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MANAGEMENT SERVICES | CONTRACT SERVICES
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October 19, 2017

REQUEST FOR OFFER (RFO)

RFO #: 17-025

For:

**CAL-ACCESS REPLACEMENT SYSTEM (CARS) PROJECT
SYSTEM INTEGRATOR**

For: Information Technology Consulting Services

You are invited to review and respond to this Request for Offer (RFO). To submit an offer for these goods and/or services, you must comply with the instructions contained in this entire document. By submitting an offer, your firm agrees to the terms and conditions stated in this RFO and your proposed Department of General Services (DGS) Information Technology Consulting Services Master Service Agreement (IT MSA).

Please read the attached document carefully. The RFO response due date is: **Monday, January 8, 2018 at 4:00 p.m.** Responses to this RFO and any required copies **must** be submitted by mail or hand delivered, clearly labeled to the department contact noted below.

Department Contact:

Raquelle Lassetter, Contract Administrator
Secretary of State
Contract Services
1500 11th Street, Room 460
Sacramento, CA 95814
(916) 653-5974
Fax (916) 653-8324
ContractServices@sos.ca.gov

Section I - General Information

A. Purpose of the RFO

The California Secretary of State (SOS) is seeking a System Integration contractor for the design, development and implementation of an updated system to replace the existing CAL-ACCESS “form-driven” system. In September 2016, the Governor approved Senate Bill (SB) 1349 (http://www.leginfo.ca.gov/pub/15-16/bill/sen/sb_1301-1350/sb_1349_bill_20160815_amended_asm_v95.pdf). This bill directs the SOS to develop and deploy an online, “data-driven” filing and disclosure system and the implementation deadline necessitates an aggressive design and implementation schedule. This bill also provides that the information technology procurement requirements described in Chapter 5.6 (commencing with Section 11545) of Part 1 of Division 3 of Title 2 of this code, and in Section 12100 of the Public Contract Code, do not apply to development of the online filing and disclosure system. Please see the State’s Statement of Work (SOW) – Section VII of this RFO and additional documentation contained in this RFO for detailed information. “Offeror” refers to the IT MSA Contract vendor who submits an offer to this RFO. “Contractor” refers to the awarded IT MSA Contractor that provides services resulting from this RFO. “Consultant(s)” refers to the person or people hired by the Contractor that perform the services detailed in the contract.

In accordance with the Department of General Services, Information Technology Consulting Services Master Service Agreement (IT MSA) #5167010-001 to 253, the Offeror submitting an offer to this RFO agrees to provide the SOS with Information Technology consulting services for the CAL-ACCESS REPLACEMENT SYSTEM (CARS) Project as detailed in this RFO. In the event that the Department of General Services, IT MSA contract term is extended, the Secretary of State may extend for additional time and funds as needed. The IT MSA is hereby incorporated by reference and made part of this agreement.

The consulting services obtained through this contract are anticipated to begin in March 2018 through December 2020.

The Secretary of State will also engage separate consultants/contractors for Independent Verification and Validation, Project Management, Security (including Payment Card Industry Data Security Standards), Enterprise Architecture, Independent Project Oversight, Organizational Change Management, Business Systems Analyst(s) for development of solution requirements and other business system analysis tasks, Data Migration and Test Management. Contractors who are awarded one of these contracts may be prohibited by conflict of interest guidelines from engaging in other contracts related to this project; however, vendors may submit proposals in response to some or all of these engagements to ensure maximum opportunity to compete and participate in this project.

Please note: The Contractor, including all consultants, must sign the Secretary of State specified project Confidentiality Agreement upon award of contract.

B. RFO Resource Library

A resource library has been established for this solicitation and is available at the following location: <http://www.sos.ca.gov/campaign-lobbying/cal-access-replacement-system-project-cars-updates/cars-rfo/>

C. Key Action Dates

Listed below are the key action dates and times by which the actions must be taken or completed. It must be understood that time is of the essence, both for the RFO submittal and contract completion. However, if the State finds it necessary to change any of these dates, it will be accomplished via an addendum to this RFO.

#	Key Action	Due Date	Date Time (PST)
1	Release of RFO	10/19/17	
2	Submission of Written Questions - Round #1	11/3/17	4:00 p.m.
3	SOS Response(s) to Round #1 Questions	11/17/17	
4	Submission of Written Questions – Round #2	12/1/17	4:00 p.m.
5	SOS Response(s) Round #2 Questions	12/15/17	
6	RFO Response Submission	1/8/18	4:00 p.m.
7	Anticipated Award	2/26/18	

All dates after the RFO Response Submission (date and time) are approximate and may be changed if needed to allow the State additional time for review and contract execution.

D. Written Questions

All questions regarding the content of this RFO must be submitted in writing by fax, mail or electronically to ContractServices@sos.ca.gov and must be received by the Key Action Date(s) identified above. To ensure effective communication and understanding of questions submitted, questions shall be submitted with the identified RFO section(s) and page number(s) associated for each question submitted. Questions not submitted in writing by the Key Action Dates for submission of written questions shall be answered at the State’s option. When the State has completed its review of the questions, a compiled listing of all questions and answers shall be sent

to IT Consulting Services MSA vendors via email and posted in the RFO Resource Library.

E. RFO Format

This RFO consists of eight (8) sections:

- Section I – **General Information**
- Section II – **Introduction and Background**
- Section III – **Current System**
- Section IV – **Proposed System and Business Processes**
- Section V – **Administrative Requirements**
 - Exhibit V.1 Offeror Affirmation of Financial Capacity
 - Exhibit V.2 Professional Liability/Errors and Omissions Certification
 - Exhibit V.3 General Liability Insurance Certification
 - Exhibit V.4 Worker's Compensation Insurance Certification
 - Exhibit V.5 (a) Offeror Qualifications & References (Mandatory)
 - Exhibit V.5 (b) Offeror Qualifications & References (Desirable)
 - Exhibit V.6 (1-5) Key Staff Experience Matrix Templates and Instructions
 - Exhibit V.6 (1) Key Staff Experience Matrix – Project Manager
 - Exhibit V.6 (2) Key Staff Experience Matrix – Business Lead
 - Exhibit V.6 (3) Key Staff Experience Matrix – Development Lead
 - Exhibit V.6 (4) Key Staff Experience Matrix – Technical Lead
 - Exhibit V.6 (5) Key Staff Experience Matrix – Lead Security Architect
 - Exhibit V.7 Additional Products List and Instructions
- Section VI – **Project Management, Functional and Non-functional Requirements**
 - Exhibit VI.1 Functional Requirements
 - Exhibit VI.2 Non-functional Requirements
- Section VII – **Statement of Work**
 - Exhibit VII.1 Tasks and Deliverables
 - Exhibit VII.2 Software Development Lifecycle Roles and Responsibilities
 - Exhibit VII.3 Deliverable Cost Table
 - Exhibit VII.4 Cost Summary
 - Exhibit VII.5 Offeror's Staff Hourly Rates
 - Exhibit VII.6 Sample Deliverable Expectation Document
 - Exhibit VII.7 Sample Work Authorization
- Section VIII – **Offer Review and Selection**

F. RFO Response Requirements

- 1) This RFO and the Offeror's response (offer) may be made part of the ordering departments STD. 213 Standard Agreement and shall be retained as part of the procurement contract file.
- 2) Submission of Offer
 - a) It is the responsibility of the Offeror to submit one (1) complete Master copy, 5 complete photo copies and 1 electronic copy. The electronic response copy must contain all response data on a CD in searchable electronic (non-PDF) format only.
 - b) Mail or hand deliver, clearly labeled offers to the department contact noted below.

Raquelle Lassetter, Contract Administrator
Secretary of State
Contract Services
1500 11th Street, Room 460
Sacramento, CA 95814

Offer submitted via fax or e-mail will not be accepted and will be deemed non-responsive.

- 3) Offer Format:
Failure to clearly identify the Offer on the outside of the package may result in the rejection of the Offer. Offers must contain all requested information and data and conform to the format described in this section.

It is the Offeror's responsibility to ensure its offer is submitted in an organized manner that enables the Review Team to easily locate all required response content. Offers shall include a table of contents which includes response descriptions and exhibits for each requirement of this RFO. The following must be shown on each page in the lower right corner of the Offer:

- RFO #17-025
- Name of Offeror
- Offer Page Number
 - Offer Section or Exhibit Number

All copies of offers, master and photo copies shall be submitted in accordance with this format:

- Offers shall not be bound; they shall be submitted in binders.

- Page numbers should be located in the same page position throughout the Offer.
- Figures, tables, charts, etc., should be assigned index numbers and be referenced by these numbers in the Offer text. Figures, etc., should be placed as close to text references as possible.
- All pages in the Offer should be consecutively numbered within a section, and must be standard 8.5" x 11" paper (except charts, diagrams, etc., which may be foldouts). If foldouts are used, the folded size must fit within the 8.5" x 11" format.

There is no intent to limit the content of the offer. Additional information deemed appropriate by the Offeror and its proposed solution must be included. However, cluttering the Offer with irrelevant material only makes the review more difficult. Do not include testimonials about products in the requirement responses.

- 4) At the State's option prior to award, Offerors responding to this RFO may be required to submit additional written clarifying information. Failure to submit the requested written information as specified may be grounds for offer rejection.
- 5) The Secretary of State reserves the right to reject all offers. The agency is not required to award an agreement based upon this solicitation.

G. RFO Response Content

The response binder shall include the following information in this order:

TAB 1 –Section V – Administrative Requirements and Exhibits (in order per that section)

TAB 2 –Section VI – Requirements and Exhibits (in order per that section)

TAB 3 – COST DATA (CARS System Detail Cost Tables from RFO Section VII – Statement of Work, Cost Tables VII.3, VII.4 and VII.5)

TAB 4 – LITERATURE

H. Disposition of Offers

1. Upon review of the offers received and subsequent Contract Award, all documents submitted in response to this RFO shall become the property of the State of California, and shall be regarded as public records under the California Public Records Act (Government Code Section 6250 et seq.),

thereby subject to review by the public. all information which is submitted to demonstrate the Offeror's financial viability, capacity or responsibility shall be removed or redacted as necessary in response to a Public Records Act request.

2. Submitting documents in the offer that are marked as "Confidential", "Proprietary" or similarly labeled and/or appear to contain sensitive information, at the State's discretion, may be considered an information security issue; therefore, may be grounds for the offer being deemed non-responsive and the offer rejected. Offers rejected for this purpose will have all pages which contain such labels or information destroyed prior to Award of the contract pursuant to this RFO.

I. Review of Offers for Award

Please see Section VIII – Offer Review and Selection for complete details.

J. Interviews

The Secretary of State's Office, at its discretion, may request an interview from any or all of the top three highest scoring offers. In the event interviews are requested, the Department Contact will contact the offeror to schedule a time for the interviews to occur during state working hours between 8:00am and 5:00pm. The offeror's proposed key project staff identified within proposal must be in attendance.

K. Standards and Policies

Contractor(s) and Contractor's staff shall adhere to Secretary of State minimum required IT standards, guidelines and policies. The Contractor(s) and Contractor's staff shall agree to SOS standards and policies as State staff. The following regulations, standards, guidelines and policies serve as minimum criteria:

- Secretary of State policies: Information Security, Drug-Free Workplace, Sexual Harassment Prevention, Political Activities in the Workplace, E-Mail, Internet Privacy
- Policy, Internet/Intranet Access and Usage; and
- Additional policies as adopted by the Secretary of State.

The Secretary of State Contract Manager will provide the Contractor(s) all copies of these policies and shall be returned to the SOS Contract Manager signed by all consultants working under this agreement within 5 business days of contract start.

SECTION II - INTRODUCTION AND BACKGROUND

In 1974, California voters overwhelmingly approved Proposition 9, the Political Reform Act of 1974 (PRA). The PRA requires the disclosure of campaign contributions and expenditures, and state lobbying financial activity. The PRA as amended has, among its provisions, the following objectives:

- Providing greater public access to vitally important information
- Gradually eliminating paper filings of campaign finance and lobbying activity statements and reports

The Political Reform Division (PRD) was established within the Secretary of State (SOS) to serve as the filing office for state-level campaigns and lobbying entities, and administers the state filing requirements as set forth in the PRA. The PRD conducts a broad range of program activities to establish compliance with reporting requirements, and to allow for public access, wide dissemination, and analysis of disclosed information.

The California Automated Lobbyist and Campaign Contribution and Expenditure Search System (CAL-ACCESS) was developed to respond to the objectives of the Online Disclosure Act, added to the PRA by Ch. 866, Stats of 1997. CAL-ACCESS is the public's window into California's campaign disclosure and lobbying financial activity, providing financial information supplied by state candidates, donors, lobbyists, lobbyist employers, and others.

CAL-ACCESS, which is mission critical for the SOS administration of the program, is an amalgamation of component applications that were developed at different times using multiple, now obsolete, coding languages, platforms, and technologies. The campaign finance and lobbying activity process is a paper/File Transfer Protocol (FTP)/online hybrid model that results in inefficient (often manual) processes, duplicate efforts, sub-optimal data quality, and public disclosure reporting that does not meet the needs of many of PRD's stakeholders. The earliest stages of CAL-ACCESS were developed and deployed in June, 2000, and, since that time, nearly two (2) million filings have been submitted by filers.

CAL-ACCESS users and stakeholder groups have identified the following business problems:

Program business operations are negatively affected by system design.

PRD and stakeholder operations are hindered by technological limitations. The current system design dictates that registration data be entered manually from filer-submitted paper forms, which is time-consuming and subject to human error. Some of the forms submitted by filers are not complete or contain non-standardized data, or inaccuracies, in part because the system lacks data-validation mechanisms and/or is dependent on free-form text fields to capture required data. The time needed to confirm and correct these errors results in delays in compliance and public access to filing information.

Program business operations are at risk due to an old, unsupported information technology platform.

CAL-ACCESS is an old and fragile system. It is increasingly difficult to find staff or vendor support with the necessary skills to sustain and maintain the system's applications. Additionally, the system is not well documented. It cannot be patched or modified to be more robust or feature-laden. The system cannot generally be modified to respond to changes in legal requirements and/or changes to filing processes driven by regulatory or statutory changes, particularly when those changes trigger modifications to the forms used by filers and viewed by the public. On November 30, 2011, CAL-ACCESS became inoperable for four weeks. Recovering from the 2011 outage was complicated by obsolete system architecture, the limited availability of replacement components, and the scarcity of personnel with the necessary technical skills to remedy the problem. The solution that was deployed in response to that emergency allows the system to continue functioning, but does little to resolve the underlying issues. The risk of another failure continues to be a significant possibility.

PRD and stakeholders have limited information access and reporting capabilities.

The system design does not provide user-friendly, intuitive and reliable methods for staff and stakeholders to search for and find information, methods that are widely available with more modern technology. Data cannot always be retrieved in a useful manner, and must often be compiled, analyzed and parsed. The system lacks basic reports for system and program management. Staff cannot run basic queries and there is limited ability to aggregate and report data in a meaningful way using the automation tools available in CAL-ACCESS. The CARS will replace the existing CAL-ACCESS system and will be a data driven system rather than a form driven system.

In September of 2016, the Governor approved SB 1349 (http://www.leginfo.ca.gov/pub/15-16/bill/sen/sb_1301-1350/sb_1349_bill_20160815_amended_asm_v95.pdf). This bill directs SOS to develop and online, data-driven filing and disclosure system. The implementation deadline necessitates an aggressive design and implementation schedule.

The legislation also directed that the Secretary of State consult with stakeholders and hold a public hearing to receive input about developing the online filing and disclosure system and record format. Two such events were held in February, 2017 to receive input from stakeholders and others concerning business needs and potential business requirements.

Political Reform Division Functions

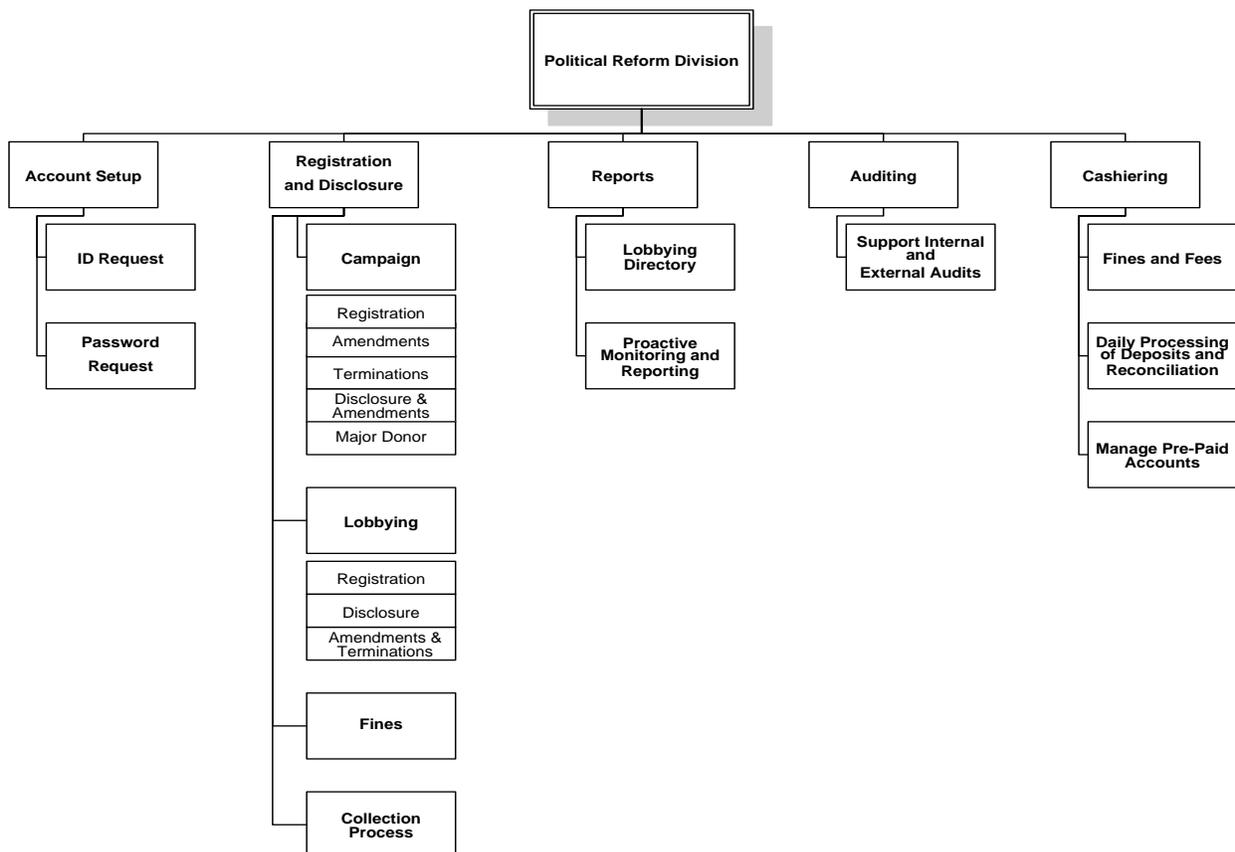
The primary functions of the PRD are:

- Registering, amending registration documents, and terminating state and local campaign committees and state lobbyist employers and firms

- Accepting mandated financial and activity disclosure filings from state-level candidates, campaign committees and lobbying entities (lobbyists and placement agents, lobbying firms and lobbyist employers)
- Accepting Statements of Intention to seek office from state-level candidates
- Assisting filers
- Reviewing disclosure reports for completeness and timelines
- Making disclosure documents and political reform information available to the public through the SOS website and through requests for paper documents
- Notifying suspected non-filers of their duty to file
- Assessing and processing financial penalties imposed on committees and lobbying entities for late reporting

To satisfy these responsibilities, the PRD reviews campaign and lobbying reports and statements for accuracy, compliance, and timeliness. This process is known as "the filing process" and a retained submission is known as a "filing." This information is available upon request to the public, the media, campaigns, "watchdog" groups, and academics.

The PRD performs a variety of activities in support of the core business functions. The diagram below provides a simple overview, illustrating the business functions of the Political Reform Division.



SECTION III – CURRENT SYSTEM

The PRD administers the state filing requirements as set forth in the PRA. To assure the highest standards of data integrity and timeliness, the PRD was established within the SOS. The PRD, staffed with 29 full-time positions, conducts a broad range of program activities to facilitate and monitor compliance with reporting requirements. Furthermore, part of the PRD's core mission is to provide public access to all data and filings. Over the last four election cycles (two-years per cycle), the PRD has averaged approximately 97,000 campaign and lobbying filings in election years and 61,000 campaign and lobbying filings in non-election years. Since 1999, the earliest stages of CAL-ACCESS development, nearly two (2) million filings have been processed. A filing is a report or statement that can range in size from a single page to thousands of pages.

Program Description

Specific activities of the PRD include:

1. Campaigns

- Registering and issuing identification numbers for all state and local campaign committees and slate mailer organizations that raise funds in connection with (non-federal) elections throughout California
- Receiving notices from all state candidates of their intentions to seek a specific office and whether they intend to abide by voluntary spending limits
- Receiving campaign disclosure statements (itemizing contributions received and expenditures made) filed by individuals and committees raising or spending campaign funds to support or oppose state candidates or ballot measures (local campaign committees file itemized disclosure statements with local filing officers)
- Posting electronically filed campaign statements on the Secretary of State's CAL-ACCESS website
- Providing technical assistance regarding campaign disclosure provisions of the PRA to state and local candidates and elected officials, treasurers of campaign committees, and the general public
- Reviewing campaign documents to ensure compliance with registration and reporting requirements
- Providing public access to all campaign and lobbying activity disclosure documents
- Notifying filers who have failed to file a statement or report on time, and impose and collect fines for late filings
- Assessing and collecting annual fees from state and local qualified recipient committees, and assessing penalties on committees that fail to pay their annual fee on time
- Referring apparent violations of the PRA to the appropriate agencies

- Providing technical assistance to filers who use Cal-Online or file documents electronically through a vendor

2. Lobbying

- Registering lobbyists, lobbying firms, and lobbyist employers that make expenditures to lobby California State government
- Receiving lobbying disclosure statements filed by lobbyists, employers of lobbyists, and lobbying firms, and posting statements filed electronically or online on the Secretary of State's CAL-ACCESS website
- Providing technical assistance regarding lobbying disclosure provisions of the PRA to lobbyists, lobbying firms, lobbyist employers, and the general public
- Reviewing lobbying documents to ensure compliance with registration and reporting requirements
- Providing public access to all lobbying disclosure filings
- Publishing on the SOS website the Lobbying Directory at the start of every two-year legislative session
- Producing monthly Lobbying Directory updates on the SOS website
- Posting changes made to lobby registration on the SOS website (different from the directory; see Government Code section 86108)
- Notifying filers who have failed to file a statement or report on time, and imposing and collecting fines for late filings
- Referring apparent violations of the PRA to the appropriate agencies
- Providing technical assistance to filers who use Cal Online

PRA requirements are met by those subject to the law by submitting to the PRD specified information pertaining to campaign and lobbying activity on forms created by the FPPC. Currently, there are 36 forms administered by the PRD, and available via CAL-ACCESS and the FPPC website.

Amendments to the PRA and FPPC regulations often require new or different reporting requirements, which trigger form changes. The PRD must be able to incorporate these changes and additions so that full disclosure requirements can be met.

For campaign committees, depending on the attributes of the filer, there are three different campaign registration documents – candidate Statements of Intention to seek office; campaign committee Statements of Organization (including statements for candidate committees); and slate mailer. To report campaign activities, there are separate reports that may be filed, depending on the type of filer and the specific activities of a committee or filer, including contribution and expenditure reports; short-form filings (reporting no or minimal activity); major donor reports (for those making \$10,000 or more in contributions during the calendar year); 24-hour contribution reports; 24-hour independent expenditure reports; slate mailer payment reports; paid

spokesperson reports; and issue advocacy reports. Specific deadlines, dollar thresholds, and other circumstances specified in the law dictate the type of form and the timing for each of these filings.

For lobbying activity filers, seven different types of lobby registration forms must be filed to register, terminate or withdraw by lobbying firms; clients of lobbying firms; employers who employ a lobbyist directly (as opposed to hiring a firm); and individual lobbyists. To report lobbying activity, lobbyists, firms, employers, lobbying coalitions and government agencies, use eight different reports to disclose lobbying payments and activities, or to amend previously submitted filings depending on the type of filer.

Finally, two forms are available for use by all filers to request the waiver or reduction of penalties imposed for failing to file reports or statements by legal deadlines.

Lobbying Directory Process

Every two years, the PRD is required to publish a Lobbying Directory of all registered state lobbyists, lobbying firms, and lobbyist employers. The PRA specifies the directory must be published within 140 days after the commencement of each regular session of the Legislature. In order to meet this requirement, the PRD begins working on the directory in November of the even year with the intention of completing the project by mid-spring of the odd year.

The review process is triggered by the receipt of a hardcopy lobbying registration packet. The lobbying review process is a manual effort conducted by a PRD program specialist and 2.5 PRD Program Technician IIIs. During the lobbying registration renewal period, as many as 11 additional staff members are re-directed to process registrations, and input the information required to complete the lobbying registration and filing, so that the Lobbying Directory can be published by the statutory deadline. This “all hands” effort requires coordination of resources and biennial training to refresh seasoned staff or train new staff on the manual, paper-driven registration process.

Furthermore, lobby registration workload has doubled and become increasingly complex with the enactment of AB 1743 (Chap 668, Stats of 2010), which requires placement agents – investors seeking partnerships with state retirement systems – to register as lobbyists. In the six years before AB 1743 took effect in 2011, an average of 1,254 and 275 employers registered as lobbyists; since then, an average of 2,346 lobbyists and 667 employers have registered for each two-year session.

Auditing

All documents filed with the PRD are subject to FTB or FPPC audit. For example, all “general purpose” committees (those not primarily formed to support candidates or measures) that have received or spent more than \$10,000 and all candidates for the legislature in a special election who have raised or spent \$15,000 or more are subject to an audit. The FPPC determines the remainder of the audit workload in a series of

random drawings conducted shortly after each two-year election cycle. Listed below are the auditing guidelines published by the FPPC:

- Statewide candidates who have raised less than or spent less than \$25,000:
 - 10% of these candidates are selected for audit
- Lobbying firms and lobbyist employers that employ one or more lobbyists:
 - 25% of the lobbying firms and 25% of the lobbyist employers are selected for a random audit
 - When a lobbying firm or employer is audited, the individual lobbyists who are employed by the firm or employer shall also be audited
- Legislative districts and contested superior court offices that have raised or spent \$15,000 or more:
 - 25% of the senate districts, assembly districts, and contested superior court offices are selected
 - Candidates who raised or spent \$15,000 or more in the selected races are subject to audit
- General purpose committees that have raised or spent more than \$10,000. Committees which have had no prior audit, or which have not previously been determined to be in compliance, are all subject to audit. Of those committees the FPPC had determined in a prior audit to be in compliance with the provisions of the Act, 25% are selected.
- A group of twenty local jurisdictions, including eight counties, eight cities, two school districts, and two special districts, are selected. If the FTB has additional audit hours available after completion of this workload, a second group of twenty jurisdictions is provided.
- Candidates for the Board of Administration of the Public Employees' Retirement System are subject to audit if they have received contributions aggregating \$5,000 or more for an election.

Both the FTB and the FPPC utilize reports generated by CAL-ACCESS or Comprehensive Approaches for Raising Educational Standards (CARES) to perform their audit functions.

Problems / Opportunities at the Summary Level

The current campaign finance and lobbying activity filing process is a paper/FTP/online hybrid model that results in inefficient (often manual) processes, duplicate efforts, sub-optimal data quality, and public disclosure reporting that does not meet the needs of many of PRD's stakeholders. Electronic filing and revenue collection is hampered by the lack of a secure interface that can accept electronic signatures and online payments.

The State Legislature via widely supported legislation (SB 3, Yee (2013) and SB 1442 (Lara, 2014), and many PRD stakeholders have expressed a desire to move the campaign finance and lobbying activity reporting processes away from the current paper, form-based model to one that is electronic/online. To do that requires a filing and reporting system that is reliable, accurate, secure, and has the flexibility to adapt to new, mandated reporting requirements with little risk to existing system functionality.

The current CAL-ACCESS system, which is mission critical, is a conglomeration of component applications that were developed at different times using multiple now-obsolete development languages, platforms, and technologies. This makes it increasingly difficult to find staff or vendor support with the necessary technical skills to sustain and maintain the system applications. Additionally, the current system is not well-documented, which makes the provision of support and/or modifications time-consuming and extremely risky.

In fact, on November 30, 2011, CAL-ACCESS became inoperable for four weeks. The outage occurred immediately after an election when no filings were due. Were an outage to occur during an election or on or near a filing deadline, the effects would be significant because filers would face significant obstacles to meeting legal requirements; and the public would be significantly hindered in its ability to track campaign and lobbying activity. Recovering from that total outage was complicated by the obsolete system architecture, the limited availability of replacement components, and the scarcity of personnel with the necessary technical skills. The solution that resulted from that emergency allows the system to continue functioning, but did little to resolve the underlying issues. The risk of another failure continues to be significant.

All PRD and stakeholder operations are hampered by the inherent inability of CAL-ACCESS to support accurate, efficient, and effective online filings. This is mainly due to lack of automated data validation at input resulting in delays in data correction due to the need for manual review and processing. This requires post-filing error notification to the filers and their formal corrective responses, which adds time and effort to the correction cycle. Additionally, the system cannot generally be modified to respond to changes in legal requirements or filing processes, particularly when those changes trigger modifications to the forms used by filers and viewed by the public. These limitations have resulted in workarounds (e.g., using the comments, free-form text field to capture information) and stakeholders compromising on the information they need or want (e.g., the FPPC minimizes regulatory actions that necessity form changes because it knows the system cannot accommodate such changes).

Replacing CAL-ACCESS will give the SOS the opportunity to improve efficiency and customer service using mechanisms such as electronic workflow and online/electronic communication with users. Additionally, improved data validation will lead to better data quality, and the opportunity to provide more transparency and a wider range of reporting to customers. The new architecture will provide improved tracking of filings, which will allow the SOS to better audit the process and monitor the quality of work. Improved data quality and audit/enforcement capabilities will ensure the SOS is providing the most timely and accurate data possible to the voters of California and other stakeholders.

The following subsections document the current major business problems, and the business opportunities to be realized by the proposed solution.

A. Business Problems

Problem 1: Program business operations are negatively affected by lack of data integrity

All PRD and stakeholder operations are hindered by the inability of the system to support accurate, efficient, and effective online filings. This is mainly due to lack of automated data validation at input, and delays in data correction due to the need for manual review and processing. This requires Filer error notifications and formal corrective responses, which adds time to the correction cycle.

The current system design dictates that Registration data must be entered manually from Filer- submitted paper originals, which is time consuming and prone to errors. Information submitted online is not subjected to adequate field edits, which would improve data integrity and reduce the number of incomplete filings.

A large number of the forms are not complete, or contain inaccuracies, when they are submitted, which results in the need for PRD staff to follow up. This can result in lengthy correspondence with Filers, which delays compliance and public access to final, completed filings.

Problem 2: Program business operations are at risk due to an old unsupported information technology platform

The current system, which is mission critical, is a conglomeration of component applications that were developed at different times using multiple now-obsolete development languages, platforms, and technologies. This makes it increasingly difficult to find staff or vendor support with the necessary skill set to sustain and maintain the system applications. Additionally, the current system is not well-documented, which makes the provision of support and/or modifications time consuming and extremely risky.

SOS ITD staff is capable of providing only operational support for the system. The system is mission critical to all PRD work, and portions of it are used to populate the website and to maintain historical transactions. When enhancements need to be added to the system, in most cases, they cannot be done.

The system cannot generally be modified to respond to changes in legal requirements or filing processes, particularly when those changes trigger modifications to the forms used by filers and viewed by the public.

These limitations have resulted in workarounds (e.g., using the comments field to capture information) and stakeholders compromising on the information they need or want (e.g., FPPC will minimize the changes to the forms because they know that the

system cannot accommodate the changes). The system needs to be flexible enough in terms of programming and infrastructure so that ITD staff can modify the system to accommodate new forms and other changes in law or policy on a timely basis.

Problem 3: PRD and Stakeholders have limited information access and reporting capabilities

The system design does not provide an easy and reliable way for the staff and the stakeholders to search for and find information. Data can't always be retrieved in a useful manner.

Because the system cannot be safely modified, existing free-form memo fields on forms have been used to capture new data elements as business needs have evolved and filer reporting requirements have changed. The critical data in these fields cannot be reliably searched and analyzed.

The system lacks basic reports for system and program management. Further, the predefined reports that do exist produce unreliable and often incomplete data. Consequently, the staff cannot use the system to run reports that will help them with their work. Staff cannot do basic queries such as how many committees were processed in any time period or even how many non-filers there are in the system. SOS staff frequently relies on external, manual methods to track and manage workflow, such as spreadsheet based logs and hand counts.

Finally, the system's design limits the stakeholders' ability to quickly locate specific filer records and to easily customize searches to obtain the specific data needed in a form that is meaningful and lends itself to further analysis. Further, there is almost no ability to aggregate and report data in a meaningful way using only the automation tools available in CAL-ACCESS, such as reporting all expenditures by all candidates in a specific race in a specific election.

B. Business Opportunities

Opportunity 1: Redirection of staff to customer support and enforcement

The desired solution will allow redirection of staff from routine, redundant filing data entry and review processes to provide improved customer support and enforcement activities for better compliance. This will be accomplished through automation of filing processes, implementation of efficient user interfaces, and incorporation of workflow management into the system.

Opportunity 2: Reduce Filer errors, improve compliance, and improve accuracy of public information

The desired solution will provide automated notices to Filers about filing deadlines, filing errors, and fee and fine assessments. The proposed solution will automatically apply known data to other applicable filings; for example, automatically apply contributions reported on a 24 hour basis to periodic (semi-annual, pre-election) reports.

The desired solution will reduce the time required to finish the filing process completely and accurately. This will provide more current, complete, and reliable data for the SOS and stakeholders use.

The following are groups that will be impacted by the project:

- Fair Political Practices Commission
- Franchise Tax Board
- Public
- Media
- Filing Vendors
- Campaign Filers and lobbying entities
- Staff

Fair Political Practice Commission

The PRA established the FPPC, which is chartered to administer the requirements under the PRA. The FPPC has primary responsibility for the impartial administration, implementation, and enforcement of the PRA, as amended by legislative and initiative enactments. The FPPC determines the data that campaign and lobbying filers must report pursuant to the law and administrative needs. The inability to modify CAL-ACCESS to accommodate new data elements and reporting rules has seriously limited the FPPC's capability to define new data elements and reporting requirements as public disclosure needs have evolved with emerging technologies.

The search capabilities of the system are limited and require manual workarounds by staff to obtain information in a timely fashion. The variations of the filings may be minor (e.g., John Doe or John D. Doe), but the search functions do not allow for comprehensive searches of the database. This system limitation requires manual intervention by PRD staff to ensure the information is accurate and complete. This limitation also impacts the timeliness with which the FPPC can complete its review of the information as part of an investigation.

The FPPC requires standard reports consisting of the following information:

- A listing of all State candidates and their activities
- A list of committees by county
- Lobbying reports
- Tables that include committee information on state, county, or city of origin

Some requested reports cannot be provided by the PRD, requiring the FPPC to manually create reports to satisfy its needs related to investigations. There are a limited number of reports available from the PRD, but data integrity issues cause the data to be incomplete.

Franchise Tax Board

Pursuant to section 90001 of the PRA, the FTB is chartered to perform audits of political committees, lobbyists, lobbyist employers, lobbying firms, and political candidates. This

task is referred to as the Political Reform Audit Program. This program is a separate, non-tax audit program that has been in place since 1975.

The audits begin with the identification of the committees required for audit. This identification process includes a search of CAL-ACCESS for the committees associated with the election under audit and the entities or committees randomly drawn for audit by the FPPC. Next, the system is used extensively for the verification and timeliness of all required filings being reviewed. In addition, the financial data and downloads are essential in performing reconciliations and comparisons between the statements and reports filed. The ability to sort, extract, paste, manipulate and categorize the download information has been a key contributor in increasing the efficiency of the audit process. This was particularly true for past statewide measures and candidate committees reporting \$40 million or more in contributions received and expenditures made. With the increased growth in campaigning, the volume of contributions received, expenditures made, and filings that the FTB is required to examine has increased substantially.

Public

The voters of California access CAL-ACCESS to obtain information regarding contributor's expenditures and lobbying activity that will allow them to make an informed voting decision.

Media

The media uses the CAL-ACCESS system primarily to conduct research and track campaign and lobbying activity. Information is used for investigations and journalistic purposes.

Vendors

There are currently twenty-two (22) vendors that are authorized to submit e-filings.¹ These vendors offer a variety of software solutions that satisfy the filing requirements of the PRA and provide a suite of full-service features offering a value proposition that justifies the cost of the software.

Vendor filings represent a significant portion of the total filings submitted to the PRD annually.

Campaign Filers and Lobbyists

Campaign Filers and lobbying entities are the primary providers of the information captured in CAL-ACCESS. Lobbying registrations, lobbying disclosure filings, and campaign disclosure filings are submitted to the PRD in electronic and hard copy format.

PRD Staff

PRD currently consists of twenty-eight (28) staff members, including the Division Chief and Assistant Division Chief. A risk in the current environment is that the system processes are not fully documented, and knowledge transfer to new employees is not comprehensive.

¹ See <http://www.sos.ca.gov/prd/electronic-filing-info/approved-vendors.htm>

Current System Description

The current CAL-ACCESS system was designed to support the activities carried out by the PRD in order to store and manage the public data necessary for carrying out the functions dictated by the PRA. The functions currently supported by CAL-ACCESS are:

1. Contributions and expenditures in an election
2. The activities of lobbyists and their finances
3. Providing public access to vitally important information regarding elections, candidates, and campaign or lobbyist finances
4. Providing the Fair Political Practice Commission (FPPC) all necessary data as required to enforce the requirements of the PRA.
5. Providing the necessary data required by the Franchise Tax Board (FTB) to carry out mandatory and random audits as required by the PRA.
6. Capturing, storing, and reporting contact information for all filers such as address and telephone numbers.

Following is a description of the sub-systems which currently makeup the CAL-ACCESS system:

1. CAL-ACCESS - Public Disclosure

Public Disclosure is the public web site of the SOS/PRD. It is the main interface through which the PRD provides the public with financial information supplied by state candidates, donors, lobbyists, and other political entities. It also makes available to the public and political entities the necessary information (in PDF format) for filing and reporting disclosure information related to Campaign Finance Activity and Lobbying Activity as required by the PRA.

a. CAL-ACCESS -Searchable (DBSearch)

This system supports the Claims database. Data from the Claims database is migrated to this database and server periodically and it helps support search within the Public Disclosure website.

b. Cache Manager

This system caches queries to create faster response times for the Public Disclosure website.

2. CAL-ACCESS - Agency Management System (AMS)

The AMS system was developed to support the PRD staff and provide easy access and functionality to the Claims database. This system provides the internal PRD staff with a user interface for entering hard copy forms and maintaining both the electronic and hard copy information supplied to and by the political entities in the CAL-ACCESS database.

3. CAL-ACCESS – Cal-Online

The Cal-Online system provides filers with the ability to electronically file campaign and lobbying registration and disclosure statements online through a public website. Cal-Online offers filers another, no-charge filing alternative. Via the Internet, filers

access the Cal-Online website, enter their identification number and password, select the appropriate disclosure form, and enter the required data.

a. CAL-ACCESS – Background Services

This system provides temporary storage for CalOnline. It allows for load balancing and provides a means of storing a partially completed filing.

4. CAL-ACCESS - E530

E530 is a PRD form that can only be filed online. CAL-ACCESS - E530 provides the interface for the public users to file E530 online. It requires a Filer ID and password to log in.

5. CAL-ACCESS - Electronic Filing System (EFS)

The EFS system provides major filers or vendors filing on their behalf, with the mechanism to submit the required PRA forms electronically directly into the CAL-ACCESS database. The EFS system accepts and validates electronic filings from CalOnline and directly from vendors.

6. CAL-ACCESS – CARES

CARES is a secure website with all campaign and lobbying registration and disclosure information and confidential information. CARES is used by PRD stakeholders, such as the FPPC and the FTB, to obtain information for the purposes of audit and filing compliance investigations.

7. CAL-ACCESS – PRD AdminTools

This administration tool is used by PRD staff to manage Cal-Access. The Admin Tools include basic management reports regarding received and unprocessed filings and payments. The tool also provides PRD staff with the ability to manage/terminate external user Cal Online sessions in the event that a user encounters an issue.

8. Lobbying Directory Generator

This system is an executable windows application that is located on a PC over PRD area. It creates the Lobbying directory in Word format. PRD staff then converts the file from Word to PDF and publishes it on the CAL-ACCESS website. It is expected to be updated monthly.

PRD is required to publish a Lobbying Directory of all registered state lobbyists, lobbying firms, and lobbyist employers.

9. Public Disclosure - Vendor Certification (PRDTEST)

PRD staff uses this application to generate a PDF file to validate whether a vendor's submittal is successful or not.

10. DBExport

This is a scheduled batch job which creates a raw data extract file and the Guides to CAL-ACCESS data structure and fields from the database on a daily basis. The raw

data is presented in tab-delimited text files from corresponding tables in the CAL-ACCESS database. The data is compressed and copied over to CDN (content delivery network). The public can download the files from the SOS CAL-ACCESS website. This allows people with technical expertise to create their own databases.

11. CAL-ACCESS – PDF Generator

This utility automates the conversion of various printed system reports into the Portable Document Format (PDF) file.

12. Power Search, Independent Expenditure Search

- Power Search was built by MapLight and was implemented in 2015.
- Independent Expenditure Search was also built by Maplight and was implemented in 2016.
- Both use PHP and MySQL database and rely on the DBExport Raw Data file.

Note: Figures 1 thru 3 below, presents a high-level view of the current system components and architecture.

