the 13th calendar month, January 2003, would "roll off", and the 12 calendar month period would be February 2003 – January 2004. Likewise, at the end of February 2004, February 2003 would "roll off", and the 12 calendar month period would be March 2003 – February 2004.)

Bidder agrees to the above requirement? Yes_____ No_____

EXHIBIT V-1. CONTRACT DELIVERABLES

RFP REFER-ENCE	DELIVERABLE NAME	DELIVERABLE DUE DATE	LIQUIDATED DAMAGES DELIVERABLE CATEGORY			MAJOR DELIV-ERABLE
			1	2	3	
V.F	Transfer Plan	As defined in the approved Project Work Plan		X		
V.H	Staffing Management Plan	30 calendar days after Contract Award	X			
V.I	Project Management Plan, including the Project Work Plan	30 calendar days after Contract Award	X			
V.J.1	Weekly Status Reports – System Enhancements	Weekly, no later than Tuesday			X	
V.J.2	Weekly Status Reports – System Maintenance and Operations	Weekly, no later than Tuesday			X	
V.J.4	Monthly Progress Reports – System Enhancements	Monthly, by the 10th calendar day of the month			X	
V.J.5	Monthly Progress Reports – System Enhancements	Monthly, by the 10th calendar day of the month			X	
V.K.6	System Development Plan	As defined in the approved Project Work Plan		X		
CCS Client Eligibility Phase II – Insurance						
V.K.6/ V.K.1	System/Software Requirements Analysis	As defined in the approved Project Work Plan		X		X
V.K.6/ V.K.1	System/Software Architectural Design	As defined in the approved Project Work Plan		X		X
V.K.6/ V.K.1	Software Detailed Design	As defined in the approved Project Work Plan		X		X
V.L.2/ V.K.1	System Test Plan, including test procedures	As defined in the approved Project Work Plan		X		X
V.L.3/ V.L.4/ V.K.1	On-Line Release/Batch Performance Test results	As defined in the approved Project Work Plan		X		
V.L.1/ V.K.1	Integration Test Plan	As defined in the approved Project Work Plan		X		X
V.L.6/ V.K.1	User Acceptance Test Plan, including scripts	As defined in the approved Project Work Plan		X		X
V.M.1/ V.K.1	Training Materials	As defined in the approved Project Work Plan		X		X
V.K.1	Operational application, including application code, test data, job control language, scripts, etc.	As defined in the approved Project Work Plan	X			
Provider Enrollment						
V.K.6/ V.K.2	System/Software Requirements Analysis	As defined in the approved Project Work Plan		X		X
V.K.6/ V.K.2	System/Software Architectural Design	As defined in the approved Project Work Plan		X		X
V.K.6/	Software Detailed Design	As defined in the approved		X		X

RFP Reference	Deliverable Name	Deliverable Due Date	Liquidated damages Deliverable Category			Major Deliverable
			1	2	3	
V.K.2		Project Work Plan				
V.K.2.a	Data Model	As defined in the approved Project Work Plan		X		X
V.L.2/ V.K.2	System Test Plan, including test procedures	As defined in the approved Project Work Plan		X		X
V.L.3/ V.L.4/ V.K.2	On-Line Release/Batch Performance Test results	As defined in the approved Project Work Plan		X		
V.L.1/ V.K.2	Integration Test Plan	As defined in the approved Project Work Plan		X		X
V.L.5/ V.K.2	Stress Test Plan	As defined in the approved Project Work Plan		X		
V.L.6/ V.K.2	User Acceptance Test Plan, including scripts	As defined in the approved Project Work Plan		X		X
V.M.1/ V.K.2	Training Materials	As defined in the approved Project Work Plan		X		X
V.K.2	Operational application, including application code, test data, job control language, scripts, etc.	As defined in the approved Project Work Plan	X			
CCS Service Authorizations						
V.K.6/ V.K.3	System/Software Requirements Analysis	As defined in the approved Project Work Plan		X		X
V.K.6/ V.K.3	System/Software Architectural Design	As defined in the approved Project Work Plan		X		X
V.K.6/ V.K.3	Software Detailed Design	As defined in the approved Project Work Plan		X		X
V.K.3.a	Data Model	As defined in the approved Project Work Plan		X		X
V.L.2/ V.K.3	System Test Plan, including test procedures	As defined in the approved Project Work Plan		X		X
V.L.3/ V.L.4/ V.K.3	On-Line Release/Batch Performance Test results	As defined in the approved Project Work Plan		X		
V.L.1/ V.K.3	Integration Test Plan	As defined in the approved Project Work Plan		X		X
V.L.5/ V.K.3	Stress Test Plan	As defined in the approved Project Work Plan		X		
V.L.6/ V.K.3	User Acceptance Test Plan, including scripts	As defined in the approved Project Work Plan		X		X
V.M.1/ V.K.3	Training Materials	As defined in the approved Project Work Plan		X		X
V.K.3	Operational application, including application code, test data, job control language, scripts, etc.	As defined in the approved Project Work Plan	X			

RFP Reference	Deliverable Name	Deliverable Due Date	Liquidated damages Deliverable Category			Major Deliverable
			1	2	3	
System Maintenance						
V.R	System Maintenance Cost Estimates	As negotiated between the Contractor and the State		X		
V.R	System Maintenance Technical Specifications	As defined in the maintenance request authorization		X		
V.R	System Maintenance Testing plans and results	As defined in the maintenance request authorization		X		
V.R.4	System Maintenance Data Conversion Plan	As negotiated between the Contractor and the State		X		
V.T	System Maintenance Release Management Plan	As defined in the approved Project Work Plan		X		
V.T	Operational application with maintenance changes applied, including application code, test data, job control language, scripts, etc.	As defined in the maintenance request authorization	X			
V.T	System Maintenance Documentation Updates	As defined in the maintenance request authorization			X	
V.T	Post Installation Verification Report	As defined in the maintenance request authorization			X	
System Operations						
V.W	Performance Service Level Agreement	No later than 5 months after Contract Award		X		
V.X	Backup and Recovery Plan	As defined in the approved Project Work Plan	X			
V.Y.1	System Operations System Performance Report	Monthly, by the 10th calendar day of the month		X		
V.Z	System Operations Weekly Status Report	Weekly, no later than Tuesday			X	
V.Z	System Operations Monthly Status Report	Monthly, by the 10th calendar day of the month			X	

Exhibit V-2 - INSTRUCTIONS

Bidders should read the following instructions prior to completing the Resume Summary Forms for the personnel being proposed. Incomplete or inaccurate information may result in the response receiving low scores during evaluation and may be enough to make the proposal non-responsive. Since proposed resources will be evaluated and scored based on **meeting** and/or **exceeding** the Minimum and Desired Qualifications for the position for which they have been proposed, it is very important that the completed Forms provide comprehensive and concise descriptions that will allow the Evaluation Team to evaluate the experience.

