



# Stage 3 Solution Development (Part A)

Department of Technology, SIMM 19C, Revision 9/8/2016



How to Attach File  
and Insert Section.p

(Embedded PDF instructions describe how to attach files and/or insert repeating sections.)

## 3.4 General Information

**Agency or State Entity Name:**

Transportation, Department of (Caltrans)

**Organization Code:**

2660

**Proposal Name:**

Transportation Asset Management System (TAMS)

Department of Technology Project Number: 2660-544

## 3.5 Part A Submittal Information

**Contact Information:**

**Contact First Name:**

William

**Contact Email:**

william.boyd@dot.ca.gov

**Part A Submission Date:**

4/13/2020

**Contact Last Name:**

Boyd

**Contact Phone Number:**

(916) 651-6533

**Part A Submission Type:**

☒ New Submission

☐ Updated Submission (Pre-Approval)

☐ Updated Submission (Post-Approval)

☐ Withdraw Submission

Reason: Select...

If "Other," specify:

**Part A Sections Updated** (For Updated Submissions only, check all that apply)

☐ 3.4 General Information

☐ 3.5 Part A Submittal Information

☐ 3.6 Procurement Profile

☐ 3.6.1 Solicitation Identifier

☐ 3.6.2 Solicitation Method

☐ 3.6.3 Procurement Scope Statement

☐ 3.6.4 Solicitation Contact

☐ 3.6.5 Anticipated Length of Contract

☐ 3.6.6 Anticipated Solicitation Key Action Dates

☐ 3.7 Stage 3 Solution Requirements

☐ 3.7.1 Stage 3 Solution Requirements Template

☐ 3.7.2 Stage 3 Requirements Count

☐ 3.7.3 Stage 2 Mid-Level Solution Requirement Changes

☐ 3.7.4 To-Be Business Process Workflow

☐ 3.8 Statement of Work (SOW)

☐ 3.8.1 Completed SOW Sections

☐ 3.8.2 SOW Security Attributes

☐ 3.9 Proposed Procurement Planning and Development Dates

☐ 3.10 Procurement Risk Assessments and Dependencies

☐ 3.11 Procurement Administrative Compliance Checklist

☐ 3.12 Solicitation Readiness

**Part A Summary of Changes:**

Not applicable, initial submission.

**Part A Project Approval Executive Transmittal**

Attachment: 50 2660-544\_Caltrans\_TAMS\_S3SD\_Project\_Approval\_Execuive\_Transmittal.docx

#### Condition(s) from Previous Stage(s):

Condition #	None	
Condition Category	Select...	If "Other," specify:
Condition Sub-Category	Select...	If "Other," specify:
Condition		
Assessment	Select...	If "Other," specify:
Agency/state Entity Response		
Status	Select...	If "Other," specify:

Insert Condition

### 3.6 Procurement Profile

#### 3.6.1 Solicitation Identifier

☒ Primary ☐ Ancillary ☐ No Procurement

Department of General Services (DGS) Delegated Purchasing Authority: ☒ Over ☐ Under

Solicitation Title: Transportation Asset Management System

#### 3.6.2 Solicitation Method

Solicitation Method	Formal Competitive Solicitation (IFB/RFP)	If "Other," specify:
Anticipated Amount	\$16,978,562	
Conducted By	Department of Technology	If "Other," specify:
Development Status	In Progress	
Solicitation Number	RFP XXXXXXXX	

#### 3.6.3 Procurement Scope Statement

The purpose of this Request for Proposal (RFP) (hereafter referred to as "solicitation") is to obtain proposals from qualified bidders to provide the California Department of Transportation and the State of California (hereafter referred to as "State") with a Transportation Asset Management System (TAMS), hereafter referred to as "TAMS". These services will include implementation of the TAMS solution, software licensing and maintenance and optional post-implementation services.

The TAMS Systems Integrator will develop and implement a solution that will be a centralized data repository and tools to improve transportation asset management, project nomination, project prioritization, scoping, funding, and decision support.