Figure 1 – Current CAL-ACCESS System – Internal Users

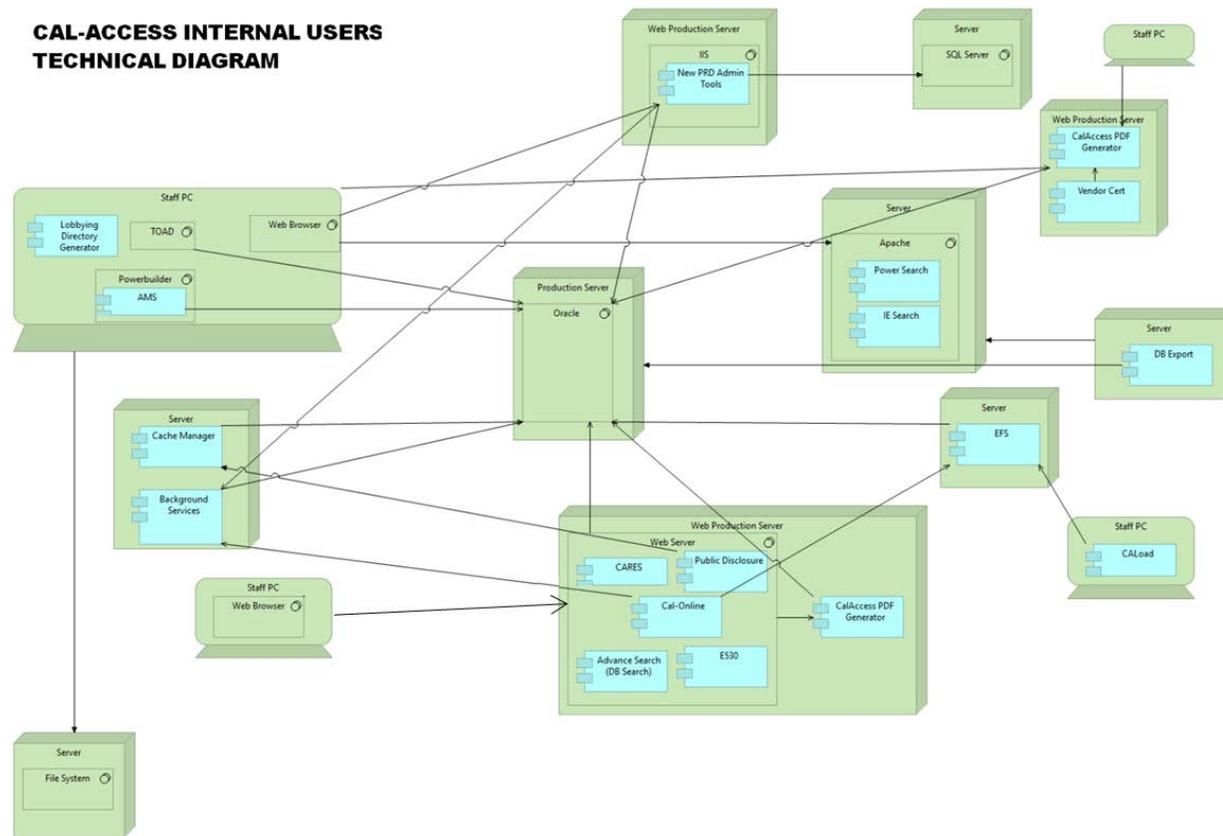


Figure 2 – Current CAL-ACCESS System – External Users

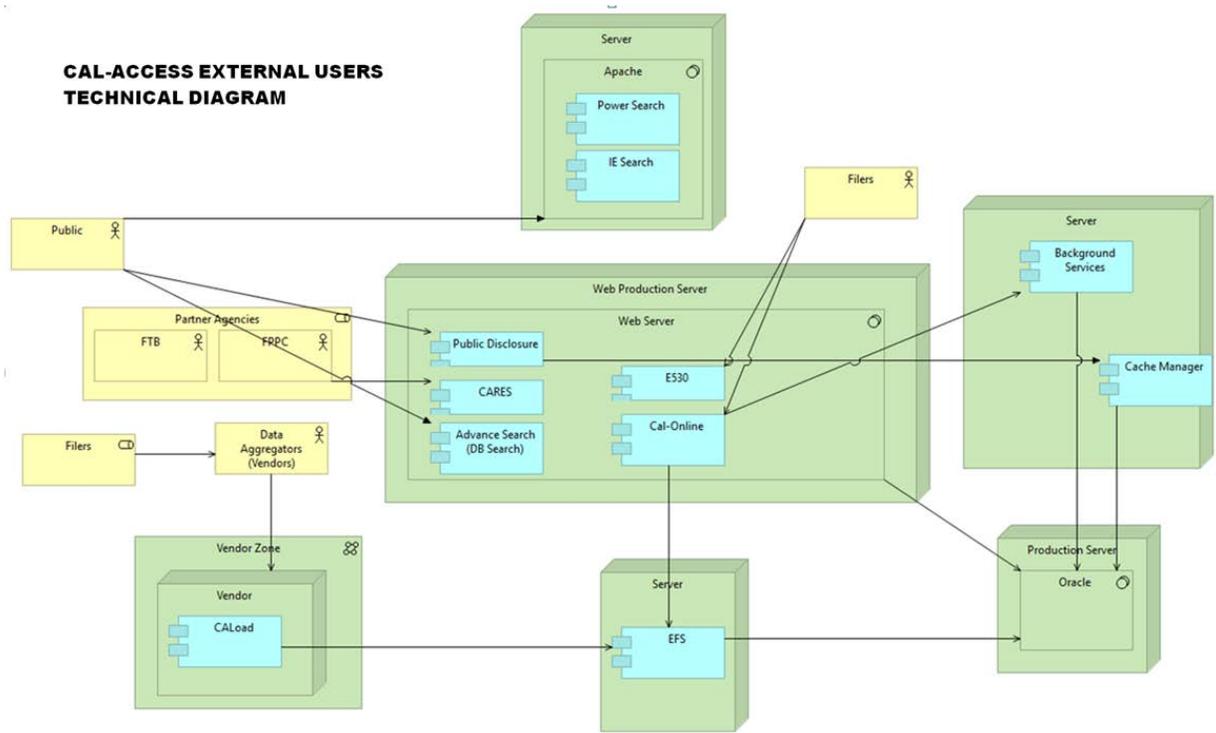
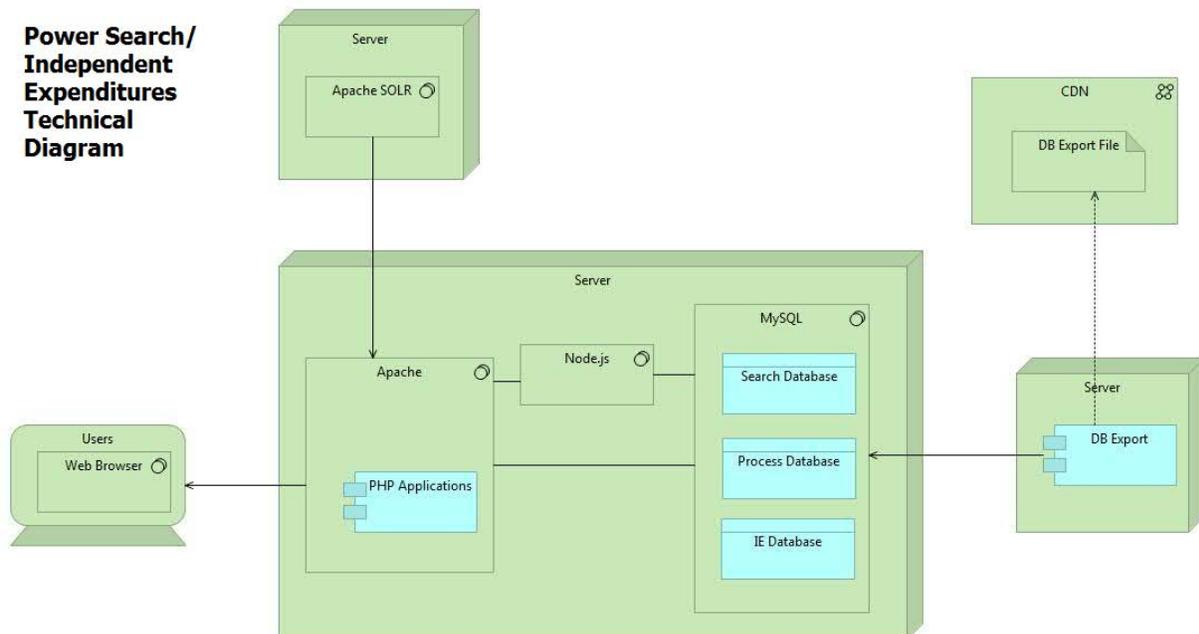


Figure 3 – Current CAL-ACCESS System – Power Search



SECTION IV – PROPOSED SYSTEM AND BUSINESS PROCESSES

The CAL-ACCESS replacement system should allow campaign and lobbying entities to meet the filing requirements of the PRA more efficiently; improve data quality; expand public access to data; allow for system modifications and improvements to respond to statutory and regulatory changes; allow other system modifications to improve filer efficiency and public access to data; and improve the ability of the SOS, the FPPC and the FTB to fulfill mandated duties. In addition, the scope of the project includes development of the following:

- Training programs, materials, facilitation, and delivery mechanisms for the SOS IT and the PRD staff; FPPC and FTB staff; and filers
- User guides or manuals that facilitate public access to data
- Help Desk services for system users, as necessary
- Recommendations and analyses supporting the legislative or regulatory changes that will be required to allow the desired functionality
- System architecture that is extensible such that it is, to the extent feasible, compatible with potential future capability to accept statements from filers that currently file at the city or county level (i.e., “local filings”)
- Unique Identifier for major donors.

Note: The CARS current requirements, activity diagrams and use cases can be found in the RFO Resource Library.

The following is considered out of scope for this project:

- Receiving, processing, or disclosing filings and/or data not required to be reported to the Secretary of State
- Direct integration with any non-state electronic filing or support system
- Direct integration with any system operated by the State Legislature or its supporting offices
- Filing, reporting, or payment by telephone (except in the case of internet-capable mobile phones)
- Accepting campaign finance reports that would otherwise be filed at the city or county level

Project Goals and Objectives

The goal of the CARS project is to improve PRA compliance and administration of the campaign and lobbying activity filing program with a system that is user-friendly for filers, accessible to the public, adaptable to statutory and regulatory changes, and which effectively and efficiently enables the PRD, FPPC and FTB to fulfill mandated duties.

The objectives of the CARS Project will be to:

- Eliminate paper filings and serve as the system of record for all campaign and lobbying information which is required to be submitted to the Secretary of State

- Update and improve the existing capability for candidates and lobbyists to comply with electronic requirements, and report campaign contributions online
- Allow for secure, online financial transactions and accounting
- Provide automated notices and other online communication with filers
- Improve data quality through more intuitive, user-friendly systems for filing registration and disclosure data
- Improve public access to data with more intuitive, user-friendly search and disclosure capabilities, including improved system design and architecture, data structure, and system documentation
- Provide an integrated system that is fully documented and supportable, provides validation of data at input, automates existing manual workflow processes, provides flexible and accurate reporting of the data, and is adaptable for future business needs
- Reduce or eliminate inefficient manual processes
- To the extent feasible and necessary, convert existing Cal-Access data to the new system to make it available for reporting

Infrastructure for Development and Deployment

SOS has implemented hybrid cloud infrastructure components to support the entire life cycle of development to deployment for SOS projects. This strategy supports the state's Cloud-first policy, as well as the current SOS Agency Information Management Strategy (AIMS).

For this project, Offeror responses should propose a solution approach that satisfies the system requirements and software deliverables that can be deployed on the hybrid cloud infrastructure using current SOS ITD Standards listed below. Any proposed variations or additions to the standards shall be evaluated as part of the review and selection process.

Current SOS ITD Standards

1. Microsoft Azure Standards – for cloud deployment

- Azure App Service
- Azure SQL V12
- Power BI
- Azure Blob Storage
- Azure Traffic Manager

2. Application Development Tools

- Visual Studio 2015 Update 3 or newer
- Visual Studio Team Services (VSTS) or Microsoft Team Foundation Server

- Configuration Management Tool (Microsoft PowerShell DSC)
- Power BI Visual Tools
- Microsoft Report Builder
- Microsoft Office 365 Productivity Software

3. Other Development Standards

- .Net 4.6
- MVC 5
- Web API 2
- C# 6
- Microsoft.AspNet.Identity 2.2.1
- jQuery 1.11.13
- Bootstrap 3.3.7
- EntityFramework 6.13 or newer
- LINQ
- jQuery.datatables v1.10.12
- jQuery.Validation v1.16
- Microsoft.jQuery.Unobtrusive.Validation v3.3.2
- cete.DynamicPDF v8
- cete.DynamicPDF.Rasterizer v1
- NLog 4.4.5
- SimpleInjector 3.3.2
- Moq 4.7.8

4. SOS Data Center Standards – for on premise deployment

- Windows 2016
- IIS 10
- Application Development Features on IIS
- MS SQL Server 2016
- Microsoft Business Intelligence
- Microsoft SQL Reporting Services 2016

5. SOS Data Center Environment

- The SOS maintains a Tier 2 Data Center at the headquarters location.
- SOS server base are Dell rackmount and blade servers. SOS leverages virtualization using VMware. EqualLogic SAN/NAS, Cisco networking components, F5 traffic management, and Incapsula Web Application Firewall.
- SOS operates a Multi-Tier architecture. Networks are extensively implemented by VLANs. Workstations on 1000BT, Servers 1000BT: all copper CAT5e/6 with a Fiber backbone. SOS Headquarters is connected to the internet via Ethernet circuit with DSL backup. Connection to the cloud environment is through Express Route. Connection to the State Data Center (OTech) is via redundant, diverse switched Ethernet circuits.

- Agency on premise backup uses EMC Avamar and Data Domain system and replicated to an identical system offsite (co-lo). SOS uses EMC/Legato Networker backup software.
- Operating system in use is Microsoft Windows 2016 server. Client (desktops and laptops) operating system is Windows 10 and HP printers. SOS uses: Microsoft SQL Server, Microsoft IIS, Microsoft Office 365 email and mobility services for messaging.
- SOS operates single sign-on for cloud authentication and a multi-domain Microsoft Active Directory forest with multiple sites and tiered DNS.
- SOS infrastructure systems utilize SNMP-based reporting and monitoring systems. SOS uses Dell OpenManage, ManageEngine and KACE/Bomgar. Systems are monitored for overall performance, health, vulnerability assessment, space utilization and security compliance.

Figure 4 – CARS Business Conceptual Architecture

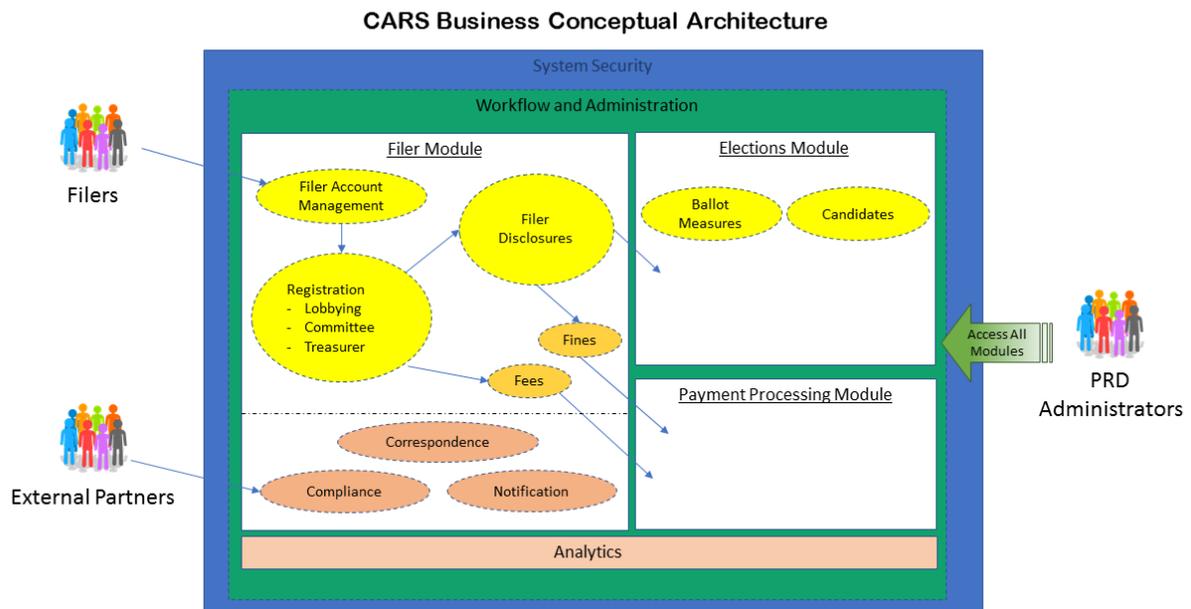
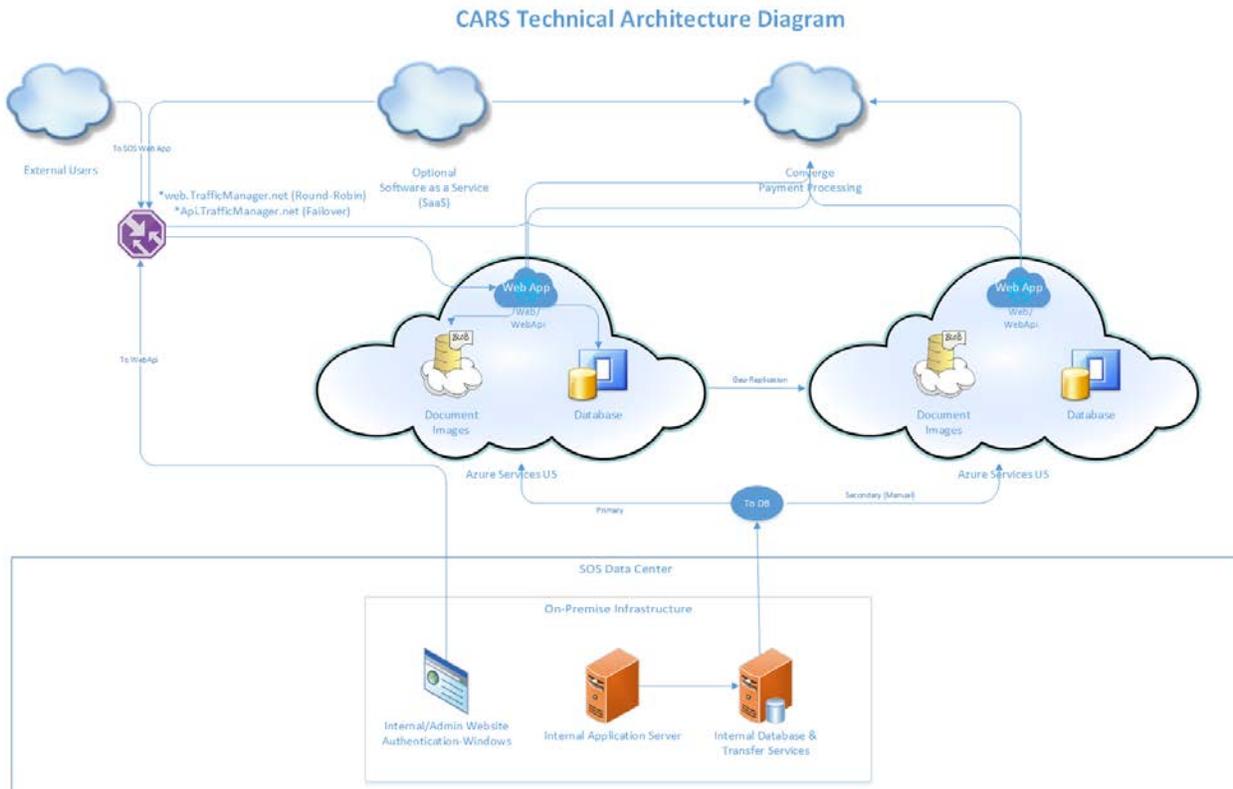


Figure 5 – CARS Technical Architecture Diagram



Incremental/Iterative Development Project Approach

The contractor shall follow an incremental/iterative development approach on this project that requires the contractor to deliver working software modules iteratively following a rigorous test-driven development approach. For the entire span of the project, the contractor shall collaborate with the SOS staff. The contractor shall staff the project with experienced individuals who understand incremental development and are experts in software tools that support incremental development and communication, such as continuous integration and bug tracking. Because the development process is iterative, the contractor shall be highly responsive to changes based on discoveries and requirements.

Assumptions

The following assumptions have been made for this project:

- Adequate funding will be available when needed to contract for project management support, project planning and procurement, and project development and implementation

- The FPPC and FTB will work cooperatively with the SOS and provide clear and timely guidance on business needs and desired functionality
- All external stakeholders will work cooperatively with the SOS and provide clear and timely guidance on business needs and desired functionality
- Problem and issue resolution will be handled on a timely basis through established processes.
- Proactive risk management strategies will be developed and implemented to minimize risks and ensure timely completion of the project.
- All vendor contracts and procurement efforts will be executed within planned timeframes.

SECTION V – ADMINISTRATIVE REQUIREMENTS

This section of the RFO presents all of the administrative requirements that must be included in the offer. Any requirements that indicate “desirable” may be included in the offer to be reviewed during the offer review process.

1. Cover Letter (Mandatory) – *Pass/Fail*

The Offeror must submit a cover letter containing the following:

Requirement A1 **The Offer must include a signed Cover Letter, which must contain all of the following:**

- a. **Company name, mailing address and telephone number**
- b. **Name and e-mail address of contact person**
- c. **Reference RFO #17-025**
- d. **DGS IT Master Services Agreement (MSA) Number**
- e. **Offer Submission Date; including a statement that the offer is good for ninety (90) calendar days from the RFO Response Submission due date stated in Section I – General Information, Item C. – Key Action Dates**
- f. **Federal Employer ID Number (FEIN)**
- g. **Disabled Veteran Business Enterprise (DVBE) self-certification or identification of, and tasks/percentages, for disabled veteran business enterprise sub-contractor(s)**
- h. **A statement that the Offeror commits to fulfilling all requirements of this RFO**
- i. **A statement that the Offeror has available staff with the appropriate skills to complete performance under the Contract for all services and to provide all deliverables as described in this RFO**
- j. **A Statement accepting full Prime Contractor responsibility for coordinating, controlling, and delivering all aspects of the Contract and any subcontractors on the team**
- k. **A duly authorized representative of the Offeror must *physically sign* the cover letter, also providing the Title/Position the signer holds in the company, certifying that the offer is a valid and binding offer and that he/she is authorized to sign the offer.**

NOTE: The Cover Letter must NOT contain any cost information.

2. Master Services Agreement (Mandatory) – Pass/Fail

The Offeror must submit an entire copy of the signed and executed Master Services Agreement (IT MSA) between the Offeror and Department of General Services (DGS) for Information Technology (IT) Consulting Services.

Requirement A2 **The Offer must include an entire copy of the Offerors DGS IT MSA which must include the following information:**

- **Signed signature page of the Standard Agreement (STD 213)**
- **Attachment 1 – Rate Sheet**

NOTE: Attachment 2 – Form GSPD401IT, IT General Provisions, Effective 9/5/2014, is incorporated by reference and can be found electronically and does not need to be submitted with the offer.

3. Certification to Do Business in California (Mandatory) – Pass/Fail

All corporations, limited liability companies (LLC) and limited partnerships are required to be registered with the California Secretary of State (SOS) in order to do business in the state of California. Before contract award can be made, the Contractor must be currently registered and in “Active” status with the California SOS, if required by law, to do business in California.

The State will verify if the Offeror is currently registered and in good standing, as applicable, during the Offer Review process. Therefore, a certificate of status is not required to be submitted with the Offer.

Requirement A3 **The Contractor must be registered and in “Active” status with the California Secretary of State, if required by law, to do business in California.**

The Offeror must provide their exact business (company) name and business entity type to facilitate verification of registration and entity status, as applicable.

4. Payee Data Record (Mandatory) – Pass/Fail

Requirement A4 **The Offeror must provide an executed Payee Data Record (STD. 204). The Payee Data Record (STD. 204) can be found at:**
<http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf>.

5. California Disabled Veteran Business Enterprise (DVBE) Program Requirements (Mandatory) – Pass/Fail

The State has established goals for Disabled Veteran Business Enterprises (DVBE) participating in State contracts. The minimum DVBE participation percentage (goal) is 3% for this solicitation. Please review the DVBE program requirements package at the links below. The Offeror must complete and return all the appropriate pages in order for the offer to be considered responsive.

An explanation of the Disabled Veteran Enterprise Program (DVBE) requirements can be found at the Internet web site:

<http://www.dgs.ca.gov/pd/Programs/OSDS.aspx>

The “DVBE Resource Packet” can be found at:

<http://www.documents.dgs.ca.gov/pd/smallbus/resource.pdf>

Requirement A5 **The Offeror must meet the 3% DVBE goal for this solicitation; failure to submit all required forms and fully document and meet the DVBE program requirement shall be considered non-responsive.**

The Offeror must submit the following two (2) forms and the forms can be found at the listed Internet websites:

1. Std. 843 – DVBE Declaration:

<http://www.documents.dgs.ca.gov/pd/poliproc/STD-843FillPrintFields.pdf>

2. GSPD-05-105 – Bidder Declaration:

<https://www.documents.dgs.ca.gov/dgs/fmc/gspd/gspd05-105.pdf>

NOTE: The Secretary of State’s Office has waived the application of the DVBE Incentive for this solicitation. Therefore, no additional incentive points will be applied during the evaluation process of this RFO.

6. Offeror Financial Viability (Mandatory) – Pass/Fail

The SOS will not enter into an agreement with any Contractor that cannot demonstrate to the sole satisfaction of the SOS, its financial viability, credit worthiness, and depth of financial resources to ensure completion of all contractual obligations. The principal purpose for this requirement is to provide information to determine financial viability of the Offeror’s company. State policy, and state and federal statutes, authorizes maintenance of this information. The State will treat all financial information submitted as confidential, as provided by law, when designated as such. This information will

only be shared with SOS staff involved in the evaluation of this RFO. (See Section I – General Information, H. – Disposition of Offers for more details regarding the disclosure of this information.)

The Offeror must assure that the audited financial statements or SEC 10K filings submitted with their Offer are updated to reflect the last three (3) fiscal years.

Requirement A6 **The Offeror must submit:**

- **Audited financial statements or SEC 10K filings (including a balance sheet) that support average annual gross revenue of \$150,000,000 or more for each of the company’s last three fiscal years; and**
- **A completed Exhibit V.1 - Offeror Affirmation of Financial Viability signed by an individual in the Offeror company with the authority to bind the company and which affirms the Offeror company’s financial viability to sustain expenses incurred while performing four (4) months of CARS project work without receiving payment from the SOS.**

7. Insurance Requirements (Mandatory) – Pass/Fail

a. Professional Liability/Errors and Omissions (Mandatory)

The Contractor shall maintain professional liability/errors and omissions insurance, as stated below. The policy retroactive date must be displayed on the certificate and must be before the commencement of work.

Requirement A7(a) The Offeror must submit a completed Exhibit V.2 – Professional Liability/Errors and Omissions Certification indicating the Offeror agrees to provide the required professional liability insurance certificate.

The awarded Contractor agrees to provide the certificate of insurance within thirty (30) calendar days of Contract Award, and at any time the State may request.

The certificate of insurance must state there is professional liability/errors and omissions insurance presently in effect with limits no less than \$1,000,000 for each claim and \$1,000,000 aggregate covering damages caused by negligent errors or acts of omission.

The insurance shall be in effect for the duration of the Contract.

b. General Liability Insurance Certificate (Mandatory)

The Contractor shall maintain general liability insurance, as stated below.

Requirement A7(b) The Offeror must submit a completed Exhibit V.3 – General Liability Insurance Certification indicating the Offeror agrees to provide the required general liability insurance certificate.

The Contractor agrees to provide the certificate of insurance within thirty (30) calendar days of Contract Award, and at any time the State may request.

The certificate of insurance must state there is general liability insurance presently in effect for the Contractor of not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined. If the policy has an aggregate limit, that limit shall apply on a "per project or location" basis.

The certification of insurance must include the following provision:

- **The State of California, Department of General Services, and the Secretary of State, their officers, agents and employees are included as additional insureds.**

The insurance shall be in effect for the duration of the Contract.

c. Workers' Compensation Liability Insurance Certificate (Mandatory)

The Contractor shall maintain workers' compensation insurance, as stated below.

Requirement A7(c) The Offeror must submit a completed Exhibit V.4 – Workers' Compensation Insurance Certification indicating the Offeror agrees to provide the required workers' compensation insurance certificate.

The Contractor agrees to provide proof of a valid Workers' Compensation Insurance Policy within thirty (30) calendar days of Contract Award, and at

any time the State may request.

The certificate of insurance must state there is workers' compensation insurance presently in effect for the Contractor with statutory limits and employers' liability with a limit of no less than \$1,000,000 on all of its employees who will be engaged in the performance of this contract. The policies for the Contractor and all staff working on State Owned or Controlled Property must include a waiver of subrogation in favor of the State of California, Department of General Services, and the Secretary of State.

The insurance shall be in effect for the duration of the Contract.

8. Executive Summary (Mandatory) – Pass/Fail

The Offeror must submit an Executive Summary that describes the most important features of the offer, condensing and highlighting the contents to provide a broad understanding of the entire offer.

Requirement A8 **The Offerer must submit an Executive Summary of the proposed solution, which includes the following information:**

- **Overview of services to be provided as part of this Contract**
- **List of the entities and individuals proposed as subcontractors (if applicable), staff names, and the experience of the proposed team with Filer Registration automation**
- **Summary of the technology proposed**
- **Summary of Offeror's approach to meeting the business functional requirements**
- **The degree to which the proposed solution components are currently in use**
- **Summary of the responsibilities of the SOS for the support of implementing the proposed solution**
- **A concise profile of the Company, that includes (at a minimum):**
 - **Ownership and location of offices**
 - **History – number of years in business**
 - **Qualifications – similar endeavor success and years providing services specific to this RFO**

- and Executive-level organizational chart showing lines of authority
- Executive-level organizational chart showing lines of authority
- Summary of the responsibilities of the SOS for the support of implementing the proposed solution

NOTE: The Executive Summary must NOT contain any cost information.

9. Offeror Qualifications and References (Mandatory) – *Pass/Fail*

The purpose of this requirement is to provide the State the ability to assess the Offeror's prior record and experience in providing similar or relevant services to other organizations. The Offeror must meet the following mandatory qualifications and must provide evidence of meeting the mandatory qualifications by submitting client references as stated below.

By submitting the required Exhibit V.5 (a) Offeror Qualifications & References (Mandatory), the Offeror is certifying that the information provided fulfills the stated requirements. The State's determination of experience shall be final.

Requirement A9 **The Offeror must meet the following mandatory qualifications, which shall include providing descriptions of the referenced projects and client references for the referenced projects using Exhibit V.5 (a) Offeror Qualifications & References (Mandatory):**

- **Been a prime contractor for at least two (2) IT implementation projects of greater than \$20 million project budget each, within the five (5) years preceding the publication of this RFO; and**
- **At least one (1) of the two (2) IT implementation projects was for the State of California with similar size, scope and complexity;**
- **At least one (1) of the two (2) IT implementation projects was for a medium complex data integration systems that required interfaces with three (3) or more external systems that were not under the control of the Offeror or the Client;**
- **At least one (1) of the two (2) IT implementation projects is fully complete (in warranty period or later) or substantially complete (in warranty period with twelve (12) months of the release of this RFO).**

Client References must include all information required on Exhibit V.5 (a) - Offeror Qualifications & References (Mandatory). The descriptions of these projects must be detailed and comprehensive enough to permit the State to assess the similarity of those projects to the work anticipated in the award of the Contract resulting from this procurement. The State reserves the right to contact client references listed in the Exhibit to validate the Offeror's experience.

For each client reference, Offerors must provide a client contact reference for someone at a Director level 1 or above from both the business area and the technology area. These references must have been involved with the project or be currently using the solution and be able to provide in-depth answers to questions about the solution.

All Exhibit V.5 (a) - Offeror Qualifications & References (Mandatory) forms submitted in response to this requirement must be completed and signed by the referenced organization or company individual or designee.

10. Offeror Qualifications and References (*Desirable*) – 1500 Points

Stated below are *desirable* Offeror qualifications and reference requirements. The Offeror may choose to report this experience and provide evidence of meeting the *desirable* qualifications by submitting client references as stated below.

Requirement A10 **The Offeror may provide a description of at least one (1) project that meets the *desirable* Offeror qualification requirements stated below, which includes providing a description(s) of the referenced project(s) and client reference(s) for the referenced project(s) using Exhibit V.5 (b) Offeror Qualifications & References (*Desirable*):**

- **At least one (1) year experience using an iterative/incremental development approach.**
- **At least one (1) project, which must have been completed within the past ten (10) years and that meets the following criteria:**
 - **A successfully completed electronic filing**

system implementation with a scope similar to that described in Section VI – Project Management, Functional and Non-Functional Requirements, with a bottom-up approach

- **An implementation where the total records integrated was at least 1,000,000**
- **Implementation and deployment of a system currently in production using cloud Platform-as-a-Service (PaaS) technology**

In order to be evaluated, client references must include all information required on Exhibit V.5 (b) - Offeror Qualifications & References (*Desirable*). The description(s) of the project(s) must be detailed and comprehensive enough to permit the State to assess the similarity of the project(s) to the *desirable* qualification requirements. The State reserves the right to contact client references listed in the Exhibit to validate the Offeror's *desirable* experience.

For each client reference, Offerors must provide a client contact reference for someone at a Director level 1 or above from both the business area and the technology area. These references must have been involved with the project or be currently using the solution and be able to provide in-depth answers to questions about the solution.

All Exhibit V.5 (b) - Offeror Qualifications & References (*Desirable*) forms submitted in response to this requirement must be completed and signed by the referenced organization or company individual or designee.

11. Project Organization (Mandatory) – 1000 Points

The Offeror must submit a Project Staffing Overview that describes staffing proposed for the project. The State's ultimate project goal is to develop a strong team that will be able to support the new system implementation effort as well as provide post-implementation system support.

The Offeror's Project Staffing Overview must include both a diagram and a high-level narrative description of the project team organization. The narrative must include a description of proposed key staff's roles, responsibilities, functional activities, proposed time each proposed staff will be devoted to the project, and the specific deliverables to which each key staff will contribute.

Offerors must state whether or not any other staffing is to be used in addition to the required five (5) Key Staff roles. Offerors also must include in their narrative a description of the additional staffing that the Offeror anticipates will be needed to perform tasks to implement the proposed solution. The additional staffing description must include roles/responsibilities, functional activities, and reporting structure, along with staff resumes.

NOTE: The Offerors are reminded that the State will not provide clerical support to Contractor staff.

Requirement A11 **The Offer must include a Project Staffing Overview of proposed project staffing in addition to the required Key Staff. The narrative must include:**

- **Identification of all proposed staff provided in the Exhibit V.6 (1 - 5) – Key Staff Experience Matrix completed for each of the required Key Staff AND additionally proposed essential project staff, including subcontractor staff, with a summary of skill sets for additional positions and of anticipated responsibilities for those positions; including staff resumes for any additionally proposed staff. If no additional staff is proposed, Offerors must include a description of why no additional staffing is needed.**
- **Detailed description of the methodology used to estimate the resource efforts applied to the work plan.**
- **A diagram of the proposed project staffing structure and reporting/governance structure. The diagram should show the Offeror, subcontractor (if applicable), and corresponding State staffing,**
- **A narrative description of the distribution of roles and responsibilities for the lifecycle of the project, for at least the following areas:**
 - **Management and maintenance of the integrated project schedule;**
 - **Management of risks, issues, and scope (change control);**
 - **Design documentation preparation;**
 - **Software configuration management and version control;**
 - **Quality assurance for deliverables;**
 - **Deployment and cutover management;**
 - **Requirements management;**

- Training for end users and the PRD and IT staff;
- Communications with the SOS and other stakeholders; and
- All other office and administrative support required to perform project activities.

12. Proposed Key Staff Qualifications (Mandatory) – Pass/Fail

The Offeror must commit to assigning, at a minimum, the five (5) Key Staff roles defined below, to the CARS project for the duration of the service delivery for which they are responsible. The Offeror must identify the names of those individuals by providing a completed Exhibit V.6 (1 – 5) Key Staff Experience Matrix and submitting a Staff Resume for each of the proposed Key Staff.

In addition, the Offeror must provide information regarding client references for the proposed Key Staff and experience provided in the applicable Exhibit V.6 (1 – 5) Key Staff Experience Matrix. The State reserves the right to contact client references listed in the Exhibit to validate the proposed Key Staff’s experience and capabilities. *References will be scored in accordance with Section VIII – Offer Review and Selection, C. – Review and Scoring of Offers.*

By submitting the required Exhibit V.6 (1 – 5) Key Staff Experience Matrix and Staff Resumes, for each of the five proposed Key Staff, the Offeror is certifying that the proposed staff named to each role fulfills **all** stated requirements of that role. The State’s determination of experience shall be final.

NOTE: This Administrative Requirement shall detail Staff work experience requirements in months. However, the State recognizes that Offerors may wish to report work experience for projects on which Key Staff worked part-time as well as full-time. To ensure Offerors use a consistent method to calculate and report the number of Full-time Month Equivalents work experience for Key Staff, the instructions provided for the Exhibit V.6 (1 – 5) Key Staff Experience Matrix Templates describes the method Offerors must use to calculate and report Full-time Month Equivalents work experience for Key Staff.

The following are the mandatory Key Staff roles and experience requirements the Offeror must assign to the CARS Project:

1. Project Manager (PM)

The DGS IT MSA classification to be used for this role shall be “**Project Manager**”. **The PM is required as full-time key personnel.** The PM will be responsible for managing all Contractor resources and activities relating to the completion of the deliverables outlined in the Contract. The PM must have:

- A minimum of five (5) years of broad, extensive and increasingly responsible PM project experience applying project management (PM) principles, methods, techniques, and tools. At least three (3) years of that experience must have been in a lead capacity.
- Possession of (a) a Bachelor's Degree, and (b) a valid Project Management Professional (PMP) certification from the Project Management Institute (PMI), which must be submitted with RFO response and will be verified during the Offer Review Process. Additional qualifying experience may be substituted for the required education on a year-for-year basis. **The PMP certification is required and may not be substituted with additional experience.**

2. **Business Lead (BL)**

The DGS IT MSA classification to be used for this role shall be “**Business Solutions Analyst.**” **The BL is required as full-time key personnel.** The BL will be responsible for serving as the business functional expert in the CARS functional areas of the Offeror's proposed solution. This resource will be responsible for leading and gathering information in all discussions and sessions. The BL must have:

- A minimum of five (5) years of experience applying analytical processes on IT projects. At least three (3) years of that experience must have been in business systems analysis and design.
- Possession of a Bachelor's Degree. Additional qualifying experience may be substituted for the required education on a year-for-year basis.

3. **Development Lead (DL)**

The DGS IT MSA classification to be used for this role shall be “**Senior Programmer.**” **The DL is required as full-time key personnel.** The DL will be responsible for all development activities for the Offeror's proposed system. The DL will be responsible for leading and completing development and ensuring that the application supports the Project Management, Business and Technical Requirements. The DL must have:

- A minimum of seven (7) years of experience in electronic data processing systems study, design, and programming. At least four (4) years of that experience must have been in a lead capacity.
- Possession of a Bachelor's Degree in an IT-related or Engineering field. Additional qualifying experience may be substituted for the required education on a year-for-year basis.

4. Technical Architect (Lead) (TL)

The DGS IT MSA classification to be used for this role shall be “**Technical Architect.**” **The TL is required as full-time key personnel.** The TL will be responsible for defining and designing all necessary physical and logical technical architectures for the Offeror’s proposed system. The TL will also be responsible for participating and gathering information in all technical architecture discussions and sessions. The TL should assist with compiling responses for the Offeror’s deliverables for this area. The TL must have:

- A minimum of eight (8) years of experience in systems development, analysis, programming or testing.
- Possession of a Bachelor’s Degree in an IT-related or Engineering field. Additional qualifying experience may be substituted for the required education on a year-for-year basis.

5. Lead Security Architect (SA)

The DGS IT MSA classification to be used for this role shall be “**Security Engineer.**” **The SA is NOT required as full-time key personnel.** The SA will oversee and ensure that system and architecture design to meet security requirements. The SA must have:

- A minimum of ten (10) years of experience with developing and implementing technical solutions to help mitigate security vulnerabilities.
- Possession of a Bachelor’s Degree in an IT-related or Engineering field. Additional qualifying experience may be substituted for the required education on a year-for-year basis.

Requirement A12 **The Offeror must assign, at a minimum, the five (5) Key Staff roles defined above to the CARS project for the duration of the service delivery for which they are responsible. The Offeror must assign one (1) staff member for each of the required Key Staff roles; the same resource may not be assigned to more than one role. The Offeror is not precluded from utilizing subcontractors as necessary to meet the requirements.**

The Offeror must identify the individual names of the five (5) Key Staff for each of the proposed role(s) using the applicable Exhibit V.6 (1 – 5) Key Staff Experience Matrix and submit a Staff Resume for each of the proposed Key Staff.

All information required on Exhibit V.6 (1 – 5) Key Staff Experience Matrix must be completed, including Client information. The descriptions of the projects must be detailed and comprehensive enough to permit the State to assess the similarity of those projects and the type of work experience attained to the work anticipated in the award of the Contract resulting from this procurement. All client references must be specific to the services proposed for the proposed candidate’s role. (See Exhibit V.6 (1 – 5) – Key Staff Experience Matrix Templates and Instructions for further detail.)

Each proposed Key Staff must meet the mandatory requirements identified in the role description, including all education requirements and experience for their proposed classification required in accordance with the DGS IT MSA, and respectively, as documented in the applicable Exhibit V.6 (1 – 5) Key Staff Experience Matrix with supplemental information provided in the respective Staff Resume.

All referenced work used to meet these requirements must have been performed within the past ten (10) years, five (5) of which include working on a State of California project. Referenced work must have been consistent with the proposed position and for a client external to the Offeror’s organization and subsidiaries. Research and development projects internal to the employee’s organization will not be counted towards the experience requirements.

13. Proposed Key Staff Qualifications (*Desirable*) – 2200 Points

For proposed resources assigned to the required Key Staff roles described above, additional points may be awarded for the *desirable* staff experience requirements defined below.

Desirable staff experience may be reported in the applicable Exhibit V.6 (1 – 5) Key Staff Experience Matrix, in addition to providing information regarding client references for the proposed Key Staff and *desirable* experience provided in the applicable Exhibit. The State reserves the right to contact client references listed in the Exhibit to validate the proposed Key Staff’s *desirable* experience and capabilities. *References will be scored in accordance with Section VIII – Offer Review and Selection, C. – Review and Scoring of Offers.*

By submitting the required Exhibit V.6 (1 – 5) - Key Staff Experience Matrix and Staff Resumes, for each of the five proposed Key Staff, the Offeror is certifying

that the proposed staff named to each role fulfills **all** stated requirements of that role. The State's determination of the *desirable* experience shall be final.

NOTE: This Administrative Requirement shall detail Staff work experience requirements in months. However, the State recognizes that Offerors may wish to report work experience for projects on which Key Staff worked part-time as well as full-time. To ensure Offerors use a consistent method to calculate and report the number of Full-time Month Equivalents work experience for Key Staff, the instructions provided for the Exhibit V.6 (1 – 5) Key Staff Experience Matrix Templates describes the method Offerors must use to calculate and report Full-time Month Equivalents work experience for Key Staff.

The following are the *desirable* staff experience requirements for the Key Staff roles identified in the offer:

1. Project Manager (PM)

- ***PM.1*** – Sixty (60) months experience, within the ten (10) years preceding the publication of this RFO, with managing complex IT system implementation projects that have one-time total costs of \$5 million or more and that include many stakeholders and multiple external system interfaces
- ***PM.2*** – Sixty (60) months experience, within the ten (10) years preceding the publication of this RFO, managing projects utilizing Project Management Institute (PMI®) methodologies or similar professional project management methodologies
- ***PM.3*** – Thirty six (36) months experience planning complete life-cycles of phased IT system implementation projects

2. Business Lead (BL)

- ***BL.1*** – Thirty six (36) months experience performing business process analysis on complex IT system implementation projects that include many stakeholders with multiple external system interfaces
- ***BL.2*** – Thirty six (36) months experience with collaborative business process assessment, analysis, writing, and re-engineering methods and strategies including business flow diagramming
- ***BL.3*** – Twenty four (24) months experience communicating, both verbally and in writing, business process information including presenting ideas/recommendations to stakeholders

3. **Development Lead (DL)**

- **DL.1** – At least five (5) years of experience in an Application Development Manager role in the development of a web-based application using Microsoft .NET technology for a large-scale and complex Information Technology system with a one-time total cost of \$5M or more
- **DL.2** – At least three (3) years of experience leading the development of Azure cloud-based applications
- **DL.3** – At least three (3) years of experience with APIs and web services for high volume transactional systems
- **DL.4** – At least three (3) years of experience using DevOps tool sets such as Microsoft Visual Studio Team Services
- **DL.5** – At least three (3) years of experience with business analytics services

4. **Technical Architect (Lead) (TL)**

- **TL.1** – At least five (5) years of experience providing design, development, and integration services for a large-scale and complex Information Technology system with a one-time total cost of \$5 million or more
- **TL.2** – At least five (5) years of experience in a Lead System Architect role incorporating a Microsoft.NET technology stack in the creation of an information technology system
- **TL.3** – At least three (3) years of experience in a Lead System Architect role in the implementation of an information technology system using Azure cloud-based technologies
- **TL.4** – At least three (3) years of experience with an API management, identity management, and multi-channel distributed system integration

5. **Lead Security Architect (SA)**

- **SA.1** – At least five (5) years of experience performing technical security control architecture and design; information security solution engineering; security technology implementations; evaluating new security technologies; and maintaining and operating at least one (1) system similar in scope to the Offeror's proposed CARS solution
- **SA.2** – At least five (5) years of experience in security technologies including, but not limited to cloud services, operating systems,

networking, databases, directory services, firewalls, encryption, web services and applying security principles based on best practices and industry standards

- **SA.3** – Possession of a current Certified Information Systems Security Professional (CISSP) certification or equivalent; if reporting this *desirable* experience, a copy of the certificate must be submitted with response and will be verified during the Offer Review process

Requirement A13 **The Offeror may describe the *desirable* experience defined above for proposed Key Staff, as applicable, using Exhibit V.6 (1 – 5) - Key Staff Experience Matrix and include the respective experience in the Staff Resume submitted for EACH of the five (5) Key Staff [identified in response to Requirement A12 above].**

In order to be evaluated, all information required on Exhibit V.6 (1 – 5) Key Staff Experience Matrix must be completed, including Client information. The description(s) of the project(s) must be detailed and comprehensive enough to permit the State to assess the similarity of those projects and the type of work experience attained to the *desirable* qualification requirements.

All referenced work used to meet these requirements must have been performed within the past ten (10) years, five (5) of which include working on a State of California project. Referenced work must have been consistent with the proposed position and for a client external to the Offeror's organization and subsidiaries. Research and development projects internal to the employee's organization will not be counted towards the experience requirements.

Offerors may include the *desirable* skill requirement reference from each of the Key Staff roles defined above (e.g., PM.1, BL.1, TL.1, etc.). All client references must be specific to the services proposed for the proposed candidate's role. (See Exhibit V.6 (1 – 5) – Key Staff Experience Matrix Templates and Instructions for further detail.)

14. CARS Additional Products List (Mandatory) – Pass/Fail

The Offerors must provide a list of all additional products proposed to be used in the CARS solution, as stated below. The list should include ALL proposed software, tools, services and other products which will vary from or add to the

current SOS ITD Standards. This information should be supported by the respective additional product detail provided in the Offeror's response to Section VI – Project Management, Functional and Non-Functional Requirements, Requirement P9 - Technical Architecture.

NOTE: This is for informational purposes only and will be used for future planning purposes. In addition, the estimated costs provided in the Exhibit will not be part of the offer review.

Requirement A14 **The Offer must include a list of all additional products proposed to be used in the CARS solution, that are NOT included in the Current SOS ITD Standards detailed in Section IV – Proposed System and Business Processes, Infrastructure for Development and Deployment, using Exhibit V.7 – CARS Additional Product List. If no additional product(s) are being proposed, Offerors must include the Exhibit V.7 with the offer indicating “none”. (See Exhibit V.7 – CARS Additional Product List and Instructions for further detail.)**

Section V – Administrative Requirements

EXHIBITS

The next pages contain the following Exhibits:

- **Exhibit V.1 – Offeror Affirmation of Financial Viability**
- **Exhibit V.2 – Professional Liability/Errors and Omissions Certification**
- **Exhibit V.3 – General Liability Insurance Certification**
- **Exhibit V.4 – Workers’ Compensation Insurance Certification**
- **Exhibit V.5 (a) – Offeror Qualifications & References (Mandatory)**
- **Exhibit V.5 (b) – Offeror Qualifications & References (*Desirable*)**
- **Exhibit V.6 (1 - 5) – Key Staff Experience Matrix Templates and Instructions**
 - **Exhibit V.6 (1) – Key Staff Experience Matrix – Project Manager (PM)**
 - **Exhibit V.6 (2) – Key Staff Experience Matrix – Business Lead (BL)**
 - **Exhibit V.6 (3) – Key Staff Experience Matrix – Development Lead (DL)**
 - **Exhibit V.6 (4) – Key Staff Experience Matrix – Technical Lead (TL)**
 - **Exhibit V.6 (5) – Key Staff Experience Matrix – Lead Security Architect (SA)**
- **Exhibit V.7 – CARS Additional Products List and Instructions**

Exhibit V.1
Administrative Requirement A6

Offeror Affirmation of Financial Viability

_____ (Offeror), by authorized representative's signature below, affirms that the Offeror's company has the financial capacity to sustain expenses incurred while performing four (4) months of work on the CAL-ACCESS Replacement System (CARS) Project without receiving payment from the Secretary of State (SOS).