The Resume Summary Form must detail how the experience has been gained to meet each Minimum Qualification and Desirable Qualification, if applicable. If the experience was gained through more than one project, then an outline should be completed for each applicable project. In some cases, the same project may be used for more than one requirement. The Resume Summary Form requires the following information:

- Project Name – The specific name of the project supported.
- Project Cost – The application development effort cost.
- Start Date – The date (mm/dd/yyyy) the proposed personnel started on the project.
- End Date – The date (mm/dd/yyyy) that the proposed personnel left the project.
- Experience Gained (years/months) – The amount of experience gained for the project specified under Project Name.
- Brief Project Description – This response shall be succinct yet provide the necessary detail that describes to the Evaluation Team how the experience required in the Minimum or Desirable Requirement has been gained. The description shall include sufficient background on the project, such as the project duration, size of the project, project budget, technologies involved, and size and organization of the project team, if applicable. Some of the experience requirements state experience "at least the size" and "scope" applications. In these cases, the response shall include a description of the size and/or scope of the application in sufficient detail for the Evaluation Team to evaluate the experience.
- Proposed Resource's Role, Responsibilities and Tasks Performed – This area shall identify the proposed resource's role in the project described above and provide information on assigned responsibilities, tasks performed, and applications and technologies used.
- Client Name, Client Reference Contact Name and Telephone Number – This area shall provide the client name for which the project was performed. If the proposed resource was a subcontractor, the Client Name, Client Reference Contact Name and Telephone Number shall reflect the information of the Client of the prime contractor. [Note: This information is only necessary for the Contractor Project Manager, the Software Architect/Senior Software Developer – Caché/Unix, and the Software Architect/Senior Software Developer – Browser-Based Technology positions.]

EXHIBIT V-2. RESUME SUMMARY FORM – CONTRACTOR PROJECT MANAGER

Proposed Resource Name:			
Proposed Position Classification:	**Contractor Project Manager**		
Organization associated with (check one):	Prime Bidder	Subcontractor	DVBE
The Bidder shall list the project information required below that qualifies the proposed resource for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly describe how the proposed personnel meets each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section V.H.4, Key Staff Minimum Requirements. [Use additional space/project reference boxes as necessary]			

Minimum Requirement #1: 5 years project management experience and at least 2 years of project management experience on a project(s) of at least the size (i.e., a $1 million or 6600 hour application development effort) and scope (i.e., full range of system development lifecycle activities) of this contract.

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Desirable Requirement #1: Project Management Institute Project Management Professional (PMI PMP) Certification

PMP Certification Date (Month/Year): PMP Number:

Include a copy of the PMP certification.

Desirable Requirement #2: Experience working with state and/or federal government agencies

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Desirable Requirement #3: Knowledge of public health client-based service programs

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

EXHIBIT V-2. RESUME SUMMARY FORM – SOFTWARE ARCHITECT/SENIOR SOFTWARE DEVELOPER – CACHÉ/UNIX

Proposed Resource Name:			
Proposed Position Classification:	**Software Architect/Senior Software Developer - Caché/Unix**		
Organization associated with (check one):	Prime Bidder	Subcontractor	DVBE
The Bidder shall list the project information required below that qualifies the proposed resource for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly describe how the proposed personnel meets each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section V.H.4, Key Staff Minimum Requirements. [Use additional space/project reference boxes as necessary]			

Minimum Requirement #1: Software Architecture Skills

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Minimum Requirement #2: Experience in architecting a system(s) that utilize a Wide Area Network (WAN)

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Minimum Requirement #3: 5 years experience in designing systems of at least the size (i.e., a $500,000 or 3300 hour application development effort) of this contract

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Minimum Requirement #4: 2 years of experience in utilizing Caché database management system

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Minimum Requirement #5: 2 years of experience architecting systems that operate on a UNIX platform

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Desirable Requirement #1: Knowledge of public health client-based service programs

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Desirable Requirement #2: 2 years of experience utilizing Caché database management system operating on a Unix platform

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

EXHIBIT V-2. RESUME SUMMARY FORM – SOFTWARE ARCHITECT/SENIOR SOFTWARE DEVELOPER – BROWSER-BASED TECHNOLOGY

Proposed Resource Name:			
Proposed Position Classification:	**Software Architect/Senior Software Developer – Browser-Based Technology**		
Organization associated with (check one):	Prime Bidder	Subcontractor	DVBE
The Bidder shall list the project information required below that qualifies the proposed resource for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly describe how the proposed personnel meets each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section V.H.4, Key Staff Minimum Requirements. [Use additional space/project reference boxes as necessary]			

Minimum Requirement #1: Software Architecture Skills

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Minimum Requirement #2: Experience in architecting a system(s) that utilize a Wide Area Network (WAN)

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Minimum Requirement #3: 5 years experience in designing systems of at least the size (i.e., a $*500,000 or 3300 hour* ***application development effort) of this contract***

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Minimum Requirement #4: 2 years of experience with the browser-based technology proposed by the Contractor and n-tier development knowledge

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

Desirable Requirement #1: Knowledge of public health client-based service programs

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Client Name, Client Reference Contact Name and Telephone Number:

EXHIBIT V-2. RESUME SUMMARY FORM – BUSINESS APPLICATIONS DEVELOPMENT SPECIALIST

Proposed Resource Name:			
Proposed Position Classification:	**Business Applications Development Specialist**		
Organization associated with (check one):	Prime Bidder	Subcontractor	DVBE
The Bidder shall list the project information required below that qualifies the proposed resource for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly describe how the proposed personnel meets each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section V.H.4, Key Staff Minimum Requirements. [Use additional space/project reference boxes as necessary]			

Minimum Requirement #1: 3 years experience in performing software requirements analysis for systems of at least the size (i.e., a $500,000 or 3300 hour application development effort) of this contract

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Minimum Requirement #2: Experience leading joint application development sessions with users

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Desirable Requirement #1: Experience with the browser-based application development technologies proposed by the Contractor

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Desirable Requirement #2: Experience working with government agencies

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Desirable Requirement #3: Experience using the CyberTools application development toolset

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Desirable Requirement #4: Knowledge of the UNIX operating system

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Desirable Requirement #5: Knowledge of public health client-based service programs

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

EXHIBIT V-2. RESUME SUMMARY FORM – APPLICATION DEVELOPER/PROGRAMMER - CACHÉ/UNIX

Proposed Resource Name:			
Proposed Position Classification:	**Application Developer/Programmer - Caché/Unix**		
Organization associated with (check one):	Prime Bidder	Subcontractor	DVBE
The Bidder shall list the project information required below that qualifies the proposed resource for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly describe how the proposed personnel meets each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section V.H.4, Key Staff Minimum Requirements. [Use additional space/project reference boxes as necessary]			

Minimum Requirement #1: 5 years experience in performing the full range of application development activities for systems of at least the size (i.e., a $500,000 or 3300 hour application development effort) and scope (i.e., full range of system development lifecycle activities) of this contract

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Minimum Requirement #2: 2 years experience performing application development using Caché and Fileman on a UNIX platform using the M (MUMPS) application language

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Desirable Requirement#1: Experience performing application development activities for public health client-based service programs

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

EXHIBIT V-2. RESUME SUMMARY FORM – APPLICATION DEVELOPER/PROGRAMMER – BROWSER-BASED TECHNOLOGY

Proposed Resource Name:			
Proposed Position Classification:	**Application Developer/Programmer – Browser-Based Technology**		
Organization associated with (check one):	Prime Bidder	Subcontractor	DVBE
The Bidder shall list the project information required below that qualifies the proposed resource for the duties and responsibilities on this project for the proposed position classification. Note: This section must clearly describe how the proposed personnel meets each of the minimum requirements, and desirable requirements, if applicable, for the proposed position classification detailed in Section V.H.4, Key Staff Minimum Requirements. [Use additional space/project reference boxes as necessary]			

Minimum Requirement #1: 5 years experience in performing the full range of application development activities for systems of at least the size (i.e., a $500,000 or 3300 hour application development effort) and scope (i.e., full range of system development lifecycle activities) of this contract

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Minimum Requirement #3: 2 years experience performing application development using the browser-based technology and data access methods proposed by the Bidder

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

Desirable Requirement#1: Experience performing application development activities for public health client-based service programs

Project Name: Project Cost:

Start Date: End Date: Experience Gained (years/months):

Brief Project Description:

Proposed Resource's Role, Responsibilities, and Tasks Performed:

EXHIBIT V-3. ADDITIONAL EQUIPMENT AND COTS SOFTWARE

Contractors must complete Column A and Column B, as appropriate, and attach this Exhibit to its Technical Approach, as described in Section V.N, Technical Approach. For cost evaluation purposes, Column C – Column L will be completed by the State and the Total Additional Equipment and COTS Software Costs will be added to the Bidder's Total Cost from Cost Table 5 to arrive at the Bidder's Adjusted Total Cost.

HARDWARE

Item Description [Column A]	Make/Model/Specifications [Column B]	Purchase Price [Column C]	Tax [Column D]	Delivery [Column E]	Installation Charge [Column F]	State Admin. Cost to Purchase [Column G]	Operational Support Costs (84 months) [Column H]	Total Item Cost [Column I]	Quote Source (Company Name) [Column J]	Contact Person/ Phone # [Column K]	Date of Quote [Column L]
								$0.00			
								$0.00			
								$0.00			
								$0.00			
								$0.00			
								$0.00			

COTS SOFTWARE

Item Description [Column A]	Version/# of Licenses/Specifications [Column B]	Purchase Price [Column C]	Tax [Column D]	Delivery [Column E]	Installation Charge [Column F]	State Admin. Cost to Purchase [Column G]	Operational Support Costs (84 months) [Column H]	Total Item Cost [Column I]	Quote Source (Company Name) [Column J]	Contact Person/ Phone # [Column K]	Date of Quote [Column L]
								$0.00			
								$0.00			
								$0.00			
								$0.00			

TELECOMMUNICATIONS

Address of Contractors Location [Columns A - B]	One-time Telco Installation Cost [Column C]	One-time State Service Request Cost [Column D]	Monthly Cost [Column E]	Number of Months [Column F]	Total Cost [Column G]
				84	$0.00
TOTAL ADDITIONAL EQUIPMENT AND COTS SOFTWARE					***$0.00***

APPENDICES

Appendix A - CONTRACT TERMS AND CONDITIONS

(see Appendix A.pdf)

Appendix B - CALIFORNIA CHILDREN SERVICES (CCS) CLIENT ELIGIBILITY PHASE II – INSURANCE BUSINESS/FUNCTIONAL REQUIREMENTS

(see Appendix B.pdf)

Appendix C - PROVIDER ENROLLMENT BUSINESS/FUNCTIONAL REQUIREMENTS

(see Appendix C.pdf)

Appendix D - CALIFORNIA CHILDREN SERVICES (CCS) SERVICE AUTHORIZATIONS BUSINESS/FUNCTIONAL REQUIREMENTS

(see Appendix D.pdf)

Appendix E - SAMPLE MAINTENANCE REQUEST AUTHORIZATION

CMS Branch is requesting the time and cost for the phases of the System Development Life Cycle.

PHASE AND TASK	ESTIMATED HOURS
ANALYSIS AND DESIGN	
Review and Request Clarification of Functional Specification Design Document	
Develop Technical Design Document	
Facilitate Technical Specification Design Document Walkthrough	
Sub-total	
DEVELOPMENT AND TESTING	
Code Development	
Unit and Integration Testing	
System and User Acceptance Testing Support (TIR resolution, execution of batch processes, etc.)	
Maintenance Documentation Updates	
Sub-total	
IMPLEMENTATION	
Implementation of Enhancement to Production	
Sub-total	
Total Estimated Hours	

CMS Approval of TSD & Estimate Yes ☐ No ☐

Approved by:	Date:

CMS Unit Tested & Approved Yes ☐ No ☐

Approved by:	Date:

CMS System Tested & Approved Yes ☐ No ☐

Approved by:	Date:

CMS Validated & Approved in Production Yes ☐ No ☐

Approved by:	Date:

Appendix F - SAMPLE SMALL BUSINESS PARTICIPATION NOTIFICATION

Sample letter for Small Business Participation Notification:

To: Tom Burton, Senior Procurement Manager
Department of General Services
Procurement Division
707 Third Street, 2nd Floor
West Sacramento, CA 95605

REFERENCE: RFP DHS 4260-144A

This is to notify you of our participation in the proposed CMS Net E47 project as a Certified Small Business in the State of California. We understand that (Prime Contractor Name) is submitting a proposal which includes $ _____ for the work we are doing as part of the project.