(Signature of Representative Authorized to Bind Company)

(Date)

(Printed Name and Title of Representative Signing this Statement)

Exhibit V.2
Administrative Requirement A7(a)

Professional Liability/Errors and Omissions Certification

The undersigned in submitting this document hereby certifies the following:

I am aware of the provisions of this CAL-ACCESS Replacement (CARS) Project, Request for Offer (RFO), which requires the Contractor to maintain professional liability/errors and omissions insurance with limits no less than \$1,000,000 for each claim and \$1,000,000 aggregate covering damages caused by negligent errors, acts of omission.

I also agree to provide a certificate of such insurance within thirty (30) calendar days of Contract Award, before commencing the performance of the work of this contract, and at any time the State may request.

(Signature)

(Date)

(Printed Name and Title)

(Street Address)

(Company Name)

(City, State and Zip)

**Exhibit V.3
Administrative Requirement A7(b)**

General Liability Insurance Certification

The undersigned in submitting this document hereby certifies the following:

I am aware of the provisions of this CAL-ACCESS Replacement (CARS) Project, Request for Offer (RFO), which requires the Contractor to maintain general liability insurance of not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined. If the policy has an aggregate limit, that limit shall apply on a "per project or location" basis.

The certification of insurance must include the following provision:

- The State of California, Department of General Services, and the Secretary of State, their officers, agents and employees are included as additional insureds.

I also agree to provide a certificate of such insurance within thirty (30) calendar days of Contract Award, before commencing the performance of the work of this contract, and at any time the State may request.

(Signature)

(Date)

(Printed Name and Title)

(Street Address)

(Company Name)

(City, State and Zip)

Exhibit V.4
Administrative Requirement A7(c)

Workers' Compensation Insurance Certification

The undersigned in submitting this document hereby certifies the following:

I am aware of the provisions of Section 3700 of the California Labor Code, which requires every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with such provisions before commencing the performance of the work of this contract.

I am aware of the provisions of this CAL-ACCESS Replacement (CARS) Project, Request for Offer (RFO), which requires the Contractor to maintain workers' compensation insurance with statutory limits and employers' liability with a limit of no less than \$1,000,000 on all of its employees who will be engaged in the performance of this contract. The policies for the Contractor and all staff working on State Owned or Controlled Property must include a waiver of subrogation in favor of the State of California, Department of General Services, and the Secretary of State.

I also agree to provide a certificate of such insurance within thirty (30) calendar days of Contract Award, before commencing the performance of the work of this contract, and at any time the State may request.

(Signature)

(Date)

(Printed Name and Title)

(Street Address)

(Company Name)

(City, State and Zip)

**Exhibit V.5 (a)
 Administrative Requirement A9**

Offeror Qualifications & References (Mandatory)

Exhibit V.5 (a) - Offeror Qualifications & References (Mandatory)	
Company Name:	Company Contact Name:
Company Contact's Email:	Company Contact's Phone #:
Client:	
Client Contact Name:	
Address:	Phone #:
Email:	Fax #:
Project Name:	
Project Description:	
Nature of Offeror's Involvement:	
Date System Went into Production as System of Record, or date of completion of Pilot:	Is this project fully complete (in warranty period or later) or substantially complete (in warranty period within the last 12 mos.)? ___ Yes ___ No
Was the Company the Prime Contractor for this project? ___Yes ___No	
If this reference is for the Offeror's Subcontractor, was the Subcontractor the Prime Contractor for this project? ___Yes ___No If Yes, Enter Subcontractor Name:	
Did this project implement a California statewide system? ___Yes ___No	
Did this project implement a filer registration system? ___Yes ___No	
Did this project implement a data integration system that required interfaces with at least 3 or more external independent systems not under the direct control or management of the vendor or the customer? ___Yes ___No	
Reference's Signature: I, the client contact official named above, as an authorized representative of the client company named above, state that the above project description is true and correct.	
Signature:	Date:
Printed name:	

**Exhibit V.5 (b)
 Administrative Requirement A10**

Offeror Qualifications & References (*Desirable*)

Exhibit V.5 (b) - Offeror Qualifications & References (<i>Desirable</i>)		
Company Name:		Company Contact Name:
Company Contact's Email:		Company Contact's Phone #:
Client:		Client Contact Name:
Address:		Phone #:
Email:		Fax #:
Project Name:		
Project Description:		
Nature of Offeror's Involvement:		
Date System Went into Production as System of Record, or date of completion of Pilot:	Number of Records Integrated:	Was this project successfully completed within the last 10 years? <input type="checkbox"/> Yes <input type="checkbox"/> No
Was the Company the Prime Contractor for this project? <input type="checkbox"/> Yes <input type="checkbox"/> No		
If this reference is for the Offeror's Subcontractor, was the Subcontractor the Prime Contractor for this project? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, Enter Subcontractor Name:		
Was an iterative/incremental development approach used for this project? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Did this project implement a "bottom-up" electronic filing system? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Did this project involve an implementation and deployment of a system using cloud Platform-as-a-Service (PaaS) technology? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Reference's Signature: I, the client contact official named above, as an authorized representative of the client company named above, state that the above project description is true and correct.		
Signature:		Date:
Printed name:		

Exhibit V.6 (1 – 5) Administrative Requirements A12 & A13

Key Staff Experience Matrix Templates and Instructions

Instructions for completing the Key Staff Experience Matrix templates:

A Key Staff Experience Matrix template for each of the required five (5) Key Staff is provided in the pages that follow. **One Key Staff Experience Matrix must be completed for each of the five (5) Key Staff proposed for the Offeror's project team.** Please provide the following information for each contract engagement/project from which the proposed Key Staff has gained the relevant experience. Provide information for each project in a separate "project block"; add additional pages as needed.

Project Details: Provide the project name, client name, client contact person's name and phone number, and the approximate dates (calendar period) the Key Staff member worked on the referenced project (*in any project role*).

Type of Experience/Education: The experience and education information in each matrix reflects the mandatory and desirable qualifications and experience for each of the Key Staff roles defined in Section V – Administrative Requirements A12 and A13 above and must be supported by narrative information included in the respective Staff Resumes.

Number of Full-time Month Equivalents: For each experience requirement that the Offeror reports is met by the Key Staff person's work on the referenced project, specify the number of **Full-time Month Equivalents experience** the Key Staff person accrued on the referenced project. For each period in which the Key Staff person performed work applicable to the claimed experience for a *minimum* of 20 work days of at least 7 hours (the minimum required to represent working full-time), the Key Staff accrues one (1) Full-time Month Equivalent experience.

To calculate and report the Full-time Month Equivalent experience for Key Staff who worked part-time on a referenced project, use the following calculation:

- If the Key Staff worked half ($\frac{1}{2}$) time on a referenced project, experience should be prorated to one-half ($\frac{1}{2}$) or 0.5 month Full-time Month Equivalent experience for each period in which the staff person worked a minimum of 70 hours over 20 business days in a month.

For each experience requirement that the Key Staff's work on a referenced project addresses, report the total number of Full-time Month Equivalent experience the Key Staff's work represents using the calculations described above, which depend upon the time period (calendar period) during which the Key Staff worked on the referenced project and whether he/she worked on a full-or half -time basis.

A sample Key Staff Experience Matrix for the Project Manager within an Offeror's proposed Key Staff, for one project, is provided on the next page. In this example, the Project Manager worked full-time for a total of sixty (60) calendar months on the designated project and the work he/she performed for the entire sixty (60) months met the criteria for desirable experience requirements PM.1 and PM.3. In this sample, the project only began using PMI methodologies (or any similar project management methodologies) during the last ten (10) months of the project so, the Key Staff person accrued only ten (10) Full-time Month Equivalent experience for the desirable experience requirement PM.2.

SAMPLE Key Staff Experience Matrix for Project Manager on a Project

Contractor Name: <i>XYZ Technology Professionals</i>		
Staff Name: <i>Robin Roberts, PMP</i>		
Proposed Role: <u>Project Manager (PM)</u>		
<i>*Note: Copy of PMP certificate <u>must</u> be provided along with Exhibit V.6 for the proposed PM.</i>		
PROJECT NAME Client Name Contact Name & Phone # Timeframe on Project	Type of Experience/Education	Number of Full-time Month Equivalents
<p><i>[PRODUCT]</i> <i>Implementation</i> <i>State of Virginia</i> <i>Jane Doe</i> <i>(804-555-1212)</i> <i>(Oct 1999- Aug 2001)</i></p>	<p><i>Minimum of five (5) years of broad, extensive and increasingly responsible PM project experience applying project management (PM) principles, methods, techniques, and tools. At least three (3) years of that experience must have been in a lead capacity. (Mandatory)</i></p>	<i>60</i>
	<p><i>Possession of (a) a Bachelor's Degree, and (b) a valid Project Management Professional (PMP) certification from the Project Management Institute (PMI)*. Additional qualifying experience may be substituted for the required education on a year-for-year basis. (Mandatory)</i></p> <p><i>The PMP certification is required and may not be substituted with additional experience.</i></p>	<i>Yes</i>
	<p>PM.1 - <i>Sixty (60) months experience, within the ten (10) years preceding the publication of this RFO, with managing complex IT system implementation projects that have one-time total costs of \$5 million or more and that include many stakeholders and multiple external system interfaces. (Desired)</i></p>	<i>60</i>
	<p>PM.2 - <i>Sixty (60) months experience, within the ten (10) years preceding the publication of this RFO, managing projects utilizing Project Management Institute (PMI®) methodologies or similar professional project management methodologies;</i></p>	<i>10</i>
	<p>PM.3 - <i>Thirty six (36) months experience planning complete life-cycles of phased IT system implementation projects. (Desired)</i></p>	<i>60</i>
	Copy and paste additional rows, for each "project block", as necessary.	

Exhibit V.6 (1) Key Staff Experience Matrix – Project Manager (PM)

Contractor Name:		
Staff Name:		
Proposed Role: <u>Project Manager (PM)</u>		
<i>*Note: Copy of PMP certificate <u>must</u> be provided along with Exhibit V.6 for the proposed PM.</i>		
PROJECT NAME Client Name Contact Name & Phone # Timeframe on Project	Type of Experience/Education	Number of Full-time Month Equivalents
	<i>Minimum of five (5) years of broad, extensive and increasingly responsible PM project experience applying project management (PM) principles, methods, techniques, and tools. At least three (3) years of that experience must have been in a lead capacity. (Mandatory)</i>	
	<i>Possession of (a) a Bachelor's Degree, and (b) a valid Project Management Professional (PMP) certification from the Project Management Institute (PMI)*. Additional qualifying experience may be substituted for the required education on a year-for-year basis. (Mandatory)</i> <i>The PMP certification is required and may not be substituted with additional experience.</i>	
	PM.1 - Sixty (60) months experience, within the ten (10) years preceding the publication of this RFO, with managing complex IT system implementation projects that have one-time total costs of \$5 million or more and that include many stakeholders and multiple external system interfaces. (Desirable)	
	PM.2 - Sixty (60) months experience, within the ten (10) years preceding the publication of this RFO, managing projects utilizing Project Management Institute (PMI®) methodologies or similar professional project management methodologies. (Desirable)	
	PM.3 - Thirty six (36) months experience planning complete life-cycles of phased IT system implementation projects. (Desirable)	
	Copy and paste additional rows, for each "project block", as necessary.	

Exhibit V.6 (2) Key Staff Experience Matrix – Business Lead (BL)

Contractor Name:		
Staff Name:		
Proposed Role: <u>Business Lead (BL)</u>		
PROJECT NAME Client Name Contact Name & Phone # Timeframe on Project	Type of Experience/Education	Number of Full-time Month Equivalents
	<i>A minimum of five (5) years of experience applying analytical processes on IT projects. At least three (3) years of that experience must have been in business systems analysis and design. (Mandatory)</i>	
	<i>Possession of a Bachelor’s Degree. Additional qualifying experience may be substituted for the required education on a year-for-year basis. (Mandatory)</i>	
	BL.1 – <i>Thirty six (36) months experience performing business process analysis on complex IT system implementation projects that include many stakeholders with multiple external system interfaces (Desirable)</i>	
	BL.2 – <i>Thirty six (36) months experience with collaborative business process assessment, analysis, writing, and re-engineering methods and strategies including business flow diagramming. (Desirable)</i>	
	BL.3 – <i>Twenty four (24) months experience communicating, both verbally and in writing, business process information including presenting ideas/recommendations to stakeholders. (Desirable)</i>	
	Copy and paste additional rows, for each “project block”, as necessary.	

Exhibit V.6 (3) Key Staff Experience Matrix – Development Lead (DL)

Contractor Name:		
Staff Name:		
Proposed Role: <u>Development Lead (DL)</u>		
PROJECT NAME Client Name Contact Name & Phone # Timeframe on Project	Type of Experience/Education	Number of Full-time Month Equivalents
	<i>A minimum of seven (7) years of experience in electronic data processing systems study, design, and programming. At least four (4) years of that experience must have been in a lead capacity. (Mandatory)</i>	
	<i>Possession of a Bachelor’s Degree in an IT-related or Engineering field. Additional qualifying experience may be substituted for the required education on a year-for-year basis. (Mandatory)</i>	
	DL.1 – <i>At least five (5) years of experience in an Application Development Manager role in the development of a web-based application using Microsoft .NET technology for a large-scale and complex Information Technology system with a one-time total cost of \$5M or more. (Desirable)</i>	
	DL.2 – <i>At least three (3) years of experience leading the development of Azure cloud based applications. (Desirable)</i>	
	DL.3 – <i>At least three (3) years of experience with APIs and web services for high volume transactional systems. (Desirable)</i>	
	DL.4 – <i>At least three (3) years of experience using DevOps tool sets such as Microsoft Visual Studio Team Services. (Desirable)</i>	
	DL.5 – <i>At least three (3) years of experience with business analytics services. (Desirable)</i>	
	<i>Copy and paste additional rows, for each “project block”, as necessary.</i>	

Exhibit V.6 (4) Key Staff Experience Matrix – Technical Lead (TL)

Contractor Name:		
Staff Name:		
Proposed Role: <u>Technical Lead (TL)</u>		
PROJECT NAME Client Name Contact Name & Phone # Timeframe on Project	Type of Experience/Education	Number of Full-time Month Equivalents
	<i>A minimum of eight (8) years of experience in systems development, analysis, programming or testing. (Mandatory)</i>	
	<i>Possession of a Bachelor’s Degree in an IT-related or Engineering field. Additional qualifying experience may be substituted for the required education on a year-for-year basis. (Mandatory)</i>	
	TL.1 – At least five (5) years of experience providing design, development, and integration services for a large-scale and complex Information Technology system with a one-time total cost of \$5 million or more. (Desirable)	
	TL.2 – At least five (5) years of experience in a Lead System Architect role incorporating a Microsoft.NET technology stack in the creation of an information technology system. (Desirable)	
	TL.3 – At least three (3) years of experience in a Lead System Architect role in the implementation of an information technology system using Azure cloud based technologies. (Desirable)	
	TL.4 – At least three (3) years of experience with an API management, identity management, and multi-channel distributed system integration. (Desirable)	
	<i>Copy and paste additional rows, for each “project block”, as necessary.</i>	

Exhibit V.6 (5) Key Staff Experience Matrix – Lead Security Architect (SA)

Contractor Name:		
Staff Name:		
Proposed Role: <u>Lead Security Architect (SA)</u>		
<i>*Note: IF reporting the SA.3 desirable experience, a copy of CISSP or equivalent certificate must be provided along with Exhibit V.6 for the proposed SA.</i>		
PROJECT NAME Client Name Contact Name & Phone # Timeframe on Project	Type of Experience/Education	Number of Full-time Month Equivalents
	<i>A minimum of ten (10) years of experience with developing and implementing technical solutions to help mitigate security vulnerabilities. (Mandatory)</i>	
	<i>Possession of a Bachelor’s Degree in an IT-related or Engineering field. Additional qualifying experience may be substituted for the required education on a year-for-year basis. (Mandatory)</i>	
	SA.1 – <i>At least five (5) years of experience performing technical security control architecture and design; information security solution engineering; security technology implementations; evaluating new security technologies; and maintaining and operating at least one (1) system similar in scope to the Offeror’s proposed CARS solution. (Desirable)</i>	
	SA.2 – <i>At least five (5) years of experience in security technologies including, but not limited to cloud services, operating systems, networking, databases, directory services, firewalls, encryption, web services and applying security principles based on best practices and industry standards. (Desirable)</i>	
	SA.3 – <i>Possession of a current Certified Information Systems Security Professional (CISSP) certification or equivalent*. (Desirable)</i>	
	<i>Copy and paste additional rows, for each “project block”, as necessary.</i>	

Exhibit V.7 Administrative Requirement A14

CARS Additional Product List and Instructions

Instructions for completing the CARS Additional Product List:

The Offer must include a list of all additional products proposed to be used in the CARS solution, that are NOT included in the *Current SOS ITD Standards* list of products detailed in Section IV – Proposed System and Business Processes, *Infrastructure for Development and Deployment*, using the **Exhibit V.7 – CARS Additional Product List** below. ***If no additional product(s) are being proposed, Offerors must include the Exhibit V.7 with the offer indicating “none”, by leaving the Exhibit blank and only marking the box at the top of the table.***

The Exhibit V.7 – CARS Additional Product List should include **all** proposed software, tools, services, and other products which vary from or add to the current SOS ITD Standards as referenced above. *Add additional pages as needed and include page numbers.*

NOTE: This is for informational purposes only and will be used for future planning purposes. In addition, the estimated costs provided in the Exhibit will not be part of the offer review.

Item #: Each row in the table must be sequentially numbered.

Brief Description of Product(s): Provide a brief description of the additional product for the proposed solution.

Detailed Description of Product(s): Provide a detailed description of the additional product for the proposed solution, including information such as manufacturer, version number, part number, release number, and product name, as applicable.

of this Product(s)/Licenses Required: Provide the quantity of the specified additional product(s) required for the proposed solution (e.g., # of licenses - # of users supported by each license).

Estimated One-Time Cost to SOS: Provide the estimated total one-time cost to the SOS of the specified additional product(s) for the proposed solution.

Estimated On-going Cost to SOS (Per Year): Provide the estimated on-going cost to the SOS of the specified additional product(s) for the proposed solution, on an annual basis.

Exhibit V.7 – CARS Additional Product List

Check here if no additional product(s) are being proposed for the CARS solution.

Item #	Brief Description of Product(s)	Detailed Description of Product(s)	# of Products/ Licenses Required	Estimated One-Time Cost to SOS	Estimated On-Going Cost to SOS (per year)
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
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SECTION VI – PROJECT MANAGEMENT, FUNCTIONAL AND NON-FUNCTIONAL REQUIREMENTS

A. INTRODUCTION

The purpose of this section is to present the mandatory project management, functional and non-functional requirements.

B. PROJECT MANAGEMENT REQUIREMENTS

The SOS requires the Offeror to submit the following plans and approaches:

- Project Management Plan
- Schedule Management Plan which includes the Integrated Project Schedule
- Quality Management Plan
- System Configuration Management Plan
- Requirements Traceability Matrix Plan
- Training Plan
- Master Test Plan
- Data Integration Approach
- Technical Architecture

The Offer must outline these project management requirements so that the SOS can review the Offeror's ability, application of best business practices, and competence in managing a project of this size and complexity. Offerors must note that when the CARS Project is initiated, for each deliverable that is prepared for the project, a Deliverable Expectation Document (DED) will be prepared by the Contractor and approved by the SOS CARS Project Director or designee. Refer to Section VII–Statement of Work (SOW), Section 10.f – Deliverable Expectation Document (DED), for further details on the DED.

In making the various plans and approaches to satisfy Project Management requirements, Offeror must clearly identify the proposed role of the SOS staff, and consider the following principles:

- The SOS will serve as the ultimate authority for PRD policy and statute.
- The SOS will serve as the primary interface and liaison with external stakeholders.
- The SOS personnel with PRD experience and expertise who are dedicated to the project will likely be limited to those persons already assigned to the project team.

Current and anticipated staff and contracted personnel assigned to the SOS CARS Project include: CARS Project Manager, three (3) PRD Program Leads, two (2) Information Technology Lead positions, Business Analyst Team, Organizational Change Manager, Test Manager, and Enterprise Architect.

In addition to the SOS and contracted personnel listed above, both the Independent Verification and Validation (IV&V) and Independent Project Oversight Consultant (IPOC) contractors may review deliverables. This review process is mandatory for the CARS Project and the Offeror should ensure that Project Management plans and the schedule incorporate time, responsibilities, and steps for review by the oversight contractors. Offerors must factor user acceptance testing activity into the Test plan and Integrated Project Schedule (IPS) as well as ensure that the IPS reflects all of the steps and timelines described for inspection, review, and acceptance of any Deliverable as defined in Section VII – SOW, Section 10 - Inspection, Acceptance and Rejection of Contractor Deliverables.

The description of each requirement in this section indicates the elements of that requirement that will be reviewed. Failure to address all elements of each requirement will result in a lower score for that portion of the response.

Offerors are reminded that narrative responses to requirements P1 through P9 must be complete and with sufficient detail for the CARS Review Team to review the Offeror’s described plan or approach against criteria described for each requirement in this section.

1. Project Management

The SOS has prepared a Project Management Plan and numerous subsidiary plans to govern the CARS project management processes. Current versions are provided in the RFO Resource Library.

The SOS intends to manage and conduct the CARS Project in accordance with the following industry and State standards, where it is appropriate to particular tasks and management efforts:

- Project Management Industry Standards (i.e. PMBOK);
- The State Information Management Manual Project Oversight Framework;
- State Information Management Manual (SIMM) Information Technology Project Oversight Framework (ITPOF); and
- Institute of Electrical and Electronics Engineers (IEEE).

In developing responses to Project Management Plans and approach requirements, Offerors must assume and accommodate the following constraints:

- No changes may be made to the SOS network during the period beginning thirty (30) calendar days prior to and ending thirty (30) calendar days after an election.
- The SOS requires sixty (60) calendar days, at a minimum, following approval of the on premise system components, to set up the required production environment Hardware.

Requirement P1 The Offer must provide a draft **Project Management Plan (PMP)** that, when finalized, will become the controlling document for managing Offeror's work on the CARS Project and must include project activities that are to be conducted by the Offeror's staff and subcontractor resources as well as the SOS tasks required to support creation of contract deliverables. The Offeror must use its PMP to define the technical and managerial project functions, processes, activities, tasks, and schedules necessary to satisfy the project requirements as documented in this RFO.

The PMP must describe the planned approach to all appropriate and relevant project management processes for the Offeror team's performance of the statement of work as described in Section VII – SOW, except for those plans that are cited as separate Project Management requirements (e.g., P2 – Quality Management Plan). The PMP must include a description of the participation of and interaction with other CARS team members (the SOS staff and other contractors) in those processes, and a description of how each process will integrate with the SOS' defined project management processes.

The approach to risk management, issue management, and scope management, and their integration points with corresponding CARS plans must also be described. The PMP must also include examples of significant anticipated CARS risks and mitigation strategies that demonstrate an understanding of the CARS project.

The PMP must also address deliverable definition, review and approval processes (see Section VII - SOW, Section 10 – Inspection, Acceptance and Rejection of Contractor Deliverables and Section VII - SOW, Exhibit VII.6 – Sample Deliverable Expectation Document), as well as definition of criteria and approach for Project Phase entry and exit (see Section VII – SOW, Exhibit VII.1 - Tasks and Deliverables, for description of Project Phases).

Requirement P2 The Offer must describe the approach to schedule management in a draft **Schedule Management Plan (SMP)**, which includes resource updates, tracking of resource activities, milestone progress and reporting, critical path monitoring, schedule issues, status reporting based on work breakdown structure, and contingency activities. The narrative description of schedule management must

describe how the Offeror will integrate the schedule with all other project activities.

Along with a narrative description of the schedule management approach in the draft SMP, the Offeror's response to this requirement must include a draft Integrated Project Schedule (IPS) that contains the tasks/activities of Offeror, the SOS staff and other SOS contractors that must occur in order to meet the CARS project needs and requirements. The IPS must contain a list of planned tasks, milestones, estimated completion dates, resource assignments, and dependencies between tasks. The IPS must also include tasks' dependencies on other CARS team members' (staff, other contractors) activities, including but not limited to deliverable planning, DED development and approval and the SOS' review of submitted deliverables, each as described in Section VII – SOW, Exhibit VII.1 - Tasks and Deliverables and Offeror correction of deficiencies. The submitted IPS must include a preliminary Gantt chart.

NOTE: This is a fixed-price contract and the primary assumption is that there will be no change orders. Change orders will only be considered under the terms identified under Section VII - SOW, Section 7 - Unanticipated Tasks or for tasks that are the result of State or Federal legislative mandates, or law or regulation changes.

Requirement P3 The Offer must provide a draft **Quality Management Plan (QMP)**, which includes definition of quality standards, policies, and procedures the Offeror will use; approach for quality assurance review of all work products and activities during the project; quality control approach for work products; process for continuous quality improvement; roles and responsibilities for quality management activities; description of how quality will be monitored and measured; and a summary of proposed criteria for system and deliverable acceptance.

The Quality Management Plan must conform to IEEE 730 (Standard for Software Quality Assurance) or, alternatively, an equivalent methodology for which the Offeror describes successful application in previous projects as part of the response.

Requirement P4 The Offer must describe the Offeror's **System Configuration Management Plan** to be employed during the CARS

Project. The Offeror must include a description of the methods and tools that will be used for version control and configuration management along with how new modifications and/or modules will be integrated and implemented when Software upgrades are required during the maintenance period.

The System Configuration Management approach must conform to standards required by IEEE 828 or, alternatively, an equivalent methodology for which the Offeror describes successful application in previous projects as part of the response.

Requirement P5

The Offer must include a **Requirements Traceability Matrix Plan** which must contain a discussion of the content and approach to developing a Requirements Traceability Matrix, and a discussion of how this will be used and updated to track requirements, programming, and test scenarios during all Phases of the CARS Project (see Section VII – SOW, Exhibit VII.1 – Tasks and Deliverables, for description of Project Phases). All functional and non-functional requirements in this RFO must be traceable to the Master Test Plan (Section VII – SOW, Exhibit VII.1 – Tasks and Deliverables, Deliverable I.5 – Master Test Plan). The Plan must include a description of the intended approach to ensuring forward and backward traceability, including but not limited to traceability between the following:

- Requirements from the RFO and more detailed sources such as the System Requirements Specifications Documentation. (Section VII – SOW, Exhibit VII.1 - Tasks and Deliverables, Deliverable II.1 – System Requirements Specifications Documentation);
- Requirements in the System Requirements Specifications Documentation (Section VII – SOW, Exhibit VII.1 - Tasks and Deliverables, Deliverable II.1 – System Requirements Specifications Documentation) to design elements in the Detailed System Design Specifications (Section VII – SOW, Exhibit VII.1 - Tasks and Deliverables, Deliverable II.4 – Detailed System Design Specifications);
- Design elements documented in the Detailed System Design Specifications (Section VII – SOW, Exhibit VII.1 - Tasks and Deliverables, Deliverable II.4 – Detailed System Design Specifications) to the Unit Test Cases; and

- System Requirements Specifications Documentation (Section VII – SOW, Exhibit VII.1 - Tasks and Deliverables, Deliverable II.1 – System Requirements Specifications Documentation) and System Test Cases;
- The Requirements Traceability Matrix Plan must conform to standards required by IEEE 1233 and IEEE 830, or CMMi, or, an equivalent methodology for which the Offeror describes successful application in previous projects.

2. Training
Requirement P6

The SOS requires the Offeror to propose training for the SOS Political Reform Division and Information Technology Division staff as well as Fair Political Practices Commission (FPPC) staff as part of the Offer. Offerors must provide a **Training Plan**, which includes course descriptions, prerequisites, training objectives, content, and length of class for these CARS user groups. All CARS training that the Contractor is required to provide to the SOS and FPPC staff must be provided at facilities located within the State of California.

The SOS will arrange for training facilities in the Sacramento area that the Contractor may use free of facility charges to provide CARS training. The Offeror's Offer must include, as part of the bid amount, any training facility costs associated with the use of any facilities other than the free-of-charge Sacramento-area facilities (described above) that the Offeror proposes using to train SOS and FPPC staff.

Independent of the numbers and locations of the training facilities an Offeror proposes to use to meet the CARS training requirements, the Training Plan must identify system requirements for a fully functional CARS Training Environment to support requisite training activities that is separate from the CARS Development, Test and Production environments.

The Training Plan must describe the method that will be used to transfer CARS technical knowledge to the SOS IT staff as well as the CARS training to be provided these staff.

3. Testing
Requirement P7

The Offer must include a draft CARS **Master Test Plan** that includes a description of the proposed test methodology and a sample Test Defect Log. The CARS Master Test Plan

should also describe the entrance and exit criteria for each test type.

The Offeror shall provide a Testing Methodology Approach that includes at a minimum:

- Testing methodology
- Automated testing tools
- Unit testing
- Integration testing
- Regression testing
- Performance testing
- System testing
- Test execution processes
- Documenting test results
- Creation of test data
- Defect resolution process
- Assisting in the SOS System Testing and User Acceptance Testing processes

The Master Test Plan must also include a description of the approach for testing interfaces in preparation for the integration of payments solutions, other State agencies and electronic filing vendors.

While the SOS will conduct system and user acceptance testing, the Offeror's Master Test Plan must address how the Offeror will record issues and deficiencies identified in the SOS testing, how those issues and deficiencies will be resolved, and how the status of addressing and/or resolving these will be monitored. The SOS and the Contractor shall report, resolve, and confirm resolution of test-related Deliverable Deficiencies encountered during testing in accordance with the terms and conditions described in Section VII – SOW, Section 10 - Inspection, Acceptance and Rejection of Contractor Deliverables in order for user acceptance testing to be considered complete and accepted by the SOS.

Refer to Section VII - SOW, Exhibit VII.1 – Tasks and Deliverables, Phase III – Development, Testing and Deployment for additional information on SOS and Contractor testing-related responsibilities and activities.

**4. Data Integration
Requirement P8**

The Offeror shall provide an approach describing the scope and sequence of steps in data integration including transition from source into the solution database, as well as a recommendation of the timing of and the method by which CAL-ACCESS data will be integrated and imported into the CARS. SOS is responsible for data clean up and migration to the Contractor provided data model, Offeror's Data Integration approach at a minimum shall describe the method, roles and responsibilities for:

- Conformance of all CAL-ACCESS data to CARS standards;
- Integration of existing CAL-ACCESS data and;
- The process of testing and validating data integration, including the approach for:
 - Conducting the integration process;
 - Addressing and resolving data errors.

**5. Technical Architecture
Requirement P9**

The Offeror must submit a Technical Architecture that describes the Offeror's specific technical approach using the standards identified in Section IV - Proposed System and Business Processes, to fulfilling the requirements of this RFO. The Technical Architecture must address the functional and non-functional requirements in sub-sections C and D of this Section.

The proposed Technical Architecture must also include details of what additional products that vary from the Current SOS-ITD Standards list, are used in the CARS solution and how they integrate in the CARS Solution. Refer to Section IV- Proposed System and Business Processes, *Infrastructure for Development and Deployment* for a list of current SOS-ITD standards. These additional products should also be listed on Exhibit V.7 – CARS Additional Product List in response to Section V – Administrative Requirements, Requirement A14.

The Offeror's response must demonstrate that the solution meets or exceeds objectives for performance, availability, scalability, security, maintainability, accessibility, deployability, and extensibility. Offerors must provide a narrative and pictorial description of the proposed CARS architecture in response to the requirement that addresses the criteria described below:

- **Architecture Approach:** overall approach to CARS Solution using Architecture diagrams and narrative that demonstrates how the proposed solution meets or exceeds the CARS requirements
- **Performance:** description on how the proposed architecture meets or exceeds performance requirements described in the RFO. Describe how the proposed approach meets performance requirements and conforms to SOS standards and industry-accepted best practices and standards. Describe approach for Input/Output capacity, Memory and processing capacity, and Application-processing constraints.
- **Availability:** description on how the proposed architecture meets all availability requirements described in the RFO. Describe the approach to meeting availability requirements conforming to the SOS standards and industry-accepted best practices and standards. Areas that shall be included for this are as below:
 - How and when routine maintenance will be performed;
 - How component failures will be handled; and
 - How state management impacts availability
- **Scalability:** description on how the proposed architecture is scalable and meets the SOS' scalability requirements
- **Maintainability:** Narrate the ability of and ease with which the system is to be maintained at an operational level after it is put into production, including the degree to which maintenance by the SOS can be performed within the SOS's projected CARS staffing and anticipated operating budget. Areas that are required to be included are as below:
 - How Offeror developed components of the CARS system are to be maintained
 - How state management impacts maintainability; SOS will evaluate how any third-party components will be required to be maintained and the necessary staffing skills needed to maintain the system.
- **Accessibility:** Description on how the proposed architecture meets all accessibility requirements of the RFO and the extent to which the approach to ensuring accessibility reflects SOS standards and industry-accepted best practices and standards. Include evidence of the architecture's compliance with provisions of California Government Code Section 11135 and United

States Rehabilitation Act Section 508. Include evidence of conformance to Web Content Accessibility Guidelines 2.0, W3C World Wide Web Consortium Recommendation WCAG 2.0 12/2008, Level A and Level AA Success Criteria.

- **Extensibility:** narrate how the proposed architecture meets all extensibility requirements of the RFO, the degree to which the system can be enhanced in the future, and the resource impact of the approach described for ensuring extensibility. Include narration for the following:
 - The steps necessary to add new functionality to the system;
 - How extensibility will affect the complexity of the system; and
 - How extensibility will affect testing and debugging.
- **System Development Lifecycle (SDLC):** Describe the SDLC approach and tools employed. Describe how development standards will be enforced. Describe how software development tools will assist with incremental development and release.
- **Error Handling:** Describe the error handling process. How system errors are logged and communicated.

C. FUNCTIONAL REQUIREMENTS – Pass/Fail

Refer to Exhibit VI.1 for detailed functional requirements.

Offerors must propose a solution for the CARS System for which functionality is outlined below:

Requirement R1 The Offeror is required to respond to each functional requirement listed in and using Section VI – Project Management, Functional and Non-functional Requirements, Exhibit VI.1 - Functional Requirements. The SOS expects Offerors to develop a solution to meet all of the business needs. The proposed business solution shall address the business processes described in Section IV – Proposed System and Business Processes. Offerors shall not simply retype the requirements.

Offerors are reminded that in order to receive a “Pass” for these requirements, the response to each requirement must be complete and address in detail for the Review Team to understand how requirements will be met. Failure to communicate how requirements will be met may be subject to offer rejection.

Offerors shall provide a narrative response for each requirement individually, consisting of, for each requirement:

- The Proposed Solution Description column: containing a detailed description, which includes how the Offeror's proposed solution meets the needs associated with the requirement.
- The Supporting Documentation Reference column: If applicable, indicate where (Offer Response, volume number, and page number or section in the product literature) additional material can be found that is to be considered in the review of the requirement response.

D. NON-FUNCTIONAL REQUIREMENTS – Pass/Fail

Refer to Exhibit VI.2 for detailed non-functional requirements.

Offerors must propose a solution for the CARS System for the non-functional requirements outlined below:

Requirement R2 The Offeror is required to respond to each requirement listed in and using Section VI – Project Management, Functional and Non-functional Requirements, Exhibit VI.2 - Non-functional Requirements. The SOS expects Offerors to develop a solution to meet all of the non-functional/technical needs. The proposed business solution shall address the business processes described in Section IV – Proposed System and Business Processes. Offerors shall not simply retype the requirements.

Offerors are reminded that in order to receive a “Pass” for these requirements, the response to each requirement must be complete and address in detail for the Review Team to understand how requirements will be met. Failure to communicate how requirements will be met may be subject to offer rejection.

Offerors shall provide a narrative response for each requirement individually, consisting of, for each requirement:

- The Proposed Solution Description column: a detailed description how the Offeror's proposed solution meets the needs associated with the requirement. This description must be in sufficient detail for the SOS to fully understand all aspects of the proposed solution.
- The Supporting Documentation Reference column: If applicable indicate where (Offer Response volume number and page number or section in the product literature) in the Offeror's Offer volumes additional material can be found that is to be considered in the review of the requirement response.

Exhibit VI.1
Functional Requirements (R1)

REQ ID	Business Category	ReqDescription	ReqPriority	Proposed Solution Description	Supporting Documentation Reference
CARS-RQ-GL-0005	Global	The System shall allow authorized PRD Staff to perform an override of data based on business rules.	Mandatory		
CARS-RQ-GL-0006	Global	The System shall assist data entry by providing a step-by-step process or wizard, where practical.	Mandatory		
CARS-RQ-GL-0007	Global	The System shall allow a Registered User to bypass the wizard and directly enter user account data.	Mandatory		
CARS-RQ-GL-0008	Global	The System shall, where applicable, collect data in formatted fields, (i.e. drop-down lists, radio buttons and date picker) in lieu of free-form data entry fields.	Mandatory		
CARS-RQ-GL-0009	Global	The System shall provide the ability to define a begin date for designated data attributes.	Mandatory		
CARS-RQ-GL-0010	Global	The System shall accept non-standard addresses, (e.g. foreign addresses).	Mandatory		
CARS-RQ-GL-0011	Global	The System shall provide the ability for a Registered User to designate a preferred method of receiving correspondence (e.g. email, postal mail, etc.).	Mandatory		
CARS-RQ-GL-0012	Global	The System shall accept multiple telephone numbers for a user account.	Mandatory		
CARS-RQ-GL-0013	Global	The System shall accept a non-standard telephone number (e.g. foreign telephone number).	Mandatory		
CARS-RQ-GL-0014	Global	The System shall accept a country code for foreign telephone numbers.	Mandatory		
CARS-RQ-GL-0015	Global	The System shall accept a telephone number extension.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-GL-0016	Global	The System shall provide the ability to designate a telephone number type (e.g. home, mobile, etc.).	Mandatory		
CARS-RQ-GL-0017	Global	The System shall accept multiple addresses for a user account.	Mandatory		
CARS-RQ-GL-0018	Global	The System shall provide the ability to designate an address type (e.g. home, office, mailing, etc.).	Mandatory		
CARS-RQ-GL-0019	Global	The System shall provide the ability for a Registered User to designate a preferred mailing address.	Mandatory		
CARS-RQ-GL-0021	Global	The System shall require authorized PRD Staff to confirm deletion of data.	Mandatory		
CARS-RQ-GL-0023	Global	The system user interface shall dynamically adjust to filter and display data fields or values based on the Registered User's profile.	Mandatory		
CARS-RQ-GL-0024	Global	The system user interface shall dynamically adjust to filter and display data fields or values based on the Registered User's actions.	Mandatory		
CARS-RQ-GL-0033	Global	The System shall enforce system access based on permissions granted at the User level.	Mandatory		
CARS-RQ-GL-0038	Global	The System shall validate that a User is granted appropriate permissions in order to view system data.	Mandatory		
CARS-RQ-GL-0039	Global	The System shall validate that a Registered User is granted appropriate permissions in order to enter system data.	Mandatory		
CARS-RQ-GL-0040	Global	The System shall validate that a Registered User is granted appropriate permissions in order to update system data.	Mandatory		
CARS-RQ-GL-0041	Global	The System shall validate that a Registered User is granted appropriate permissions in order to "soft-delete" system data.	Mandatory		
CARS-RQ-GL-0056	Global	The System shall provide the ability for a User to enter search criteria in order to locate and view specific system data.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-GL-0057	Global	The System shall generate a list of records matching the User-entered search criteria.	Mandatory		
CARS-RQ-GL-0058	Global	The System shall provide the ability for a User to "drill-down" (access detailed data) from displayed summary search results.	Mandatory		
CARS-RQ-GL-0059	Global	The System shall provide the ability for a User to return to summary search results from detailed data that was accessed via "drill-down.	Mandatory		
CARS-RQ-GL-0060	Global	The System shall default the data display to reflect the current data for any record.	Mandatory		
CARS-RQ-GL-0061	Global	The System shall require a Registered User to confirm data changes prior to submitting a transaction.	Mandatory		
CARS-RQ-GL-0062	Global	The System shall allow a Registered User to cancel entered data before it is submitted.	Mandatory		
CARS-RQ-GL-0071	Global	The System shall securely protect a Registered User's personally identifying information (PII).	Mandatory		
CARS-RQ-GL-0072	Global	The System shall provide the ability for PRD Staff to update a data value that was originally assigned by the system.	Mandatory		
CARS-RQ-GL-0084	Global	The System shall capture and store data from an Activity Report transaction with an "In-Progress" status.	Mandatory		
CARS-RQ-GL-0089	Global	The System shall capture, store, and report non-statutorily required data about filers and disclosures that support PRD business processes.	Mandatory		
CARS-RQ-GL-0100	Global	The System shall require a Primary or authorized Secondary Filer to affirm under penalty of perjury that information submitted is true and correct.	Mandatory		
CARS-RQ-GL-0101	Global	The System shall present the penalty of perjury attestation page only to a Primary or Secondary Filer authorized to make the attestation.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-GL-0102	Global	The System shall place a hold on any transaction where the filer declines to complete the penalty of perjury attestation for a pre-determined amount of time.	Mandatory		
CARS-RQ-GL-0104	Global	The System shall maintain a history of all linkages.	Mandatory		
CARS-RQ-GL-0108	Global	The System shall provide the ability to de-link entities.	Mandatory		
CARS-RQ-GL-0136	Global	The System shall capture, store, and report statutorily required data about filers and disclosures that support PRD business processes.	Mandatory		
CARS-RQ-GL-0137	Global	The System shall accept an electronic signature as attestation under Penalty of Perjury.	Mandatory		
CARS-RQ-GL-0138	Global	The System shall provide the ability for PRD Staff to review Filer-submitted data.	Mandatory		
CARS-RQ-GL-0166	Global	The System shall capture and store the time and date for Transaction saved or submitted into the System.	Mandatory		
CARS-RQ-GL-0175	Global	The System shall validate that all required fields are completed before data is submitted.	Mandatory		
CARS-RQ-GL-0177	Global	The System shall clearly inform a User when required data fields are incomplete or missing information.	Mandatory		
CARS-RQ-GL-0182	Global	The System shall maintain an “audit trail” of all actions taken on/changes made to a filing by either the Filer, the system, or state staff.	Mandatory		
CARS-RQ-GL-0191	Global	The System shall allow PRD Staff to override entries in the System that have been auto-populated.	Mandatory		
CARS-RQ-GL-0196	Global	The System shall provide the ability for a Filer to update transactions the filer has permission to update.	Mandatory		
CARS-RQ-GL-0197	Global	The System shall provide the ability for a PRD staff to update a data value that was originally assigned by the System according to business rules.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-GL-0208	Global	The System shall enable PRD Managers the ability to view workload dashboard reports	Mandatory		
CARS-RQ-GL-0226	Global	The System shall provide the ability to record the disposition of an FPPC/external agency referral.	Mandatory		
CARS-RQ-GL-0322	Global	The System shall inform a user when an action is performed that cannot be completed due to system error.	Mandatory		
CARS-RQ-GL-0363	Global	The System shall calculate and report calculated data according to configurable business rules.	Mandatory		
CARS-RQ-GL-0378	Global	The System shall provide the ability for PRD staff to review fees, fines and penalties based on pre-defined criteria.	Mandatory		
CARS-RQ-GL-0385	Global	The System shall provide the ability to define an end date for designated data attributes.	Mandatory		
CARS-RQ-GL-0466	Global	The System shall provide online notification when a system error occurs that prevents completion of an action.	Mandatory		
CARS-RQ-GL-0713	Global	The System shall identify and record when entries were made on behalf of the Filer by PRD Staff.	Mandatory		
CARS-RQ-GL-0732	Global	The System shall provide the ability for PRD Staff to amend an FPPC referral.	Mandatory		
CARS-RQ-GL-0744	Global	The System shall capture and store the method of data entry for a transaction saved or submitted into the System.	Mandatory		
CARS-RQ-GL-0745	Global	The System shall allow a Filer to submit an incomplete transaction, placing it in "Hold for PRD Review" status.	Mandatory		
CARS-RQ-GL-0746	Global	The System shall permit a Filer to save partially entered Filing Entity Registration information as "Pending".	Mandatory		
CARS-RQ-GL-0747	Global	The System shall allow PRD staff with appropriate permission to view and print a statement of account activity.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-GL-0748	Global	The System shall allow a User to generate a mailing list.	Mandatory		
CARS-RQ-GL-0749	Global	The System shall allow a PRD Staff to send a correspondence notice.	Mandatory		
CARS-RQ-GL-0751	Global	The System shall provide the ability to define an end date for designated data attributes.	Mandatory		
CARS-RQ-GL-0763	Global	The System shall validate that a Registered User is granted appropriate permissions in order to deactivate system data.	Mandatory		
CARS-RQ-GL-0764	Global	The System shall allow an authorized Registered User to delete data that has been saved to the database.	Mandatory		
CARS-RQ-GL-0765	Global	The System shall provide the ability for PRD Staff to enter and link comments to a Filing Entity account.	Mandatory		
CARS-RQ-GL-0766	Global	The System shall provide the ability for Partner Agency Staff to enter and link comments to a Registered User account.	Mandatory		
CARS-RQ-GL-0767	Global	The System shall provide the ability for Partner Agency Staff to enter and link comments to a Filing Entity account.	Mandatory		
CARS-RQ-GL-0768	Global	The System shall capture and store the time and date for every submitted data transaction.	Mandatory		
CARS-RQ-GL-0791	Global	The System shall validate that a Registered User is granted appropriate permissions in order to save system data.	Mandatory		
CARS-RQ-GL-0792	Global	The System shall have the ability to display all public-facing pages in English and Spanish.	Mandatory		
CARS-RQ-GL-0797	Global	The System shall allow a review process of data entered by PRD staff on behalf of a Filer.	Mandatory		
CARS-RQ-GL-0798	Global	The System shall allow a multi-step review of PRD staff data entry actions, based on pre-determined criteria.	Mandatory		
CARS-RQ-UA-0001	User Account Maintenance	The System shall allow an individual to create a user account and become a Registered User.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-UA-0002	User Account Maintenance	The System shall allow PRD Staff to create a new user account on behalf of an individual.	Mandatory		
CARS-RQ-UA-0003	User Account Maintenance	The System shall assign a Registered User's profile based on specified user-entered data.	Mandatory		
CARS-RQ-UA-0004	User Account Maintenance	The System shall allow PRD Staff to assign a user profile to a Registered User.	Mandatory		
CARS-RQ-UA-0025	User Account Maintenance	The System shall provide the ability for a Registered User to create user authentication data, such as security questions, PIN, etc.	Mandatory		
CARS-RQ-UA-0026	User Account Maintenance	The System shall provide the ability for a Registered User to update their account.	Mandatory		
CARS-RQ-UA-0027	User Account Maintenance	The System shall provide the ability for authorized PRD Staff to update a Registered User's account.	Mandatory		
CARS-RQ-UA-0029	User Account Maintenance	The System shall enforce System Administrator-defined password rules.	Mandatory		
CARS-RQ-UA-0030	User Account Maintenance	The System shall require successful entry of a valid user ID and password combination to access the system.	Mandatory		
CARS-RQ-UA-0031	User Account Maintenance	The System shall deny system access when a Registered User enters an invalid user ID.	Mandatory		
CARS-RQ-UA-0032	User Account Maintenance	The System shall deny system access when a Registered User enters an invalid password.	Mandatory		
CARS-RQ-UA-0036	User Account Maintenance	The System shall enforce pre-configured requirements for locking a Registered User's account.	Mandatory		
CARS-RQ-UA-0042	User Account Maintenance	The System shall provide the ability for a Registered User to recover their username.	Mandatory		
CARS-RQ-UA-0043	User Account Maintenance	The System shall provide the ability for a Registered User to change their username.	Mandatory		
CARS-RQ-UA-0044	User Account Maintenance	The System shall require a unique username for each Registered User in the system.	Mandatory		
CARS-RQ-UA-0045	User Account Maintenance	The System shall require authentication of a Registered User in order to recover a username.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-UA-0046	User Account Maintenance	The System shall require authentication of a Registered User in order to change a username.	Mandatory		
CARS-RQ-UA-0047	User Account Maintenance	The System shall provide the ability for a Registered User to reset their password.	Mandatory		
CARS-RQ-UA-0048	User Account Maintenance	The System shall provide the ability for a Registered User to change their password	Mandatory		
CARS-RQ-UA-0049	User Account Maintenance	The System shall require passwords to meet ITD-defined password requirements.	Mandatory		
CARS-RQ-UA-0050	User Account Maintenance	The System shall require authentication of a Registered User in order to reset a password.	Mandatory		
CARS-RQ-UA-0051	User Account Maintenance	The System shall require authentication of a Registered User in order to change a password.	Mandatory		
CARS-RQ-UA-0052	User Account Maintenance	The System shall provide the ability for authorized PRD Staff to reset a system user password.	Mandatory		
CARS-RQ-UA-0053	User Account Maintenance	The System shall enforce system-determined password lifespan configurations.	Mandatory		
CARS-RQ-UA-0066	User Account Maintenance	The System shall place a hold on new Registered User accounts for PRD review, based on pre-determined criteria.	Mandatory		
CARS-RQ-UA-0068	User Account Maintenance	The System shall require a Registered User to re-log in after a username is changed.	Mandatory		
CARS-RQ-UA-0069	User Account Maintenance	The System shall require a Registered User to re-log in after a password is changed.	Mandatory		
CARS-RQ-UA-0070	User Account Maintenance	The System shall maintain a history of all usernames associated with a Registered User's account.	Mandatory		
CARS-RQ-UA-0074	User Account Maintenance	The System shall provide the ability for an authorized PRD user to designate the reason for soft-deleting a record.	Mandatory		
CARS-RQ-UA-0075	User Account Maintenance	The System shall provide the ability for a Registered User to request reminder notifications.	Mandatory		
CARS-RQ-UA-0076	User Account Maintenance	The System shall assign a unique user account identifier (e.g. alphanumeric, etc.) to each Registered User.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-UA-0077	User Account Maintenance	The System shall provide the ability to securely protect a User's personally identifying information (PII).	Mandatory		
CARS-RQ-UA-0217	User Account Maintenance	The System shall provide the ability for an PRD Staff to reset a system user password.	Mandatory		
CARS-RQ-UA-0731	User Account Maintenance	The System shall assign a unique user account identifier, such as alphanumeric, etc. to each Registered User.	Mandatory		
CARS-RQ-UA-0733	User Account Maintenance	The System shall provide the ability for a Registered User to designate a primary telephone number.	Mandatory		
CARS-RQ-UA-0734	User Account Maintenance	The System shall provide the ability for a Registered User to designate the telephone number type, such as mobile, business, etc..	Mandatory		
CARS-RQ-UA-0735	User Account Maintenance	The System shall provide the ability for a Filer to update a data value that was originally assigned by the system.	Mandatory		
CARS-RQ-UA-0736	User Account Maintenance	The System shall track all changes to all updates made to data values that were originally assigned by the system.	Mandatory		
CARS-RQ-UA-0752	User Account Maintenance	The System shall provide the ability for a User to register a user account and create a username.	Mandatory		
CARS-RQ-UA-0753	User Account Maintenance	The System shall prevent a Registered User from creating a username that is or has been used by any other Registered User.	Mandatory		
CARS-RQ-UA-0754	User Account Maintenance	The System shall prevent a Registered User from re-using a previously-used username.	Mandatory		
CARS-RQ-UA-0755	User Account Maintenance	The System shall provide the ability for a Registered User to create a password, based on password configuration rules.	Mandatory		
CARS-RQ-UA-0756	User Account Maintenance	The System shall maintain a history of all passwords associated with a Registered User's Account.	Mandatory		
CARS-RQ-UA-08	User Account Maintenance	The System shall provide the ability for an authorized PRD Staff to delete a duplicate Registered User Account.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FR-0078	Filer Registration	The System shall require a Primary User to confirm their authority to submit an entity registration.	Mandatory		
CARS-RQ-FR-0079	Filer Registration	The System shall have the ability to validate that an entity's name is unique to the system.	Mandatory		
CARS-RQ-FR-0080	Filer Registration	The System shall present acceptable Filing Entity name options based on responses to campaign registration data fields and business rules.	Mandatory		
CARS-RQ-FR-0081	Filer Registration	The System shall provide the ability to designate a Primary Filer for a filing entity.	Mandatory		
CARS-RQ-FR-0082	Filer Registration	The System shall provide the ability for a Primary Filer of a filing entity to add one or more Secondary Filers for the filing entity.	Mandatory		
CARS-RQ-FR-0083	Filer Registration	The System shall allow a Primary Filer of a filing entity to select designated user permission levels for Secondary Filers of the filing entity.	Mandatory		
CARS-RQ-FR-0086	Filer Registration	The System shall place a status of "Hold for PRD Review." a submitted Entity Registration that has been flagged for PRD Review.	Mandatory		
CARS-RQ-FR-0087	Filer Registration	The System shall notify a Filing Entity when registration information and/or activity reports must be submitted to a local jurisdiction.	Mandatory		
CARS-RQ-FR-0088	Filer Registration	The System shall provide the ability for a Filing Entity to provide candidate intention statement data for all State elections.	Mandatory		
CARS-RQ-FR-0090	Filer Registration	The System shall place a hold on amended registrations pending PRD review, based on designated criteria.	Mandatory		
CARS-RQ-FR-0091	Filer Registration	The System shall provide the ability to process amended registrations that may be submitted out of sequence, based on Registration Amendment business rules.	Mandatory		
CARS-RQ-FR-0092	Filer Registration	The System shall place a hold on terminated Filing Entity registrations pending PRD review, based on pre-determined criteria.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FR-0093	Filer Registration	The System shall require a Filing Entity to confirm that entity termination requirements have been met.	Mandatory		
CARS-RQ-FR-0094	Filer Registration	The System shall provide the ability for a filing entity to be administratively terminated.	Mandatory		
CARS-RQ-FR-0095	Filer Registration	The System shall provide the ability to reinstate a terminated filing entity based on Filer Registration business rules.	Mandatory		
CARS-RQ-FR-0096	Filer Registration	The System shall provide the ability to terminate a filing entity.	Mandatory		
CARS-RQ-FR-0097	Filer Registration	The System shall terminate a Campaign Multipurpose Organization – Calendar Year (MPO-CY) Filing Entity at the end of the calendar year.	Mandatory		
CARS-RQ-FR-0098	Filer Registration	The System shall provide the ability for a non-qualified Lobbying Entity to withdraw its Filing Entity Registration.	Mandatory		
CARS-RQ-FR-0099	Filer Registration	The System shall have the ability to assign and track a unique identifier for each contributor.	Mandatory		
CARS-RQ-FR-0103	Filer Registration	The System shall provide the ability to establish a link between two Entities.	Mandatory		
CARS-RQ-FR-0105	Filer Registration	The System shall provide the ability for authorized PRD staff to link or de-link a non-Primarily Formed Committee (PFC) to a ballot measure, without the PFC's consent, upon directive from the PRD Division Chief.	Mandatory		
CARS-RQ-FR-0106	Filer Registration	The System shall provide the ability to create a link between a Registered User and a Filing Entity.	Mandatory		
CARS-RQ-FR-0107	Filer Registration	The System shall allow a Primary Filer to create a temporary user account for a secondary filer and link to the Primary Filer's Filing Entity.	Mandatory		
CARS-RQ-FR-0109	Filer Registration	The System shall provide the ability for a Registered User (Lobbyist) to link an uploaded photograph to their Filing Entity account.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FR-0110	Filer Registration	The System shall provide the ability for PRD Staff to review an uploaded photo.	Mandatory		
CARS-RQ-FR-0111	Filer Registration	The System shall provide the ability for PRD Staff to reject an uploaded photo for a lobbying registration in "Accepted" status.	Mandatory		
CARS-RQ-FR-0112	Filer Registration	The System shall provide the ability to generate a Lobbying Directory file in a designated file type.	Mandatory		
CARS-RQ-FR-0113	Filer Registration	The System shall provide the ability for PRD Staff to insert non-dynamic text into the Lobbying Directory.	Mandatory		
CARS-RQ-FR-0114	Filer Registration	The System shall provide the ability to generate the Lobbying Directory file in a designated file type.	Mandatory		
CARS-RQ-FR-0115	Filer Registration	The System shall identify changes made to Lobbying Directory information according to Lobbying Directory business rules.	Mandatory		
CARS-RQ-FR-0116	Filer Registration	The System shall display identified changes made to Lobbying Directory information according to Lobbying Directory business rules.	Mandatory		
CARS-RQ-FR-0117	Filer Registration	The System shall allow entry of statutorily required data regarding a Lobbyist/Placement Agent's participation in an ethics training session.	Mandatory		
CARS-RQ-FR-0119	Filer Registration	The System shall provide the ability for a user to electronically enter statutorily required data regarding a lobbyist/Placement Agent's participation in an ethics training session.	Mandatory		
CARS-RQ-FR-0120	Filer Registration	The System shall update the ethics training status for Lobbying Entities (lobbyists/Placement Agents) based on entry of participation data.	Mandatory		
CARS-RQ-FR-0121	Filer Registration	The System shall update a Lobbyist Registration based on an uploaded class list/roster file for an ethics training session.	Mandatory		
CARS-RQ-FR-0122	Filer Registration	The System shall provide the ability for PRD Staff to confirm Lobbyist registrations that are subject to revocation.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FR-0123	Filer Registration	The System shall provide the ability for PRD Staff to override a Lobbyist who is subject to revocation.	Mandatory		
CARS-RQ-FR-0124	Filer Registration	The System shall revoke the registration for lobbyists/Placement Agents in accordance with Ethics Certification business rules.	Mandatory		
CARS-RQ-FR-0125	Filer Registration	The System shall suspend the association between a Revoked Lobbyist/Placement Agent and any firms and employers to which they are employed.	Mandatory		
CARS-RQ-FR-0126	Filer Registration	The System shall reinstate a Revoked Lobbyist/Placement Agent when the system is updated with that individual's participation in a current ethics training course.	Mandatory		
CARS-RQ-FR-0127	Filer Registration	The System shall provide the ability for a Registered User to register as a Vendor/Service Provider.	Mandatory		
CARS-RQ-FR-0128	Filer Registration	The System shall include an environment for and method for SOS testing of 3rd party system output to ensure compatibility with the standard data format.	Mandatory		
CARS-RQ-FR-0129	Filer Registration	The System shall accept electronic submission of data from a certified Vendor/Service Provider on behalf of a filing entity.	Mandatory		
CARS-RQ-FR-0130	Filer Registration	The System shall allow a Vendor/Service Provider to select the Filing Entity types for which it wishes to be certified.	Mandatory		
CARS-RQ-FR-0131	Filer Registration	The System shall capture, store, and report data about Initiatives, Referenda, Ballot Measures and Propositions.	Mandatory		
CARS-RQ-FR-0132	Filer Registration	The System shall assign a unique identification number to an initiative.	Mandatory		
CARS-RQ-FR-0133	Filer Registration	The System shall provide the ability for a PRD user to manually enter data into the system from any registration received via paper.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FR-0139	Filer Registration	The System shall provide the ability for authorized PRD Staff to override a registration status associated with a Filing Entity.	Mandatory		
CARS-RQ-FR-0140	Filer Registration	The System shall provide the ability for a PRD user to reject a registration.	Mandatory		
CARS-RQ-FR-0141	Filer Registration	The System shall provide the ability for PRD Staff to revoke a Lobbyist Registration.	Mandatory		
CARS-RQ-FR-0143	Filer Registration	The System shall allow a User to generate a report that displays changes to Lobbying Filing Entities, based on User-defined date parameters.	Mandatory		
CARS-RQ-FR-0145	Filer Registration	The System shall provide the ability to place a Filing Entity in "Pending" status without impacting the status of any other Filing Entities linked to it.	Mandatory		
CARS-RQ-FR-0146	Filer Registration	The System shall prevent a Filing Entity (Candidate) from amending their Registration data to change their acceptance of spending limits when the deadline for filing nomination papers has passed.	Mandatory		
CARS-RQ-FR-0147	Filer Registration	The System shall provide the ability for a Filing Entity (Candidate) to amend their registration data for a single election race for which the Candidate is registered.	Mandatory		
CARS-RQ-FR-0148	Filer Registration	The System shall provide the ability for a Filing Entity (Candidate) to amend their registration data for all election races for which the Candidate is registered.	Mandatory		
CARS-RQ-FR-0149	Filer Registration	Upon administrative termination of a Filing Entity, the System shall cancel Annual Fee(s) assessed for periods after the termination date.	Mandatory		
CARS-RQ-FR-0150	Filer Registration	The System shall allow a Filing Entity (Candidate) to withdraw from an election race without impacting any other election races for which the Candidate may be registered.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FR-0151	Filer Registration	The System shall provide the ability for a User to view a Lobbying Directory file as a real-time, on-demand report.	Mandatory		
CARS-RQ-FR-0154	Filer Registration	During the Lobbying Registration Renewal process, the System shall allow a Registered User to update data for a Lobbying Entity to which the Registered User is linked.	Mandatory		
CARS-RQ-FR-0155	Filer Registration	During the Lobbying Registration Renewal process, the System shall allow a Registered User to confirm pre-populated data for a Lobbying Entity to which the Registered User is linked.	Mandatory		
CARS-RQ-FR-0156	Filer Registration	During the Lobbying Registration Renewal process, the System shall allow a Registered User to soft-delete pre-populated data for a Lobbying Entity to which the Registered User is linked.	Mandatory		
CARS-RQ-FR-0157	Filer Registration	The System shall allow an incomplete Lobbying Renewal Registration to be saved and placed in Pending status, without impact to the current Registration status.	Mandatory		
CARS-RQ-FR-0158	Filer Registration	The System shall allow an authorized Registered User to cancel a registration amendment which that user initiated but has not submitted.	Mandatory		
CARS-RQ-FR-0159	Filer Registration	The System shall allow an authorized Registered User to cancel a registration termination which that user has initiated but not submitted.	Mandatory		
CARS-RQ-FR-0160	Filer Registration	The System shall allow an authorized Registered User to cancel a registration withdrawal which that user has initiated but not submitted.	Mandatory		
CARS-RQ-FR-0386	Filer Registration	The System shall assess Annual Fees for qualified campaign entities in accordance with FPPC regulations.	Mandatory		
CARS-RQ-FR-0387	Filer Registration	The System shall assess Penalties on unpaid Annual Fees in accordance with FPPC regulations.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FR-0388	Filer Registration	The System shall assess Lobbyist Registration Fees in accordance with FPPC regulations.	Mandatory		
CARS-RQ-FR-0390	Filer Registration	The System shall allow a Registered User to accept a request from a Filing Entity to be linked as a Secondary Filer.	Mandatory		
CARS-RQ-FR-0391	Filer Registration	The System shall allow a Registered User to decline a request from a Filing Entity to be linked as a Secondary Filer.	Mandatory		
CARS-RQ-FR-0714	Filer Registration	Upon reinstatement of a revoked Lobbyist registration, the System shall also restore the association between the Lobbyist/Placement Agent and any firms and employers that employ the Lobbyist/Placement Agent.	Mandatory		
CARS-RQ-FR-0715	Filer Registration	The System shall assign a unique identification number to an Initiative proponent.	Mandatory		
CARS-RQ-FR-0716	Filer Registration	The System shall provide the ability to link a proponent and an initiative.	Mandatory		
CARS-RQ-FR-0717	Filer Registration	The System shall allow a lobbying registration ethics certification date to cover two (2) legislative sessions, according to ethics compliance business rules.	Mandatory		
CARS-RQ-FR-0737	Filer Registration	Upon entry of a Filing Entity name, the System shall immediately notify a Filer if the Filing Entity name is known to the system.	Mandatory		
CARS-RQ-FR-0738	Filer Registration	Upon notification to a Filer that the Filing Entity name is known, the System shall provide the option to enter a different Filing Entity name.	Mandatory		
CARS-RQ-FR-0739	Filer Registration	The System shall provide the ability for a Primary Filer of a filing entity to update a Secondary Filer for the filing entity.	Mandatory		
CARS-RQ-FR-0740	Filer Registration	The System shall provide the ability for a Primary Filer of a filing entity to de-link a Secondary Filer for the filing entity.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FR-0741	Filer Registration	The System shall allow a Filer with appropriate permission to view "In Progress" transactions for a Filing Entity to which the Filer is linked.	Mandatory		
CARS-RQ-FR-0742	Filer Registration	The System shall allow a Registered User to preview an uploaded photograph as it will be published, prior to submission.	Mandatory		
CARS-RQ-FR-0769	Filer Registration	The System shall provide the ability to link a Registered User or Filing Entity to an Initiative.	Mandatory		
CARS-RQ-FR-0771	Filer Registration	The System shall calculate a penalty on a Campaign Filing Entity when the assessed Annual Fee is unpaid.	Mandatory		
CARS-RQ-FR-0772	Filer Registration	The System shall assess an Annual Fee based on the Campaign Filing Entity Date of Qualification.	Mandatory		
CARS-RQ-FR-0773	Filer Registration	The System shall assign a unique confirmation number to each submitted Filing Entity registration transaction.	Mandatory		
CARS-RQ-FR-0774	Filer Registration	The System shall maintain a history of all Registered Users associated with a Filing Entity.	Mandatory		
CARS-RQ-FR-0775	Filer Registration	The System shall assign a unique account number to each Filing Entity account.	Mandatory		
CARS-RQ-FR-0776	Filer Registration	The System shall provide the ability to link a Registered User (e.g., Candidate) to an election and race.	Mandatory		
CARS-RQ-FR-0777	Filer Registration	The System shall provide the ability for a Registered User to link an uploaded document to their Filing Entity account.	Mandatory		
CARS-RQ-FR-0778	Filer Registration	The System shall provide the ability to link an uploaded item to an account or transaction.	Mandatory		
CARS-RQ-FR-0779	Filer Registration	The System shall place a submitted Entity Registration that has missing information in a registration status of "Pending."	Mandatory		
CARS-RQ-FR-0780	Filer Registration	The System shall place a submitted Entity Registration that has been flagged for PRD Review in a registration status of "Hold for PRD Review."	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FR-0781	Filer Registration	The System shall place a submitted Entity Registration that has met all data entry criteria in a registration status of "Accepted."	Mandatory		
CARS-RQ-FR-0782	Filer Registration	The System shall place a Filing Entity Registration that has been cancelled before submission in a registration status of "Cancelled."	Mandatory		
CARS-RQ-FR-0783	Filer Registration	The System shall place a Filing Entity Registration that has been withdrawn in a registration status of "Withdrawn."	Mandatory		
CARS-RQ-FR-0784	Filer Registration	The System shall place a Filing Entity Registration that has been terminated in a registration status of "Terminated."	Mandatory		
CARS-RQ-FR-0785	Filer Registration	The System shall require a completion of a penalty of perjury attestation in order to accept a submitted transaction.	Mandatory		
CARS-RQ-FR-0786	Filer Registration	The System shall have the ability to "Hold for PRD Review" an uploaded Lobbyist photo prior to publication, based on pre-determined criteria.	Mandatory		
CARS-RQ-FR-0790	Filer Registration	The System shall allow a Filer to request linkage to a registered Filing Entity.	Mandatory		
CARS-RQ-FR-0799	Filer Registration	When an uploaded lobbyist photo is rejected, the System shall place that Lobbyist's registration in a status of "Hold for PRD Review."	Mandatory		
CARS-RQ-FR-0800	Filer Registration	The System shall notify a Filing Entity when its registration status is changed by PRD Staff.	Mandatory		
CARS-RQ-FR-0802	Filer Registration	The System shall inform both individuals/entities that a linkage request has been accepted.	Mandatory		
CARS-RQ-FR-0803	Filer Registration	The System shall inform both individuals/entities that a linkage request has been declined.	Mandatory		
CARS-RQ-FR-0804	Filer Registration	The System shall inform both parties when individuals/entities are de-linked.	Mandatory		
CARS-RQ-FR-081	Filer Registration	The System shall provide the ability for an authorized PRD Staff to merge duplicate Filing Entity accounts.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FR-081	Filer Registration	The System shall provide the ability for an authorized PRD Staff to delete a duplicate Filing Entity account.	Mandatory		
CARS-RQ-FD-0134	Filer Disclosures	The System shall allow a Filer to access an "In Progress" activity report transaction for a Filing Entity to which they are linked and have appropriate permissions.	Mandatory		
CARS-RQ-FD-0135	Filer Disclosures	The System shall allow PRD Staff to access "In Progress" activity report transactions.	Mandatory		
CARS-RQ-FD-0161	Filer Disclosures	The System shall capture and store disclosure information required by FPPC/legislation.	Mandatory		
CARS-RQ-FD-0162	Filer Disclosures	The System shall allow a Filer to submit an Activity Report on behalf of a Filing Entity, based on the Filer's user permissions.	Mandatory		
CARS-RQ-FD-0163	Filer Disclosures	Upon successful completion of a transaction, the System shall generate and display a unique submission confirmation number.	Mandatory		
CARS-RQ-FD-0164	Filer Disclosures	The System shall guide a Filer's entry progress utilizing an optional wizard available to use while submitting Activity Reports.	Mandatory		
CARS-RQ-FD-0167	Filer Disclosures	The System shall pre-populate Activity Report fields with appropriate information from user profile and/or prior reports.	Mandatory		
CARS-RQ-FD-0168	Filer Disclosures	The System shall enable Users to attach documents and/or images in an Activity Report.	Mandatory		
CARS-RQ-FD-0170	Filer Disclosures	The System shall enable a Registered User to upload and link documents such as ads, mailers, and related media information to an Activity Report associated with Filing Entities to which the Registered User is linked.	Mandatory		
CARS-RQ-FD-0171	Filer Disclosures	The System shall allow a Registered User to view a document uploaded and linked to a Filing Entity, based on the Registered User's permissions.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FD-0172	Filer Disclosures	The System shall allow a Registered User to print a transaction confirmation.	Mandatory		
CARS-RQ-FD-0173	Filer Disclosures	The System shall allow PRD Staff to enter an Activity Report on behalf of a Filer.	Mandatory		
CARS-RQ-FD-0174	Filer Disclosures	The System shall provide the ability for Registered Users to upload Activity Report data from a computer file such as an Excel spreadsheet file, a Comma Separated Values (.CSV) file, an XML file, or another format.	Mandatory		
CARS-RQ-FD-0179	Filer Disclosures	The System shall allow Filers with appropriate permission to make changes to Activity Reports in "In Progress" status.	Mandatory		
CARS-RQ-FD-0180	Filer Disclosures	The System shall store amended information on a submitted Activity Report as a separate and distinct transaction that is linked to the original parent Activity Report.	Mandatory		
CARS-RQ-FD-0186	Filer Disclosures	The System shall update the status of a report based on how the activity report is saved by the Filer.	Mandatory		
CARS-RQ-FD-0190	Filer Disclosures	The System Shall validate all Activity Report information entered prior to submission	Mandatory		
CARS-RQ-FD-0192	Filer Disclosures	The System shall validate all information entered prior to submission for completeness.	Mandatory		
CARS-RQ-FD-0193	Filer Disclosures	The System shall store statutorily required data about Filers and disclosures that support PRD business processes.	Mandatory		
CARS-RQ-FD-0195	Filer Disclosures	The System shall calculate a fine on a Filing Entity when an additional information is added to an Activity Report after the filing deadline.	Mandatory		
CARS-RQ-FD-0198	Filer Disclosures	The System shall provide the ability for a Filer to resume an "In-Progress" transaction.	Mandatory		
CARS-RQ-FD-0199	Filer Disclosures	The System shall allow a Filer to save an incomplete Activity Report as "In Progress."	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FD-0224	Filer Disclosures	The System shall notify Filer when an Activity Report must be submitted to a local jurisdiction.	Mandatory		
CARS-RQ-FD-0676	Filer Disclosures	The System shall place a submitted Activity Report that has missing information in a "Pending" status.	Mandatory		
CARS-RQ-FD-0677	Filer Disclosures	The System shall notate an FPPC referral in a Filing Entity's record.	Mandatory		
CARS-RQ-FD-0679	Filer Disclosures	The System shall allow PRD Staff to withdraw an FPPC referral.	Mandatory		
CARS-RQ-FD-0680	Filer Disclosures	The System shall provide the ability to select a Filing Entity for referral to FPPC based on compliance business rules.	Mandatory		
CARS-RQ-FD-0681	Filer Disclosures	The System shall provide the ability to record the disposition of an FPPC referral.	Mandatory		
CARS-RQ-FD-0682	Filer Disclosures	The System shall provide the ability for PRD Staff to manually refer a Non-Filer to FPPC.	Mandatory		
CARS-RQ-FD-0712	Filer Disclosures	The System shall compare the submission date of an activity report with that report's due date to determine if a fine should be assessed.	Mandatory		
CARS-RQ-FD-0750	Filer Disclosures	The System shall calculate and assess a fine when an Activity Report is submitted after the reporting deadline.	Mandatory		
CARS-RQ-FD-0757	Filer Disclosures	The System shall place a submitted Activity Report that has met all data entry criteria in a status of "Accepted."	Mandatory		
CARS-RQ-FD-0758	Filer Disclosures	The System shall place a Activity Report that has been cancelled before submission in a status of "Cancelled."	Mandatory		
CARS-RQ-FD-0789	Filer Disclosures	The System shall provide the ability for a Filer to attest that all Activity Report transactions have been entered for a filing period.	Mandatory		
CARS-RQ-FD-0794	Filer Disclosures	The System shall provide a summary of errors associated with an uploaded Activity Report prior to displaying the option to accept and complete the submission.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FD-0795	Filer Disclosures	The System shall allow corrections to an uploaded Activity Report.	Mandatory		
CARS-RQ-FD-0796	Filer Disclosures	The System shall allow re-submission of an uploaded Activity Report.	Mandatory		
CARS-RQ-FD-0801	Filer Disclosures	The System shall notify a Filing Entity when its Activity Report submission status is changed by PRD staff.	Mandatory		
CARS-RQ-FD-0813	Filer Disclosures	The System shall accept a 3rd party file representing a registration or Activity Report only from a certified Vendor/Service Provider.	Mandatory		
CARS-RQ-FD-0814	Filer Disclosures	The System shall provide the ability for an authorized PRD Staff to delete a duplicate Activity Report submitted for a Filing Entity.	Mandatory		
CARS-RQ-FD-0815	Filer Disclosures	The System shall provide the ability for an authorized PRD Staff to transfer submitted Activity Report data from one Filing Entity to another Filing Entity.	Mandatory		
CARS-RQ-FD-0816	Filer Disclosures	The System shall maintain the original submission date on an Activity Report that has been transferred from one Filing Entity to another Filing Entity.	Mandatory		
CARS-RQ-FT-0323	Financial Transactions	The System shall automatically create an invoice in response to the assessment of an Annual/Registration Fee, fine or penalty.	Mandatory		
CARS-RQ-FT-0324	Financial Transactions	The System shall allow PRD Staff to manually create an invoice.	Mandatory		
CARS-RQ-FT-0325	Financial Transactions	The System shall require an invoice to be linked to an existing accounting code.	Mandatory		
CARS-RQ-FT-0326	Financial Transactions	The System shall require an invoice to be linked to a filing entity.	Mandatory		
CARS-RQ-FT-0328	Financial Transactions	The System shall create an invoice for the purpose of reassessing waived Annual Fees and penalties when a terminated committee is reactivated under the same FPPC ID number.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FT-0329	Financial Transactions	The System shall allow PRD Staff to adjust an invoice.	Mandatory		
CARS-RQ-FT-0330	Financial Transactions	The System shall maintain a log of all invoice adjustment activity.	Mandatory		
CARS-RQ-FT-0331	Financial Transactions	The System shall allow PRD Staff to re-allocate a payment to a different invoice for the same filing entity.	Mandatory		
CARS-RQ-FT-0332	Financial Transactions	The System shall provide the ability for PRD Staff to cancel an invoice.	Mandatory		
CARS-RQ-FT-0333	Financial Transactions	The System shall maintain a log of all invoice cancellations.	Mandatory		
CARS-RQ-FT-0334	Financial Transactions	The System shall cancel an unpaid invoice for a Filing Entity (Lobbying or Campaign) that has terminated prior to the effective date of the invoice.	Mandatory		
CARS-RQ-FT-0336	Financial Transactions	The System shall calculate a Filing Entity's financial account balance.	Mandatory		
CARS-RQ-FT-0337	Financial Transactions	The System shall allow a filing entity financial account to carry a balance due.	Mandatory		
CARS-RQ-FT-0338	Financial Transactions	The System shall accept online credit card payments.	Mandatory		
CARS-RQ-FT-0339	Financial Transactions	The System shall provide the ability for a Registered User to submit online payments on behalf of an entity for which that Registered User has user permission to make payments.	Mandatory		
CARS-RQ-FT-0340	Financial Transactions	The System shall provide the ability for a Registered User with appropriate user permissions to create a payment record.	Mandatory		
CARS-RQ-FT-0341	Financial Transactions	The System shall accept payments made by any accepted method of payment (e.g. cash, check, credit card, etc.).	Mandatory		
CARS-RQ-FT-0342	Financial Transactions	The System shall allow a Registered User to select the invoice(s) to which a payment should be applied.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FT-0343	Financial Transactions	The System shall provide the ability for an authorized Registered User to select invoice(s) to which a payment should be applied when a filer has multiple fees, fines and/or penalties due.	Mandatory		
CARS-RQ-FT-0344	Financial Transactions	The System shall allow PRD staff to apply a single payment to multiple filer/entity accounts.	Mandatory		
CARS-RQ-FT-0345	Financial Transactions	The System shall generate a receipt for every payment received.	Mandatory		
CARS-RQ-FT-0350	Financial Transactions	The System shall allow a Filer with appropriate permission to view and print a statement of account activity for a Filing Entity to which the Filer is linked.	Mandatory		
CARS-RQ-FT-0351	Financial Transactions	The System shall provide the ability to designate a user-specified time period when generating a statement of account activity.	Mandatory		
CARS-RQ-FT-0352	Financial Transactions	The System shall provide the ability to identify all payments associated with a filing entity.	Mandatory		
CARS-RQ-FT-0353	Financial Transactions	The System shall provide the ability to identify all payers granted permission to make payments with a linked Filing Entity.	Mandatory		
CARS-RQ-FT-0354	Financial Transactions	The System shall prevent a Registered User from submitting a payment that exceeds the total amount of unpaid invoices associated with their linked entity.	Mandatory		
CARS-RQ-FT-0355	Financial Transactions	The System shall provide the ability for PRD Staff to apply a general ledger payment (non-campaign and non-lobbying) to the appropriate accounting code.	Mandatory		
CARS-RQ-FT-0356	Financial Transactions	The System shall provide the ability for a Registered User viewing a payment receipt to print one or more copies of that receipt.	Mandatory		
CARS-RQ-FT-0357	Financial Transactions	The System shall allow PRD Staff to cancel a receipt.	Mandatory		
CARS-RQ-FT-0358	Financial Transactions	The System shall maintain a log of all receipt cancellations.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FT-0359	Financial Transactions	The System shall generate a daily check log to reconcile payments received by check.	Mandatory		
CARS-RQ-FT-0360	Financial Transactions	The System shall generate a daily deposit reconciliation report to reconcile all payments received.	Mandatory		
CARS-RQ-FT-0361	Financial Transactions	The System shall provide the ability for PRD Staff to update waiver request data.	Mandatory		
CARS-RQ-FT-0362	Financial Transactions	The System shall provide the ability for a Waiver request to be entered online.	Mandatory		
CARS-RQ-FT-0364	Financial Transactions	The System shall provide the ability for PRD Staff to enter a waiver decision.	Mandatory		
CARS-RQ-FT-0365	Financial Transactions	Upon approval of a waiver, the System shall update the applicable invoice(s) to reflect the decision action.	Mandatory		
CARS-RQ-FT-0366	Financial Transactions	The System shall provide the ability to track a fine and penalties due to approval of a waiver.	Mandatory		
CARS-RQ-FT-0367	Financial Transactions	The System shall provide the ability for PRD Staff to create a refund request.	Mandatory		
CARS-RQ-FT-0368	Financial Transactions	The System shall provide the ability for PRD Staff to process a refund request	Mandatory		
CARS-RQ-FT-0369	Financial Transactions	The System shall provide the ability track the current status ("Identified", "In Progress", "Approved" etc.) of a refund request.	Mandatory		
CARS-RQ-FT-0370	Financial Transactions	The System shall provide the ability to identify a potential overpayment.	Mandatory		
CARS-RQ-FT-0372	Financial Transactions	The System shall provide the ability for PRD Staff to designate the payee for an approved refund.	Mandatory		
CARS-RQ-FT-0373	Financial Transactions	The System shall provide the ability to link uploaded supporting documentation to a refund request.	Mandatory		
CARS-RQ-FT-0374	Financial Transactions	The System shall provide the ability to link uploaded supporting documentation to a refund request.	Mandatory		
CARS-RQ-FT-0375	Financial Transactions	The System shall provide the ability for an authorized PRD Staff to approve a refund request.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-FT-0376	Financial Transactions	The System shall provide the ability for an authorized PRD Staff to deny a refund request.	Mandatory		
CARS-RQ-FT-0377	Financial Transactions	The System shall default the payee of a refund request to the individual/entity named as the payer of the original payment.	Mandatory		
CARS-RQ-FT-0379	Financial Transactions	The System shall provide the ability to track payments reported to PRD as dishonored.	Mandatory		
CARS-RQ-FT-0380	Financial Transactions	The System shall allow PRD Staff to update the invoice associated with a payment reported as dishonored by Fiscal.	Desirable		
CARS-RQ-FT-0381	Financial Transactions	The System shall allow for PRD Staff to enter comments on the receipt associated with a payment reported as dishonored by Fiscal.	Mandatory		
CARS-RQ-FT-0382	Financial Transactions	The System shall re-open and update a closed invoice when Fiscal reports the dishonored payment is written off as uncollectable.	Mandatory		
CARS-RQ-FT-0384	Financial Transactions	The System shall provide the ability to generate financial reports that support reconciliation, auditing and evaluation of accounting data.	Mandatory		
CARS-RQ-FT-0488	Financial Transactions	The System shall provide the ability to identify all payments associated with a Registered User	Mandatory		
CARS-RQ-FT-0489	Financial Transactions	The System shall allow PRD staff to adjust fees, fines and penalties after they are assessed.	Mandatory		
CARS-RQ-FT-0787	Financial Transactions	The System shall provide the ability for a Registered User with appropriate user permissions to print a receipt for any payment associated with a Filing Entity to which the Registered User is linked.	Mandatory		
CARS-RQ-FT-0805	Financial Transactions	The System shall update the appropriate accounting transactions when any changes are made to an invoice.	Mandatory		
CARS-RQ-UN-0539	User Notifications	The System shall present a real-time notification when a triggering action occurs while a Registered User is logged in to the system.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-UN-0540	User Notifications	The System shall provide a user interface page for PRD Staff to configure system notifications.	Mandatory		
CARS-RQ-UN-0543	User Notifications	The System shall generate an online notification in correlation with correspondence that was sent to inform a Registered User of a required response.	Mandatory		
CARS-RQ-UN-0548	User Notifications	The System shall present appropriate online notifications upon the Registered User's successful login to the system.	Mandatory		
CARS-RQ-UN-0549	User Notifications	The System shall provide an online notification message informing of a field-level data validation error.	Mandatory		
CARS-RQ-UN-0550	User Notifications	The System shall provide a user notification based on business rules appropriate to the action being performed.	Mandatory		
CARS-RQ-UN-0552	User Notifications	The System shall present an online notification to all of a Filing Entity's linked Registered Users, based on the pre-selected notification preferences.	Mandatory		
CARS-RQ-UN-0554	User Notifications	The System shall provide an online notification to a Filing Entity when registration information must be submitted to a local jurisdiction.	Mandatory		
CARS-RQ-UN-0555	User Notifications	The System shall provide an online notification to a Filing Entity when an activity report must be submitted to a local jurisdiction.	Mandatory		
CARS-RQ-UN-0556	User Notifications	The System shall provide an online notification to a Filing Entity that an amended activity report is needed to resolve returned mail.	Mandatory		
CARS-RQ-UN-0558	User Notifications	The System shall provide an online notification when a Filing Entity registration has been successfully completed.	Mandatory		
CARS-RQ-UN-0559	User Notifications	The System shall display an online notification when an entity registration is in Pending status.	Mandatory		
CARS-RQ-UN-0560	User Notifications	The System shall provide an online notification of error(s) that cause rejection of a submitted activity report.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-UN-0561	User Notifications	The System shall provide an online notification of errors that did not cause rejection of a submitted activity report.	Mandatory		
CARS-RQ-UN-0562	User Notifications	The System shall provide a user notification when a submitted activity report has been successfully completed.	Mandatory		
CARS-RQ-UN-0563	User Notifications	The System shall display an online notification when a submitted activity report is in Pending status.	Mandatory		
CARS-RQ-UN-0564	User Notifications	The System shall provide an online notification informing of a transaction outcome.	Mandatory		
CARS-RQ-UN-0565	User Notifications	The System shall provide an online notification to a Filing Entity at the time an invoice is created.	Mandatory		
CARS-RQ-UN-0566	User Notifications	The System shall provide an online notification to designated PRD staff when a submitted activity report was rejected.	Mandatory		
CARS-RQ-UN-0568	User Notifications	The System shall provide an online notification to designated PRD staff upon each occurrence of any pre-defined application event.	Mandatory		
CARS-RQ-UN-0570	User Notifications	The System shall provide an online notification to designated PRD staff of all non-fatal activity report errors identified while the PRD Staff is reviewing a submitted activity report.	Mandatory		
CARS-RQ-UN-0571	User Notifications	The System shall provide an online notification to a lobbyist when ethics certification is due.	Mandatory		
CARS-RQ-UN-0572	User Notifications	The System shall provide an online notification to a lobbyist when pending revocation for ethics certification.	Mandatory		
CARS-RQ-UN-0573	User Notifications	The System shall provide an online notification to a lobbyist when revoked for ethics certification.	Mandatory		
CARS-RQ-UN-0574	User Notifications	The System shall provide an online notification to a lobbyist when reinstated for ethics certification compliance.	Mandatory		

Exhibit VI.1 Functional Requirements (R1)