The individual to whom all inquiries should be addressed is:

Contact Person and Title:

Company Name:

Address:

City, State, & Zip

Phone Number:

E-mail Address:

Sincerely,

_____

Name and Title

Appendix G - QUESTION AND ANSWER SET #1

Question 1:

Is there a limit to the number of bidders that will pass the pre-qualification?

Answer:

No, everyone who "passes" the pre-qualification qualifies to participate in the procurement process.

Question 2:

Page 25 of the RFP, Section II.E.6, Determination of Winning Proposal states:

> "The winning proposal will be the responsive proposal that has the highest combined score for the draft Staffing Management Plan, draft Project Management Plan, Technical Approach, cost factors."

I assume the term "cost factors" means cost point evaluation and that score is based on the 400 point evaluation?

Answer:

Yes, cost factors means the point evaluation and also includes any applicable preferences that a company qualifies for.

Question 3:

Is the file conversion for Los Angeles county to be included in the bid?

Answer:

No, conversion of LA county is not included in this bid. If that work needs to be done as a part of this project it will be handled through the Maintenance Request Authorization process described in the RFP.

Question 4:

Would file conversion be "time and materials" or "fixed price"?

Answer:

Reference RFP V.A. 2nd bullet and V.Q

Section V.A 2nd bullet

- "Costs for Systems Maintenance, detailed in Section V – Part Four - System Maintenance, will be on a time and materials basis via approved Maintenance Request Authorizations. The approved Maintenance Request Authorization will

contain a CMS Branch approved cost estimate. This CMS Branch approved cost estimate will be the **maximum** amount that the contractor is authorized to invoice the State for services provided under the Maintenance Request Authorization. Any additional hours required to complete the services under the Maintenance Request Authorization will be at no cost to the State. The Contractor will bill the State for only the actual hours worked. The maximum hourly billing rate for each job is included in Cost Table 2 – System Maintenance."

"V.Q. System Maintenance Support Service Initiation

The Contractor shall provide System Maintenance support services upon approval by the CMS Net CMC or designee of a Maintenance Request Authorization resulting from one of the following type of requests:

- The approval of a SMCR by the CMS Net CMC or designee
- IR, WR, County Data Conversion, or Batch Operations technical support request initiated by CMS Branch.

The Contractor will not proceed with providing any System maintenance support services without prior written authorization by the CMS Net CMC or designee. This authorization will include the CMS Branch approved cost estimates for the Maintenance Request Authorization Task Completion criteria will be defined by the Contractor and approval by the CME Net CMC of designee before each Maintenance Request Authorization is approved. A sample Maintenance Request Authorization is included in Appendix E."

Question 5:

You encourage bidders to submit draft proposals, is it mandatory?

Answer:

It is not mandatory, but highly suggested that Bidders submit a Draft Proposal. The purpose of the Draft Proposal process is to try to ensure that the Final Proposal is acceptable in all ways. DGS has found that in the past, problems have occurred that resulted in proposals being rejected for reasons that could have been easily fixed had the Bidder known of the problem. The process of submitting a draft proposal and receiving feedback is designed to help bidders succeed in a very detailed process.

Question 6:

In the contract advertisement, is the estimated $1 million to $1.5 million price based on a 3 year or 5 year contract?

Answer:

The base contract for support and maintenance is 3 years with two 2-year options. The CMS Net base budget for support and maintenance is $300,000 during Fiscal Year 2002/03 with a 10 percent increase each year thereafter. The development budget is approximately $1 million per year for Fiscal Years 2002-03 and 2003-04.

Question 7:

If more than one company is trying to do a joint bid, does each company have to pre-qualify?

Answer:

The joint bidders would have to decide to present a joint bid prior to submitting a pre-qualification proposal and then pre-qualify as joint bidders. However, two pre-qualified companies could decide to submit a joint proposal anytime prior to the due date for Final Proposals.

Question 8:

Must all sub-contractors pre-qualify?

Answer:

No, only the prime contractor must pre-qualify.

Question 9:

Will you share the bidder list? It would be helpful to small businesses to find subcontracting opportunities.

Answer:

Yes, we will post the names and contact information for those people that attended the Bidder's Conference and companies that have expressed an interest in the procurement on the web-site. We will not be maintaining the list after it is posted.

Question 10:

Can we get a copy of the slides used at the Bidders Conference?

Answer:

Yes, we will post them on the web-site.

Question 11:

It is quite obvious that the RFP is for an enhancement. Are there long range plans of automating the case management portion to improve efficiency?

Answer:

Yes, but that is outside the scope of this RFP.

Question 12:

The RFP is in PDF format, would it be possible to have the file as a Word document?

Answer:

Yes, we will post a Word version of it on our web site.

Question 13:

Who was the Phase I developer, and why are they no longer involved?

Answer:

The developer was M/Mgmt. The contract expired and was not renewed.

Question 14:

Would you entertain an "out of the box" solution rather than development?

You state you would entertain other solutions as long as they utilize Cache; however, I don't interpret the RFP to use "out of box" (COTS) solutions.

Answer:

No, the project has not been approved for anything other than a custom developed solution.

Question 15:

What is the rationale for using Cache as the underlying database?

Answer:

It is a requirement for development mandated by the Department of Information Technology and the Department of Finance.

Question 16:

Can you expand on how much you are currently using Fileman in the existing system and how much it will be used in the future development?

Answer:

The entire current system utilizes Fileman. Future development does not require Fileman, it requires ODBC compliant database structure; but future development must interface with the Fileman portion of the system.

Question 17:

Is moving the whole thing out of Fileman and on to Cache out of the question?

Answer:

At this point, yes. Reference RFP V.J.1.A

"The CCS Client Eligibility System Phase II – Insurance phase must be developed using the existing platform and architecture: Cache Fileman database and M (MUMPS) as the programming language."

Question 18:

Which phases of the project require new or different technology?

Answer:

The Technical requirements are contained in the RFP under the following Sections:

V.J.1.a Eligibility Phase II – Insurance,

V.J.2.a Provider Enrollment, and

V.J.3.a Service Authorization.

Question 19:

There is a requirement for the project manager to be located in the Sacramento Office, does this apply to programming staff as well?

Answer:

The RFP covers this in Section V.F.

V.F. Contractor Staff Location

Contractor Key Staff working on System Enhancements shall be located at the CMS Branch office in Sacramento, California…

Contractor personnel performing System Maintenance and/or System Operations activities may* be housed either at the CMS Branch office or at a Contractor's location in the greater Sacramento Metropolitan area. Please note the status meeting requirements in Section V.I, Project Management Practices, when determining where Contractor personnel will be located.