CARS-RQ-UN-0575	User Notifications	The System shall provide online error messages that clearly communicate designated information to the User.	Mandatory		
CARS-RQ-UN-0663	User Notifications	The System shall provide online notification of descriptions and amounts of fees, fines and/or penalties due from the Filing Entity.	Mandatory		
CARS-RQ-UN-0665	User Notifications	The System shall provide the ability to generate notifications to designated PRD staff based upon a transaction outcome.	Mandatory		
CARS-RQ-UN-0666	User Notifications	The System shall provide real-time online notification to a Registered User of outstanding monies levied against any Filing Entity associated with that user.	Mandatory		
CARS-RQ-UN-0667	User Notifications	The System shall provide real-time online notification of errors in submitted activity report data that are placed in a status of "Pending."	Mandatory		
CARS-RQ-UN-0668	User Notifications	The System shall provide real-time notification to designated authorized PRD Staff of a submitted activity report that are placed in a status of "Hold for PRD Review."	Mandatory		
CARS-RQ-UN-0670	User Notifications	The System shall provide notification to an authorized PRD user of all non-fatal activity report errors identified while the PRD user is reviewing a submitted activity report.	Mandatory		
CARS-RQ-UN-0672	User Notifications	The System shall provide automatic notification to a Filing Entity (Lobbyist, Placement Agent and any associated firms or Employers) that the Lobbyist/Placement Agent's registration has been reinstated.	Mandatory		
CARS-RQ-UN-0807	User Notifications	The System shall produce a User Notification of upcoming filing deadlines.	Mandatory		
CARS-RQ-UN-0808	User Notifications	The System shall produce a User Notification of action-requested due dates.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-UN-0809	User Notifications	The System shall produce a User Notification of a Filing Entity's filing status.	Mandatory		
CARS-RQ-UN-0810	User Notifications	The System shall produce a User Notification for outstanding invoice(s).	Mandatory		
CARS-RQ-UN-0811	User Notifications	The System shall produce a User Notification for outstanding correspondence.	Mandatory		
CARS-RQ-CO-0490	Correspondance	The System shall have the ability to generate a correspondence notice to Filing Entity based on a system action.	Mandatory		
CARS-RQ-CO-0491	Correspondance	The System shall have the ability to identify the appropriate template to be used for system-generated correspondence, based on the purpose of the notice.	Mandatory		
CARS-RQ-CO-0492	Correspondance	The System shall have the ability to generate a correspondence notice based on a pre-defined template and components appropriate to the context of the action.	Mandatory		
CARS-RQ-CO-0493	Correspondance	The System shall accurately configure correspondence template components.	Mandatory		
CARS-RQ-CO-0494	Correspondance	The System shall have the ability to generate a correspondence notice that requests a response from the Filing Entity.	Mandatory		
CARS-RQ-CO-0495	Correspondance	The System shall have the ability to specify the action needed in a correspondence notice.	Mandatory		
CARS-RQ-CO-0496	Correspondance	The System shall assign a due date by which the Filing Entity must provide a requested response.	Mandatory		
CARS-RQ-CO-0497	Correspondance	The System shall have the ability to assign a status to a correspondence notice.	Mandatory		
CARS-RQ-CO-0498	Correspondance	The System shall set an "Action Due" flag on a correspondence record based on the template and action required.	Mandatory		
CARS-RQ-CO-0500	Correspondance	The System shall have the ability to send a correspondence notice based on the Recipient's preferred method of delivery.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-CO-0501	Correspondance	For each action requiring a correspondence notice, the System shall generate one notice and send it to each designated Registered User for that Filing Entity.	Mandatory		
CARS-RQ-CO-0502	Correspondance	The System shall send a correspondence notice to a Filing Entity's linked Registered User based on that User's permission to receive correspondence.	Mandatory		
CARS-RQ-CO-0504	Correspondance	The System shall link a correspondence notice to a Registered User's Account when the notice is directed only to the Registered User.	Mandatory		
CARS-RQ-CO-0505	Correspondance	The System shall link a correspondence notice to a Filing Entity's Account when the notice is directed to the Filing Entity.	Mandatory		
CARS-RQ-CO-0506	Correspondance	The System shall have the ability to link a correspondence notice to a specific action within a Filing Entity's account.	Mandatory		
CARS-RQ-CO-0507	Correspondance	The System shall allow PRD staff to manually configure and generate a correspondence notice.	Mandatory		
CARS-RQ-CO-0508	Correspondance	The System shall allow PRD staff to modify pre-defined components when manually generating a correspondence notice.	Mandatory		
CARS-RQ-CO-0510	Correspondance	The System shall allow PRD staff to modify system-populated addressee information on a Pending correspondence notice.	Mandatory		
CARS-RQ-CO-0511	Correspondance	The System shall allow PRD staff to modify the method of delivery on a Pending correspondence notice.	Mandatory		
CARS-RQ-CO-0512	Correspondance	The System shall allow PRD staff to modify a system-assigned action due date on a Pending correspondence notice..	Mandatory		
CARS-RQ-CO-0513	Correspondance	The System shall allow PRD staff to modify system-populated action on a Pending correspondence notice.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-CO-0514	Correspondance	The System shall allow PRD staff to delete a Pending correspondence notice.	Mandatory		
CARS-RQ-CO-0515	Correspondance	The System shall provide the ability for PRD staff to enter a reason for deleting a pending correspondence notice.	Mandatory		
CARS-RQ-CO-0516	Correspondance	The System shall have the ability to identify potential recipients for a mass correspondence mailing.	Mandatory		
CARS-RQ-CO-0517	Correspondance	The System shall produce a list of potential recipients for a mass correspondence mailing.	Mandatory		
CARS-RQ-CO-0518	Correspondance	The System shall provide the ability for PRD staff to edit a list of potential recipients for a mass correspondence mailing.	Mandatory		
CARS-RQ-CO-0519	Correspondance	The System shall provide the ability to generate mass correspondence.	Mandatory		
CARS-RQ-CO-0520	Correspondance	The System shall have the ability to flag a user account when correspondence is returned as undeliverable.	Mandatory		
CARS-RQ-CO-0521	Correspondance	The System shall track returned mail associated with a Registered User.	Mandatory		
CARS-RQ-CO-0522	Correspondance	The System shall allow PRD staff to re-send a returned correspondence notice with a temporary address (e.g. email or postal mail).	Mandatory		
CARS-RQ-CO-0523	Correspondance	The System shall allow PRD staff to re-send a returned correspondence notice using a different method of delivery (e.g. email, postal mail).	Mandatory		
CARS-RQ-CO-0526	Correspondance	The System shall remove the returned mail flag when the user has successfully updated their user account.	Mandatory		
CARS-RQ-CO-0527	Correspondance	The System shall allow a Registered User to view correspondence linked to their own user account.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-CO-0528	Correspondance	The System shall allow a Registered User to view correspondence for a Filing Entity to which they are currently linked and are authorized to view correspondence.	Mandatory		
CARS-RQ-CO-0529	Correspondance	The System shall provide the ability to reproduce a previously-generated correspondence notice as an exact replica of the original notice.	Mandatory		
CARS-RQ-CO-0531	Correspondance	The System shall allow PRD staff to generate and print a filer correspondence notice.	Mandatory		
CARS-RQ-CO-0533	Correspondance	The System shall have the ability to generate a correspondence notice that requires user acknowledgement.	Mandatory		
CARS-RQ-CO-0534	Correspondance	The System shall allow PRD staff to add additional recipients to a correspondence notice.	Mandatory		
CARS-RQ-CO-0535	Correspondance	The System shall prevent a Registered User from amending correspondence after it has been generated.	Mandatory		
CARS-RQ-CO-0536	Correspondance	When reprinting correspondence, the system shall display the date on which the correspondence was originally generated.	Mandatory		
CARS-RQ-CO-0537	Correspondance	The System shall prevent a Registered User from viewing pending correspondence.	Mandatory		
CARS-RQ-CO-0538	Correspondance	The System shall prevent a Registered User from viewing correspondence for an entity to which that Filer is not linked.	Mandatory		
CARS-RQ-CO-0661	Correspondance	The System shall provide the ability for an authorized PRD user to generate a user-configurable notice.	Mandatory		
CARS-RQ-CO-0759	Correspondance	The System shall track returned mail associated with Filing Entity.	Mandatory		
CARS-RQ-DR-0227	Data Retrieval	The System shall have the ability to display graphical representations of system data, including calculations, totals, and maps.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-DR-0228	Data Retrieval	The System shall generate and display a list of summary records that match the User's search criteria.	Mandatory		
CARS-RQ-DR-0231	Data Retrieval	The System shall provide the ability for a User to drill-down from a search results record's summary view to that record's detailed view.	Mandatory		
CARS-RQ-DR-0232	Data Retrieval	The System shall inform the User when no records were found matching the User-defined search criteria.	Mandatory		
CARS-RQ-DR-0233	Data Retrieval	The System shall provide the ability for a User to cancel an active records search prior to completion.	Mandatory		
CARS-RQ-DR-0235	Data Retrieval	The System shall allow the option to display Lobbyist photos with search results.	Mandatory		
CARS-RQ-DR-0237	Data Retrieval	The System shall provide the ability for a registered user to search through their transactional history without visibility into other registered user account information.	Mandatory		
CARS-RQ-DR-0238	Data Retrieval	The System shall allow a User to create an ad hoc search.	Mandatory		
CARS-RQ-DR-0239	Data Retrieval	The System shall allow pre-defined, saved searches to be made available based on a User type.	Mandatory		
CARS-RQ-DR-0243	Data Retrieval	The System shall allow a Registered User to view data for all accounts to which they are linked.	Mandatory		
CARS-RQ-DR-0244	Data Retrieval	The System shall display a Registered User-saved search in the same layout as was defined at the time it was created.	Mandatory		
CARS-RQ-DR-0245	Data Retrieval	The System shall provide the ability to record the disposition of an FPPC/external agency referral.	Mandatory		
CARS-RQ-DR-0246	Data Retrieval	The System shall allow a PRD System Administrator to search production mirror (non-production) data sources by the Structured Query Language (SQL) method.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-DR-0247	Data Retrieval	The System shall provide a PRD System Administrator with the ability to search all data known to the CARS system regardless of PII.	Mandatory		
CARS-RQ-DR-0248	Data Retrieval	The System shall allow a User to search all publicly disclosed system data.	Mandatory		
CARS-RQ-DR-0249	Data Retrieval	The System shall provide the ability for a User to search for any publicly disclosed, searchable data.	Mandatory		
CARS-RQ-DR-0252	Data Retrieval	The System shall allow a Filer to search for payees associated to the Filer.	Mandatory		
CARS-RQ-DR-0278	Data Retrieval	The System shall allow a Registered User to view search results containing records based on the aging of time dependent information.	Mandatory		
CARS-RQ-DR-0279	Data Retrieval	The System shall return a count of records meeting User-defined search criteria.	Mandatory		
CARS-RQ-DR-0285	Data Retrieval	The System shall provide the ability to produce search results based on contributions and expenditure threshold amounts.	Mandatory		
CARS-RQ-DR-0287	Data Retrieval	The System shall be able to identify all lobbying firms who employ at minimum one (1) lobbyist or one (1) client.	Mandatory		
CARS-RQ-DR-0288	Data Retrieval	The System shall be able to identify all lobbyist employers who employ at minimum one (1) lobbyist.	Mandatory		
CARS-RQ-DR-0294	Data Retrieval	The System shall allow free-form searching of all data known to CARS.	Mandatory		
CARS-RQ-DR-0295	Data Retrieval	The System shall accept a partial context search parameter for any user enterable data filed.	Mandatory		
CARS-RQ-DR-0301	Data Retrieval	The System shall allow a search to be performed using any combination of name.	Mandatory		
CARS-RQ-DR-0302	Data Retrieval	The System shall allow any search to include a Date Range when appropriate.	Mandatory		
CARS-RQ-DR-0303	Data Retrieval	The System shall allow a User to search active and historic records.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-DR-0304	Data Retrieval	The System shall provide the ability to search for an active or historic election race.	Mandatory		
CARS-RQ-DR-0306	Data Retrieval	The System shall allow a User to filter search results by any system-presented data field or combination of fields.	Mandatory		
CARS-RQ-DR-0307	Data Retrieval	The System shall allow a User to sort search results by any system presented data field or combination of fields.	Mandatory		
CARS-RQ-DR-0308	Data Retrieval	The System shall allow search results to be grouped by any displayed search parameter that supports data grouping.	Mandatory		
CARS-RQ-DR-0309	Data Retrieval	The System shall allow a Registered User to create and manage their own pre-defined, saved searches.	Mandatory		
CARS-RQ-DR-0310	Data Retrieval	The System shall allow a Registered User to save an ad hoc search as their own pre-defined, saved, executable search.	Mandatory		
CARS-RQ-DR-0311	Data Retrieval	The System shall allow a Registered User to execute a saved search from their own available saved searches.	Mandatory		
CARS-RQ-DR-0312	Data Retrieval	The System shall allow a Registered User to save a search to their own user account.	Mandatory		
CARS-RQ-DR-0313	Data Retrieval	The System shall make saved searches accessible via the Registered User's profile.	Mandatory		
CARS-RQ-DR-0315	Data Retrieval	The System shall provide a PRD System Administrator with the ability to publish a pre-defined, saved search to all users, or a specific group of users.	Mandatory		
CARS-RQ-DR-0316	Data Retrieval	The System shall provide the ability for a User to export non-Personally Identifiable Information (PII) search results data in a format commonly acceptable by 3rd party applications.	Mandatory		
CARS-RQ-DR-0317	Data Retrieval	The System shall provide the ability for a User to export non-Personally Identifiable Information (PII) search results to a local storage device.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-DR-0318	Data Retrieval	The System shall provide the ability for PRD Staff to export Personally Identifiable Information (PII) search results to a secure, SOS network location.	Mandatory		
CARS-RQ-DR-0319	Data Retrieval	The System shall provide the ability for PRD Staff to print Personally Identifiable Information (PII) search results to a secure, SOS printer.	Mandatory		
CARS-RQ-DR-0320	Data Retrieval	The System shall allow a user to print search results to a local printer.	Mandatory		
CARS-RQ-DR-0321	Data Retrieval	The System shall allow a User to print a visualized displayed representation of search results.	Mandatory		
CARS-RQ-DR-0576	Data Retrieval	The System shall allow PRD Staff to generate an aging report regarding correspondence with action due.	Mandatory		
CARS-RQ-DR-0659	Data Retrieval	The System shall create a report that shows Activity Reports exceeding a pre-determined dollar amount input threshold.	Mandatory		
CARS-RQ-DR-0760	Data Retrieval	The System shall create a report that shows activity reports submitted after a reporting deadline.	Mandatory		
CARS-RQ-DR-0761	Data Retrieval	The System shall provide the ability for an authorized Registered User (e.g. PRD Staff, Partner Agency User, etc.) to search for any non-publicly disclosed, searchable data.	Mandatory		
CARS-RQ-DR-0814	Data Retrieval	The System shall exclude registration and Activity Report data with a status of "In-Progress" from searches.	Mandatory		
CARS-RQ-SR-0392	System Reports	The System shall allow a User to include report execution parameters and the report execution date when printing or exporting a report.	Mandatory		
CARS-RQ-SR-0393	System Reports	The System shall allow a PRD System Administrator to view a report's start and stop date/time (auditing).	Mandatory		
CARS-RQ-SR-0394	System Reports	The System shall provide the ability for a Registered User to forward a report to another User.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SR-0395	System Reports	The System shall allow a Registered User to generate a transaction history report of all transactions associated to the Registered User.	Mandatory		
CARS-RQ-SR-0396	System Reports	The System shall allow a Registered User to report on all system accounts that the Registered User created.	Mandatory		
CARS-RQ-SR-0397	System Reports	The System shall provide the ability for a User to report on any publicly disclosed, searchable data.	Mandatory		
CARS-RQ-SR-0421	System Reports	The System shall allow a User to optionally enter a reporting timeframe when generating a report.	Mandatory		
CARS-RQ-SR-0422	System Reports	The System shall allow an authorized Registered User to report on Personally Identifiable Information (PII).	Mandatory		
CARS-RQ-SR-0423	System Reports	The System shall allow Filers to report on penalty and fine assessments for their own Filing Entities as of a given date.	Mandatory		
CARS-RQ-SR-0424	System Reports	The System shall allow PRD Staff the ability to save a report for other PRD users to run.	Mandatory		
CARS-RQ-SR-0425	System Reports	The System shall allow PRD Staff to report on annual fee and penalty payments received for a specified period	Mandatory		
CARS-RQ-SR-0426	System Reports	The System shall allow PRD Staff to report on recipient committees with unpaid penalties after the grace period.	Mandatory		
CARS-RQ-SR-0427	System Reports	The System shall allow registered users to report on summary calculations of reported contributions and expenditures.	Mandatory		
CARS-RQ-SR-0429	System Reports	The System shall be able to produce reports on an automated scheduled basis.	Mandatory		
CARS-RQ-SR-0430	System Reports	The System shall be able to report on addresses outside of California to include international addresses.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SR-0435	System Reports	The System shall be able to report on telephone numbers outside of California to include foreign numbers (including country code) and extensions.	Mandatory		
CARS-RQ-SR-0446	System Reports	The System shall calculate and report calculated data according to the report being generated.	Mandatory		
CARS-RQ-SR-0447	System Reports	The System shall report graphical representations, including calculations, totals and maps, when presenting a report.	Mandatory		
CARS-RQ-SR-0448	System Reports	The System shall allow PRD Staff and Partner Agency Users the ability to identify who had an obligation to submit an activity report but did not submit in a timely manner	Mandatory		
CARS-RQ-SR-0449	System Reports	The System shall allow Registered Users with appropriate permissions to report on Personally Identifiable Information (PII).	Mandatory		
CARS-RQ-SR-0450	System Reports	The System shall make pre-defined, saved reports available to all Users depending on their user role.	Mandatory		
CARS-RQ-SR-0451	System Reports	The System shall notify the requesting Registered User when a scheduled report is complete.	Mandatory		
CARS-RQ-SR-0452	System Reports	The System shall produce for the PRD System Administrator, an exception report indicating failures of automatic processes.	Mandatory		
CARS-RQ-SR-0454	System Reports	The System shall allow a Registered User to save ad hoc report specifications (parameters, criteria, etc.).	Mandatory		
CARS-RQ-SR-0455	System Reports	The System shall provide a reporting option to include reporting parameters on the printed report.	Mandatory		
CARS-RQ-SR-0457	System Reports	The System shall provide the ability for a registered user to generate a "comparison of transaction data" report between multiple activity reports within the same filing entity.	Mandatory		
CARS-RQ-SR-0458	System Reports	The System shall allow a Registered User to generate a comparison of transaction data report between multiple filing entities.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SR-0459	System Reports	The System shall allow a User to cancel an active report execution prior to report completion.	Mandatory		
CARS-RQ-SR-0460	System Reports	The System shall allow a User to generate ad hoc reports.	Mandatory		
CARS-RQ-SR-0461	System Reports	The System shall allow a User to view additional reporting details by selecting a displayed summary report record.	Mandatory		
CARS-RQ-SR-0462	System Reports	The System shall provide the option to include the report name when printing a report.	Mandatory		
CARS-RQ-SR-0463	System Reports	The System shall provide the option to include the reporting period when printing a report.	Mandatory		
CARS-RQ-SR-0464	System Reports	The System shall report on statutorily required data about filers and disclosures.	Mandatory		
CARS-RQ-SR-0465	System Reports	When generating a report, the System shall use all data known to the system at the time of report creation.	Mandatory		
CARS-RQ-SR-0467	System Reports	The System shall allow the creation of a pre-defined, saved report that does not require entry of data parameters.	Mandatory		
CARS-RQ-SR-0468	System Reports	The System shall allow an existing report to be used as a template baseline when defining additional reports.	Mandatory		
CARS-RQ-SR-0469	System Reports	The System shall allow a Registered User to delete any report they created.	Mandatory		
CARS-RQ-SR-0470	System Reports	The System shall provide a Registered User with the ability to edit/update any report they created.	Mandatory		
CARS-RQ-SR-0471	System Reports	The System shall allow a Registered User to save their own reports.	Mandatory		
CARS-RQ-SR-0472	System Reports	The System shall allow a Registered User the ability to create and manage pre-defined, saved reports.	Mandatory		
CARS-RQ-SR-0476	System Reports	The System shall provide a PRD System Administrator with the ability to delete a pre-defined, saved report regardless of the user group who access the report.	Mandatory		

Functional Requirements (R1)

CARS-RQ-SR-0477	System Reports	The System shall provide a PRD System Administrator with the ability to modify a pre-defined, saved report regardless of the user group who access the report.	Mandatory		
CARS-RQ-SR-0480	System Reports	The System shall allow report results to be filtered by any displayed report parameter that supports filtering.	Mandatory		
CARS-RQ-SR-0481	System Reports	The System shall allow report results to be grouped by any displayed report parameter that supports data grouping.	Mandatory		
CARS-RQ-SR-0482	System Reports	The System shall allow report results to be sorted by any displayed report parameter that supports sorting.	Mandatory		
CARS-RQ-SR-0483	System Reports	The System shall print a report displaying the data as it is filtered, sorted and/or grouped by the User.	Mandatory		
CARS-RQ-SR-0484	System Reports	The System shall allow export of any successfully generated report in a format commonly acceptable by 3rd party applications.	Mandatory		
CARS-RQ-SR-0485	System Reports	The System shall be able to export any generated report in a format commonly acceptable by 3rd party applications.	Mandatory		
CARS-RQ-SR-0486	System Reports	The System shall allow a User to export and/or print a copy of any data submitted within an Activity Report.	Mandatory		
CARS-RQ-SR-0487	System Reports	The System shall allow a User to preview a report before printing to hardcopy.	Mandatory		
CARS-RQ-SR-0720	System Reports	The System shall allow a User to generate and print an "official" activity report.	Mandatory		
CARS-RQ-SR-0724	System Reports	The System shall allow PRD Staff the ability to generate and print a "certified" activity report.	Mandatory		
CARS-RQ-SR-0727	System Reports	The System shall display reporting results in as near real-time as practical.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SR-0770	System Reports	The System shall provide the ability for an authorized Registered User (e.g. PRD Staff, Partner Agency Staff, etc.) to report on non-publicly disclosed, searchable data.	Mandatory		
CARS-RQ-SR-0812	System Reports	The System shall allow a User to run a report in the background while the User performs other tasks.	Mandatory		
CARS-RQ-US-0035	User Support	The System shall provide the ability for authorized PRD Staff to unlock a Registered User's account.	Mandatory		
CARS-RQ-US-0037	User Support	The System shall enforce pre-configured requirements for unlocking a Registered User's account.	Mandatory		
CARS-RQ-US-0201	User Support	The system functions and features shall conform to accessibility standards cited in <ul style="list-style-type: none"> · California Government Code Section 11135 · Section 508 of the United States Rehabilitation Act · Web Content Accessibility Guidelines 2.0 (W3C World Wid 	Mandatory		
CARS-RQ-US-0202	User Support	The System shall provide the ability for a PRD System Administrator to configure online User Help such as: help index levels, index values, help content and hierarchy of index values and associated help content.	Mandatory		
CARS-RQ-US-0203	User Support	The System shall allow an user to access and view help information from an application function without having to exit or close the application function.	Mandatory		
CARS-RQ-US-0204	User Support	The System shall provide a comprehensive and context-sensitive electronic help function that can be accessed both from the relevant application function and independently from a help menu. The system must provide a Help table of contents, multiple (up to	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-US-0205	User Support	The system must provide a Help table of contents, multiple (up to 15) index levels, and full text search.	Mandatory		
CARS-RQ-US-0206	User Support	The System shall provide a list of additional help topics related to the help topic currently viewed.	Mandatory		
CARS-RQ-US-0210	User Support	The System shall provide a link to an external help and training site for the System Tutorials	Mandatory		
CARS-RQ-US-0211	User Support	The System shall provide access to general information about each application function.	Mandatory		
CARS-RQ-US-0213	User Support	The System shall provide help information through a help function menu accessible for all users to access.	Mandatory		
CARS-RQ-US-0214	User Support	The System shall provide help information in an indexed format that is cross referenced to related help topics.	Mandatory		
CARS-RQ-US-0215	User Support	The System shall provide system data element dictionary encompassing field-level information on required data content and data format.	Mandatory		
CARS-RQ-US-0216	User Support	The System shall provide the ability for a User to access "suggested related content" within the knowledge base.	Mandatory		
CARS-RQ-US-0220	User Support	The System shall allow a user to search an indexed knowledge base of Systems for Frequently Asked Functionality Questions.	Mandatory		
CARS-RQ-US-0222	User Support	The System shall provide a table of contents of "help" content topics.	Mandatory		
CARS-RQ-US-0223	User Support	The system's electronic help function content shall be cross-referenced	Mandatory		
CARS-RQ-US-0709	User Support	The System shall provide an indexed searchable help topic library.	Mandatory		
CARS-RQ-US-0710	User Support	The System's help functions shall be ADA compliant in accordance with State-mandated standards	Mandatory		
CARS-RQ-US-0711	User Support	The System's help functions shall be available in both English and Spanish based on the users language choice	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-MI-0020	Miscellaneous	The System shall provide the ability for an authorized Registered User to enter and link comments to a Registered User account.	Mandatory		
CARS-RQ-MI-0225	Miscellaneous	The System shall provide the ability for FTB users to record the disposition of audits conducted on a Filer and the Filing Entity's reported activity.	Mandatory		
CARS-RQ-MI-0683	Miscellaneous	The System shall identify the filing entities with records eligible for Records Transfer.	Mandatory		
CARS-RQ-MI-0684	Miscellaneous	The System shall provide the ability for PRD Staff to retrieve archived electronic data.	Mandatory		
CARS-RQ-MI-0708	Miscellaneous	The System shall provide the ability for FTB to upload and link the disposition of audits on a Filer to the Filer's reported activity.	Mandatory		
CARS-RQ-MI-0806	Miscellaneous	The System shall allow authorized Registered Users to view comments associated with a Filing Entity.	Mandatory		
CARS-RQ-SA-0034	System Administration	The System shall provide the ability for authorized PRD Staff to lock a Registered User's account.	Mandatory		
CARS-RQ-SA-0184	System Administration	The System shall allow a PRD System Administrator to configure validation criteria for a submitted Activity Report.	Mandatory		
CARS-RQ-SA-0579	System Administration	The System shall allow a PRD System Administrator to create, publish, and edit a public-facing campaign and lobbying acronym list.	Mandatory		
CARS-RQ-SA-0580	System Administration	The System shall allow a PRD System Administrator to create, publish, and edit a public-facing campaign and lobbying glossary of terms.	Mandatory		
CARS-RQ-SA-0581	System Administration	The System shall allow a PRD System Administrator to define and configure public-facing alerts and informational updates.	Mandatory		
CARS-RQ-SA-0582	System Administration	The System shall allow a PRD System Administrator to define and configure public-facing instructions, help text, legal statements, and general text.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SA-0583	System Administration	The System shall provide a PRD System Administrator with the ability to define context-sensitive, selectable public-facing information.	Mandatory		
CARS-RQ-SA-0584	System Administration	The System shall allow a PRD System Administrator to define "drill-down" navigation from high-level public-facing information to low-level public-facing information.	Mandatory		
CARS-RQ-SA-0585	System Administration	The System shall provide a PRD System Administrator with the ability to configure password timeout periods.	Mandatory		
CARS-RQ-SA-0586	System Administration	The System shall provide a PRD System Administrator with the ability to configure the minimum number of password changes allowed before a user can reuse a password.	Mandatory		
CARS-RQ-SA-0587	System Administration	The System shall provide a PRD System Administrator with the ability to configure the number of password entry attempts before temporarily suspending the user account.	Mandatory		
CARS-RQ-SA-0588	System Administration	The System shall allow a PRD System Administrator to create standardized, public-facing correspondence templates.	Mandatory		
CARS-RQ-SA-0589	System Administration	The System shall allow a PRD System Administrator to define and configure system user groups.	Mandatory		
CARS-RQ-SA-0590	System Administration	The System shall allow a PRD System Administrator to define and configure system user role permissions.	Mandatory		
CARS-RQ-SA-0591	System Administration	The System shall allow a PRD System Administrator to define and configure system user roles.	Mandatory		
CARS-RQ-SA-0592	System Administration	The System shall allow a PRD System Administrator to edit and delete any public-facing correspondence templates.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SA-0593	System Administration	The System shall allow a PRD System Administrator to version a public-facing correspondence template.	Mandatory		
CARS-RQ-SA-0596	System Administration	The System shall provide a PRD System Administrator with the ability to configure when an activity report submission status warrants notifying PRD Staff.	Mandatory		
CARS-RQ-SA-0597	System Administration	The System shall allow PRD Staff to generate an electronic copy of the original correspondence notice distributed to any registered user.	Mandatory		
CARS-RQ-SA-0598	System Administration	The System shall be able to maintain all PRD Staff created correspondence template versions.	Mandatory		
CARS-RQ-SA-0599	System Administration	The System shall maintain a history of all system configuration changes regardless of the user role making the change.	Mandatory		
CARS-RQ-SA-0600	System Administration	The System shall allow a PRD System Administrator to configure when automatic correspondence is generated.	Mandatory		
CARS-RQ-SA-0601	System Administration	The System shall allow a PRD System Administrator to define and configure voluntary spending limits for each type of entity.	Mandatory		
CARS-RQ-SA-0602	System Administration	The System shall allow a PRD System Administrator to configure reporting periods by submission category.	Mandatory		
CARS-RQ-SA-0603	System Administration	The System shall allow a PRD System Administrator to configure reporting types by submission category.	Mandatory		
CARS-RQ-SA-0604	System Administration	The System shall allow a PRD System Administrator to define and associate entity linkage types.	Mandatory		
CARS-RQ-SA-0605	System Administration	The System shall allow a PRD System Administrator to define and configure any variable verbiage that can appear on any correspondence.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SA-0606	System Administration	The System shall allow a PRD System Administrator to define and configure system constraints for reporting and performing searching.	Mandatory		
CARS-RQ-SA-0607	System Administration	The System shall provide a PRD System Administrator with the ability to generate an electronic copy of the original correspondence distributed to any registered customer.	Mandatory		
CARS-RQ-SA-0608	System Administration	The System shall provide a PRD System Administrator with the ability to publish standardized correspondence templates for use by PRD Staff.	Mandatory		
CARS-RQ-SA-0609	System Administration	The System shall track all changes to public-facing correspondence templates format.	Mandatory		
CARS-RQ-SA-0610	System Administration	The System shall provide a PRD System Administrator with the ability to define and configure parameters that determine compliance of an Activity Report submission.	Mandatory		
CARS-RQ-SA-0611	System Administration	The System shall allow a PRD System Administrator to define and configure activity report submission timeframes by submission type.	Mandatory		
CARS-RQ-SA-0612	System Administration	The System shall allow a PRD System Administrator to define and configure amendment submission timeframes.	Mandatory		
CARS-RQ-SA-0613	System Administration	The System shall provide a PRD System Administrator with the ability to define and configure compliance parameters.	Mandatory		
CARS-RQ-SA-0614	System Administration	The System shall allow a PRD System Administrator to define and configure contribution limits associated with each elected office.	Mandatory		
CARS-RQ-SA-0615	System Administration	The System shall allow a PRD System Administrator to define and configure election cycle parameters.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SA-0616	System Administration	The System shall allow a PRD System Administrator to define and configure election parameters.	Mandatory		
CARS-RQ-SA-0617	System Administration	The System shall allow a PRD System Administrator to define and configure expenditure limits.	Mandatory		
CARS-RQ-SA-0618	System Administration	The System shall provide a PRD System Administrator with the ability to define and configure filing submission parameters.	Mandatory		
CARS-RQ-SA-0619	System Administration	The System shall allow a PRD System Administrator to define and configure registration submission status	Mandatory		
CARS-RQ-SA-0620	System Administration	The System shall allow a PRD System Administrator to define and configure lobbying submission timeframes.	Mandatory		
CARS-RQ-SA-0621	System Administration	The System shall allow a PRD System Administrator to define and configure registration submission status.	Mandatory		
CARS-RQ-SA-0622	System Administration	The System shall allow a PRD System Administrator to define and configure rejection reasons by filing submission type.	Mandatory		
CARS-RQ-SA-0623	System Administration	The System shall allow a PRD System Administrator to define and configure activity reporting submission status	Mandatory		
CARS-RQ-SA-0624	System Administration	The System shall allow a PRD System Administrator to define and configure submission aging parameters.	Mandatory		
CARS-RQ-SA-0625	System Administration	The System shall allow a PRD System Administrator to define and configure the threshold at which a committee is considered qualified.	Mandatory		
CARS-RQ-SA-0628	System Administration	The System shall maintain all system audit logs in accordance with records retention policies.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SA-0629	System Administration	The System shall not support system configuration creation, edit, change, and/or deletion via direct code update.	Mandatory		
CARS-RQ-SA-0630	System Administration	The System shall allow PRD System Administrator the ability to create, edit, change, and/or delete system configurations.	Mandatory		
CARS-RQ-SA-0631	System Administration	The System shall provide a central system configuration interface accessible by authorized a PRD System Administrator.	Mandatory		
CARS-RQ-SA-0632	System Administration	The System shall provide a PRD System Administrator with the ability to configure Filer inquiry escalation rules.	Mandatory		
CARS-RQ-SA-0633	System Administration	The System shall provide a PRD System Administrator with the ability to configure system idle time-out periods per session.	Mandatory		
CARS-RQ-SA-0634	System Administration	The System shall allow a PRD System Administrator to configure the page location for displaying system alert(s).	Mandatory		
CARS-RQ-SA-0635	System Administration	The System shall provide a PRD System Administrator with the ability to configure when an activity report will be automatically accepted by the system.	Mandatory		
CARS-RQ-SA-0636	System Administration	The System shall provide a PRD System Administrator with the ability to configure when an error message(s) will display during a business process.	Mandatory		
CARS-RQ-SA-0637	System Administration	The System shall allow a PRD System Administrator to configure when to assess a fine, fee, and/or penalty.	Mandatory		
CARS-RQ-SA-0638	System Administration	The System shall provide a PRD System Administrator with the ability to create, define, and designate when a system validation error is a fatal system error or a non-fatal system error.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SA-0639	System Administration	The System shall provide a PRD System Administrator with the ability to define and configure filing submission threshold parameters.	Mandatory		
CARS-RQ-SA-0640	System Administration	The System shall provide a PRD System Administrator with the ability to define and configure messages and alerts that redirect a user to a different area of the system.	Mandatory		
CARS-RQ-SA-0641	System Administration	The System shall provide a PRD System Administrator with the ability to define and configure monetary amounts for fines, fees, and penalties.	Mandatory		
CARS-RQ-SA-0642	System Administration	The System shall provide a PRD System Administrator with the ability to define and configure registration submission timeframes.	Mandatory		
CARS-RQ-SA-0643	System Administration	The System shall provide a PRD System Administrator with the ability to define and configure voluntary spending limits.	Mandatory		
CARS-RQ-SA-0644	System Administration	The System shall support system configuration settings having an associated configuration start date/time and configuration end date/time.	Mandatory		
CARS-RQ-SA-0645	System Administration	The System shall be the sole source updating system logs, business process logs, audit logs, or any CARS log.	Mandatory		
CARS-RQ-SA-0646	System Administration	The System shall provide a PRD System Administrator with the ability to define and configure entity linkage types.	Mandatory		
CARS-RQ-SA-0647	System Administration	The System shall provide a PRD System Administrator with the ability to display a complete, to-date history of all system configuration setting changes regardless of the user who made the change.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SA-0648	System Administration	The System shall provide a PRD System Administrator with the ability to display a complete, to-date history of all system configuration settings that were deleted regardless of the user who made the change.	Mandatory		
CARS-RQ-SA-0649	System Administration	The System shall provide a PRD System Administrator with the ability to display a complete, to-date history of all system configuration settings/parameters.	Mandatory		
CARS-RQ-SA-0650	System Administration	The System shall track all changes to public-facing correspondence template verbiage.	Mandatory		
CARS-RQ-SA-0651	System Administration	The System shall track all changes to public-facing correspondence templates.	Mandatory		
CARS-RQ-SA-0652	System Administration	The System shall track the "before and after" values of all system configuration changes.	Mandatory		
CARS-RQ-SA-0653	System Administration	The System shall track the date and time a configuration change was made.	Mandatory		
CARS-RQ-SA-0654	System Administration	The System shall track the system user who made a system configuration setting/parameter change.	Mandatory		
CARS-RQ-SA-0655	System Administration	The System shall be the sole source for creating system logs, business process logs, audit logs, or any CARS log.	Mandatory		
CARS-RQ-SA-0664	System Administration	The System shall provide a PRD System Administrator with the ability to view PRD business process/function logs.	Mandatory		
CARS-RQ-SA-0673	System Administration	The System shall allow a PRD System Administrator to configure when a Filer is required to submit to their local jurisdiction.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-SA-0718	System Administration	The System shall inform a User of the reason(s) why an action could not be successfully completed.	Mandatory		
CARS-RQ-SA-0719	System Administration	The System shall allow a PRD System Administrator to define and configure a response due date for correspondence.	Mandatory		
CARS-RQ-SA-0720	System Administration	The System shall allow a PRD System Administrator to define and configure the frequency at which a scheduled (batch) report is executed.	Mandatory		
CARS-RQ-SA-0725	System Administration	The System shall allow a PRD System Administrator to define and configure financial transaction codes and account types.	Mandatory		
CARS-RQ-SA-0728	System Administration	The System shall provide the ability for an authorized PRD user to configure content of correspondence.	Mandatory		
CARS-RQ-PE-0685	Performance	The System data fields shall meet or exceed the current specifications/capacity.	Mandatory		
CARS-RQ-PE-0686	Performance	The System shall provide technology that allows designated PRD staff to remotely access the system.	Mandatory		
CARS-RQ-PE-0687	Performance	The System shall provide reporting and transactional environments of adequate size and design to optimize the performance of both activities.	Mandatory		
CARS-RQ-PE-0688	Performance	The System shall accept 100 registrations per hour without degradation of system performance.	Mandatory		
CARS-RQ-PE-0689	Performance	The System shall successfully process 5,000 ad hoc searches (data retrievals) per hour without degradation of system performance.	Mandatory		
CARS-RQ-PE-0690	Performance	The System shall provide a current lobbying directory (report) when requested by a user without degradation of system performance.	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-PE-0691	Performance	The System shall complete an internal screen refresh due to a transaction within 1 second, 95% of the time under normal load and 90% under peak load.	Mandatory		
CARS-RQ-PE-0692	Performance	The System shall complete an internal screen refresh due to a navigational page change within 1 second, 95% of the time under normal load and 90% under peak load.	Mandatory		
CARS-RQ-PE-0693	Performance	The System shall complete a screen refresh in response to an internal data retrieval request within 1 second, 95% of the time under normal load and 90% under peak load.	Mandatory		
CARS-RQ-PE-0694	Performance	The System shall allow a PRD staff to access, in read-only mode, a Registered user's session while the Registered User is logged in.	Mandatory		
CARS-RQ-PE-0695	Performance	The System shall accommodate extensibility to include a unique identification number for each contributor included in the activity report.	Mandatory		
CARS-RQ-PE-0696	Performance	The System shall accommodate extensibility to include acceptance of registrations from filing entities who are currently required to file only with local jurisdictions.	Mandatory		
CARS-RQ-PE-0697	Performance	The System shall accommodate extensibility to include acceptance of submitted activity reports from filing entities who are currently required to file only with local jurisdictions.	Mandatory		
CARS-RQ-PE-0698	Performance	The System shall provide the ability for a PRD System Administrator to perform system administration tasks remotely.	Mandatory		
CARS-RQ-PE-0699	Performance	The System shall support designated web browsers.	Mandatory		
CARS-RQ-PE-0701	Performance	The System shall conform to California's open data repository standards	Mandatory		

Exhibit VI.1
 Functional Requirements (R1)

CARS-RQ-PE-0702	Performance	The System shall conform to open data standards that support sharing of diverse datasets.	Mandatory		
CARS-RQ-PE-0703	Performance	The System shall be fully accessible via mobile devices equipped with compatible operating systems.	Mandatory		
CARS-RQ-PE-0704	Performance	The System shall have the ability for a Registered User to configure a dashboard based on the user's system role.	Mandatory		
CARS-RQ-PE-0705	Performance	The System shall have the ability to produce graphical representation of system data, including calculations and totals.	Mandatory		
CARS-RQ-PE-0706	Performance	The System shall have the ability to generate a random sample listing of user-defined records.	Mandatory		
CARS-RQ-PE-0707	Performance	The System shall make requested archived electronic data available within 4 hours of the submitted request.	Mandatory		

Non-Functional Requirements (R2)

REQ ID	Category	Non Functional Requirement Text	Proposed Solution Description	Supporting Documentation Reference
CARS-NF-1.1	Security	The solution must comply with SAM 5300 Information Security. See http://sam.dgs.ca.gov/default.htm		
CARS-NF-1.2	Security	The solution must enforce security of all data in accordance with the SOS Information Security Office Data Security Categorization Standards (see SIMM 5305-A).		
CARS-NF-1.3	Security	The solution must utilize role-based access authorization based on least privileged principle.		
CARS-NF-1.4	Security	The solution must allow authorized SOS administrators to define the specific functions that can be performed by each role.		
CARS-NF-1.5	Security	The solution must allow authorized SOS administrators to create new roles.		
CARS-NF-1.6	Security	The solution must allow authorized SOS administrators to assign users to roles.		
CARS-NF-1.7	Security	The solution must only display functions which the user is authorized to perform according to the assigned role.		
CARS-NF-1.8	Security	The solution must allow SOS administrators to assign users only to roles for which they are authorized to administer.		

Non-Functional Requirements (R2)

CARS-NF-1.9	Security	The solution must log all creations of and updates to the data. The following information must be logged for each such change to the data: Data that was changed; Prior value of the data before the change (if applicable); Date and time of the change; and Source of the change (e.g. source IP address, automated process identifier, SOS user name, web user).		
CARS-NF-1.1	Security	The public website must reside under the sos.ca.gov domain, except where the Secretary of State's office (SOS) authorizes a deviation.		
CARS-NF-1.11	Security	The solution must receive and transmit data only using connections encrypted by Transport Layer Security (TLS) v1.2 or higher using authoritatively signed certificates.		
CARS-NF-1.12	Security	The solution must store password information only as salted hashes using SHA-2 or greater.		
CARS-NF-1.13	Security	The solution must produce all PDF documents in PDF/A format in accordance with standard: ANSI/AIIM/CGATS/ISO 19005-3:2012, Document Management – Electronic Document File Format for Long-Term Preservation – Part 3: Use of ISO 32000-1 with support for embedded files (PDF/A-3) based on PDF 1.7 (ISO 32000-1:2008).		
CARS-NF-1.14	Security	All third party Software as a Service (SaaS) that accept, process, store, or transmit credit card information must comply with PCI requirements.		
CARS-NF-1.15	Security	The solution must be able to connect to the state approved payment processing vendor website following the vendor's documentation and/or developer guide.		

Non-Functional Requirements (R2)

CARS-NF-2.1	Interoperability	All solution interfaces with external systems must be implemented as RESTful web services except where the Secretary of State's office (SOS) authorizes a deviation.		
CARS-NF-2.2	Interoperability	The solution must contain RESTful web services that support data exchange format e.g., XML, JSON for communication with other applications.		
CARS-NF-2.3	Interoperability	All RESTful web services must be secured using a combination of OAuth2 and JSON web tokens except where the Secretary of State's office (SOS) authorizes a deviation. (See bidder's library for specific details).		
CARS-NF-2.4	Interoperability	The solution must implement the interfaces listed in the Bidders' Library.		
CARS-NF-3.1	Maintainability	The system must handle all exceptions.		
CARS-NF-3.2	Maintainability	The solution must provide dashboard(s) to authorized SOS staff to display system and application events.		
CARS-NF-3.3	Maintainability	The solution must provide a real-time alert (e.g., email, Phone, SMS, etc.) to authorized SOS staff for system or application events.		
CARS-NF-3.4	Maintainability	The solution must provide authorized SOS administrators the ability to configure the specific events for which alerts will be provided; for each event, the administrator(s) and/or staff who will receive an alert; and for each combination of event and administrator(s) or staff, the method of transmittal of the alert (e.g., email, phone, SMS, etc.).		
CARS-NF-3.5	Maintainability	The solution must provide configurable workflow process.		

Non-Functional Requirements (R2)

CARS-NF-3.6	Maintainability	The solution must be configured with workflow processes using the approved technical documentation delivered in phase II of the CARS Project.		
CARS-NF-3.7	Maintainability	The solution must be compatible with the current Secretary of State Desktop Standards as specified in Bidder's Library, any deviations must be reviewed and approved by SOS prior to implementation.		
CARS-NF-3.8	Maintainability	The solution components hosted in the SOS Data Center must utilize existing LAN/WAN capabilities of the agency.		
CARS-NF-3.9	Maintainability	The solution components hosted in the SOS Data Center must utilize existing hardware (servers, storage, etc.) and services capabilities of the agency.		
CARS-NF-4.1	Availability	The solution must be capable of operating in more than a single cloud region.		
CARS-NF-4.2	Availability	In the event of a failure of up to a complete region, the system must be 100 percent functional within five minutes.		
CARS-NF-4.3	Availability	The solution must allow administrators to manually migrate system components or the entire system to a specified previously-configured region.		
CARS-NF-4.4	Availability	The solution must remain on-line even if any single component is unavailable in a single region due to routine maintenance or failure.		
CARS-NF-4.5	Availability	The solution must meet all performance requirements even if any single component is unavailable in a single region due to routine maintenance or failure.		

Exhibit VI.2

Non-Functional Requirements (R2)

CARS-NF-5.1	User Experience/Usability	The solution's public web pages must adhere to SOS Web Publishing Standards.		
CARS-NF-5.2	User Experience/Usability	All web pages must apply SOS-provided templates which will include cascading stylesheet (CSS), JavaScript and HTML files.		
CARS-NF-5.3	User Experience/Usability	If the SOS supplied stylesheets, javascript and layouts/templates need to be extended or overwritten, any extensions or overwrites must be reviewed and approved by SOS prior to implementation.		
CARS-NF-5.4	User Experience/Usability	The UI design must adhere to the SOS-provided templates that lay out the style and behavior of the UI components as well as the general look and feel.		
CARS-NF-5.5	User Experience/Usability	The solution must provide a single web entry point for online users.		
CARS-NF-5.6	User Experience/Usability	The solution must not prompt the user to reenter their credentials when accessing the Intranet based system components once the user has logged onto the Secretary of State (SOS) domain.		
CARS-NF-5.7	User Experience/Usability	The solution must support the latest version web browser for both desktop and mobile devices at the time of Contract award for the following: Google Chrome, Microsoft Explorer 9 and higher, Firefox, Microsoft Edge, Safari		
CARS-NF-5.8	User Experience/Usability	The solution must provide a graphical user interface for authorized SOS administrators to search, view and extract the audit log data including filtering and sorting by any field.		

Non-Functional Requirements (R2)

CARS-NF-5.9	User Experience/Usability	The solution must provide context-sensitive help information for all input data fields.		
CARS-NF-5.1	User Experience/Usability	The solution must include online help functionality.		
CARS-NF-5.11	User Experience/Usability	The online help must provide full text search capability.		
CARS-NF-5.12	User Experience/Usability	The online help index levels, index values, help content and hierarchy of index values and associated help content must be configurable by an authorized SOS administrator for all general, function-specific and field-specific help topics and subtopics.		
CARS-NF-5.13	User Experience/Usability	The solution must provide a Help table of contents, multiple (up to 15) index levels.		
CARS-NF-5.14	User Experience/Usability	The solution must use open standard tools for online help components.		
CARS-NF-5.15	User Experience/Usability	The solution must provide the ability for an authorized user to configure contents of help information.		
CARS-NF-5.16	User Experience/Usability	The solution must suppress technical error messages and display a user configurable messages in production.		
CARS-NF-5.17	User Experience/Usability	The solution must provide the SOS approved message for any system errors or exceptions.		
CARS-NF-5.18	User Experience/Usability	The solution must allow authorized users to configure error messages.		

Exhibit VI.2

Non-Functional Requirements (R2)

CARS-NF-5.19	User Experience/Usability	The solution must allow an authorized user to access and view help information from an application function without having to exit or close the application function.		
CARS-NF-5.2	User Experience/Usability	The solution's electronic help function content must be cross-referenced, allowing an authorized user to view and access content on help topics and subtopics that are related to the help topic or subtopic that the user is currently viewing.		
CARS-NF-5.21	User Experience/Usability	The solution must have a graphical display of the workflow.		
CARS-NF-5.22	User Experience/Usability	The solution must conform to accessibility standards cited in California Department of Technology's Technology Letter TL 16-06 titled "Updated IT Accessibility Resource Guide" (see http://www.cio.ca.gov/Government/IT_Policy/pdf/TL-16-06.pdf)		
CARS-NF-5.23	User Experience/Usability	The solution functions and features must conform to accessibility standards cited in California Government Code Section 11135; Section 508 of the United States Rehabilitation Act; and Web Content Accessibility Guidelines 2.0 (W3C World Wide Web Consortium Recommendation WCAG 2.0 12/2008, Level A & Level AA Success Criteria).		

Non-Functional Requirements (R2)

CARS-NF-6.1	Payment Processing	The payment processor webpage must collect the full credit card number, expiration date, and CVV2 information to complete the payment processing. Only partial credit card numbers can be transmitted back to SOS website for use in financial reconciliation. The current SOS standard is to store the first 2 and last 4 digits of the credit card number, e.g., 41*****9990.		
CARS-NF-6.2	Payment Processing	The solution must store Payment Processor secure login information (Merchant ID, User ID, PIN, etc.) that is encrypted and configurable.		
CARS-NF-6.3	Payment Processing	The solution shall transmit the following information to the payment processor: <ul style="list-style-type: none"> • SOS Unique Transaction Information, e.g., session ID • Entity Information (e.g., Filing Entity Number and/or Name, etc.) • Description of Charge (Information to be displayed on the confirmation receipt) • Amount • Other Merchant Payment Required Information, e.g., transaction type, etc. • Merchant Login Information (ID, PIN, etc.) • Transaction Type, e.g., credit card sales, batch processing, etc. 		
CARS-NF-6.4	Payment Processing	The payment processing solution must have a mechanism to prevent duplicate charges		
CARS-NF-6.5	Payment Processing	The solution must provide a method to reconcile payments		
CARS-NF-6.6	Payment Processing	The solution must provide a confirmation receipt to the customer.		