** The RFP will be amended to reflect the change in wording from "may" to "shall" in the next few days.*

WRITTEN QUESTIONS RECEIVED OUTSIDE OF THE BIDDERS CONFERENCE

Question 20:

Who are the companies that are precluded from bidding?

Answer:

Electronic Data Systems (EDS), Visionary Integration Professionals (VIP), Eclipse Solutions.

Question 21:

Regarding the CMS Net RFP, for the Pre-qualification submission 6/28, do the Prime and Subs need to be identified, or just the Prime?

Answer:

The Pre-qualification process relates to the Prime contractor. Subcontractors do not need to be identified at this stage.

Question 22:

If both, then do the Prime and all subs provide Financial Reports as well?

Answer:

Financial Reports must be provided for the Prime contractor.

Question 23:

During the Bidders Conference, someone asked if the pre-qualification proposal had to identify all companies forming a teaming agreement. The answer was yes, the proposal had to identify all companies teaming. I believe a follow up question asked if all subcontractors had to be identified in the pre-qualification proposal as well. I thought the answer was no,

subcontractors did not have to be identified in the pre-qualification proposal. Is that correct? Another company has called me and said they understood differently.

Answer:

See response to Questions 7 and 21. Joint bidders would have to decide to present a joint bid prior to submitting a pre-qualification proposal and then pre-qualify as joint bidders. Subcontractors do not have to be identified in the pre-qualification proposal.

Question 24:

Obviously portions of CMS Net E47 has already been developed. Was that work done by the State or by contractor firms? Are they precluded from participating in this procurement?

Answer:

The first phase of the Eligibility component was developed by M/Mgmt Systems, Inc., a contracted development firm. No they are not precluded from participating in this procurement.

Question 25:

What does (M)UMPS stand for? Is there a standard for it? Who maintains the standard?

Answer:

M (MUMPS) is a programming language. MUMPS stands for Massachusetts General Hospital Utility Multi-Programming System.

1977: accepted as an ANSI standard, ANSI/MDC X11.1

1984: revised ANSI standard ANSI/MDC X11.1-1984

1986: approved as a Federal Information Processing Standard (FIPS)

1990: revised ANSI standard ANSI/MDC X11.1-1990

1992: accepted as an international standard, ISO/IEC 11756-1992

1993: revised FIPS 125-1

1995: revised standard in ANSI canvass procedure for approval as ANSI/MDC X11.1-1994 (or maybe 1995) and distributed for comments in ISO as ISO/IEC 11756-1995.

1995: M Standard: December 1995, ANSI approved X11.1 (1995 Programming Language) and X11.2 (Open MUMPS Interconnect)

Refer to the Intersystems Corporation website for more information on M (MUMPS).

www.intersys.com

Question 26:

Why was a non-standard, public domain product (Fileman) chosen for this project?

Answer:

The existing CMS Net was built using Fileman, and the continued use is mandated by the Department of Information Technology and the Department of Finance.

Question 27:

Why was Cache chosen over more common, more readily supported by HHSDC DBMSs?

Answer:

The existing CMS Net was built using Cache, and the continued use is mandated by the Department of Information Technology and the Department of Finance.

Question 28:

Is Terry Daffin a State employee? If not, who does he work for? What is that firm's role in this procurement? Are they prohibited from participating in this procurement?

Answer:

Terry Daffin is a consultant to the Department of Health Services (DHS) that works for VIP. His role in the process is the Project Manager for DHS. VIP is precluded from bidding on this RFP.

Appendix H – QUESTION AND ANSWER SET #2

System Hardware and Software

1. Given that costs should not be submitted for the draft version of the proposal, does the list of all Hardware and Software need to filled out and presented in the cost tables, as part of the draft proposal?

   ANSWER: Yes, we want to look at the hardware and software to validate that it is not in conflict with other parts of the Proposal.

2. Are the hardware and software needed for development and production, for the first system enhancement (Client Eligibility System Phase II - Insurance), already available within CMS net? Please provide a list all the hardware and software available to the bidders for CMS Net.

   RFP Reference: For the first system enhancement, the RFP section III.B.2.b mentions that the current system architecture will be used. We are assuming that for this enhancement, the hardware and software needed (for development and production) is already available with CMS net.

   ANSWER: CMS Net has available a test and a production server and software for those servers. The list of hardware and software available is in section III.A.3 of the RFP. Refer to section V.N.10 for further clarification.

3. Will the bidder need to consider additional Unix AIX servers to support enhancements #2 and #3?

   RFP Reference: For the second and third enhancements, it is mentioned that "..The technical platform considerations will be the same as the current technical architecture for the hardware configuration. Cache' will be used as the database. A new browser based user presentation and component-based business rules processes will be deployed for this phase..." Section III.B.3.b and III.B.4.b. Does it imply that only the existing hardware available at CMS needs to be used? Cache for enhancements #2 and #3 will be running on RS6000/AIX box – will the bidder need to purchase additional cache database software or will the existing licenses suffice?

   ANSWER: No, an additional Unix AIX server need not be considered to support the new enhancements. If additional Cache database licenses are necessary, the State will purchase them separately.

4. In case the state would like the bidder to utilize existing hardware, please provide statistics for system response time, system availability , system resource utilization metrics (for example, CPU utilization, memory utilization, hit ratio, etc.) and

available capacity for disk space and memory (RAM) on the current production AIX box?

ANSWER: CMS Net does not currently utilize extensive system monitoring software and cannot provide the information requested. In-house routines have been written to provide utilization reports. The most current reports reflect peaks of 40% CPU utilization.

5. What is or is there an existing CMS Net standard for the following software / tools?
   - Reporting, e.g., Crystal Reports, Cognos
   - Configuration Management, e.g., PVCS. Is there one being used for the M routines?
   - Defect tracking, e.g., Mercury TestDirector
   - Functional and Performance testing, e.g., Mercury WinRunner and LoadRunner

   ANSWER: Reporting – None. Configuration Management – None. Defect Tracking – CMS Net has an in-house Access database that keeps track of incidents (defects) identified in the production application. Functional and Performance Testing – None.

6. Which Cybertools product is used at CMS Net for User Interface management? Currently, we are assuming Cyber M.

   Note: Per Cybertools, following is a list of tools available, - CyberJ® / CyberTools for Java & The Web, CyberWin!®, CyberBus®, CyberM® and CyberTools® Object Library.

   ANSWER: We currently use CyberM.

7. What is the meaning of the term "Full screen edit" and "full screen character UI"

   ANSWER: "Roll and Scroll" – Screen entry format that prompts the user one field at a time. "Full Screen Edit" – Screen entry format that has multiple fields on a single screen. "Full Screen Character UI" – Same as "Full Screen Edit".

Interfaces

8. Please clarify whether HI 40 is a daily or monthly interface?

   Clarification - Appendix -B ,page 69 and 70. On page 69, HI-40 is mentioned as once a month process whereas on page 70 the heading states 'Daily Batch HI40 transaction'.

   ANSWER: HI40 will be transmitted via batch on a monthly basis. Requirements will be clarified and defined as part of the Requirements Analysis Process. Refer to RFP Sections V.K.1 and V.K.7.

9. Please clarify the following regarding MED 400 and 2100 transactions.

a. Are these transactions being made currently with the existing MEDS inquiry functionality? OR these are totally new transactions?

ANSWER: Yes, these transactions currently exist in the CMS Net System. They are not new.

b. Does the existing MEDS inquiry functionality perform REAL TIME queries? If so, then what is the technology used for REAL TIME transactions. Is it correct to assume that since MED400/2100 fall under the scope of enhancement#1, the mechanism of real time query shall remain as it was earlier (if there was any?)

ANSWER: The existing MEDS inquiry functionality is real time. CMS Net sends a transaction request to the MEDS MVS host initiating a CICS transaction. CMS Net then accepts and displays information sent back. The mechanism of real time query shall remain as it was earlier, although additional data will be stored and displayed.

10. Do the queries mentioned in sections 5.32, 5.33, 5.34 of appendix-C require REAL time access to the PMFs in Dental and EDS?

ANSWER: No. There is no real time access to the PMF's at Delta Dental and EDS.

11. Will the reports generated by the Financial intermediary systems (EDS and Dental) involve accessing the CMSNet database?

RFP Reference: Page 7 of appendix-D

ANSWER: No. The reports do not involve accessing the CMS Net database.

12. Please explain the difference between dependent and independent counties.

RFP Reference: Appendix C page 7

ANSWER: Counties with populations less than 200,000 are considered dependent counties and administer the CCS Program with assistance from the State Regional Offices. Counties with populations greater than 200,000 are considered independent counties and administer the CCS Program independently.

Training

13. Please clarify what is meant by two (2) classes for each enhancement. Is the intent to require:

a. Two offerings of the same class for each enhancement (so that up to 40 trainers would be trained)?

b. Two different offerings for each enhancement (perhaps geared to different user types, or an introductory and an advanced class for each enhancement)?

ANSWER: The intent is to provide 2 offerings of the same class for each enhancement. An additional training requirement was included in Addendum #2.

General

14. Section V.H.2., Requirements Control Plan refers to the "DHS CMS Net/GHPP Change Management Process" documented in the Bidder's Library. Is this document in the Bidder's library? If not, where can we obtain it?

    ANSWER: The DHS CMS Net/GHPP Change Management Process is now part of the Bidder's Library. Refer to Section III.C.2 in Addendum #2.

15. What are the states' roles and responsibilities for UAT ?

    ANSWER: The State will execute and document the test results per the Acceptance Test Plan. Clarification made in Section V.L.6 in Addendum #2.

16. Will the DHS limit the performance bond to the enhancements period as the maintenance period is simply a T&M basis?

    ANSWER: The RFP does not require the Contractor to secure a performance bond. The RFP requires that the Bidder submit proof of bondability as part of its Pre-Qualification Proposal (RFP Section II.D.2.a(3); and that the State reserves the right to require a performance bond (RFP Section II.B.7). Should the State exercise that right, the time limit of the performance bond will be specified.

17. The RFP contains 2 payment schedules, the one on page V-1 and the one is Appendix F. We assume we can price the proposal based on the schedule in Appendix F. Is this correct?

    ANSWER: No, you should base your proposal on the Payment Schedule contained in RFP Section V. The Payment Schedule for the services being requested and priced as part of the proposal is in Table 11. Payment Schedule. As part of the Statement of Work, this Payment Schedule takes precedence over the Invoicing Terms and Conditions contained in RFP Appendix A – Exhibit F 5. (For Order of Precedence, see Appendix A. Exhibit C. 11)

18. DHS has not allocated a section in the proposal to respond to Terms and Conditions. Where in the proposal would you like us to submit alternate language, or

clarifications? In addition, will terms and conditions be part of the confidential discussions should we be selected to proceed in the process?

ANSWER: The State is not entertaining contract changes for this procurement. However, the State has added alternative contract language to RFP Section II as part of Addendum 6, which the Bidders should review.

19. During the system enhancements period, if we require support from the legacy subcontractor, will that be invoiced through the T&M maintenance contract, or does DHS require us to anticipate those hours and include them in the FFP proposal?

ANSWER: The selected Contractor will be the Contractor responsible for maintaining the legacy system after the first 60 days of the contract (RFP Requirement V.U). The Bidder must include all of its operations support costs in its proposal. If the Bidder requires support from the legacy subcontractor after the transition period, it is the Bidder's responsibility to separately contract for that support.

20. Statement of Work

Contract -Exhibit A – Statement of Work

The Request for Proposal does not ask for an actual Statement of Work? Shall we prepare a draft Statement of Work as Exhibit A to the contract?

ANSWER: The Statement of Work is Section V of the RFP, which must be submitted as Volume 1 Tab 2 of the proposal (RFP Requirement II.D.4.a(3))

21. Payment Schedule

V.A. Payment Terms and Conditions

Can we propose an alternative payment schedule for System Enhancements or changes to the holdback percentage?

ANSWER: Yes, you can request a change in the requirements, in accordance with the procedure included in RFP Section II.B.5, Questions Regarding the RFP.

22. HTTP Server

V.K.4. HHSDC-Supported Platforms

22.1 Can we recommend other HTTP Servers other than IIS?

ANSWER: No, because HHSDC currently only supports HTTP servers running IIS on the NT platform.

22.2 Can we propose running the HTTP server on platforms other than NT?

ANSWER: No, because HHSDC currently only supports HTTP servers running IIS on the NT platform.

23. HI40 Transactions

Appendix B

HI40 Transaction Process – Functional Requirement Specifications

Section 1.3 Assumptions/Constraints (page 66)

It is stated that the CMS Net system must verify that the patient has Medi-Cal coverage before the HI40 transaction is sent. On what basis is that verification to be made?

ANSWER: Verification is executed manually by the user via a MEDS transaction.

24. Service Authorization Requests

Appendix D

Service Authorization Requests

24.1 We do not find the specifications for printed authorizations, can they be provided?

ANSWER: The specifications for printed authorizations have not been developed at this time. Requirements will be clarified and defined as part of the Requirements Analysis Process. Refer to RFP Sections V.K.1 and V.K.7.