Non-Functional Requirements (R2)

CARS-NF-6.7	Payment Processing	The solution must provide SOS configurable message to the customer when the payment is denied.		
CARS-NF-6.8	Payment Processing	The confirmation receipt must include the following: <ul style="list-style-type: none"> • Date and time of filing Submission • Amount charged • Confirmation number • Description of Charge • Payment Contact information <ul style="list-style-type: none"> ▪ Card holder name ▪ Billing address associated with the credit card, if applicable ▪ Phone number associated with the credit card, if applicable 		

SECTION VII – STATEMENT OF WORK

1. General

- (a) This Statement of Work (SOW) defines the tasks needed to implement and support the Secretary of State (SOS or State) CAL-ACCESS Replacement System Project (CARS); it also establishes responsibilities for completing these tasks. The Contractor is responsible for performing all tasks including without limitation producing all Deliverables, and providing all Services described in this SOW and its Exhibits in the manner and according to the Specifications and the schedules and dependencies stated in the contractor's SOS-approved Project Management Plan (PMP) and Integrated Project Schedule (IPS) . The SOS team is responsible for providing information, data and documentation to facilitate the Contractor's performing its tasks, including without limitation producing Deliverables and providing Services, and to provide such additional support as specifically set forth in this SOW.
- (b) All services performed under this SOW shall be provided using, and in accordance with, California Master Service Agreement (MSA) for Information Technology Consulting Services, contract number XXXXXXXX, and all amendments, hereby incorporated by reference and made part of this Agreement. Both parties, the State and the Contractor are bound by all terms and conditions of this MSA including all attachments.
- (c) In the event the MSA for Information Technology Consulting Services, contract number XXXXXXXX, should expire prior to project completion, a separate agreement will be entered into, in accordance with State Contract Manual Volume 3 Section 5.6.0, at the rates or prices identified in the original solicitation for this contract and the Contractor's response to Section VII- SOW, Exhibit VII. 3 – Deliverable Cost Table.
- (d) The Contractor Deliverables identified for this fixed price Contract are described in Section VII- SOW, Exhibit VII.1 - Tasks and Deliverables.
- (e) For additional work, which is not foreseen at the time this Contract is executed, Work Authorizations (Exhibit I) will define and authorize such work pursuant to Section 7 of this SOW.
- (f) All required Commercial Software, other pre-existing materials incorporated into CARS System Software, and Third-Party Software components included in the CARS System must be acquired by the SOS. Further, in agreement with the SOS, the Contractor is responsible for ensuring that the updated versions of the software are configured and integrated with the CARS System Software from the time the Contract is awarded to the Contractor throughout the term that the Contractor provides Maintenance and Operations Services. Any software upgrades or other changes necessary to continue receiving the licensor's maintenance services for the Contractor Commercial Proprietary Software and third-party software will be made by the SOS without additional cost to the Contractor.

2. Term of Contract

The term of this Contract shall begin on the Contract Award Date and continue through Phase IV – First Year Operations and Close-out, which includes one (1) year of Maintenance and Operations Services, subject to earlier termination as provided in the Contract.

3. Contractor's Responsibilities

- (a) The Contractor shall make available personnel as listed in its Offer for the purpose of providing the services required to accomplish the tasks prescribed in Section VII- SOW, Exhibit VII.1 - Tasks and Deliverables and further defined in the contractor's SOS-approved Project Management Plan (PMP) and Integrated Project Schedule (IPS). Each Contractor Deliverable will be considered complete only after formal review and acceptance in writing by the SOS CARS Project Director that the Deliverable has been delivered in accordance with the requirements set forth in the SOW (see Section 10 - Inspection, Acceptance and Rejection of Contractor Deliverables). Each Contractor task, including but not limited to the services, will be considered complete only after formal

review and confirmation in writing by the SOS CARS Project Director that the task has been performed as required in the Contract.

- (b) The fixed price listed in this Contract shall provide for all Contractor tasks, including but not limited to the Deliverables, as defined in Section VII- SOW, Exhibit VII.1 - Tasks and Deliverables and as more fully specified in:
 - 1. The Project Management Plan (PMP) Deliverable, which defines the technical and managerial project functions, processes, activities, tasks, and schedules necessary to satisfy the Project requirements and produce required Contractor deliverables and which must receive the SOS's acceptance. Contractor's PMP Deliverable shall be developed based upon the Offeror's draft PMP and shall be submitted for the SOS' review and acceptance within forty-five (45) calendar days of the Contract start date.
 - 2. The Integrated Project Schedule (IPS), which specifies the planned tasks, milestones, estimated completion dates, resource assignments, and dependencies between tasks and which is effective only after it receives the SOS' acceptance. In collaboration with the CARS Project Director (or designee), the Contractor develops the IPS based upon the draft IPS in the Offer (included in the Offer's Schedule Management Plan) within forty-five (45) calendar days of the Contract Award Date. The updated and accepted IPS identifies major activities the Contractor must undertake to complete its Deliverables and to deliver required services in a timely manner. The IPS also identifies all activities that other contractors and the SOS staff must perform in order for the CARS Project to be completed. While the IPS is initially included in the Offeror's Schedule Management Plan, it is delivered and maintained as a separate Deliverable independent of the Schedule Management Plan for the term of the Contract, and any subsequently revised and accepted IPS that is within the scope of the Contract, an approved Work Authorization, or an authorized Change Order shall be deemed incorporated herein without the necessity of a Contract amendment. The IPS is envisioned to be the single consolidated schedule for the CARS Project.
- (c) If the Contractor delays in project performance in accordance with the agreed upon schedule or otherwise materially fails to perform under this Contract, the SOS may terminate the Contract for cause pursuant to Section 23 of the IT General Provisions (GSPD 401-IT 9/15/14) Termination for Default.
- (d) The Contractor shall cooperate with any third-party contracted by the State to provide additional project support services.
- (e) The Contractor shall work directly with the State to help the State determine changes that will be required to existing State and other systems to support the project and operate with the system in accordance with applicable specifications. If the SOS subsequently decides to request that the Contractor implement such changes for one or more of these existing systems that is not included within the Contractor's scope of work defined in this Contract and detailed in Section VI - Project Management, Business and Technical Requirements, the SOS will pursue such unanticipated work according to Section 7 – Unanticipated Tasks and Section 8 – Change Control Procedures.
- (f) The Contractor shall store all non-software project artifacts in the project's Microsoft Team Foundation Server (TFS) project library or other project library repositories as specified by the State.
- (g) The services provided by Contractor to accomplish the SOW shall be under the control, management, and supervision of the Contractor, including services provided by any subcontractors and off-site contractor staff (if applicable).
- (h) During the performance of this Contract, should the Contractor become aware of a financial conflict of interest that may foreseeably allow an individual or organization involved in this Contract to materially benefit from the State's adoption of an action(s) recommended as a result of this Contract, the Contractor must inform the SOS CARS Project Director in writing within 10 State business days. If, in the SOS CARS Project Director's judgment, the financial interest will jeopardize the objectivity of the recommendations, the SOS shall have the option of terminating the Contract.

Failure to disclose a relevant financial interest on the part of the Contractor will be deemed grounds for termination of the Contract with all associated costs to be borne by the Contractor and, in addition, the Contractor 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).

- (i) Refer to Section VII Exhibit VII.2 for details of Software Development Lifecycle Roles and Responsibilities.

4. Contractor Personnel

- (a) The Contractor shall make available personnel as specified in its offer for the purpose of performing tasks, including providing the services required in Section VII- SOW, Exhibit VII.1 - Tasks and Deliverables and further defined in the SOS-approved PMP and IPS.
- (b) The SOS requires that Contractor analysis, design, development, testing, and training development activities be performed exclusively within Sacramento County except as set forth below. The staff filling the Contractor's five (5) Key Staff Roles, which include the Contractor's Project Manager, Business Lead, and Data Integration Lead, must work exclusively at the SOS' Sacramento office. No tasks shall be performed offshore. If Contractor identifies potential tasks that Contractor staff filling any of the Key Staff Roles could accomplish off-site and/or tasks that any Contractor staff could accomplish working outside Sacramento County without adversely affecting the project, the SOS CARS Project Director or designee may grant exceptions based on Contractor's written request and justification, submitted in writing to the SOS CARS Project Director at least ten (10) State business days prior to the date that the Contractor proposes such off-site work begin and contingent upon the SOS CARS Project Director written approval of the request before work begins.
- (c) If staff designated to fill any one of the five (5) Key Staff roles submitted by the Contractor for the Contract is unable to participate in this Contract at any time, they must be replaced with comparably qualified staff who meet the minimum RFO qualifications within twenty-eight (28) State business days. The Contractor may request changes to staff designated to fill any one of the five (5) Key Staff roles (either replacement or additional staff) by submitting a written request to the SOS CARS Project Director. The request must include customer references and a current resume for each replacement staff. The SOS may, at its sole discretion, request additional information to substantiate whether the replacement staff is in compliance with the RFO requirements. Within ten (10) State business days after receipt of the request or additional information, the SOS CARS Project Director will respond, in writing, indicating approval or rejection of the proposed replacement staff. The SOS CARS Project Director must approve replacement staff designated to fill any one of the five (5) Key Staff roles in writing before they begin work on the project.
- (d) If any of the proposed replacement staff designated to fill any one of the five (5) Key Staff roles is rejected, the Contractor shall work diligently to promptly provide a qualified replacement to the SOS for approval within twenty (20) State business days of the rejection.
- (e) The SOS will notify the Contractor concerning any issues and/or concerns the SOS has regarding the poor or otherwise unsatisfactory performance of any Contractor staff working on-site at the SOS and the Contractor will have ten (10) State business days in which to remedy the SOS' issues and/or concerns. If Contractor has not remedied the SOS' issues and/or concerns regarding the Contractor staff within this period of time, the SOS reserves the right in its sole discretion to require the Contractor to replace such staff at any time thereafter, subject to compliance with applicable law. The SOS will notify the Contractor in writing when exercising that right. The Contractor, no later than twenty (20) State business days of such notification, shall provide a replacement candidate.
- (f) The Contractor must designate one project representative to oversee the management and requirements of the Contract. The Contractor's project representative will work directly with the SOS CARS Project Director.

- (g) The Contractor must provide staff to support required project roles, work activities, and management of their respective teams based on this SOW.

5. Work Standards

The Contractor staff and Subcontractors shall adhere to the following work standards for the project:

- (a) The Contractor will use Microsoft Office 2010 , Microsoft Project 2012 and above or such other standard programs designated by the SOS.
- (b) Contractor will comply with the SOS' security restrictions related to the access of the SOS facilities. The SOS must agree to any exceptions to the established practices in writing.
- (c) The Contractor will maintain the IPS in MS Project 2012 or above as accepted in writing by the SOS.
- (d) The Contractor will manage all project documentation on the shared SOS Project Library.
- (e) All required project records and documentation must be maintained in the SOS Project repository in electronic format (such as MS Word, MS Excel or editable PDF). If the electronic version of a Contractor's project record or Documentation Work Product is created by or stored in a product or tool that the SOS does not own or have access to, then, the SOS and the Contractor will identify an alternate electronic format that is acceptable to both parties that will be used by the Contractor to store an electronic copy of the particular project record or documentation work product;
- (f) The Contractor must comply with project management industry standards (e.g., PMBOK and IEEE) when designated in writing by the SOS.

6. Responsibilities of the SOS

- (a) The SOS CARS Project Director will oversee and manage this Contract. The SOS CARS Project Director will work with the Contractor to facilitate successful completion of Contractor's obligations, will review and have authority to provide Acceptance of Deliverables in accordance with Contract terms, will accept staffing changes, and will work to resolve Contract issues.
- (b) The SOS CARS Project Director will be responsible for the overall management of the project Governance Structure that includes an Executive Steering Committee (ESC) and Project Management Office (PMO), and serves as the primary contact for each.
- (c) The SOS will maintain a project management office and provide project management support.
- (d) The SOS will be responsible for the delivery of project communications.
- (e) The SOS will serve as the representative of the project in meetings, presentations, and other contexts for the project.
- (f) The SOS will provide all agreed upon hardware and software for design, development, and implementation of the CARS System.
- (g) The SOS will provide knowledge of relevant State processes, policies, and regulations related to filings.
- (h) The SOS will administer and maintain the project library for deposit of project deliverables and other documents. The project library will be comprised of both hard copy and electronic documents.
- (i) The State will continue to support its existing legacy systems as provided in the SOS PMP.
- (j) For work performed at the SOS' premises, the SOS shall provide the following work environment, after all onsite Contractor and subcontractor personnel agree in writing to the SOS and State acceptable use policies.

1. Up to five (5) contractor workstations and work space for up to ten (10) Contractor staff; and, access to printers, copiers, telephone, and desktop computers with approved SOS applications.
 2. Should the Contractor wish to have more than five (5) workstations connected to the SOS network, a written request can be made to the SOS CARS Project Director for his/her consideration.
- (k) The SOS is responsible for providing required information, data, and documentation, in its current form, as specified in the Request for Offer (RFO), and access to program staff to facilitate Contractor's performance of the tasks. The SOS CARS Project Director or designee shall provide additional assistance and services as specifically set forth in Section VII- SOW, Exhibit VII.1 - Tasks and Deliverables.
- (l) The SOS CARS Project Director (or designee) shall manage the performance and availability of the SOS personnel under this SOW and is the sole individual to whom all official communications relative to this SOW will be addressed by Contractor.
- (m) At the end of Phase IV – First Year Operations and Close-out, the SOS shall assume primary responsibility for maintaining and operating the CARS System without Contractor support.

7. Unanticipated Tasks

- (a) If additional work must be performed that was wholly unanticipated and was not identified in either the RFO or Contractor's offer, but which, in the opinion of the SOS, is necessary to the accomplishment of the general scope of work in the Contract, and the estimated cost of that work does not exceed the amount calculated and recorded in Section VII- SOW, Exhibit VII.3 – Deliverable Cost Table, the following procedures will be employed. Unanticipated tasks, if approved by the SOS, will be authorized through Work Authorizations as described in this Section 7.
- (b) For each item of unanticipated work, the CARS Change Control Process will be used (see Section 8 – Change Control Procedures). When the Change Control Request resulting from this process is approved by the SOS, a Work Authorization will be prepared by the Contractor in accordance with the sample in Section VII- SOW, Exhibit VII.7 – Sample Work Authorization. All Contractor rates have been established by Contractor staff classification in Section VII- SOW, Exhibit VII.5 - Staff Hourly Rates and shall apply to all Work Authorizations developed and approved under this Contract. Unless otherwise agreed by both parties in writing, the Contractor Work Authorization will specify a fixed price for the delivery and acceptance of the change.
- (c) It is understood and agreed by both parties to this SOW that all of the Terms and Conditions of this SOW shall remain in force with the inclusion of any additional Work Authorization. Such Work Authorization shall in no way constitute an agreement other than as provided pursuant to this SOW nor in any way amend any of the other provisions of this Contract.
- (d) Each Work Authorization shall be prepared in accordance with in Section VII- SOW, Exhibit VII.7 – Sample Work Authorization and shall include, at a minimum:
1. Complete description of the work to be performed
 2. Schedule for the work to be performed
 3. Contractor resource classifications that will be used to perform the work
 4. Deliverables to be produced
 5. The cost of the work to be performed to address the Work Authorization and whether the cost reflects a fixed price or an estimated number of hours (e.g., time and materials).
- (e) Upon agreement, both parties shall execute the Work Authorization.
- (f) If, while performing the work required to address a Work Authorization to be performed under this Contract and which was accepted as an estimated number of labor hours rather than a fixed price for the Deliverable, the Contractor determines that the required

work cannot be completed within the estimated labor hours, Contractor will immediately notify the SOS in writing about this determination and relay the Contractor's labor hours already expended to address the Work Authorization (if any) as of the time of notification and the Contractor's estimate of the additional labor hours and additional cost that will be required to complete the Work Authorization in full. Upon receipt of such notification, the SOS may in its sole discretion elect to:

1. Authorize Contractor to expend the estimated additional labor hours in excess of the original estimate necessary to accomplish the Work Authorization; or,
2. Terminate the Work Authorization; or,
3. Alter the scope of the Work Authorization in order to define tasks that can be accomplished within the remaining estimated labor hours; or
4. Provide Acceptance for the work provided and set-off from the cost previously agreed upon for the work to the extent determined to be appropriate by the SOS.

The SOS shall notify the Contractor of its decision in writing within five (5) business days of receiving the written notification from the Contractor.

- (g) Contractor shall not initiate work effort for Work Authorizations until authorized in writing by the SOS and the Work Authorization is included as an amendment to the Contract.

8. Change Control Procedures

Either the SOS or the Contractor may request changes to this SOW at any time. Because such changes could significantly affect the cost or other critical aspects of the work being performed, both the SOS and the Contractor must agree whether to accept each change request prior to implementation.

The following change control procedure will be used except as superseded by written mutual agreement in the SOS' Change Control Plan:

- A Change Request (CR) prepared pursuant to the Change Control Plan will be the vehicle for communicating change.
- A CR must describe: the requested change; the rationale for the change; and any anticipated effect the change will have on the schedule and/or budget.
- Resolution of open issues concerning the definition, submission, acceptance, rejection, or implementation of all CRs will occur via a resolution process mutually selected by and agreeable to the SOS and the Contractor.

9. Problem Escalation

Should the Contractor Project Manager and the SOS CARS Project Director and CARS Project Manager not be able to agree on a resolution to any particular issue, the Contractor and the SOS agree to raise the issue to the SOS Project Sponsor prior to the assertion of rights under the Contract's Dispute provisions in IT General Provisions (GSPD 401-IT 9/5/14), Provision 41. The SOS Project Sponsor will decide on a resolution within ten (10) State business days of being made aware of the issue. The SOS may extend this timeline at its sole discretion. The SOS Project Sponsor will use whatever resources he/she deems necessary to seek a rapid and just resolution to an issue at the SOS Project Sponsor level. If resolution cannot be reached at the SOS Project Sponsor level within the time frame prescribed above, either party may assert its other rights and remedies as provided by the Contract.

10. Inspection, Acceptance and Rejection of Contractor Deliverables

The following provisions shall take precedence over IT General Provisions (GSPD 401-IT 9/5/14), Provision 16 – Inspection, Acceptance and Rejection:

(a) Acceptance

1. Acceptance of the CARS System will be governed by this SOW. Acceptance of the CARS System shall be conditioned upon the description of CARS System Acceptance defined in Section 10(e).
2. All Deliverables shall be subject to SOS' acceptance, including without limitation Deliverables provided pursuant to the Deliverables described in Section VII- SOW,

Exhibit VII.1 - Tasks and Deliverables, Work Authorizations, System Change Requests and Technical Service Requests.

3. The SOS acceptance of each Contractor Deliverable submitted for the SOS' review and acceptance will be communicated exclusively through a formal written letter to the Contractor. No CARS Deliverable shall be considered accepted unless and until the SOS has provided such formal written acceptance.
4. At the SOS' request, Contractor shall provide a walk-through of a Deliverable prior to delivery or acceptance thereof, notwithstanding the absence of a requirement for such in a DED.

(b) Contractor Formal Transmittal of Deliverables

1. Contractor shall submit for review and approval a formal transmittal letter from Contractor's Project Manager addressed to the SOS CARS Project Director (or designee) for each Deliverable. The Deliverable must contain an approval page, which indicates the date submitted, to whom submitted, Deliverable author, and title of the Deliverable. The DED prepared for the specific Deliverable approval must be attached to the transmittal.
2. In submitting a Deliverable for State Acceptance, the Contractor represents that, to the best of its knowledge, it has performed the associated tasks in a manner which will, in concert with other tasks, conform to the relevant terms and conditions of the CARS Contract and conform to and meet applicable acceptance criteria. Each Deliverable submitted to the SOS CARS Project Director for review and acceptance shall have a Deliverable Certification Cover Letter from the Contractor. The Deliverable Certification Cover Letter shall contain the following Certification: "I certify that this Deliverable has been prepared in accordance with the relevant terms and conditions of the CARS Contract and conforms to and meets its applicable Acceptance Criteria." The Deliverable Certification Cover Letter shall also contain a certification that the Contractor has performed an internal quality assurance review of the Deliverable. Deliverables shall be signed as complete by a Contractor representative who is authorized to sign legal documents for the Contractor's organization.

(c) General Delivery and Review Process

1. Contractor shall provide the SOS with the Deliverables on or before the applicable delivery dates in the PMP and IPS, as mutually agreed upon in writing and described in this Contract. The Contractor and the SOS shall utilize the specifications, the DEDs, the IPS, PMP, the RFO, the Offer, and the Deliverables for which the SOS has previously granted acceptance, Contractor's professional knowledge, and this Contract as the basis for establishing and mutually agreeing to the DED for a Deliverable.
2. Upon delivery of a Deliverable and receipt of the Deliverable Certification Cover Letter from Contractor, the SOS will, with Contractor's assistance, perform acceptance tests on the Deliverable to determine whether the Deliverable conforms to its acceptance criteria.
3. The SOS' testing time for Software Deliverables submitted for acceptance shall be as documented in the DED, IPS, and PMP but will be fifteen (15) State business days if not so documented, without requiring the SOS' concurrent review of multiple Deliverables unless otherwise agreed upon by the SOS in the DED, IPS or PMP. Further:
 - (i) The testing time may, in the SOS' reasonable discretion, be extended on a day-to-day basis. If the testing time is extended:
 - a. The SOS shall make every effort to notify Contractor of any and all Deficiencies reasonably discoverable by the SOS at the time of the extension.
 - b. On the sixth (6th) business day following the expiration of the SOS testing time period for the Software Deliverable, the SOS shall initiate the Change Control process (Section 8, above) to evaluate the schedule and/or cost impact (if any) to the CARS project and the Contractor. The resulting

changes to the IPS, if any, shall be a consideration in determining the appropriate compensation due to Contractor. The SOS will revise the IPS included in the Contract to reflect the change in downstream dates accordingly.

- (ii) When the SOS completes testing of a Software Deliverable, the SOS shall notify Contractor in writing of Deficiencies that the SOS requires the Contractor to remedy, and the Contractor shall correct the Software Deliverable Deficiencies within five (5) State business days of receiving notice from the SOS. The SOS may, at its discretion, allow a period longer than five (5) State business days in consideration of the scope of the change required to address the Software Deliverable Deficiencies.
4. The SOS review time for document Deliverables submitted for acceptance will be determined at the time the Deliverable DED is developed and will be based on the type and complexity of said Deliverable, and the times included in the preliminary IPS and PMP. The SOS will require ten (10) State business days for review, comment and approval on a Deliverable unless otherwise agreed upon by the SOS in the IPS or PMP. Document deliverables that are more complex and/or over 100 pages may, in the SOS' discretion, require twenty (20) State business days for review. Changes to these review times shall be discussed during the DED review period and mutually agreed upon by both parties.
5. The times for review and testing times assume that the SOS will not conduct a concurrent review or test of multiple Deliverables submitted for Acceptance. If multiple Deliverables must be reviewed or tested concurrently, review and testing times will depend on the nature and complexity of the Deliverables, available SOS and Contractor resources, and the number of Deliverables concurrently being reviewed and tested. However, the SOS will require ten (10) State business days or twenty (20) State business days depending upon Deliverable size and complexity as specified in Section 10(c)4 in Section VII – SOW for each Deliverable's review or testing, unless the SOS and Contractor otherwise agree in the DED, IPS or PMP on the number of State business days that the SOS will require to concurrently review and test multiple Deliverables. Reviewing and testing time may, in the SOS' reasonable discretion, be extended on a day-to-day basis to the extent that the SOS' review or test of a Deliverable or concurrent review of multiple Deliverables and review of corrections of Deficiencies in accordance with the Acceptance process and Acceptance test plan is longer than described in the DED, IPS, or PMP, or longer than the number of State business days specified in Section VII – SOW Section 10(c)4, as applicable.

If the SOS requires a period of time that exceeds the number of days specified for the Deliverable in the corresponding DED or that exceeds the number of days specified for review/test of Deliverables when no such DED specification is established (see Section 10(c)4 in Section VII – SOW) to complete its review or testing, then, on the sixth (6th) business day following the expiration of the review/test time period, the SOS shall initiate the Change Control process (Section 8, above) to evaluate the schedule and/or cost impact (if any) to the CARS project and the Contractor. The resulting changes to the IPS, if any, shall be a consideration in determining the appropriate compensation due to Contractor. The SOS will revise the IPS included in the Contract to reflect the change in downstream dates accordingly.

6. For those deliverables submitted for Acceptance, the SOS shall notify Contractor of Deliverable Deficiencies that the SOS requires the Contractor to remedy prior to Acceptance, and the Contractor shall correct the Software Deliverable Deficiencies within five (5) State business days of receiving notice from the SOS except for any Deficiency or types of Deficiencies identified according to the provisions of Sections 10.c.8.v and 10.f.3 of Section VII – SOW (which would be subject to the remedies and timeframes specified in those provisions). The SOS may, at its discretion, allow a period longer than five (5) State business days in consideration of the scope of the change required to address the Deliverable Deficiencies. The following applies to any Deliverable Deficiencies identified by the SOS.

(i) Reproducibility of Deliverable Deficiencies.

Any Deliverable Deficiency detected and reported for a Software Deliverable during any of the CARS Project Phases and during any subsequent contract for software maintenance and operations and support must be reproducible. A reproducible deficiency is one that can be predictably re-created and/or demonstrated by a tester, a CARS system end-user and/or a CARS operator once the conditions required to create the deficiency have been identified. The SOS may request Contractor's staff to assist the SOS CARS testing resources, end-user or operations staff to identify the conditions required in order to reproduce the Deficiency.

(ii) Deliverable Deficiency Severity Levels.

The SOS will assign a Deliverable Deficiency Severity Level to each deficiency identified during review of a CARS Deliverable submitted for the SOS' review and acceptance. The Deliverable Deficiency Severity Level assigned to a Deliverable Deficiency will be tied to the Acceptance Criteria specified in the Deliverable's corresponding Deliverable Expectation Document (DED) and will reflect the impact or significance of the deficiency based on the Acceptance Criterion or Criteria that the Deliverable fails to meet due to the deficiency.

As Section VII – SOW, Exhibit VII.3 – Sample Deliverable Expectation Document illustrates, each CARS Deliverable's DED will define applicable Acceptance Criteria. Depending upon the nature of the Deliverable, Acceptance Criteria will designate the previously specified requirements, objectives, standards, consistency with previous Deliverables and other criteria that the SOS and the Contractor agree are appropriate to use in order to determine that the Deliverable under review is accurate, complete and appropriate. The DED for a Deliverable may also designate Acceptance Criteria that represent general Deliverable attributes that could be applicable to multiple CARS Deliverables (e.g., spelling, grammar, etc.).

After Contract Award and prior to the Contractor delivering a DED for any CARS Deliverable, the SOS and the Contractor will mutually agree to a consistent set of Deliverable Deficiency Severity Levels and definitions based on Acceptance Criteria specified in DEDs.

7. When the Contractor completes correcting a Deliverable to address the documented Deficiencies that precluded the SOS' Acceptance of the Contractor's previous submission of the Deliverable and resubmits the corrected Deliverable for the SOS' review and acceptance, the SOS' review and/or testing time for the corrected and resubmitted Deliverable will be the same number of business days specified for review and/or testing for the Deliverable's initial submission. The State shall make every effort to identify any and all deficiencies reasonably discoverable by the State at the time the Contractor first submits a Deliverable for the State's review and acceptance. However, any new or remaining Deficiencies the SOS identifies during review of the corrected and resubmitted Deliverable shall be communicated to the Contractor in a written notification and all subsequent Contractor and SOS' actions (and the number of State business days allowed for each) shall proceed in the same manner and with the same time constraints as specified for the Deliverable's initial submission. This process for a resubmitted and corrected Deliverable that has not yet been given acceptance by the SOS continues until either the Deliverable is subject to Section 10.d.1 in Section VII – SOW (below) or the SOS CARS Project Director communicates in writing that:
 - (i) The corrected and resubmitted Deliverable corrects all previously documented deficiencies, contains no new deficiencies, and is given acceptance by the SOS; or,
 - (ii) While potentially correcting some or all of the previously documented deficiencies, the corrected and resubmitted Deliverable contains the specified new or previously Documented Deficiency (or Deficiencies) which the Contractor is not required to resolve based on the SOS' determination that the Deficiency (or Deficiencies) has minimal impact on the project and, therefore, the Deliverable is given acceptance by the SOS.

8. The following describes what the State's Acceptance of a Deliverable shall be based upon and the exception process for, in very limited instances, those CARS Deliverables that may be eligible for acceptance while acknowledged to contain an unresolved Deliverable Deficiency (or Deficiencies) meeting specific criteria.
- (i) The Deliverable will conform to and operate in accordance with all applicable Acceptance Criteria.
 - (ii) Deliverable documents will be comprehensive in level of detail and quality as defined in this SOW and the applicable DED.
 - (iii) Deliverable documents will be organized in a structured manner and be professional in presentation.
 - (iv) Deliverable documents will be consistent in style and quality. This means if a Deliverable document is the composite work of many people within the Contractor's organization, the Contractor is responsible for making any edits necessary to ensure the Deliverable document delivered to the SOS is of a consistent style and quality.
 - (v) **Unresolved Deliverable Deficiencies in Accepted Deliverables.** The SOS expects that each Deliverable submitted to the SOS CARS Project Director for review and acceptance will be determined to be free of Deliverable Deficiencies as a condition of the SOS providing acceptance of the Deliverable. However, SOS recognizes that, for a very limited number of CARS Deliverables, the SOS and the Contractor may mutually agree that the Deliverable may be eligible for the SOS acceptance despite containing an as yet unresolved Deliverable Deficiency (or Deficiencies) which is agreed to have a low impact on the quality, accuracy, and completeness of the Deliverable and any subsequent Deliverables.

The SOS and the Contractor may identify such a Deliverable at the time the Deliverable's DED is developed (as specified in Section 10.f.3 in Attachment 1-SOW) and/or at the time the Deliverable is undergoing review and acceptance by the SOS. Whenever the SOS and the Contractor agree that a Deliverable is eligible for the SOS' acceptance despite containing an as yet unresolved Deliverable Deficiency (or Deficiencies), the SOS and the Contractor shall specify in a written agreement:

- a. The specific Deliverable Deficiency (or Deficiencies) or the Deliverable Deficiencies of a specified severity level that may remain unresolved at the time of acceptance.
- b. The SOS and Contractor agreements regarding if and how the State's acceptance of the Deliverable with such explicitly acknowledged unresolved deficiencies impacts the State's review and Acceptance of subsequent Deliverables until such time that the SOS CARS Project Director's review of the Contractor's later re-submission of the corrected Deliverable (see 10.c.8.v.c and 10.c.8.v.d, below) determines that either: i) the Contractor has satisfactorily resolved the deficiencies that were unresolved at the time of Acceptance and no new deficiencies have been introduced or found; or, ii) although the corrected Deliverable still contains one or more of the deficiencies that were unresolved at the time the Deliverable was accepted and/or new deficiencies, in the SOS' assessment, those remaining Deficiencies have such minimal project impact the Contractor is not required to resolve them.
- c. The number of business days following the SOS' acceptance of the Deliverable that the Contractor must address the unresolved deficiencies in the Deliverable which has received acceptance and resubmit the corrected Deliverable to the SOS CARS Project Director.

- d. Within five (5) State business days of receiving the resubmitted, corrected Deliverable (which the SOS previously accepted with acknowledged unresolved deficiency), the SOS CARS Project Director will review and determine that the resubmitted Deliverable either: meets the conditions specified in 10.c.8.v.b.i or 10.c.8.v.ii (above); or, still contains one or more of the deficiencies that were unresolved at the time the Deliverable was accepted and/or new deficiencies that the SOS requires the Contractor to correct. If the SOS requires the Contractor to correct deficiencies identified within the resubmitted Deliverable, the SOS shall notify the Contractor in writing of these deficiencies and the Contractor must correct and resubmit the Deliverable within five (5) State business days of receiving the SOS notice (unless the SOS, at its discretion, allows a period longer than five (5) State business days).

When the Contractor once again resubmits the corrected, previously Accepted Deliverable for the SOS CARS Project Director's review and determination, the SOS review and/or testing time for the corrected and resubmitted Deliverable will be the same number of business days specified for review and/or testing for the initial resubmission of the corrected Deliverable.

- e. The process for the Contractor to correct and resubmit a Deliverable that has previously been given acceptance by the SOS (as explained in this Section) continues until: the SOS CARS Project Director communicates in writing that the conditions identified in Section 10.c.8.v.b.i or Section 10.c.8.v.b.ii (above) are met; or, the Deliverable is subject to Section 10.d.1 in Attachment 1 – SOW (below).
9. Unless otherwise permitted by the PMP or IPS, it is the State's intention that work on subsequent Deliverables will not proceed prior to the State's formal acceptance of the preceding Deliverables. If the Contractor elects to proceed with work on subsequent Deliverables prior to such acceptance of preceding Deliverables, the Contractor must request and receive the SOS CARS Project Director's approval in writing in order to use the SOS CARS staff or contractors in such work. With or without the State's approval, Contractor shall proceed with such work at Contractor's sole risk and with the understanding that the Contractor may need to repeat previously performed work without payment therefore by the State.
 10. In accordance with the terms specified in Section 10(b)2 of this SOW, the parties acknowledge and agree that the State's Acceptance of a Deliverable indicates that it has reviewed the Deliverable and confirmed that the Deliverable meets its Acceptance Criteria as set forth in the applicable DED. The State's acceptance of a Deliverable does not discharge any of Contractor's obligations to insure comprehensiveness, functionality, effectiveness or Certification of the CARS System as a whole. Acceptance shall not be construed to waive any warranty rights that the State might have at law or by express reservation in this Contract with respect to any deficiency.

(d) Remedies for Uncorrected Deliverable Deficiencies

1. Excepting deficiencies that the parties have mutually agreed need not be corrected (as specified in Sections 10.c.7.ii or 10.c.8.v.b.ii in Section VII – SOW, above), if the Contractor is unable to correct deficiencies reported to the Contractor within 60 calendar days from either submission of the Deliverable Certification Letter (see Section 10.b.2, above) or the first resubmission of the corrected, Accepted Deliverable (see 10.c.8.v.c, above), the State may, at its option: (i) continue reviewing or performing acceptance tests on the Deliverable and require Contractor to continue until deficiencies are corrected or eliminated; (ii) request Contractor to provide, at its expense, a replacement Deliverable for further review or acceptance tests; or (iii) accept a reasonable adjustment in the cost of the applicable Deliverable in an amount to reflect a reduction in the value of the Deliverable as a result of the noted deficiencies that have not been corrected and/or provide full or conditional acceptance for the applicable Deliverable. If the State determines that none of the options or remedies described in this Section (above) is appropriate, the State may,

within seven (7) calendar days of the State's cure notice, pursuant to Provision 23(b) in the IT General Provisions (GSPD 401-IT 9/5/14), terminate this Contract in whole or in part after rejecting the Deliverable without penalty or liability to State, and return to the Contractor the rejected Deliverable as well as any Successor Deliverable(s) that is Dependent upon the rejected Deliverable.

A Deliverable is considered a Successor Deliverable to and Dependent upon the rejected Deliverable if the Deliverable is defined as a Successor Deliverable of the rejected Deliverable within this Contract and the acceptance of the Deliverable is specified as contingent upon prior or concurrent SOS acceptance of the rejected Deliverable. Dependencies between the CARS Deliverables shall be defined in the CARS System – Schedule of Deliverable Payments tables that are included within subsection C - Payment Milestones in Section VII – SOW, Exhibit VII.1 – Tasks and Deliverables.

If the State terminates this Contract under this provision, Contractor shall, within 20 calendar days thereafter, refund to the State payments made to Contractor (if any) for: the rejected Deliverable; and, any Successor Deliverables that are dependent upon the rejected Deliverable. In addition, the Contractor shall not be entitled to any further compensation from the State under the terms of this Contract following termination as defined above except payments due to the Contractor for valid, submitted invoices for Accepted Deliverables not impacted by the rejected Deliverable.

2. In addition to its other remedies, if Contractor fails to deliver Deliverables which satisfy Contractor's obligations hereunder, the State shall have the right to withhold payments due hereunder without penalty or work stoppage by Contractor until such failure to perform is cured.
3. In the event of a contradiction, conflict, ambiguity or inconsistency in or between Deliverables, and other documents comprising this Contract, including without limitation, a Deliverable that has already received acceptance, the RFO and the Offer, any such contradiction, conflict, ambiguity or inconsistency shall be resolved in favor of the latest State-approved Deliverable except in the case where a previous documented requirement is inadvertently omitted or not addressed directly in a subsequent Deliverable. No requirements can be omitted from the specifications without the SOS CARS Project Director's written consent.
4. The Contractor must not change a Deliverable that has received acceptance from the State without the approval of the State.

(e) CARS System Acceptance

1. The SOS CARS Project Director will provide acceptance of the CARS System if the CARS System meets the applicable Acceptance Criteria set forth herein.
2. The CARS System Acceptance Criteria will include:
 - (i) The SOS acceptance of Deliverable III.6 - Phase 0 Ongoing Process Tasks and Deliverables for Phase III – System Development, Testing and Deployment including Delivery of Updated CARS System Source Code and System Documentation.
 - (ii) Submission of all Contract Deliverables up through Deliverable III.6 (as stated above).
 - (iii) Satisfaction of all mandatory requirements and system specifications.
 - (iv) Satisfaction of all terms and conditions that the Contract states must be satisfied prior to *beginning* Phase IV – First Year Operations and Close-out.

(f) Deliverable Expectation Documents (DED)

1. Contractor shall submit a DED to the State for each Deliverable due under the Contract according to the PMP and the IPS and based upon Section VII – SOW, Exhibit VII.1 – Tasks and Deliverables, related information in the Offer (if any), and SOS and Contractor discussions during related phase envisioning sessions. The Contractor shall deliver CARS DEDs in accordance with the Deliverable

dependencies described for the corresponding Deliverables in Section VII – SOW, Exhibit VII.1 – Tasks and Deliverables. The SOS will not provide review and acceptance of a DED for a Deliverable prior to the State’s formal acceptance of the DED for all preceding Deliverables. The DED for each Deliverable is itself a Deliverable and is due for delivery to the State in accordance with the terms of the PMP and IPS. Contractor shall gain the State’s acceptance of the DED before starting work on the Deliverable described therein. For each DED, the parties will agree on Acceptance Criteria based on the specifications during the course of the project.

2. The DED for each Deliverable will be drafted by the Contractor, using the template provided in Section VII – SOW, Exhibit VII.6 - Sample Deliverable Expectation Document Template. This process will establish requirements regarding the appropriate standards, format, content, number of copies, and Acceptance Criteria for the Deliverables. This process can start as early as the phase envisioning sessions where the Contractor will present the vision for the subsequent phases and the SOS will provide detailed and collaborative feedback during the visioning sessions. At a high level, the vision for the phase Deliverables will be identified and will serve as the input for the drafts of phase-related DEDs.
3. For a very limited number of CARS Deliverables, the SOS and the Contractor may agree at the time the DED is being developed for the Deliverable that the Deliverable’s specific nature recommends it be eligible for the SOS’ acceptance (when later submitted for the SOS’ review and acceptance) despite possibly containing a specific type of Deliverable Deficiency (or Deficiencies) representing low or minimal adverse impact on the quality, accuracy, and completeness of that specific Deliverable and on any subsequent Deliverables. For any Deliverable(s) so identified, the SOS and the Contractor will mutually agree to and specify in that Deliverable’s DED all of the same criteria specified in Section VII – SOW, Sections 10.c.8.v.a, 10.c.8.v.b, and 10.c.8.v.c. The DED for such a Deliverable would specify the type of unresolved deficiency (or deficiencies) that would not preclude the SOS’ acceptance by designating deficiencies assigned a specific Deliverable Deficiency Severity Level (that is defined as representing low or minimal impact) or by identifying the specific type of deficiency, such as specifying that any unresolved spelling errors in non-critical term would not preclude the SOS’ acceptance of the particular Deliverable.

The ability of the SOS and the Contractor to agree during DED development that the nature of a particular CARS Deliverable recommends specifying in the DED that the Deliverable should be eligible for acceptance despite possibly containing as yet unresolved Deliverable Deficiency (or Deficiencies) of a specified, low impact type does not preclude the SOS’ ability to perform a similar assessment for any Deliverable at the time it is submitted by the Contractor for review and acceptance (see Attachment 1- SOW, Section 10.c.8.v).

4. The SOS will review and provide acceptance or rejection of the draft DED within five (5) State business days of receipt. If the DED does not receive acceptance, the SOS will notify the Contractor in writing to communicate the SOS’ feedback about the deficiencies in the draft DED. While the SOS’ feedback may include suggested revisions to improve DED content, the SOS is not responsible for providing revised DED language when providing feedback about DED Deficiencies. If the DED does not receive acceptance, the Contractor will revise the DED to address the SOS’s feedback concerning deficiencies within five (5) State business days and resubmit the revised DED to the SOS for review and acceptance or rejection. The SOS has up to five (5) State business days to review the resubmitted DED and give acceptance or identify additional or continuing deficiencies. If the resubmitted DED does not receive acceptance, the SOS and the Contractor will repeat the actions (within the number of business days specified) described for a new, draft DED during continuing DED review until the DED receives acceptance, or the deadline for receiving acceptance is not met, as provided below. If the SOS does give acceptance, the DED will serve as the acceptance criteria by which the SOS will formally give acceptance or rejection for applicable Deliverables.

5. Following the established Change Control procedures which are described in the CARS Change Control Plan, the Contractor may recommend changes to the DED after the SOS' acceptance, as warranted, to improve the content and/or submission of a particular Deliverable, subject to approval by the SOS. The SOS may also propose changes to the approved DED to improve its content relative to a particular Deliverable, subject to agreement by the Contractor.

(g) DED Information and Formats

Each DED will contain the following:

1. An annotated outline of the Deliverable, table of contents, sample format and sample pages and general description of the information that will be contained in the Deliverable;
2. Time frames for activities related to the Deliverable, including without limitation, dates for the Deliverable consistent with the SOS-approved IPS and PMP and with this SOW;
3. Proposed State review timeframes for the Deliverable consistent with the SOS-approved IPS and PMP and with this SOW;
4. Contractor correction time frames for the Deliverable;
5. Deliverable objectives; and
6. Acceptance Criteria which are consistent with the specifications and other requirements of this Contract and prior Deliverables and communications between the parties.

(h) Inspection of Work in Progress

Contractor agrees that the SOS CARS Project Director or designee, the IPOC and IV&V shall have the authority to inspect any and all of Contractor's work in progress. The purpose of such inspections will be to verify project progress as reported by Contractor and to ensure that work products are in conformity with requirements or agreement provisions. If, upon such inspection, the SOS, IV&V or IPOC identify significant deviations from progress reported by the Contractor, the ESC may require the Contractor to submit a corrective action plan within five (5) business days for consideration and approval by the Executive Steering Committee (ESC). The Chair of the ESC may, at his or her sole discretion, order that project activities be suspended until the corrective action plan is approved and implemented.

(i) Training Deliverables

Contractor shall be responsible for training identified State staff on all aspects of the CARS System as described in Section VII – SOW, Exhibit VII.1 – Tasks and Deliverables (as specifically defined for Deliverable III.4 and as discussed as an explicit component of multiple other Deliverables). While constructing and developing the Deliverables, and during acceptance tests, Contractor shall demonstrate and provide information to staff designated by the State about the functions and operations of the CARS System in accordance with the applicable specifications and the PMP and IPS. The State's training Acceptance Tests shall not be considered concluded until all identified staff are successfully trained and the CARS System knowledge transfer and CARS System operations transition has occurred in accordance with the specifications.

(j) PMP and IPS

1. The initial PMP and IPS shall be comprised of Contractor's IPS and PMP in the offer submitted in response to the RFO. This initial IPS and PMP shall be revised by Contractor to reflect project changes since Contractor's initial submission. Contractor shall deliver the revised PMP and IPS, which shall be Deliverables, to the State Project Manager for the State's review not later than 45 after the Contract Start Date, respectively. In the event of failure of the parties to agree upon this PMP and IPS and/or of the State to give its acceptance thereof within 30 calendar days of the date the Deliverable is due, the State may invoke its right to immediately terminate this Contract.

2. Contractor shall provide updates to the PMP and IPS at least bi-weekly and as otherwise necessary throughout the project to accurately reflect the status of activities, tasks, events, services, and projected completion dates for such activities, tasks, events and services. Any such update changes must be agreed upon by the State prior to their final incorporation into the IPS and PMP. However, unless otherwise specifically agreed to in writing, the State's agreement on a change to the PMP and IPS shall not relieve Contractor of liability for damages arising from such failures to perform its obligations as required herein. Contractor shall maintain updated copies of the IPS and PMP in a common server drive accessible by the State.
3. The PMP and IPS shall not change as a result of time required by Contractor to correct deficiencies, unless otherwise agreed beforehand in writing by the State. However, the schedule may, in State's discretion, be extended on a day-to-day basis to the extent that the State's review of a Deliverable and review of corrections of deficiencies in accordance with the acceptance process is longer than described in the PMP and IPS. Contractor shall continue to perform its obligations that are not affected by the State review and shall mitigate any impact on Contractor from such delays caused by State(e.g., redirecting its Staff to perform other tasks, to the extent reasonably possible). To the extent it cannot redirect staff and mitigate such impacts, then an adjustment, if any, to the schedule will be made, if appropriate, based upon the SOS CARS Project Director's reasonable consideration of all relevant circumstances, including but not limited to Contractor's opportunity and efforts to mitigate the effect of the impact and if State's failure to perform is not due to an event described in IT General Provisions (GSPD 401-IT 9/5/14), Paragraph 24 (Force Majeure).

11. Maintenance and Operations

The Maintenance and Operations provided for in Phase IV - First Year Operations and Closeout shall commence immediately upon satisfactory completion of Phase III – Development, Testing and Deployment.

12. Software and Provisions

(a) CARS System Software

1. The definition of CARS System Software includes any Application Software that is developed or modified by the Contractor to meet the requirements and other Specifications of this Contract for the CARS System. This provision does not apply to Pre-Existing Materials or Third Party Software.
2. Transfer of Ownership
 - a. At the end of Phase IV – First Year Operations and Close-out the Contractor shall assign and transfer to the State all right, title and interest, including without limitation U.S. Intellectual Property Rights as defined in IT General Provisions (GSPD 401-IT 9/5/14) and to the CARS System Software which is described in this SOW, Section 12(a) – CARS System Software. In the event that Contractor fails to perform on the contract, Contractor shall immediately assign and transfer all right, title and interest in and to the CARS System Software which is described in this SOW to the SOS upon request by the SOS.
 - b. Contractor shall take all actions necessary to transfer ownership of all right, title and interest in and to the CARS System Software to the State in Source Code and Object Code formats, including without limitation U.S. Intellectual Property Rights as defined IT General Provisions (GSPD 401-IT 9/5/14) at the end of Phase IV - First-Year Operations and closeout. As between the parties, the CARS System Software shall be deemed a work made for hire of the State for all purposes of copyright law, and copyright shall belong solely to the State. In the event that the CARS System Software is adjudged to be not a work made for hire, Contractor agrees to assign, and hereby assigns, all copyright in such work to the State. Contractor shall, at the expense of the State, assist the State or its nominees to obtain copyrights, trademarks, or patents for all such work in the United States and any other countries.