Appendix D

Service Authorization Requests

Section 1.3 Assumptions and Constraints (page 7)

24.2 It is stated that the Service Authorization Request (SAR) in CMS Net created prior to the E47 implementation will not be converted. The specification also states that the CMS Net legacy system will be used for display only. Does this mean that the functions of authorize for pending requests or cancel authorized requests will be disabled?

ANSWER: The utilization of these functions has not been finalized at this time. Requirements will be clarified and defined as part of the Requirements Analysis Process. Refer to RFP Sections V.K.1 and V.K.7.

24.3 It is also stated that the existing Service Authorization Requests will not be converted. Is it correct then, that all existing pending and authorized Service Authorizations must be re-entered by the users?

ANSWER: This is considered part of implementation planning and have not been finalized at this time. Requirements will be clarified and defined as part of the Requirements Analysis Process. Refer to RFP Sections V.K.1 and V.K.7.

Appendix D

Service Authorization Requests

Section 1.4.4 Future Functional Description (page 11)

24.4 It is stated that transmission of information to the Service Authorization Files (SAF) of EDS and Delta Dental will be "one way" from CMS to the SAF on a real-time basis. However, in a prior section (2.1) it is stated that "CMS Net will send batch transactions to the fiscal intermediaries." Please clarify if SARs are to be sent batch or real-time and if there is only "one way" transmission capability, how does CMS Net know if the SAR was successfully received with the required data elements.

ANSWER: The transmission of Service Authorization Files is planned to be "one way" to Delta Dental and EDS via batch transmission. Delta Dental and EDS will send back transmission information from each CMS Net transmission. Requirements will be clarified and defined as part of the Requirements Analysis Process. Refer to RFP Sections V.K.1 and V.K.7.

24.5 What is the communication protocol?

ANSWER: FTP.

Appendix D

Service Authorization Requests

Section 2.3.5.1 Screen Reference Layout (page 41 – 46)

24.6 It is stated that Individual Care Providers must be associated with the Special Care Center on the date that the services are rendered in order to receive payment for services; eligibility must be automatically verified before the claim is paid. Is it correct to assume that this rule is here for thoroughness but is not to be implemented as part of this project?

ANSWER: It is expected that this requirement be implemented as part of this project. Requirements will be clarified and defined as part of the Requirements Analysis Process. Refer to RFP Sections V.K.1 and V.K.7.

24.7 It is stated that the system shall allow CCS workers to enter a negotiated price for service codes. Is there a field on the CMSSAR-50 screen for price? We do see it on CMSSAR-60 screen; does this rule apply to this screen?

ANSWER: No negotiated price field is planned for the CMSSAR-50 screen at this time. *These requirements will be amended as part of the Requirements Analysis Process. Refer to section V.K.1 and V.K.7*

24.8 The specifications refer to overriding the legal county but there is not a field for county on the screen, where should the override be entered?

ANSWER: The county field is on the CMSSAR-60 screen. Requirements will be clarified and defined as part of the Requirements Analysis Process. Refer to RFP Sections V.K.1 and V.K.7.

24.9 It is specified that code specific authorizations shall be allowed to override any limitations on the category of service. Where is the data for limitations of service found in the provider file? And, what is meant by "code specific" authorizations as opposed to "non-code specific" authorizations?

ANSWER: Limitations of service are associated with categories of service and will not be in the provider master file. Unfamiliar terms and Requirements will be clarified and defined as part of the Requirements Analysis Process. Refer to RFP Sections V.K.1 and V.K.7.

24.10 Several terms are used in bullet 9 and 10, can you provide a reference and definition for these (i.e. "modifier limitations for a procedure", "CALPOS as a Medi-CAL TAR including but not limited to 6 prescription limits", "end dated drugs", etc.

ANSWER: Unfamiliar terms and requirements will be clarified and defined as part of the Requirements Analysis Process. Refer to RFP Sections V.K.1 and V.K.7.7

Appendix D

Service Authorization Requests

Section 2.3.5.2 Screen Business Rules (page 44)

24.11 It is stated that the system "shall prevent the entry of services which do not fall within the provider's scope of services." How is the provider's scope of services determined? We found reference to the provider's "category of service." Are these two terms synonymous?

ANSWER: A provider's scope of services is determined by the State. Yes, "scope of service" and "category of service" are synonymous.

Appendix D

Service Authorization Requests

Section 4.1 Authorize Transaction / SAF Data Elements (page 153)

24.12 It is stated that authorizations are to be sent to the dental and medical fiscal intermediaries. While it is clear that the same data elements are to be used, it is not clear which records are to be sent to which destination. Does each intermediary receive all records?

ANSWER: No. Delta Dental will receive dental authorizations and EDS will receive medical authorizations.

24.13 Is there a selection process? And, if so, on what basis is the selection made?

ANSWER: Yes. Selection is made based on the provider's specialty. Delta Dental will receive dental authorizations and EDS will receive medical authorizations.

Appendix D

Service Authorization Requests

Section 5.1 Table and File Business Rules (page 159)

24.14 The acronyms and/or terms OILS and DOILS are used. Please define.

ANSWER: OIL – Operational Instruction Letter. OIL's are provided to EDS as formal descriptions of medical claim policy changes. DOIL – Dental Operational Instruction Letter. DOIL's are provided to Delta Dental as formal descriptions of dental claim policy changes

25. In Table II, Estimated System Maintenance Effort, do the numbers take into account each of the roles (Project Management, Application Developer/ Programmer, Business Application Development Specialist, Software Architect/ Senior Software Developer) or are the hours purely an estimate of programming time required?

ANSWER: The numbers take into account all of the roles.

26. In Table II, System Maintenance, is the Evaluation Factor supposed to represent the number of hours each role is expected to perform in the maintenance of the system? Should the Evaluation Factor for all roles total 27,787?

ANSWER: Yes. The Evaluation Factor for all roles equals 27,787. Cost Table 2 has been modified in Addendum 2 to clarify.

27. Are DGS/DHS open at all to the idea of some programming staff being located outside of the Greater Sacramento area, if the staff are represented by some in the Greater Sacramento area?

    ANSWER: No, DHS is not open to this idea.

Appendix I – QUESTION AND ANSWER SET #3

Phased Implementation

We are in need of further clarification regarding two new requirements that were received via Addendum #4, (V.K.3.b and V.N.11) identifying a phased implementation for the Service Authorization enhancement.

> ***V.K.3.b Phased Implementation***
>
> *Due to the number and geographical location of the users of the CCS Service Authorization phase, the Contractor shall implement this enhancement in a multi-phased approach to mitigate the inherent issues associated with a large system implementation. The Contractor is responsible for determining and designing an implementation plan and approach within the following constraints:*
>
> - *The implementation shall take no longer than two months to implement 100% of the CCS Service Authorization users; and*
> - *Each implementation phase shall consist of one or multiple counties.*
>
> ***V.N.11 CCS Service Authorization Phased Implementation Approach***
>
> *The Contractor shall describe its approach to performing the multi-phased implementation of the CCS Service Authorization enhancement. Specific consideration should be given to the following items:*
>
> - *The approach taken to assign groups of users to each specific implementation phase*
> - *Data conversion activities required to support a multi-phased implementation approach*
> - *Data consistency between the legacy database and any enhanced or new database(s) required for the CCS Service Authorization Request enhancement*
> - *How functionality in the legacy system will be disabled on a county-by-county basis to prevent unintentional updates to the legacy system after conversion*
> - *Final implementation activities necessary to ensure complete data integrity*

Questions:

1. What are the specific user groups identified in requirement V.N.11 bullet one?

   ANSWER: The specific groups are Independent and select Dependent Counties and three State Regional Offices.

2. Is the implementation approach more so geared towards geography rather than specific functions of a user group (e.g., medical consultant versus caseworker)?

   ANSWER: It is our intent to have the phases grouped by size of the group not geographic or functions of a user group.

3. Will the regional offices be phased as well or will it solely be the counties?

   ANSWER: The State Regional Offices will also be phased.

4. How many locations are there for CCS Service Authorization users and where are they located? How many users are located at each of the locations?

   ANSWER: See the "CCS Service Authorization Implementation Groups and User Counts as of 9/18/2002" table at the end of this section

5. Is the phased approach to be based on user group or by county or a combination of both?

   ANSWER: The implementation should be by County and/or Regional Office.

6. Given that the new requirement requires a phased approach (potentially by user group) this may have an impact on the training approach. Do we need to address this in our training approach? Is there a specific timeframe in which users need to be trained before implementation (i.e., is the training approach to be staggered as well)?

   ANSWER: The Contractor will be responsible for providing "Train the Trainer" training and for supporting the State's training efforts for CCS Service Authorization in accordance with RFP Requirement V.M. The State will be responsible for doing the end-user training.

7. Is there now a requirement to convert service authorization data that exists in the existing CMS Net system?

   ANSWER: There is no requirement to convert any of the existing authorization data. RFP Requirement V.N.11 has been modified in Addendum 5.

8. Will the functionality provided in the legacy system, after the implementation of the service authorization enhancement, be standard across county types (dependent vs. independent) or will the functionality be county specific?

   ANSWER: The functionality provided in the legacy system after implementation is intended to be the same across all Independent and Dependent Counties and State Regional Offices.

9. Is the requirement to only implement those counties that will have converted to the CMS Net legacy app?

   ANSWER: Yes.

General

10. In Exhibit V-1. Contract Deliverables under the Project Management type deliverables is the item: Integration Test Plan. Is this a mistake?

    ANSWER: Yes. This item was inadvertently duplicated here; it is already correctly listed under each of the enhancements. This has been corrected in Addendum 5.

11. With Addendum #4 we are unclear where to draw the line for listing hardware and software for section V.N.10.b (Additional Hardware and Software? Production, Maintenance, and Operations). Are you expecting to see the development workstation hardware and software to be used for Production maintenance listed here? For example, if the bidder is planning on have 6 developers/testers for Enhancements and only 2 developers/testers for Maintenance, would it be correct to assume:

    - Section V.N.10.b would list the 2 developer/tester workstation hardware/software?

    - Section V.N.10.c would list the additional 4 developer/tester workstations hardware/software used for Enhancements?

    ANSWER: A clarification to this requirement has been included in Addendum 5. Per this clarification, all workstations used by Contractor staff in the performance of this Contract (including system enhancement development, system maintenance, and system operations) will be provided by the Contractor and must not be included in Exhibit V-3.

12. Due to the changes in Addendum # 4, especially the phased implementation, we would like to request an extension of the Final Proposal due date from September 23, 2002 to September 27, 2002.

    ANSWER: The Final Proposal due date was changed to September 27, 2002 in Addendum 5.

13. Exhibit V-1 Contract Deliverables under the section CCS Client Eligibility Phase II? Insurance has a deliverable for Stress Test. Section V.L.5 System Stress Test only talks about a stress test Provider Enrollment and CCS Service Authorization enhancements. Can you clarify if a system stress test is required for the CCS Client Eligibility Phase?

    ANSWER: A Stress Test is not required for the CCS Client Eligibility Phase II – Insurance enhancement. This deliverable has been deleted from Exhibit V-1. Contract Deliverables in Addendum 5.

14. In reviewing the RFP and contract, we did not see any language that limits the amount of liquidated damages that a vendor could incur. For example, for CMAS contracts I believe the limit is 180 days. For this contract, is there a limit? If no, would the State consider one, i.e., 180 days?

    ANSWER: There is no limit on the amount of Liquidated Damages. The State is not entertaining changes to the Liquidated Damages provisions. However, the State has added alternative contract language to RFP Section II as part of Addendum 6, which the Bidders should review.

CCS Service Authorization Implementation Groups and User Counts as of 9/18/2002

INDEPENDENT COUNTIES	USERS	SELECTED DEPENDENT COUNTIES	USERS	REGIONAL OFFICES	USERS
Butte	12	Amador	3	NCRO – Northern California Regional Office	9
Fresno	82	Calaveras	2	SCRO – Southern California Regional Office	26
Humboldt	11	Colusa	2	SRO – Sacramento Regional Office	80
Kern	46	Glenn	2		
Marin	25	Kings	3		
Mendocino	22	Lake	2		
Merced	17	Madera	2		
Monterey	44	Modoc	1		
Napa	25	Plumas	2		
Placer	18	San Benito	2		
Riverside	87	Shasta	4		
San Bernardino	117	Sierra	1		
San Francisco	42	Siskiyou	2		
San Joaquin	48	Sutter	2		
San Luis Obispo	10	Tehama	5		
Santa Barbara	59	Yuba	4		
Santa Clara	46				
Santa Cruz	43				
Solano	21				
Sonoma	6				
Stanislaus	46				
Tulare	42				
Ventura	87				
Yolo	15				
Totals*	**971**		**39**		**115**

Note: Approximately 20% of the total user will use the CCS Service Authorization Enhancement functionality.