Contractor agrees to execute all papers and to give all facts known to it necessary to secure United States or foreign country copyrights and patents, and to transfer or cause to transfer to the State all the right, title and interest in and to such work. Contractor also agrees to waive and not assert any moral rights it may have in any such works.

3. Encryption/CPU ID Authorization Codes

The Contractor shall not apply any encryption or CPU ID authorization code capability to the CARS System Software that in any way restricts the ability of the State to install, use and otherwise exercise its rights in and to the CARS System on any hardware or operating system, nor shall the Contractor apply any mechanism that limits the period of usability of the CARS System Software or the CARS System.

4. Right to CARS System Software Prior to Transfer of Ownership

The SOS shall have a license to use, reproduce, modify, prepare derivative works based upon, publish, display and distribute the CARS System Software following its delivery and until transfer of ownership as provided above for all the purposes allowed by this Contract.

6. Source code

Upon completion of the following phases (and conditions), the Contractor shall provide the SOS with the originals, in machine readable format, of the most current version of the CARS System Software Source Code, the Object Code, the complete software release implementation directions, and any additional Software and information that is required to use, reproduce, prepare derivative works based on, modify, document, or operate the CARS System Software as part of the following Deliverables (which are more fully defined in Section VII – SOW, Exhibit VII.1 Tasks and Deliverables). Contractor shall also provide this CARS System Software Source Code, Object Code and related components listed immediately above within five (5) calendar days of any request of the SOS. However, Contractor shall have the right to retain a copy thereof solely to perform its obligations under the Contract.

(b) Third Party Software

1. Any Third Party Software integrated into the CARS System must be purchased by and licensed to the State by the Third Party Software licensor.

13. Invoicing and Payment

In addition to the invoice and payment provisions contained within the Contractor's Leveraged Procurement Agreement with the Department of General Services (DGS) and the State's Information Technology General Provisions (GSPD-401IT) the following provisions shall apply:

- (a) Contractor may only bill for the acceptance of each Deliverable in accordance with Section VII – SOW, Exhibit VII.1 – Tasks and Deliverables (less the withhold of 20%).
- (b) Contractor cannot submit an invoice more frequently than once a month. All phases or Work Authorizations for all Deliverables which have received acceptance in writing during the prior month must be grouped into a single monthly invoice submitted for approval by the SOS.
- (c) The State agrees to compensate the Contractor in accordance with the prices for Deliverables and rates for services specified in the Contract.
- (d) Invoices shall include the contract number and shall be submitted in triplicate not more frequently than monthly in arrears to:

Secretary of State
Attn: Accounts Payable
P O Box 944260
Sacramento, CA 94244-2600

(e) Twenty Percent 20% Withhold

In accordance with Public Contract Code, Section 12112, the State shall withhold, from the invoiced amount to the Contractor, an amount equal to twenty percent (20%) of the invoice. Such amount withheld shall be retained by the State and only released to the Contractor upon satisfactory completion and acceptance of all deliverables defined in Phase III – System Development, Testing, and Deployment.

14. (f) Contractor Claims Against the State

The Contractor will not be responsible for any delay, cost increase, or other consequence to the extent that it is caused by the State's failure to fulfill responsibilities set forth herein. If Contractor has exhausted all applicable processes, if any, for resolution of such a Contractor consideration (e.g., see Section 8 – Change Control Procedures), Contractor may submit a claim against the SOS for schedule delays or other costs and expenses that Contractor alleges were caused by the SOS or by parties directly contracting with the SOS *other* than the Contractor. Contractor must submit any such claim within the earlier of 12 months of the date upon which Contractor knew of the existence of the claim or 12 months from expiration or termination of the Agreement. No claim shall be allowed unless notice of such claim has been given within the above described time period. Contractor must submit any such claim to the SOS CARS Project Sponsor or his or her designee by Contractor in the form and with the certification prescribed by the SOS CARS Project Sponsor or his or her designee. In the event of an SOS-approved claim for equitable adjustment to cost, schedule, or both, the parties will negotiate in good faith regarding execution of a Contract amendment, if appropriate. If the Contractor disagrees with a SOS decision not to approve a Contractor's claim, the Contractor shall follow the problem escalation process defined in Section 9 – Problem Escalation in Section VII – SOW above). Upon failure of Contractor to submit its claim within the time allowed, all rights to seek amounts due on account of such claims shall be waived and forever barred.

EXHIBIT VII-1 – TASKS AND DELIVERABLES

A. INTRODUCTION

The SOS has identified four (4) Phases for the CARS Project:

- I. Project Initiation and Planning
- II. System Requirements Confirmation, Architecture and Design
- III. System Development, Testing and Deployment
- IV. First-Year Operations and Close-out

Each of these Phases will require development of specific Deliverables along with ongoing activities the Contractor shall conduct and participate in.

In planning, scheduling and executing the CARS Project and its component Phases, the Contractor shall adhere to the following:

- SOS policy requiring all staff and contractors to access environments only through the SOS network and equipment.
- For contractor's planning, note that no changes may be made to the SOS network during the period beginning thirty (30) calendar days prior to and ending thirty (30) calendar days after an election for statewide office without written authorization from the SOS Project Director.
- The Contractor shall submit in writing requests for SOS system changes required for CARS to designated SOS ITD representatives in advance of when the changes are required (the SOS and the Contractor will agree to the "lead time" required for such requests); and, SOS ITD staff will collaborate with the Contractor to implement the SOS-approved system changes requested by the Contractor. Refer to the CARS Software Development Lifecycle Roles and Responsibilities (Section VII, Exhibit VII.2) for additional details.

The numbering of these Deliverables does not indicate the order in which the Deliverables must be worked unless otherwise stated. They are numbered to segregate the Deliverables into groups.

Performance of tasks may overlap. Section C - Payment Milestones of this Exhibit cites all mandatory predecessor-successor relationships for final acceptance among Deliverables. This subsection notes all instances where SOS acceptance of a Deliverable requires prior SOS acceptance of a predecessor Deliverable or where SOS approval is required to initiate a Deliverable-related activity. Additional information concerning activities that contribute to completion of a Deliverable are cited as part of the description of each Deliverable provided in Section E – Tasks and Deliverables of this Exhibit. Contractor shall specify all predecessor-successor relationships among activities and Deliverables in Deliverable I.3 – Integrated Project Schedule (IPS). The IPS for which SOS provides acceptance shall also determine the exact date these Deliverables shall be due.

Deliverable acceptance criteria, standards, and detailed content shall be determined during Contractor's development of each Deliverable Expectation Document (DED), which is in and of itself a Deliverable, and is subject to SOS acceptance. (See Section VII, Statement of Work Section 10 – Inspection, Acceptance and Rejection of Contractor Deliverables for description of preparation, submittal and Acceptance of Deliverables, including the DED)

For certain activities in Phase III System Development, Testing and Deployment and Phase IV – First Year Operations and Close-out, Contractor's work shall commence upon the SOS CARS Project Director's approval to proceed (go/no-go decision); these approval points are cited as part of the discussion of the relevant Phase Deliverable.

B. STANDARDS

The Contractor shall comply with industry standards on the management of the CARS Project and in the development of all plans and Deliverables as specified in the DED for each individual Deliverable. Further, each Deliverable shall reference the standards or methodology by which it was developed.

Standards to be followed, as appropriate, in completing Deliverables include but are not limited to:

- Project management industry standards (i.e., Project Management Institute's PMBOK);
- Institute of Electrical and Electronics Engineers (IEEE); and
- Other Contractor-developed standard(s) approved by the SOS.

In addition to the SOS, all CARS review team members including but not limited to Independent Verification and Validation (IV&V) and Independent Project Oversight Consultant (IPOC) will use the above standards in their reviews of Contractor Deliverables. This review process is required for the CARS Project and the Contractor shall ensure that sufficient time in the IPS is provided for the review and feedback by the CARS review team members, for all Deliverables, regardless of whether review is explicitly mentioned in the context of a specific Deliverable. The findings of these reviews shall be discussed with the CARS Project Manager, the SOS CARS Project Director and the Contractor as necessary. The SOS CARS Project Director shall make the final determination as to which of these findings shall be corrected by the Contractor prior to acceptance of the deliverable by the SOS.

C. DELIVERABLE DEVELOPMENT

Deliverable Expectation Documents (DED) shall be submitted in accordance with the SOS current IPS. Work on each Deliverable shall only commence after SOS acceptance of the DED for that Deliverable. (See Section VII - SOW, Section 10.f – Deliverable Expectation Documents and Section VII - SOW, Section 10.g – DED Information and Formats for additional information about required DED content and acceptance process; see Section VII - SOW, Exhibit VII-3 – Sample Deliverable Expectation Document for the DED template.)

D. DELIVERABLES

PHASE 0 - ONGOING PROCESS TASKS AND DELIVERABLES

The Contractor shall perform all Phase 0 processes, tasks, and Deliverables throughout the CARS Project. Phase 0 tasks and deliverables are referred to in each Phase description as "Phase 0 Ongoing Process Tasks and Deliverables." All Phase 0 Deliverables are required throughout all Phases of the CARS Project.

Deliverable 0.1 – Project Control and Status Reporting

Contractor's Project Executive and Contractor's Project Manager shall conduct monthly Project Management Reviews to present the current and cumulative project status information related to assigned open and ongoing Project issues and risks in accordance with Deliverable I.1 – CARS Project Management Plan (PMP). These reviews shall be held with the CARS Project Manager, Project Director, IPOC and IV&V Contractor, and no later than four (4) State business days after the last day of the previous month.

Contractor's Project Executive shall present monthly project status reports to the CARS Executive Steering Committee (ESC) members. At the monthly CARS ESC Meeting, the contractor's Project Manager shall provide for the reporting period: a summary of contractor activities; accomplishments to date; significant decisions; an explanation for any tasks that are delayed and how the schedule delays will be recouped; recommendations for issue resolution for all issues; and ok recommendations for mitigation of high-severity risks.

Additional meetings the Contractor shall attend include, but are not limited to:

- Daily informal meetings between the CARS Project Manager, Contractor Project Manager, and/or their designees;
- Weekly Management meetings between the SOS and Contractor Project Managers;
- Ad Hoc meetings on Contractor adherence to CARS project management processes and practices.

Deliverable 0.2 – Maintain and Update Project Management Plans as Appropriate

Contractor shall maintain and update all Project Management Plans that are defined as Deliverables for Phase I – Project Initiation and Planning, as well as the IPS (Deliverable I.2), as required by events or at prescribed intervals during the life of the CARS Project. The IPS shall be updated biweekly at a minimum, shall be submitted to the SOS no later than two (2) State business days after the end of the immediately preceding two (2) calendar week period, and shall adhere to all standards defined in the SOS Schedule Management Plan and the Contractor's CARS Project Management Plan (PMP). All Project Management Plans must be updated at the end of each Phase..

Deliverable 0.3 – Bi-Weekly Project Management Reports and Weekly Project Meetings

Contractor's Project Manager shall provide to the CARS Project Manager a written bi-weekly summary of activities for the reporting period including: significant activities initiated, significant activities completed, activities planned but not completed, activities planned for the next reporting period, schedule status (including planned versus actual and reasons for variances) and significant action items, identified or assigned project risks and project issues (with a description of the action item, risk or issue, due date of resolution, and planned activities to address it), and significant decisions made. The Contractor's Project Manager shall attend weekly project status meetings in person to discuss the status. The report shall be presented to the CARS Project Manager at least one (1) full State business day prior to the alternate weekly status meeting. To the degree the report is found to be incomplete or inaccurate, the Contractor's Project Manager shall revise the report and present as a final deliverable for acceptance.

Deliverable 0.4 – Attend Project Meetings

The Contractor shall through all Phases, attend Project Meetings with Business Users, IT Subject Matter Experts, External Users, Electronic Filing Vendors, other State Agencies, and SOS Management as required. Contractor's Project Manager or designated team member shall be available as required by the CARS Project Manager to attend ESC Meetings, SOS-called meetings, and meetings with other State Agencies (e.g., FPPC, FTB) related to the project.

The Contractor's Team shall attend checkpoint and code review meetings as defined in the SOS approved Phase 0 DED and IPS, with the SOS Information Technology Division staff to review code, receive feedback, discuss technical issues, concerns, and other IT related topics.

Deliverable 0.5 – Ongoing Issues Management and Risk Tracking

Contractor shall identify and submit issues and risks, and shall participate in the SOS' Risk Management and Issue Management processes. Contractor shall report on assigned Project risks and issues to the CARS Project Manager, or designee. Contractor shall present this report at each status meeting using a format that includes:

- Identification of project issues and potential risks;
- Management of technical issues or risks;
- Analysis and mitigation strategies for issues and risks;
- Status of the issues and risks, (i.e., open, pending, under investigation or resolved);
- Appropriate tracking dates;
- Person and organization responsible for resolution and;
- Contractor's recommendations for resolving issues or risks.

Deliverable 0.6 – Written Monthly Project Status Reports

Contractor's Project Manager shall prepare a written Monthly Project Status Report (MPSR) summarizing progress against SOS-approved performance metrics, milestones against baseline data, status of the schedule and reasons for significant variances from the IPS. Contractor shall include information on the status of the collection of progress information from internal and external stakeholders and corrective action that was taken to confirm that overall project delivery is met. Contractor shall include specific information on issue and risk status and recommendations for mitigating risks/issues, for all issues and for high-severity risks. This report shall cover all project management areas including but not limited to Schedule, Change Control, and Quality Management activities. This report shall also include all activities for the preceding

month including, when applicable, the system's performance against all Service Levels specified in the RFO. To the degree the report is found to be incomplete or inaccurate, the Contractor's Project Manager shall revise the report and present as a final deliverable for acceptance. Contractor's Project Manager shall be required to attend meetings on SOS premises to present the monthly reports to the CARS Project Manager and Project Director and separately to SOS management including the ESC. The monthly report shall be due to the SOS's Project Manager (or designee) on the third (3rd) State business day of the month following the end of the previous month. The period of the report shall be the previous calendar month.

Deliverable 0.7 – Change Control Processes

Contractor shall participate in the Project Change Control Meetings and Change Control processes in accordance with the SOS' Change Control Plan. (Please see CARS RFO Library for the CARS Change Control Plan.)

Deliverable 0.8 – Communications Processes

Contractor shall contribute content to all written communications, as needed throughout the CARS Project, per the SOS Communication Plan, unless otherwise specified by SOS. (Please see CARS RFO Library for the CARS Communication Plan.)

Deliverable 0.9 – Organizational Change Management Processes

The Contractor shall support the SOS Project Director or Designee to execute OCM activities per the CARS OCM Plan. The SOS currently anticipates providing an approved OCM Plan by the start of this contract. The contractor shall work with the SOS and provide inputs on how the new system affects Organizational Change and related OCM activities throughout the project.

Deliverable 0.10 – Final Report for each phase

At the end of each Phase, the Contractor shall submit a report indicating that all Phase activities are complete, including the status of Deliverables and outstanding issues along with mitigation strategies for issues.

PHASE I - PROJECT INITIATION AND PLANNING

The following is a list of the plans the Contractor shall prepare in Phase I and shall use to guide its management of Project work. Each plan shall conform to relevant industry standards as defined below for the specific plan as well as in the plan's DED for which the SOS has provided acceptance.

Deliverable I.1 – CARS Project Kick-Off Meeting

Contractor shall provide a draft agenda and materials to the CARS Project Manager and participate in one or more Project Kick-Off meetings that review the goals and scope of the Project, present a summary of the key phases and activities (including key milestones in the current IPS), discuss major activities or efforts that will be required of meeting participants, and provide other information of interest to the participants. This meeting or meetings shall be held with different stakeholders, which could include SOS Management and staff, vendors, and other State Agencies. CARS Project Kick Off Meeting shall occur no later than 30 days after contract start.

Deliverable I.2– CARS Project Management Plan

The SOS has an approved SOS-specific Project Management Plan (PMP). The Contractor either (1) shall enhance and adopt the SOS PMP and make it its own PMP, and therefore accept all responsibility for employing it; or (2) shall develop its own CARS PMP. (Please see CARS RFO Resource Library for current approved versions of SOS CARS plans.) Contractor shall submit the updated PMP within forty five (45) calendar days of Contract Start Date. Content shall include, at a minimum, the following components:

- Project Overview;
- Project Work Breakdown Structure;

- Management Objectives and Priorities;
- Roles and Responsibilities;
- Project Assumptions, Dependencies, and Constraints;
- Procedures for Reviewing and Updating the PMP per SOS' Change Control Plan;
- Project Deliverables and Milestones;
- References, Definitions (CARS Glossary), and Acronyms;
- Integration of Contractor's risk and issue management procedures with the SOS' CARS Project processes and;
- Updated Schedule Management Plan (SMP) from RFO submission for the IPS including resource updates, tracking of resource activities, tracking of milestone progress and reporting, critical path monitoring, resolution of schedule variances, status reporting based on work breakdown structure, and contingency activities.

This PMP shall be updated at the end of each Phase as required during the life of the CARS Project.

Deliverable I.3 – Integrated Project Schedule

In collaboration with the CARS Project Manager (or designee), the Contractor shall, within forty-five (45) calendar days of Contract Start Date, update the IPS that Contractor submitted in its Offer, identifying major activities the Contractor shall undertake to complete its Deliverables in a timely manner. The updated and submitted IPS shall also include identification of all activities that other contractors and SOS staff must perform in order for the project to complete. In addition, the IPS must accommodate time for the SOS Team, to inspect any of Contractor's work in progress as described in Section VII - SOW, Section 10(h) – Inspection of Work in Progress. The IPS shall also detail the deployment timeline of each environment.

The IPS shall include a work decomposition that includes resource loading of all contractors (including the SI Contractor, other state departments, independent verification and validation, quality assurance, etc.) as well as SOS staff, and shall have start and finish predecessors and successor dependencies identified for each task. In addition, the IPS shall clearly identify all Phases, payments and interim milestones.

The IPS shall include provisions for the SOS Team to periodically review Contractor-specific plans, documents that are a work in progress.

The IPS shall be developed and maintained using MS Project 2012 or later. Management and updating of the IPS shall conform to the CARS Schedule Management standards, processes, and roles and responsibilities that will be defined and documented in the CARS Schedule Management Plan. The Contractor shall maintain one IPS which captures all work across the Project. The Contractor shall be responsible for defining and tracking all tasks and dependencies related to completion of its contracted Deliverables. The IPS shall be comprehensive and detailed for the current and upcoming Phase, but may be more high-level for later Phases. Twenty (20) State business days prior to the start of each Phase, the Contractor shall present a comprehensive and detailed IPS that includes full detail for that Phase for acceptance by the SOS.

Upon SOS acceptance of the IPS, Contractor shall participate in the biweekly ongoing schedule maintenance and schedule update process. Contractor shall follow the defined procedures and standards documented in the SOS Schedule Management Plan. Contractor shall (1) gather and incorporate updates on schedule work products into MS Project 2012 or later, (2) elaborate and develop detailed work breakdown and duration estimates required for rolling wave planning, and (3) conduct and complete schedule analysis and schedule quality assurance activities that are required to control performance.

The Contractor shall update its IPS, including progress on SOS staff work and other SOS contractor work at least biweekly and shall submit the updated IPS, incorporating progress as of the end of each two week period, to the CARS Project Manager or designee within two (2) State business days of the end of that two week period. The Contractor's IPS update process shall include work with the CARS Project Manager (or designee) to complete schedule quality assurance to verify that dates, resource allocations, percentages, etc. are correct, and thereby

ensure that reporting against baseline data can be generated accurately according to the quality-related components outlined in the SOS Schedule Management Plan.

Deliverable I.4 – Quality Management Plan

Contractor shall deliver, within ninety (90) calendar days of Contract Start Date, a Quality Management Plan in accordance with the PMP, the Contractor's IPS and the Quality Management Plan DED for which the SOS has provided acceptance. The Quality Management Plan shall include a complete description of Contractor's quality management process, methodology, and the specific standard(s) on which the details of the plan are based. If multiple standards are used, the plan shall specify which portions of these standards were used in the development of each portion of the plan. At a minimum, the Quality Management Plan shall conform to IEEE 730 (Standard for Software Quality Assurance) or equivalent standards as approved by the SOS.

The Quality Management Plan shall be implemented, and shall be updated at the end of each Phase and as required during the life of the CARS Project.

Deliverable I.5 –Master Test Plan

Contractor shall develop a detailed Master Test Plan, in accordance with the PMP, the Contractor's IPS and the Master Test Plan DED for which the SOS has provided acceptance. This Master Test Plan shall include test scope/criteria, testing tools, methodology for testing activities such as development of test procedures, test cases, test scripts, test data, defect tracking and resolution, as well as, roles and responsibilities for various testing activities.

The Master Test Plan shall include details of Contractor coordination with the SOS during Systems Testing and Final User Acceptance Testing. This plan shall include how Team Foundation Services (TFS) will be utilized for testing activities. The activities addressed in the Master Test Plan shall also be reflected in the IPS.

The Master Test Plan shall address the following types of tests that will be conducted by the contractor:

- Unit Testing;
- Integration Testing;
- Performance Testing;
- Regression Testing;
- Stress and load Testing;
- Availability Testing and;
- Contractor System Testing;

The Master Test Plan shall also address the contractors support for the following testing to be performed by the SOS (or designee):

- SOS System Testing;
- User Acceptance Testing; and
- Independent Security Assessment.

Deliverable I.6 –System Configuration Management Plan

Contractor shall develop, in conjunction with the SOS Team, a detailed System Configuration Management Plan (SCMP) in accordance with the accepted System Configuration Management Plan DED. Contractor shall work with the SOS to ensure the system configuration management plan provides the details necessary for the SOS ITD to successfully configure and deploy CARS in the CARS environment(s) (including but not limited to Development, Test, Training, and Production). This plan shall include a build versioning control and how Team Foundation Services (TFS) will be utilized to track build versioning, including method and tools (if appropriate). The deliverable shall include at minimum:

- The sequence of operations or steps that shall be carried out by Contractor and/or SOS to deliver code and configuration changes to the CARS solution within the system environments: Development, Testing, Training, Staging and Production;
- The anticipated impacts of the staging/production release;
- Release contingency plans;
- Personnel to contact or escalate any issues during the releases;
- Planned notifications to stakeholders regarding the releases; and
- Go/no-go deployment criteria.

The SCMP shall conform to IEEE 828 (Software Configuration Management Plans) or equivalent standards and must be approved by the SOS.

Contractor shall provide the System Configuration Management Plan within sixty (60) calendar days of Contract Start Date for review and acceptance by the SOS.

The System Configuration Management Plan shall be implemented and shall be updated as required during the life of the CARS Project.

Deliverable I.7 – Data Integration Approach Documentation

Contractor in conjunction with the SOS Team shall provide the scope, sequence of steps in data integration, as well as a recommendation of the timing of and the method by which CAL-ACCESS data will be integrated and imported into CARS. The SOS will incorporate this information in the SOS CARS Data Migration and Integration Plan.

Deliverable I.8 – Training Plan

Contractor shall develop a CARS Training Plan, in accordance with the PMP, IPS and the DED for which SOS has provided acceptance. This Training Plan shall address the separate needs of SOS program staff, CARS help desk staff, and SOS technical system support staff. The Training Plan shall describe Contractor's philosophy on user training, including method of training to be provided for each group, such as computer-based training software, classroom lectures, and hands-on computer laboratory environment. Contractor shall distinguish training approach and materials between user and stakeholder roles (e.g., line level staff, supervisors, policy makers, SOS report/query capability users) as each has a different need for the level of information being provided. Contractor shall describe the maximum class size by functional area and define the differences in training for executives, management, business staff, and information technology staff. The Training Plan shall also address the "Train-the-Trainer" concept, which allows the SOS to conduct training after Phase III – System Development, Testing and Deployment. The comprehensive Training Plan shall also include the following components:

- Training scope;
- Training environment set-up and refresh procedures;
- Training data development;
- Training courses and prerequisites;
- Training schedule;
- Training curriculum;
- Evaluation methodology of training effectiveness and appropriate modification of training curriculum based on the evaluation;
- Maintaining currency of curriculum and material as the CARS and affected business processes are modified during development and after implementation;
- On-line training scenarios;
- Training the trainers; and
- Training procedures.

Content that shall be covered in Contractor's training includes but is not limited to issues such as:

- Escalation process: What to do and who to call if there is a problem with the system;
- The CARS data standards;
- CARS business rules related to campaign and lobbying disclosures;
- Execution of predefined CARS reports;
- Creation of new CARS reports and queries and saving them for execution by other users;
- Contractor shall provide a fully functional CARS Training environment that is separate from the CARS Development, Test and Production environments. (This Training environment shall have been described in Contractor's Deliverable II.2 – CARS Technical Architecture Documentation.)
- Contractor must deliver a populated training database that contains fictitious filer information.
- Database refresh process and procedures must be included in the Training Plan.

This CARS Training Plan shall be implemented, and shall be updated as required during the life of the CARS Project.

Deliverable I.9 –Requirements Traceability Matrix Plan

Contractor shall deliver, within sixty (60) calendar days from Contract Award Date and in accordance with the DED for which SOS has provided acceptance, a Requirements Traceability Matrix Plan that sets forth how the Requirements Traceability Matrix (Deliverable II.5) shall be developed, updated and used to track requirements, programming, and test scenarios during all Phases of the Project. This Plan shall describe how the Contractor will populate and manage the Requirements Traceability Matrix, and how the Matrix will allow for linking test scenarios during Phase III –System Development, Testing and Deployment. This Plan shall also address the traceability approach to RFO requirements and how requirement changes will be managed. This Plan and data from the Requirements Traceability Matrix shall be evaluated by the SOS' IV&V vendor as part of the acceptance Tests for this Deliverable and throughout the Project.

The Contractor shall populate and manage the Requirements Traceability Matrix, and shall provide access to the Matrix data in its raw form and supporting information to the IV&V vendor upon request.

The Requirements Traceability Matrix Plan and the resultant Requirements Traceability Matrix shall conform to relevant industry standards (to be determined by Contractor and approved by the SOS as part of SOS acceptance of the DED for this Deliverable), including IEEE 1233 (Guide for Developing System Requirements Specifications), IEEE 830 (Recommended Practice for Software Requirements Specifications), Capability Maturity Model Integration for Development, Version 1.2 (CMMI 1.2) Requirements Development Process Area, or equivalent standards subject to approval by the SOS.

This Requirements Traceability Matrix Plan shall be implemented and shall be updated as required during the life of the CARS Project.

Deliverable I.10 – Phase 0 Ongoing Process Tasks and Deliverables

Contractor shall perform all tasks, processes, and activities required in Phase 0 throughout the CARS Project.

PHASE II – SYSTEM REQUIREMENTS CONFIRMATION, ARCHITECTURE AND DESIGN

The deliverables in Phase II shall detail the Contractor's approach for, delivery of, and design of the CARS solution. Each deliverable shall progressively articulate the Contractor's vision for the solution. Deliverables shall be at a level of detail sufficient to develop test cases and training materials. Deliverables in this phase shall be built incrementally and shall be updated by the Contractor throughout the project. The contractor shall conduct incremental Design Review Meetings as defined in Phase 0, the

DED and the IPS. Additional deliverable specific acceptance Criteria shall be specified in the respective approved DED.

Deliverable II.1 – System Requirements Specifications Documentation

The Contractor shall provide a System Requirements Specifications Documentation (SRS) document in accordance with the PMP, the Contractor's IPS and the SRS DED for which SOS has provided acceptance. The Contractor shall meet with the SOS to verify requirements. Existing use cases are available for the Contractor to develop the SRS. The deliverable shall provide the specifics of the overall system requirements that will govern the development and implementation of the system. The SRS shall include system functions, user characteristics, constraints, assumptions, dependencies, business rules, and interfaces agreed upon by the SOS and the Contractor. The SRS shall include the following at a minimum:

- An executive summary of the document's content;
- Description of the System Functional Requirements and Features;
- System conditions to include assumptions, constraints, and dependencies;
- Interfaces to include System Interfaces, User Interfaces, Hardware Interfaces, Software Interfaces, Communications Interfaces, and External Interfaces;
- System user characteristics identifying each type of user of the system by function, type of device used and description of the nature of their use of the system;
- Standards compliance and description of policy and regulatory requirements to include relevant applicable laws, regulations, policies, and standards that will affect the operation and performance of the system;
- System Security Requirements; and
- System Performance, Reliability, and Availability Requirements, identifying the highest and lowest estimated number of transactions and processing frequency and expected usage to include seasonal peaks.

Deliverable II.2 – System Technical Architecture Documentation

Contractor shall provide the System Technical Architecture Documentation (STA) in accordance with the PMP, the Contractor's IPS and the STA DED for which SOS has provided acceptance. The deliverable shall be developed based on information in the SRS documentation. In addition, the deliverable shall provide a clear explanation of and distinction between logical and physical architectures, detailed explanation of diagrams and technical terms clearly defined. The STA shall include the following at a minimum:

- Executive Summary of the STA;
- Overview of the architectural strategies;
- Description of the CARS ecosystem, sub systems and technical environments;
- Logical Architecture;
- Detailed explanation of how the architecture addresses performance, availability, data/application/server security, scalability, maintainability and system management, accessibility, external interfaces, and extensibility;
- List of all cloud services, any on-premise services, and software products. The list shall include minimum requirements and a description of how each item will be used and integrated into CARS;
- List of programming languages and tools selected for the development of CARS;
- Delineation of the environments to be provisioned (e.g., Development, Test, Training, Staging, Production, etc.)
- Minimum end user and administrator workstation requirements;
- A glossary that defines all technical terms used in the document; and
- Updated RTM and SRS where applicable.

Contractor shall also specify within this Deliverable any proposed changes that Contractor deems necessary to any SOS on-premise or cloud-based environment. Any changes must be reviewed and approved by the SOS ITD before acceptance of this deliverable.

Deliverable II.3 – System Data Model and Data Dictionary

Contractor shall provide, in conjunction with the SOS Team, a System Data Model and Data Dictionary (DMDD) document in accordance with the PMP, the Contractor's IPS and the DMDD DED for which SOS has provided acceptance. The deliverable shall be developed based on information in the SRS Documentation. The data model presented in this deliverable shall define all the data elements, relationships and access methods.

The data dictionary portion of this deliverable shall catalog the organization, content, and conventions of the CARS database, including but not limited to the names and descriptions of all tables and fields, and additional details such as the type and length of each data element.

Deliverable II.4 –Detailed System Design Specifications

Contractor shall provide the Detailed System Design (DSD) document in accordance with the PMP, the Contractor's IPS, and the DSD DED for which the SOS has provided acceptance. The deliverable shall provide a clear explanation of system and subsystem architecture as defined in Deliverable II.2 System Technical Architecture Documentation; system requirements as defined in Deliverable II.1 System Requirements Specification Documentation; files and database design as defined in Deliverable II.3 System Data Model and Data Dictionary, Input formats, Output Layouts, Processing Logic and External Interfaces to satisfy all the requirements defined in Deliverable II.4 Detailed System Design Specifications and Deliverable II.5 System Detailed Requirements Traceability Matrix. The Detailed System Design Deliverable shall include the following at a minimum:

- Executive Summary of the purpose of the DSD;
- CARS System Overview;
- Design considerations including any assumptions, dependencies and guidelines followed in the detailed design and implementation of CARS;
- System design strategies describing the standards use for the CARS solution;
- System Detailed Design consisting of the cloud services, software architecture and technical specifications as defined in Deliverable II.2 System Technical Architecture Documentation, including existing architecture and communication infrastructures in place and Deliverable II.1 System Requirement Specifications Documentation;
- Database Design describing the database and data hosting environment, data security, and diagrams showing the database design and/or relationship between the database and the user interface. This deliverable shall provide the design for all database management systems associated with the system in conformance with the Deliverable II.3– System Data Model and Data Dictionary;
- Description of each application module function(s), conditions for use, and interface with other modules;
- A graphical representation of module processing, logic, flow of control, and algorithms using accepted diagramming approach (e.g., flowchart);
- System Security and Integrity Controls describing the measures included in the system design to ensure the system is secure and the integrity of the system and data are maintained;
- Hierarchy and structure of role-based security and access permission;
- Audit procedures to meet control, reporting and retention period requirements for operational and management reports;
- Detailed description of the verification processes for additions, deletions, or updates of critical and confidential/sensitive data;
- Defined user experience providing a detailed design of the system and subsystem inputs and outputs relative to the user/operator;
- Wireframes that define the layout of all input data screens, graphical user interfaces (GUIs), and data elements associated with each screen/GUI;
- Edit criteria for the data elements, including specific values, range of values, mandatory/optional, alphanumeric values, and length and data controls to prevent edit bypassing;
- Identification of the messages associated with user inputs;
- Wireframes that define the layout of all output screen contents and all data associated with the layout;

- Detailed interface design providing information about the interface requirements to correctly format, transmit, and and/or receive data across the interface. Information should include but is not limited to the data format requirements, specifications for hand-shaking protocols between the CARS and External Partners Systems e.g., FPPC, FTB, and AG, format(s) for error reports exchange between the systems, disposition of error reports, graphical representation of the connectivity between systems, showing the direction of the data flow; and
- Updated SRS, RTM and STA where applicable.

Deliverable II.5 – System Detailed Requirements Traceability Matrix (RTM)

Contractor shall provide the RTM in accordance with the PMP, the Contractor's IPS and the RTM DED for which the SOS has provided acceptance. In this deliverable, the Contractor is expected to coordinate with the SOS in the review, edit and validation of the RFO Section VI – Project Management, Business, and Technical Requirements and record the validated requirements in the RTM.

The Contractor shall analyze and map all requirements, business rules, and detailed specifications for the proposed system found in Deliverable II.1 – System Requirements Specification Documentation to the confirmed requirement pursuant to Deliverable II.1 – System Requirements Specifications Documentation.

The RTM shall include the following at a minimum:

- A unique, traceable identifier or identification code assigned to each requirement;
- Textual description of the Requirement;
- Priority of the Requirement;
- Version of the Requirement;
- Identify any successor Requirements that are dependent upon fulfillment of the Requirement;
- Identification of any predecessor Requirements that must be fulfilled in order to meet the Requirement; and;
- Current Status of the Requirement.

All requirements listed in the RTM shall be traceable throughout all phases of the project. The Contractor shall review and update the RTM at the completion of each of the Phase II and Phase III deliverables. The Contractor shall provide all raw data in the RTM to the IV&V and IPOC vendors at any time it is requested by the SOS.

Deliverable II.6 – Phase 0 Ongoing Process Tasks and Deliverables

Contractor shall perform all tasks, processes, and activities required in Phase 0.

PHASE III – SYSTEM DEVELOPMENT, TESTING AND DEPLOYMENT

The deliverables in Phase III shall detail the Contractor's plans for the development, testing and deployment of the CARS solution. Deliverables shall be at a level of detail sufficient to develop test cases and training materials. Deliverables in this phase shall be updated by the contractor throughout the project. Additional deliverable specific acceptance criteria shall be specified in the approved DED. Contractor shall be responsible for all development and testing activities except as explicitly noted in the context discussion of this phase and previous phases. The CARS project team (including but not limited to IV&V and/or IPOC) has the option to observe testing performed by the Contractor.

The Contractor shall conduct incremental code review meetings (as defined in Phase 0 Deliverable 0.4) as defined in the DED and the IPS. Contractor shall have incremental and frequent structured code reviews and walkthroughs with SOS – ITD staff or designee during the development phase as specified in the IPS to ensure coding standards and code quality are met. Upon completion of all Contractor required testing for each system component any issues and deficiencies identified by Contractor or the SOS team during code reviews and walkthroughs must be corrected and regression tested before completion of this deliverable

The Contractor shall provide necessary training to the SOS testers on using the application so they can execute testing.

Deliverable III.1 – Unit Testing (UT) and Code Review Completion

The Contractor shall submit the Unit Testing and Code Review completion deliverable in accordance with the PMP, the Contractor's IPS and the Unit Testing and Code Review DED for which the SOS has provided acceptance. Contractor shall develop CARS in accordance with the approved Phase II Deliverables - SRS, STA, and DSD. Contractor shall conduct and complete Unit Testing, Integration Testing, Performance Testing, and Regression Testing in accordance with the approved Deliverable I.5 CARS Master Test Plan and provide the SOS with the test results report. Unit Testing shall meet at least 90% code coverage or other percentage approved by the SOS and Contractor shall provide the SOS with the Visual Studio Code Coverage Report showing compliance. Contractor shall provide the Code Review Report and the Source Code to the SOS. The deliverable shall include the following at a minimum:

- Updated Master Test Plan with the detailed Test Cases, Test Scripts with Test Data, Defect Log and Test Result Reports;
- Code Reviews and Walkthroughs Completion Report;
- Source Code; and
- Updated SRS, RTM, STA and DSD.

Deliverable III.2 – System Configuration and System Testing (ST) Completion

Contractor shall provide System Configuration (SC) documentation detailing the configuration and deployment of CARS to the Development, Test and Training environments, in accordance with the approved Phase II Deliverables - SRS, STA, and DSD and SCM Plan, with the PMP, the Contractor's IPS and the System Configuration and System Testing DED for which the SOS has provided acceptance. Contractor shall work with the SOS to ensure the system configuration documentation provides the details necessary for the SOS ITD to successfully configure and deploy CARS in the CARS environment(s) (including but not limited to Development, Test and Training). Contractor shall conduct and complete System Testing to include at a minimum Functional Testing, Interface Testing, Performance Testing, Load and Stress Testing, and Availability Testing.

The deliverable shall include the following at a minimum:

- Updated SCM Plan with the System Configuration documentation;
- Updated Master Test Plan with the detailed Test Cases, Test Scripts with Test Data, Defect Log and Test Result Reports;
- Updated Source Code; and
- Updated SRS, RTM, STA and DSD.
-

Contractor shall support the SOS' Incremental Testing in accordance with the approved IPS and Phase II Deliverables – SRS, STA, and DSD and SCM Plan. Prior to completion of SOS System Testing, a Security Assessment will be conducted. All issues and deficiencies identified through any testing shall be corrected and tested by the Contractor.

Acceptance Criteria for this Deliverable shall also include a written confirmation from the SOS of the successful deployment which meets SRS, STA and DSD to the Development, Testing and Training environments. Acceptance for this Deliverable shall not constitute SOS' acceptance of the overall CARS System.

Deliverable III.3 – Data Integration Completion and Report

Contractor shall support the SOS in transforming and loading CAL-ACCESS data into CARS in accordance with the SOS DMIP, PMP, the Contractor's IPS and the Data Integration Completion and Report DED for which the SOS has provided acceptance, in the Development, Test and Training environments. Contractor shall integrate the historical data with the CARS system, validate the data and conduct the necessary testing to ensure successful data transformation and integration into CARS. Issues and deficiency findings shall be corrected and Regression tested by the Contractor. The deliverable shall include the following at a minimum:

- Updated Master Test Plan with the detailed Test Cases, Test Scripts with Test Data, Defect Log and Test Result Reports;

- Updated Source Code;
- Updated Deployment Plan; and
- Updated SRS, RTM, STA and DSD.

Deliverable III.4 – Develop CARS System Training Materials and Complete Training

The Contractor shall provide CARS system and user training materials and curriculum in accordance with the current CARS System Training Plan, PMP, IPS, and the CARS System Training DED for which the SOS has provided acceptance.

The Contractor shall provide application training to all SOS CARS Help Desk personnel on the use of the CARS Software as configured and deployed.

Training aids, manuals, quick reference guides and other training materials shall be provided as part of the solution. As part of the CARS Training, the Contractor shall provide complete Knowledge Transfer to the SOS for CARS Technical and Business Process information.

Deliverable III.5 –End-to-End Acceptance Testing Completion and Final Deployment

Contractor shall provide updated System Configuration (SC) documentation detailing the configuration and deployment of CARS to the Staging and Production environments, in accordance with the approved Phase II Deliverables - SRS, STA, and DSD, SCM Plan, PMP, the Contractor's IPS and the CARS End-to-End Acceptance Testing Completion and Final Deployment DED for which the SOS has provided acceptance. Contractor shall work with the SOS to ensure the updated system configuration documentation provides the details necessary for the SOS ITD to successfully configure and deploy CARS in the above referenced environments (Staging and Production).

Contractor shall work with the SOS as required in conducting and completing the End-to-End Acceptance Testing to include at a minimum Functional Testing, Interface Testing, Performance Testing, Load and Stress Testing, and Availability Testing. In addition, a Security Assessment will be conducted by SOS. Issues and deficiency findings shall be corrected and regression tested by the Contractor.

The deliverable shall include the following at a minimum:

- Updated SCM Plan with the System Configuration documentation;
- Updated Defect Log and Test Result Reports;
- Updated Source Code; and
- Updated SRS, RTM, STA and DSD.

Acceptance criteria for this Deliverable shall include a written confirmation from the SOS of the successful deployment which meets SRS, STA and DSD to the Staging and Production environments.

Deliverable III.6 – Phase 0 Ongoing Process Tasks and Deliverables

Contractor shall perform all tasks, processes, and activities required in Phase 0.

PHASE IV – FIRST-YEAR OPERATIONS AND CLOSEOUT

Contractor shall provide the SOS with complete CARS System maintenance and technical support services, commencing immediately after the CARS System is fully deployed and the CARS End-to-End Acceptance Testing Completion and the Final Deployment Deliverable is confirmed by SOS.

Deliverable IV.1 – Monthly Operations Support and Performance Reports

Software Maintenance and Operation Services and Help Desk Service Levels for CARS

This section describes the Software Maintenance and Operations (M&O) Support and Help Desk Services the Contractor must provide for the CARS System. CARS M&O begins immediately upon satisfactory completion of Phase III – Development, Testing, and Deployment. M&O

services shall include but not limited to performing preventive maintenance such as repair and testing of application defects, application tuning, component upgrades, and database reorganizations. The Contractor shall test changes to the environment as described in the Testing Plan and develop release plans as described in the Configuration Change Management Plan, prior to implementing any preventative maintenance changes.

Maintenance and Operations

Following are Contractor requirements for Software M&O Services for CARS:

- A. Software M&O Services by Contractor shall include
 - 1) Satisfying requirements described in the RFO;
 - 2) Troubleshooting application and configuration issues;
 - 3) Deficiency resolution and escalation;
- B. Contractor shall correct all Software Deficiencies identified by the State or Contractor in the Software comprising CARS. When such correction requires changes to the infrastructure or SOS network (WAN/LAN), the Contractor shall support SOS in troubleshooting activities.
- C. Correction of Deficiencies during Phase IV – First Year Operations and Close-out. The correction of any Deficiencies in any of the CARS System Software that may be discovered by Contractor or by the State during Phase IV - First Year Operations and Close-out will be considered Maintenance. Such Maintenance will be performed by Contractor without additional charge for the term of this Contract.
- D. Responding to Deficiencies
 - 1) Notification Procedures. Suspected Deficiencies in the CARS System Software identified by either party will be reported by the party identifying the problem using the SOS' automated problem tracking tool. This report shall include a description of the Deficiency. When Contractor initially identifies and reports a Deficiency, SOS may supplement the Deficiency description with additional information on business or end-user impact.
 - 2) Correction of Software Deficiencies. Contractor must correct all Software Deficiencies relating to all Severity Levels (as defined in Table 1 below) which are known to the Contractor or reported by SOS to the Contractor. SOS will specify the initial Severity Level for all reported Deficiencies, including those initially identified and reported by the Contractor. Contractor will have the opportunity to provide input on the Severity Level, and SOS will work collaboratively with Contractor to resolve any Severity Level disagreements.

Although SOS expects the Contractor to correct all Software Deficiencies, if SOS concludes that a particular Deficiency has minimal impact on the production CARS System's quality, accuracy, and timeliness and/or on CARS end-user ease-of-use, SOS may, on an exception basis and at its sole discretion, decide to extend the period of time allowed the Contractor to correct that Deficiency or wholly waive the Contractor's obligation to correct it. If SOS decides to extend or waive the Contractor's obligations for a particular Software Deficiency in this way, SOS shall communicate this decision to the Contractor in writing.

Table 1 – Severity Levels

Severity Level	Definition	Time to Respond Service Level Objective	Time to Correct Service Level Objectives
1 - Critical	Critical incident, immediate response required. Business functionality completely unavailable or the business is unable to access product. Work to address the Deficiency begins upon notification and continues until resolved. Correction is completed within timeframe required for Service Level Objectives specified for Severity Level ultimately assigned the Deficiency.	<ul style="list-style-type: none"> Contractor shall respond to SOS notification within 30 minutes via problem-tracking tool or telephone 	<ul style="list-style-type: none"> Contractor must correct all Severity Level 1 Software Deficiencies within 4 hours
2 – Serious	Business functionality is partially unavailable Correction is completed within the timeframe required for Service Level Objectives specified for Severity Level ultimately assigned the Deficiency.	<ul style="list-style-type: none"> Contractor shall respond to SOS notification within 60 minutes via problem-tracking tool or telephone 	<ul style="list-style-type: none"> Contractor must correct all Severity Level 2 Software Deficiencies within 24 hours
3 – Moderate	A problem that impairs some functionality and an SOS-approved workaround may be available to be used until the Deficiency can be fully resolved within the timeframe required for Service Level Objectives specified for the Severity Level ultimately assigned the Deficiency.	<ul style="list-style-type: none"> Contractor shall respond to SOS notification within 24 hours via problem-tracking tool or telephone 	<ul style="list-style-type: none"> Contractor must correct all Severity Level 3 Software Deficiencies within 7 calendar days
4 – Minimal	A problem that does not affect any production functionality of the software and may be cosmetic in nature. A software defect exists but does not impede any functionality. The business is fully operational. An SOS-approved workaround may be available to be used until the Deficiency can be fully resolved within the timeframe required for Service Level Objectives specified for Severity Level ultimately assigned the Deficiency.	<ul style="list-style-type: none"> Contractor shall respond to SOS notification within 24 hours via problem-tracking tool or telephone 	<ul style="list-style-type: none"> Contractor must correct all Severity Level 4 Software Deficiencies within 30 calendar days; or, if the State agrees in writing to extend the resolution period, within the period specified by the State-approved extension.

- 3) A workaround is a temporary fix to Software failure such that core business functionality is restored and there are no significant impacts that prevent the business from operating as intended. All workarounds must be approved by the State, in writing, prior to implementation.

E. Configuration Management and Documentation. Contractor must conform to the approved CARS processes and procedures specified in the CARS System Configuration Management Plan (Deliverable I.6).

- F. Change Control Plan Compliance. Contractor will adhere to the SOS CARS Change Control Plan in accordance with Contractor's compliance activities outlined in Change Control Processes (Deliverable 0.7).
- G. CARS Up-time Service Level Objective. The CARS System must be functioning in a production operations mode (allowing for implementation of an approved workaround) and available for end-user use for 99% (ninety-nine percent) of the Total Available Operational Hours for the month.

CARS Help Desk Support and Deficiency Escalation Service Calls

- A. Technical Help Desk Support and Problem Escalation Service Levels. Contractor shall provide support to the SOS CARS Help Desk support in receiving and recording the Issue and providing basic assistance if needed.
 - A. Help Desk support includes:
 - 1) Intake of Deficiencies from SOS CARS Help Desk;
 - 2) Additional Deficiency diagnostics and analysis;
 - 3) Application of monitoring, probe, and other technical investigatory techniques;
 - 4) Deficiency triage, intervention and/or resolution;
 - 5) Coordination of Deficiency response across expertise types (e.g., Systems, database, CARS System Software, and other components of the CARS System); and,
 - 6) Deficiency referral/escalation; and Deficiency Documentation, tracking and reporting.
 - B. Contractor must provide 24/7/365 Help Desk support for Deficiencies related to the CARS operational and technical environments in accordance with the Severity Levels defined in Table 1 above.
 - C. If a Deficiency involves a CARS problem or outage that may be caused by Software, the Contractor must respond and correct the Deficiency according to the Service Level Objectives, described in Table 1 above. The clock begins from the time that SOS reports the problem or outage.

Deliverable IV.2 – CARS System Final Documentation and CARS System Source Code

Contractor shall deliver CARS Documentation that describes and supports the entire CARS Solution including the following aspects: system design and architecture specifications; requirements; program design; programming and ancillary processing components; system help, information messages and error messages; database schema, system data model and data dictionary; hardware, equipment and software configuration settings; interface specifications and communication protocols; end-user usage and training materials; testing; CARS operations; and help desk and operations support of the CARS Solution.

The delivered CARS Documentation shall include updated versions of CARS Source Code Documentation as described for Deliverables III.2, III.3, and III.7 – CARS Source Code and Documentation, plus additional documentation to satisfy the documentation-related requirements described for this Deliverable IV.2. The CARS Documentation shall also include but not be limited to the following types of documentation:

- System Operations;
- System Technical Documentation;
- System Operational Recovery Procedures;
- System End Users Documentation;
- System Technical Schematics;
- Updated General and Detailed System Design Documents to reflect the applications as implemented;
- Database schema and Data Dictionary;
- Application program interfaces;
- As-Built Documentation of all Configuration, Modification, and/or Programming;

- Deployment Specifications; and
- System Maintenance Documentation.

The portions of this deliverable that constitute updated versions of documentation that were previously provided in Deliverables for Phase III – CARS Source Code and Documentation shall include documentation of all changes made to the code since submittal of Deliverable III.5, in a format approved by the SOS.

Materials that Contractor submits to fulfill requirements of this Deliverable IV.2 – CARS System Final Documentation and CARS System Source Code shall include updated versions of Deliverables that were delivered in prior Phases if such updates are required to maintain consistency of plans and documentation.

Contractor shall also deliver current versions of the CARS Software Source Code.

All delivered Source Code, Object Code (or equivalent), Source Code Documentation and System Documentation described above for this Deliverable IV.2 – System Final Documentation and Current CARS System Source Code shall reflect the state of the CARS Solution as of the end of Phase IV – First-Year Operations and Closeout, including all changes necessitated by changes to the CARS, materials, and procedures during Phase IV.

Deliverable IV.3– Unanticipated Changes for M&O

This Deliverable is reserved for any unanticipated changes identified by the SOS. Changes to the CARS System in this Phase should follow the CARS Approved Change Control Process.

E. PAYMENT MILESTONES

CARS Project Deliverables

Except where otherwise explicitly stated, each Deliverable shall be billable upon SOS acceptance of the Deliverable. In cases where SOS acceptance of a Deliverable requires concurrent or prior SOS acceptance of one or more other Deliverables, the Deliverable shall be billable upon acceptance by the SOS of both that Deliverable and the concurrent or prior Deliverable(s). In no event shall payment be made for a Deliverable until all prior Phase Deliverables have received acceptance from the SOS. The SOS shall make payments to the Contractor only once a month, and only for those Deliverables for which acceptance by SOS was provided during the previous month. Twenty percent (20%) of the cost shall be withheld from deliverable payments. Please refer to the terms specified in Section VII - Statement of Work, provision 13(e) - Twenty Percent 20% Withhold.

Contractor shall be paid a percentage of the Total Cost, exclusive of cost adjustments associated with Contract amendments, for SOS acceptance of deliverables according to the schedule below.

SCHEDULE OF DELIVERABLE PAYMENTS		
Deliverable#	Deliverable Description	% of Total Cost
PHASE 0 - ONGOING PROCESS TASKS AND DELIVERABLES		
<i>These Phase 0 Deliverables are ongoing throughout the CARS Project and are subject to payments from Phase I through Phase IV. Payment for these Phase 0 deliverables is reflected in each phase beyond Phase 0 in the chart below.</i>		
0.1	Project Control and Status Reporting	
0.2	Maintain and Update Project Management Plans (as appropriate)	
0.3	Bi-Weekly Project Management Reports and Attend Weekly Project Meetings	

SCHEDULE OF DELIVERABLE PAYMENTS		
Deliverable#	Deliverable Description	% of Total Cost
0.4	Attend Project Meetings (as required)	
0.5	Ongoing Issues Management and Risk Tracking	
0.6	Written Monthly Project Status Reports	
0.7	Change Control Processes	
0.8	Communications Processes	
0.9	Organizational Change Management Processes	
0.10	Final Report for each phase (<i>Acceptance Criteria shall include prior acceptance of all current phase deliverables</i>)	
PHASE I - PROJECT INITIATION AND PLANNING		
<p><i>Where indicated below, SOS acceptance of a Deliverable in this Phase is contingent upon prior or concurrent acceptance by the SOS of one or more other Deliverables. Deliverables in this Phase are not separately payable. Payment shall be made upon successful completion of the entire Phase, including SOS acceptance of all Phase I Deliverables. The total of all Deliverables in this Phase is worth 8.0% of the Total Project Deliverables Cost and is exclusive of cost adjustments associated with Contract amendments.</i></p>		
I.1	CARS Project Kick-Off Meeting	
I.2	CARS Project Management Plan	
I.3	Integrated Project Schedule	
I.4	Quality Management Plan	
I.5	CARS Master Test Plan	
I.6	System Configuration Management Plan	
I.7	Data Integration Plan	
I.8	Training Plan	
I.9	Requirements Traceability Matrix Plan	
I.10	Phase 0 Ongoing Process Tasks and Deliverables	
Phase I Completion		8.0%
PHASE II – SYSTEM REQUIREMENTS CONFIRMATION, ARCHITECTURE AND DESIGN		
<p><i>SOS acceptance of each Deliverable in this Phase is contingent upon prior or concurrent acceptance by SOS of one or more other Deliverables as indicated below. The total of all Deliverables in this Phase is worth 17.0% of the Total Project Deliverables Cost and is exclusive of cost adjustments associated with Contract amendments.</i></p>		
II.1	System Requirements Specification Documentation	3.0%
II.2	System Technical Architecture Documentation (<i>Acceptance Criteria shall include prior SOS acceptance of Deliverable II.1</i>)	3.0%
II.3	System Data Model and Data Dictionary (<i>Acceptance Criteria shall include prior SOS acceptance of Deliverable II.1</i>)	3.0%
II.4	Detailed System Design Specifications (<i>Acceptance Criteria shall include prior or concurrent approval of SOS acceptance of Deliverable II.2</i>)	5.0%

SCHEDULE OF DELIVERABLE PAYMENTS		
Deliverable#	Deliverable Description	% of Total Cost
II.5	System Detailed Requirements Traceability Matrix <i>(Acceptance Criteria shall include prior or concurrent approval of SOS acceptance of Deliverable II.4)</i>	2.0%
II.6	Phase 0 Ongoing Process Tasks and Deliverables <i>(Acceptance Criteria shall include prior approval of all Deliverables in this phase)</i>	1.0%
Phase II Completion		17.0%
PHASE III – SYSTEM DEVELOPMENT, TESTING, AND DEPLOYMENT		
<i>SOS acceptance of each Deliverable in this Phase is contingent upon prior or concurrent acceptance by the SOS of one or more other Deliverables as indicated below. The total of all Deliverables in this Phase is worth 65.0% of the Total Project Deliverables Cost and is exclusive of cost adjustments associated with Contract amendments.</i>		
III.1	Unit Testing (UT) and Code Review Completion <i>(Acceptance Criteria shall include prior SOS acceptance of Deliverable II.4)</i>	15.0%
III.2	System Configuration and System Testing (ST) Completion (Acceptance Criteria shall include prior approval of Deliverable III.1)	15.0%
III.3	Data Integration Completion and Report (Acceptance Criteria shall include prior approval of Deliverable II.3 and Deliverable III.1)	6.0%
III.4	Develop CARS System Training Materials and Complete Training (Acceptance Criteria shall include prior approval of Deliverable III.2)	6.0%
III.5	CARS End-to-End Acceptance Testing Completion and Final Deployment (Acceptance Criteria shall include prior approval of Deliverables III.2 and III.4 in this phase)	20.0%
III.6	Phase 0 Ongoing Process Tasks and Deliverables (Acceptance Criteria shall include prior approval of all Deliverables in this phase)	3.0%
Phase III Completion		65.0%
PHASE IV – FIRST-YEAR OPERATIONS AND CLOSEOUT		
<i>SOS acceptance of each Deliverable in this Phase is contingent upon prior or concurrent acceptance by the SOS of one or more other Deliverables as indicated below. The total of all Deliverables in this Phase is worth 10.0 % of the Total Project Deliverables Cost and is exclusive of cost adjustments associated with Contract amendments</i>		
IV.1	Monthly Operations Support and Performance Reports (Billable monthly in Phase IV)	2.0%
IV.2	CARS Final System Documentation and CARS System Source Code	2.0%
IV.3	Unanticipated Changes for M&O	6.0%
Phase IV Completion		10.0%
Successive phases cannot be billed unless ALL deliverables from the previous phase have been accepted by the SOS		
Unanticipated Tasks: Is a sole and separate budget which will be added to the contract above the overall Phase 0 – III deliverable costs. Shall not exceed 30.0% of the overall deliverable costs for unanticipated tasks and shall follow the project's approved Change Request process.		30.0%

Exhibit VII.2 – Software Development Lifecycle Roles and Responsibilities

	CARS Project Task/Activity	Owned and Executed By Who?	Supported By Who and What?
1.	Provision, setup and configure all environments in the cloud and on-premise.	SOS ITD	CARS SI shall: <ul style="list-style-type: none"> • Provide build and release instructions. • Provide Detailed Technical Architecture and all other related design deliverables per the CARS SI RFO for provisioning and setting up the environments. • Provide Configuration Management documentation. • Work with the SOS ITD to troubleshoot application configuration issues.
2.	Configure services such as Active directory, web/application servers, databases, LAN and WAN for the Project Team and the CARS SI to work with various environments.	SOS ITD	Same as #1
3.	Provision, setup and configure source code repository, developer accounts, laptops to include Microsoft Visual Studio.	SOS ITD	None
4.	Configure, test and maintain CARS redundant cloud sites; backup and restore strategy and Technology Recovery environment on premise data.	SOS ITD	Same as #1
5.	Develop CAL-ACCESS to CARS Data Migration and Integration Plan	SOS ITD and CARS DM vendor	CARS SI shall: <ul style="list-style-type: none"> • Provide CARS Data Model, Data Dictionary, SQL Scripts • Provide schedule related details • Validate CARS DMIP
6.	Perform Data Clean up	SOS PRD and CARS DM vendor	SOS ITD

7.	Perform Data Migration (ETL) from CAL-ACCESS into a blank CARS Database	SOS ITD and CARS DM vendor	<p>SOS PRD</p> <ul style="list-style-type: none"> • Provide data related clarification • Provide support for additional cleanup as required <p>CARS SI</p> <ul style="list-style-type: none"> • Provide schema related clarifications if required • Assist in troubleshooting migration issues
8.	CARS Data Integration and testing of full database with CARS System	CARS SI	<p>SOS ITD with CARS DM Vendor</p> <ul style="list-style-type: none"> • Resolve data related issues
9.	Perform Unit Testing	CARS SI	N/A
10.	CARS Release Management	SOS ITD	<p>CARS SI</p> <ul style="list-style-type: none"> • Work with the SOS ITD to troubleshoot application configuration issues.
11.	Perform SI System Testing	CARS SI	<p>SOS ITD</p> <ul style="list-style-type: none"> • Provide SI the necessary access to the System Testing Environment in on premises, cloud, or otherwise. • Maintain and implement activity list 1 and 2 above as required for testing. • Work with the SI to troubleshoot application configuration issues.
12.	Perform SI Performance, Load, Stress, and Availability testing	CARS SI	Same as above.
13.	Perform SOS Incremental System Testing	SOS Staff and QA vendor	<p>CARS SI</p> <ul style="list-style-type: none"> • Support testing activities. • Provide Training on CARS Functionality for testing. • Manages defects lifecycle.
14.	Perform Security Testing	SOS ITD and a Security Testing Vendor	<p>CARS SI</p> <ul style="list-style-type: none"> • Work with the SOS ITD to troubleshoot and resolve issues.
15.	Perform SOS Performance, Load, Stress, and Availability testing	SOS ITD and a QA Vendor	<p>CARS SI</p> <ul style="list-style-type: none"> • Work with the SOS ITD to troubleshoot and resolve issues.
16.	Perform User Acceptance Testing	SOS Staff and QA Vendor	<p>CARS SI</p> <ul style="list-style-type: none"> • Support testing activities.

			<ul style="list-style-type: none"> • Provide Training on CARS Functionality for testing. • Manages defects lifecycle.
17.	Business Process Training	SOS PRD and an OCM vendor	CARS SI. <ul style="list-style-type: none"> • Provides System functionality related support and training. See next.
18.	CARS System Training	CARS SI	SOS OCM through a vendor <ul style="list-style-type: none"> • Provide Business Process support

Exhibit VII.3 – Deliverable Cost Table

CARS – SCHEDULE OF DELIVERABLE PAYMENTS		
Deliverable #	Deliverable Description	Cost
PHASE 0 - ONGOING PROCESS TASKS AND DELIVERABLES <i>These Phase 0 Deliverables are ongoing throughout the CARS Project and are subject to payments from Phase I through Phase IV. Payment for these Phase 0 deliverables is reflected in each phase beyond Phase 0 in the chart below.</i>		
0.1	Project Control and Status Reporting	
0.2	Maintain and Update Project Management Plans (as appropriate)	
0.3	Bi-Weekly Project Management Reports and Attend Weekly Project Meetings	
0.4	Attend Project Meetings (as required)	
0.5	Ongoing Issues Management and Risk Tracking	
0.6	Written Monthly Project Status Reports	
0.7	Change Control Processes	
0.8	Communications Processes	
0.9	Organizational Change Management Processes	
0.10	Final Report for each phase (<i>Acceptance Criteria shall include prior acceptance of all current phase deliverables</i>)	
PHASE I - PROJECT INITIATION AND PLANNING <i>Where indicated below, SOS acceptance of a Deliverable in this Phase is contingent upon prior or concurrent acceptance by the SOS of one or more other Deliverables. Deliverables in this Phase are not separately payable. Payment shall be made upon successful completion of the entire Phase, including SOS acceptance of all Phase I Deliverables. The total of all Deliverables in this Phase is worth 8.0% of the Total Project Deliverables Cost as specified in', Line A4 – CARS Project Deliverables Cost and is exclusive of cost adjustments associated with Contract amendments.</i>		
I.1	CARS Project Kick-Off Meeting	
I.2	CARS Project Management Plan	
I.3	Integrated Project Schedule	
I.4	Quality Management Plan	
I.5	CARS Master Test Plan	
I.6	System Configuration Management Plan	
I.7	Data Integration Approach Documentation	
I.8	Training Plan	
I.9	Requirements Traceability Matrix Plan	
I.10	Phase 0 Ongoing Process Tasks and Deliverables	
Phase Completion (Total)		

CARS – SCHEDULE OF DELIVERABLE PAYMENTS		
Deliverable #	Deliverable Description	Cost
<p>PHASE II – SYSTEM REQUIREMENTS CONFIRMATION, ARCHITECTURE AND DESIGN</p> <p><i>SOS acceptance of each Deliverable in this Phase is contingent upon prior or concurrent acceptance by SOS of one or more other Deliverables as indicated below. The total of all Deliverables in this Phase is worth 17.0% of the Total Project Deliverables Cost as specified in Cost Table VII.4, Line A4 – CARS Project Deliverables Cost and exclusive of cost adjustments associated with Contract amendments.</i></p>		
II.1	System Requirements Specification Documentation	
II.2	System Technical Architecture Documentation (<i>Acceptance Criteria shall include prior SOS acceptance of Deliverable II.1</i>)	
II.3	System Data Model and Data Dictionary (<i>Acceptance Criteria shall include prior SOS acceptance of Deliverable II. 1</i>)	
II.4	Detailed System Design Specifications (<i>Acceptance Criteria shall include prior or concurrent approval of SOS acceptance of Deliverable II.2</i>)	
II.5	System Detailed Requirements Traceability Matrix (<i>Acceptance Criteria shall include prior or concurrent approval of SOS acceptance of Deliverable II.4</i>)	
II.6	Phase 0 Ongoing Process Tasks and Deliverables (<i>Acceptance Criteria shall include prior approval of all Deliverables in this phase</i>)	
Phase II Completion (Total)		
<p>PHASE III – SYSTEM DEVELOPMENT, TESTING, AND DEPLOYMENT</p> <p><i>SOS acceptance of each Deliverable in this Phase is contingent upon prior or concurrent acceptance by the SOS of one or more other Deliverables as indicated below. The total of all Deliverables in this Phase is worth 65.0% of the Total Project Deliverables Cost as specified in Cost Table VII.4, Line A4 – CARS Project Deliverables Cost and exclusive of cost adjustments associated with Contract amendments.</i></p>		
III.1	Unit Testing (UT) and Code Review Completion (<i>Acceptance Criteria shall include prior SOS acceptance of Deliverable II.4</i>)	
III.2	System Configuration and System Testing (ST) Completion (<i>Acceptance Criteria shall include prior approval of Deliverable III.1</i>)	
III.3	Data Integration Completion and Report (<i>Acceptance Criteria shall include prior approval of Deliverable II.3 and Deliverable III.1</i>)	
III.4	Develop CARS System Training Materials and Complete Training (<i>Acceptance Criteria shall include prior approval of Deliverable III.2</i>)	
III.5	CARS End-to-End Acceptance Testing Completion and Final Deployment (<i>Acceptance Criteria shall include prior approval of all Deliverables III.2 and III.4 in this phase</i>)	
III.6	Phase 0 Ongoing Process Tasks and Deliverables (<i>Acceptance Criteria shall include prior approval of all Deliverables in this phase</i>)	

CARS – SCHEDULE OF DELIVERABLE PAYMENTS		
Deliverable #	Deliverable Description	Cost
Phase III Completion (Total)		
PHASE IV – FIRST-YEAR OPERATIONS AND CLOSEOUT		
<i>SOS acceptance of each Deliverable in this Phase is contingent upon prior or concurrent acceptance by the SOS of one or more other Deliverables as indicated below. The total of all Deliverables in this Phase is worth 10.0 % of the Total Project Deliverables Cost as specified in Cost Table VII.4, Line A4 – CARS Project Deliverables Cost and exclusive of cost adjustments associated with Contract amendments.</i>		
IV.1	Monthly Operations Support and Performance Reports (Billable monthly in Phase IV)	
IV.2	Final System Documentation and Source Code	
IV.3	Unanticipated Changes for M&O	
Phase IV Completion (Total)		
Successive phases cannot be billed unless ALL deliverables from the previous phase have been accepted by the SOS		
Unanticipated Tasks: Is a sole and separate budget which will be added to the contract above the overall Phase 0 – III deliverable costs. Shall not exceed 30.0% of the overall deliverable costs for unanticipated tasks and shall follow the project's approved Change Request process.		

Exhibit VII.4 – Cost Summary

Total cost per each phase	
Phase 0	
Phase I	
Phase II	
Phase III	
Phase IV	
Total CAL-ACCESS Replacement System Evaluated Cost	

Exhibit Cost Table VII.5 – Staff Hourly Rates

The Offeror must propose staff hourly rates by IT Consulting Services MSA classification for classifications proposed for the CARS Project, which are in accordance with the Offeror's MSA and are binding for the life of the contract and will be used when preparing estimates and calculating costs for Unanticipated Tasks.

(These rates will be used to determine LPA compliance)

	IT Consulting – Master Services Agreement Staff Classification	Hourly Rate
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

Exhibit VII.6 – Sample Deliverable Expectation Document

1. Introduction

...

This document provides the purpose, description, acceptance criteria, and resources required for development, review, and approval along with deliverable content for ...

1.1 Prerequisite Deliverables

- Deliverable

1.2 Subsequent Deliverables

- Deliverable

2. References

- Request for Offer RFO ITD # 16-

3. Deliverable Description

The

3.1 Methodology for Creating the Deliverable

<how will this deliverable be developed or activities performed>.

3.2 Applicable Standards

...

3.3 Deliverable Format

...

3.4 Assumptions, Dependencies, and Constraints

The CARS <deliverable> is developed with the following assumptions:

- .

The CARS <deliverable> has the following dependencies:

- .

The CARS <deliverable> has the following constraints:

- .

4. Deliverable Acceptance Criteria

The SOS/CARS review and approval of the CARS <deliverable> are based on the acceptance criteria listed in Table 1.

Table 1 – Deliverable Acceptance Criteria

NUMBER	ACCEPTANCE CRITERIA
1	
2	
3	
4	

5. Deliverable Submission and Acceptance Schedule

5.1 Key Deliverable Dates

The final deliverable will be submitted to the SOS/CARS Project Review Team ...

...

6. Resources Required

The following section describes the skills and resources required to create, review, and approve the CARS Solution Requirements Document.

6.1 Required Skills or Knowledge

Resources involved in developing the ...

6.2 Responsible <author> Team Members

Table 2 – Responsible <author> Team Members that will participate in ...

Table 2 – Responsible <author> Team Members

NAME	PRIMARY ROLE	TITLE
	Responsible for Deliverable development	
	Responsible for Deliverable development	
	Responsible for Deliverable development	
	Deliverable Reviewer/QA	

7. SOS Review Team

The individual(s) listed in Table 3 are responsible for participating in the development, review, and approval of the ...

Note: Reviewer timeframe(s) may be concurrent.

Table 3 - Responsible SOS Team Members

PRIMARY ROLE	NAME
Functional Project Lead	
Deliverable Approver	
Supporting Managers	

PRIMARY ROLE	NAME
CARS Project Manager	
Reviewers/ Subject Matter Experts	

8. Deliverable Content

<Describe the structure and content of the actual Deliverable ...>

Exhibit VII.7 – Sample Work Authorization

CAL-ACCESS Replacement System (CARS)

This Work Authorization authorizes the Contractor to complete the work necessary. Unless otherwise specified, this authorization shall include the detailed cost breakdown, resource plan, implementation schedule, list of deliverables, assumptions/constraints and acceptance criteria. All of the Terms and Conditions in the governing Scope of Work shall remain in force with the inclusion of this Work Authorization.

Work Authorization Number			
Title			
Task Summary <i>(Description of tasks to be performed under work authorization)</i>			
Start Date		Completion Date	
Total Estimated Labor Hours		Total Estimated Cost	

This work is being performed at no additional cost

This work is being performed at a fixed price and is not to exceed **\$xx.00**

Work Authorization Approval Signatures

The signatures below authorize the Contractor to perform the work as specified in this Work Authorization.

SOS CARS Project Director

Date

Contractor

Date

<Name>

<Name>

Work Authorization Completion and Acceptance Signatures

This Work Authorization has been executed and the completion criteria have been met. The signatures below demonstrate completion and acceptance of this Work Authorization.

Contractor

Date

SOS CARS Project Director

Date

<Name>

<Name>

SECTION VIII – OFFER REVIEW AND SELECTION

A. INTRODUCTION

The procurement process is a multi-step process to determine the most responsible and responsive offer that provides a “best value” business solution to the Secretary of State (SOS). A “best value” determination does not emphasize least cost at the exclusion of other factors. It is a balanced assessment consisting of cost and perceived risk matched to the business needs.

This section discusses the process the SOS will follow in reviewing offers received in response to this Request for Offer (RFO) and the criteria to be used. For purposes of this Section, when the term “offer” is used without further specification it is intended to refer to any of the response submissions. This RFO section provides information about elements of the review process; the selection process includes review of the offer.

Offerors are required to thoroughly review all RFO requirements to ensure their Offers and the proposed approaches and plans are fully compliant with RFO requirements and thereby avoid the possibility of being ruled non-responsive. Failure to respond to a mandatory requirement is considered to be non-responsive and may be considered a material deviation. If the SOS finds that an offer has a material deviation from specified requirements, the offer may be considered non-responsive and may not be considered for award.

If the SOS determines that an acceptable, responsive and responsible offer has been submitted, contract award will be made to the Offeror that is considered to provide the best value business solution, which balances business functionality, service delivery and risks, and ultimately reduces the SOS’s costs to provide the CARS solution.

B. OFFER REVIEW TEAM

The SOS has established a team of procurement, Political Reform Division (PRD) program area and Information Technology staff for reviewing the offers received. The Department Contact will serve as a lead for this team, a contact point for questions and clarification, and identifies the rules governing the procurement. The SOS may engage additional qualified individuals or subject matter experts during the offer review process, to assist the team in gaining a better understanding of technical, financial, legal, contractual, or program requirements and/or issues. These other individuals will only serve in an advisory capacity and will not take part in the responsibilities of the review process.

C. REVIEW AND SCORING OFFERS

Each offer received by the corresponding date and time specified in Section I – General Information, sub-section C. - Key Action Dates will be date and time stamped as it is received by the SOS and verified that all offers are submitted under an appropriate cover and properly identified. The following information describes how the

points will be awarded and how a winning offer will be selected in an impartial manner that preserves the integrity of the procurement process.

An overview of the review and selection process is described in the following three (3) steps:

1. Preliminary Review and Validation (Pass/Fail)

All offers received by the time and date specified in Section I – General Information, sub-section C. - Key Action Dates, will be acknowledged as having been received accordingly. The offers will be checked for the presence of proper identification and the presence of required information, in conformance with the response requirements of this RFO. Absence of required information may deem the offer non-responsive and may be cause for rejection.

2. Requirements Review (Pass/Fail)

With the exception of those designated as desirable, all Administrative Requirements in RFO Section V – Administrative Requirements are mandatory. Review of the detailed offers will begin by ensuring the Offeror has responded to all Administrative Requirements as described in Section V.

All offers passing the preliminary review, review of Administrative Requirements A1 through A14 AND Functional and Non-Functional Requirements R1 and R2 will proceed to the next stage of Requirement Review and Scoring.

3. Requirement Review and Scoring (Maximum Score = 14,000)

The Review Team will then review and score the Offeror's response to Administrative Requirements A10 through A13 as described in Section V – Administrative Requirements and Project Management Plan Requirements P1 through P9, as described in Section VI – Project Management, Functional and Non-Functional Requirements.

For each requirement category, points will be awarded based on the evaluation of the Offeror's response. The points awarded for a requirement category will be translated into the Offeror's score for that category, based on the percentage of the points actually awarded compared to the total points possible for that category. The maximum score possible for the review of the above referenced requirements is 14,000.

Table VIII.1 below (on following page) summarizes the breakdown of the maximum score for each category to be reviewed.

Table VIII.1 Offer Review Requirement Categories & Scoring

Requirement Category	Maximum Score	Requirement Number(s)
Project Management Plan	600	P1
Schedule Management Plan	700	P2
Quality Management Plan	300	P3
System Configuration Management Plan	600	P4
Requirements Traceability Matrix Plan	300	P5
Training Plan	300	P6
Master Test plan	1800	P7
Data Integration Approach	700	P8
CARS Technical Architecture	3000	P9
CARS Functional Requirements	Pass/Fail	R1
CARS Non-functional Requirements	Pass/Fail	R2
Offeror Qualifications and References		
Offeror Qualifications and References (Mandatory)	Pass/Fail	A9
Offeror Qualifications and References (<i>Desirable</i>)	1500	A10
Project Organization	1000	A11
Proposed Key Staff Qualifications		
Proposed Key Staff Qualifications (Mandatory)	Pass/Fail	A12
Proposed Key Staff Qualifications (<i>Desirable</i>)	2200	A13
Proposed Key Staff References	1000	A12 and A13
TOTAL POSSIBLE SCORE:	14,000	

4. Minimum Score Threshold to Proceed to Cost Scoring

Only offers with a combined non-cost score of 10,500 or higher (75% of the maximum total possible score for the respective requirement categories listed above) will proceed to the cost portion of the review. Offers that do not meet this required combined score will be eliminated from further consideration. All offers will be verified to ensure they are complete and free of math errors. (See sub-section E. – Cost Scoring below for further details.)

5. Determination of Winning Offer

The total score (Requirements and Costs) will be calculated for each Offer.

D. OFFER REVIEW PROCESS AND DETERMINATION OF SCORE

The following information describes the review approach and scoring methodology for each requirement of this RFO. In cases where the scoring is complex (e.g., because

the maximum total raw “points” that an Offeror may earn does not map directly to the maximum score), an example is provided to illustrate. When a score is calculated by applying a percentage or other weight against “raw” points, the resulting score will be rounded to two decimal places (e.g., a result of 86.666667 would be rounded to 86.67).

Scoring will be based on the Review Team’s assessment of Offeror’s response relative to the criteria described in each respective requirement.

1. Project Plan Requirements – P1 thru P7 (Maximum Combined Score 4600)

Section VI – Project Management, Functional and Non-Functional Requirements, B.1 – Project Management, describes Requirements P1 through P5, B.2 – Training, describes Requirement P6, and B.3 – Testing, describes Requirement P7. Offerors must provide narrative responses to all requirements P1 through P7, as described in Section VI. The Offeror’s project plans, implementation methodologies, and schedule will be reviewed to determine points awarded for responses to these requirements.

2. Data Integration Approach – P8 (Maximum Score 700)

Section VI – Project Management, Functional and Non-Functional Requirements, B.4 – Data Integration, describes Requirement P8. Offerors must provide a narrative response to this requirement, as described in Section VI.

Table VIII.2 below identifies requirement(s) to which these criteria will be applied, the factors to be considered in the review, and the maximum points possible for that requirement.

Table VIII.2 Review Factors and Maximum Points for Data Integration Plan Requirement (P8)

Req. #	Requirement and Review Factors	Max Points Possible
P8	<p>Data Integration Approach The degree to which the proposed approach:</p> <ul style="list-style-type: none"> • Conforms all CAL-ACCESS data to CARS standards; • Integration of existing CAL-ACCESS data; • The process of testing and validating data integration, including the approach for: <ul style="list-style-type: none"> ○ Conducting the data integration process; ○ Addressing and resolving data errors. 	700

3. CARS Technical Architecture – P9 (Maximum Score 3000)

Section VI – Project Management, Functional and Non-Functional Requirements, B.5 – Technical Architecture, describes Requirement P9. Offerors must provide a response to this requirement that addresses the criteria described in Section VI.

Review and scoring of the response to this requirement will include review of the Offerors' response to Requirement P9, as well as the Offeror's responses to the Functional and Non-Functional Requirements (Requirements R1 and R2) AND the Offeror's referenced projects. The Review Team will determine the depth, breadth, completeness, and clarity of the response, and the degree to which the response demonstrates that the solution meets or exceeds objectives for performance, availability, scalability, security, maintainability, accessibility, deployability, and extensibility as described in Section VI.

Table VIII.3 below identifies requirement(s) to which these criteria will be applied, the factors to be considered in that review and the maximum points possible for that requirement.

Table VIII.3 – Review Factors and Maximum Points for CARS Architecture Requirement (P9)

Review Factor for the Proposed CARS Architecture	Maximum Points
<p>Architecture Approach: The degree to which the proposed architecture meets or exceeds the CARS requirements and shows the interactions among software/service components Areas that will be reviewed for this factor include:</p> <ul style="list-style-type: none"> • Architecture diagram(s); and • Architecture narrative. 	250
<p>Performance: The degree to which the proposed architecture meets or exceeds performance requirements described in the RFO and the extent to which the approach to meeting performance requirements conforms to SOS standards and industry-accepted best practices and standards. Areas that will be reviewed for this factor include:</p> <ul style="list-style-type: none"> • Input/Output capacity; • Memory and processing capacity; and • Application-processing constraints. 	250
<p>Availability: The degree to which the proposed architecture meets all availability requirements described in the RFO and the extent to which the approach to meeting availability requirements conforms to SOS standards and industry-accepted best practices and standards. Areas that will be reviewed for this factor include:</p> <ul style="list-style-type: none"> • How and when routine maintenance will be performed; • How component failures will be handled; and • How state management impacts availability. 	300
<p>Scalability: The degree to which the proposed architecture is scalable and meets the SOS' scalability requirements.</p>	200
<p>Security: The degree to which the proposed architecture meets</p>	500

Review Factor for the Proposed CARS Architecture	Maximum Points
all security requirements of the RFO and the extent to which the approach for meeting security requirements reflects SOS standards and industry-accepted best practices and standards	
<p>Maintainability: The ability of and ease with which the system is to be maintained at an operational level after it is put into production, including the degree to which maintenance by the SOS can be performed within the SOS’s projected CARS staffing and anticipated operating budget. Areas that will be reviewed for this factor include:</p> <ul style="list-style-type: none"> • How Offeror developed components of the CARS system will be maintained • How state management impacts maintainability; • How any third-party components will be maintained; and • The necessary staffing skills needed to maintain the system. 	300
<p>Accessibility: The degree to which the proposed architecture meets all accessibility requirements of the RFO and the extent to which the approach to ensuring accessibility reflects SOS standards and industry-accepted best practices and standards. Areas that will be reviewed for this factor include:</p> <ul style="list-style-type: none"> • Evidence of architecture’s compliance with provisions of California Government Code Section 11135 and United States Rehabilitation Act Section 508; and • Evidence of conformance to Web Content Accessibility Guidelines 2.0, W3C World Wide Web Consortium Recommendation WCAG 2.0 12/2008, Level A and Level AA Success Criteria. 	300
<p>Extensibility: The degree to which the proposed architecture meets all extensibility requirements of the RFO, the degree to which the system can be enhanced in the future, and the resource impact of the approach described for ensuring extensibility. Areas that will be reviewed for this factor include:</p> <ul style="list-style-type: none"> • The steps necessary to add new functionality to the system; • How extensibility will affect the complexity of the system; and • How extensibility will affect testing and debugging. 	300
<p>SDLC: The degree to which the Contractor’s response describes the System Development Lifecycle (SDLC) approach and tools employed. Areas that will be reviewed for this factor include:</p>	300

Review Factor for the Proposed CARS Architecture	Maximum Points
<ul style="list-style-type: none"> • How development standards will be enforced; and • How software development tools will assist with incremental development and release. 	
<p>Error Handling: The degree to which the Contractor’s response describes the error handling process. Areas that will be reviewed for this factor include:</p> <ul style="list-style-type: none"> • How system errors are logged; and • How errors are communicated 	300

4. CARS Functional Requirements – R1 (Pass/Fail)

The CARS Functional Requirements are described in Section VI – Project Management, Functional and Non-Functional Requirements, C – Functional Requirements. The business requirements are broken down by major business functional areas within the response form. Response to each business requirement will be reviewed for compliance with the Review criteria in order to obtain the best value solution. Offerors must provide a complete response to each requirement, as described in Section VI.

The Review Team will review the Offeror’s responses to the functional requirements to determine whether or not the responses fully address and satisfy each requirement.

Offerors are encouraged to provide references to technical literature in their response to the specific requirements where the functionality is discussed in the product literature, user or system manuals, etc.; the inclusion of *marketing* literature is discouraged. This will assist the Review Team in validating the Offeror’s response to the requirement.

Each requirement will be rated pass or fail based on the criteria identified in Table VIII.4 below.

Table VIII.4 Criteria for Pass/Fail Review of Response to CARS Functional Requirements

Rating	Criteria
PASS	Response meets or exceeds functional requirement.
FAIL	Response does not meet the functional requirement.

5. CARS Non-functional Requirements – (Pass/Fail)

The CARS Non-functional requirements are described in Section VI – Project Management, Functional and Non-Functional Requirements, D – Non-Functional

Requirements. Offerors must provide a complete response to each requirement, as described in Section VI.

The Review Team will review the Offeror’s responses to the non-functional requirements to determine whether or not the responses fully address and satisfy each requirement.

Each requirement will be rated pass or fail based on the criteria identified in Table VIII.5 below.

Table VIII.5 Criteria for Pass/Fail Review of Response to CARS Non-Functional Requirements

Rating	Criteria
PASS	Response meets or exceeds non-functional requirement.
FAIL	Response does not meet the non-functional requirement.

6. Offeror Qualifications and References (Mandatory and Desirable) – A9 and A10 (Pass/Fail and Maximum Score 1500)

a. Introduction

Section V – Administrative Requirements, Requirements A9 and A10 describes mandatory and *desirable* Offeror Qualifications. Review of Offeror qualifications and references will be based on similarity of the referenced projects to the CARS Project in terms of scope and complexity, and on client references.

For the purposes of the review of this RFO, the State’s determination of similarity of the projects included as references to the project specified in this RFO shall be final.

The references submitted by the Offeror to address the mandatory Offeror Qualifications and References requirement must conform to the criteria described in Section V – Administrative Requirements, Requirement A9. **If the references submitted for the mandatory Offeror Qualifications and References requirement are determined not to meet the criteria described in Section V, this will be deemed a material deviation and may disqualify the Offer from further consideration.**

The reference(s) submitted by the Offeror to address the *desirable* Offeror Qualifications and References requirement must conform to the criteria described in Section V – Administrative Requirements, Requirement A10. **If the reference(s) submitted for the *desirable* Offeror Qualifications and References requirement is determined not to meet the criteria set forth in Section V, the reference will not be scored.**

The score awarded for Offeror Qualifications and References requirements will be based entirely upon the information provided by the references identified in the Offer.

b. Review Process

At least three (3) members of the Review Team will participate in each reference call. During the call, the Review Team members will:

- Confirm the information provided by the Offeror regarding the reference's project as provided by the Offeror
- Ask the reference to provide a numeric rating of their satisfaction with the Offeror (or Key Subcontractor) with respect to the development and implementation process, the end product delivered, the service and support provided, and the end product's usability; and
- Ask the reference to review the Offeror's (or Key Subcontractor's) overall success by choosing best answers to a number of questions pertaining to schedule, cost, fulfillment of requirements, system deployment, and system quality.

7. Project Organization – A11 (Maximum Score = 1000)

Section V – Administrative Requirements, Requirement A11 describes the Project Organization requirement. Offerors must provide a response to this requirement that addresses the criteria described in Section VI. The Offeror's response will be reviewed to determine points awarded for this requirement based on the depth and breadth of the Offeror's narrative description of the Project Organization.

8. Proposed Key Staff Qualifications (Mandatory and Desirable) – A12 and A13 (Pass/Fail, and Maximum Score 2200)

a. Introduction

Section V – Administrative Requirements, Requirements A12 and A13 describe the mandatory and *desirable* Proposed Key Staff Qualifications. The Offeror's proposed Key Staff will be reviewed and scored based on the following factors:

- Whether the proposed staff for the five (5) defined Key Staff roles meet all Mandatory Proposed Staff Qualifications requirements, A12 (Pass/Fail); and
- The degree to which the proposed staff meet the *Desirable* Staff Qualifications requirements, A13 (2200 maximum score).

The score awarded for Proposed Key Staff References will be based entirely upon the information provided by the references identified in the Offer.

b. Review Process

1) Satisfaction of Proposed Key Staff Qualifications (Mandatory) (Pass/Fail): Review and scoring of the response to this requirement will

include review of the Exhibit V.6 (1 – 5) – Key Staff Experience Matrix submitted for each proposed Key Staff, as well as the proposed Key Staff resume's and results of client reference checks; the Review Team will sum the total number of Full-time Month Equivalents of each proposed Key Staff's experience for his/her respective role.

The Review Team may, during the State's offer Review, contact the client contacts (i.e. references) listed in Exhibit V.6 (1 – 5) – Key Staff Experience Matrix for purposes of validating the period of time during which the proposed Key Staff worked on the referenced project and the number of Full-time Month equivalent experience reported.

If the Review Team elects to validate the number of reported Full-time Month Equivalent experience reported for an Offeror's Key Staff during the offer Review process, then:

At least three (3) members of the Review Team will participate in each reference contact call. During the call, the Review Team members will:

- For each experience requirement the Offeror specifies the Key Staff has met based on work on the referenced project, validate the number of Full-time Month Equivalent experience the Key Staff accrued by asking the client contact to confirm the (calendar) timeframe during which the Key Staff worked on the referenced project, whether the Key Staff worked full-time or part-time on the project, and the type of role filled/work performed.
- Using the calculations provided in the instructions accompanying Exhibit V.6 (1 – 5) – Key Staff Experience Matrix and the client contact's input, the Review Team will calculate the number of Full-time Month Equivalents the Key Staff accrued for each designated work experience requirement for the referenced project.
- If the Key Staff's Exhibit V.6 (1 – 5) – Key Staff Experience Matrix and/or Key Staff resume reports a number of Full-time Month Equivalent experience for the designated work experience requirement for the referenced project that is different than that calculated based on the client contact's input, the Key Staff will be reviewed based only on the number of Full-time Month Equivalents calculated from the client contact's input.

2) Satisfaction of Proposed Key Staff Qualifications (*Desirable*) (Maximum Score = 2200): Review and scoring of the response to this requirement will include review of the Exhibit V.6 (1 – 5) – Key Staff Experience Matrix submitted for each proposed Key Staff, as well as the proposed Key Staff resume's, and (if applicable) results of client reference checks, the Review

Team will sum the total number of Full-time Month Equivalents of each proposed staff's *desirable* experience for his/her respective role.

In cases where the information submitted on Exhibit V.6 (1 – 5) – Key Staff Experience Matrix and Staff Resume conflict with information provided by a client contact, the information provided by the client contact will take precedence and will be used in calculation of the total number of Full-time Month Equivalents of the proposed Key Staff's *desirable* experience.

E. COST SCORING (Maximum Score = 6,000 points)

A maximum score of six thousand (6,000) points is possible for the Cost Scoring portion of the offer review. Offers that were successful in obtaining the minimum non-cost score of 10,500 or higher (75% of the maximum total possible score for the requirement categories listed above), will be reviewed to verify they are complete and include all items identified in the Offer (i.e., deliverables) and are free of math errors. The cost scoring methodology used will be as follows:

Example Calculation of Offeror Score for CARS System Reviewed Cost:

The maximum cost score achievable is six thousand (6,000) points.

$$\frac{\text{Lowest CARS System Reviewed Cost} \times 6,000}{\text{Offeror's CARS System Reviewed Cost Offer}} = \text{Offeror Cost Score}$$

Offerors Reviewed Costs:

- Offeror A - \$1,100,000.00
- Offeror B - \$3,000,000.00
- Offeror C - \$2,040,000.00

- Offeror A (1,100,000 * 6,000)/1,100,000 = 6,000 Cost Score
- Offeror B (1,100,000 * 6,000)/3,000,000 = 2,200 Cost Score
- Offeror C (1,100,000 * 6,000)/2,040,000 = 3,235 Cost Score

F. DETERMINATION OF WINNING OFFER

1. Finalization of Offer Points

All points awarded for each area of the offer review will be tallied to determine the total points awarded for each responsive offer.

2. Winning Offer Summary

The Review process will determine which responsive offer has the highest combined score for the scored requirements and cost referenced below.

The following Table VIII.6 – Maximum Possible Score for Each Review Area illustrates the maximum possible in each Review area.

Table VIII.6 – Maximum Possible Score for Each Review Area

Review Area	Maximum Possible Score	
Preliminary Review and Validation (Pass/Fail)		
Requirements Review (Pass/Fail)		
Requirement Review and Scoring (Maximum Score 14,000)		
Project Management Plan	600	
Schedule Management Plan	700	
Quality Management Plan	300	
System Configuration Management Plan	600	
Requirements Traceability Matrix Plan	300	
Training	300	
Master Test Plan	1800	
Data Integration Approach	700	
CARS Technical Architecture	3000	
CARS Functional Requirements	Pass/Fail	
CARS Non-Functional Requirements	Pass/Fail	
Offeror Qualifications and References		
Offeror Qualifications and References (Mandatory)	Pass/Fail	
Offeror Qualifications and References (<i>Desirable</i>)	1500	
Project Organization	1000	
Proposed Key Staff Qualifications		
Proposed Key Staff Qualifications (Mandatory)	Pass/Fail	
Proposed Key Staff Qualifications (<i>Desirable</i>)	2200	
Proposed Key Staff References	1000	
TOTAL POSSIBLE (Non-Cost) SCORE		14,000
Cost Scoring		
CARS System Offer Cost	6,000	
TOTAL POSSIBLE COST SCORE:		6,000
TOTAL MAXIMUM (TOTAL) SCORE:		20,000

G. CONTRACT AWARD

The Contract award, if any, will be made to the responsive and responsible Offeror with the highest total score.