#### 3.6.4 Solicitation Contact

Contact First Name:	Contact Last Name:
Emily	Klahn
Contact Email:	Contact Phone Number:
Emily.Klahn@state.ca.gov	(916) 628-5661

#### 3.6.5 Anticipated Length of Contract

Contract Start Date:	7/30/2020
Contract End Date:	10/31/2023
Optional Years:	
Contract Start Date:	11/01/2023
Contract End Date:	10/31/2025

#### 3.6.6 Anticipated Solicitation Key Action Dates

Activity:	Other	If "Other," specify:	Post draft business process workflows
-----------	-------	----------------------	---------------------------------------

			and detailed requirements for vendor feedback
<b>Start Date:</b>	7/25/2019		
<b>End Date:</b>	9/05/2019		
<b>Number of Business Days:</b>	30 days (excludes 12 weekend days and Labor Day)		
<b>Activity:</b>	Other	If "Other," specify:	Release pre-solicitation
<b>Start Date:</b>	2/14/2020		
<b>End Date:</b>	3/23/2020		
<b>Number of Business Days:</b>	26 (excluding 12 weekend days and Presidents' Day)		
<b>Activity:</b>	Other	If "Other," specify:	Confidential meetings for pre-solicitation
<b>Start Date:</b>	4/06/2020		
<b>End Date:</b>	4/10/2020		
<b>Number of Business Days:</b>	5		
<b>Activity:</b>	Release of Solicitation	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	4/13/2020		
<b>End Date:</b>	5/01/2020		
<b>Number of Business Days:</b>	15 (exluding 4 weekend days)		
<b>Activity:</b>	Last day to submit written questions for clarification of solicitation for Bidder's Conference	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	5/02/2020		
<b>End Date:</b>	5/18/2020		
<b>Number of Business Days:</b>	11 (excluding 6 weekend days)		
<b>Activity:</b>	State's response to bidder's questions, bidder's request for changes to the requirements and release of potential addendum	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	5/18/2020		
<b>End Date:</b>	5/22/2020		
<b>Number of Business Days:</b>	5		
<b>Activity:</b>	Last day to submit Final Proposals	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	5/25/2020		
<b>End Date:</b>	6/10/2020		
<b>Number of Business Days:</b>	12 (excluding 4 weekend days and Memorial Day)		
<b>Activity:</b>	Evaluation Period	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	6/11/2020		
<b>End Date:</b>	6/23/2020		
<b>Number of Business Days:</b>	9 (excluding 4 weekend days)		
<b>Activity:</b>	Demonstration	If "Other," specify:	Click here to enter text.

<b>Start Date:</b>	7/01/2020		
<b>End Date:</b>	7/10/2020		
<b>Number of Business Days:</b>	7 (excluding 2 weekend days and Independence Day)		
<b>Activity:</b>	Other	If "Other," specify:	BAFO Due
<b>Start Date:</b>	7/13/2020		
<b>End Date:</b>	7/30/2020		
<b>Number of Business Days:</b>	14 (excluding 4 weekend days)		
<b>Activity:</b>	Contract Award	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	7/31/2020		
<b>End Date:</b>	7/31/2020		
<b>Number of Business Days:</b>	1		
<b>Insert Solicitation Key Action Date</b>			

### 3.6.1 Solicitation Identifier

☐ Primary
 ☒ Ancillary
 ☐ No Procurement

**Department of General Services (DGS) Delegated Purchasing Authority:**
☐ Over
 ☒ Under

**Solicitation Title:** Transportation Asset Management System (TAMS) Data Quality and Information Architecture

### 3.6.2 Solicitation Method

<b>Solicitation Method</b>	Request for Offer/Master Service Agreement (RFO/MSA)	If "Other," specify:
<b>Anticipated Amount</b>	\$1,266,500	
<b>Conducted By</b>	Department of Technology	If "Other," specify:
<b>Development Status</b>	Completed	
<b>Solicitation Number</b>	RFO_CT_TAMS_20190130, Caltrans Agreement: 56A0616	

### 3.6.3 Procurement Scope Statement

This Request for Offer (RFO) is being released by the State of California, Department of Technology (CDT), on behalf of the State of California, Department of Transportation (Caltrans), Director's Office of Asset Management. The RFO is to solicit services from the vendor community to assist the State in determining the information architecture and assess Data Quality for the eventual implementation of the Transportation Asset Management System (TAMS).

### 3.6.4 Solicitation Contact

<b>Contact First Name:</b>	<b>Contact Last Name:</b>
Emily	Klahn
<b>Contact Email:</b>	<b>Contact Phone Number:</b>
Emily.Klahn@state.ca.gov	(916) 628-5661

### 3.6.5 Anticipated Length of Contract

<b>Contract Start Date:</b>	6/10/2019
<b>Contract End Date:</b>	6/30/2020
<b>Optional Years:</b>	
<b>Contract Start Date:</b>	
<b>Contract End Date:</b>	

### 3.6.6 Anticipated Solicitation Key Action Dates

<b>Activity:</b>	Release of Solicitation	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	3/15/2019		
<b>End Date:</b>	3/15/2019		
<b>Number of Business Days:</b>	1		
<b>Activity:</b>	Last day to submit questions for clarification of solicitation and/or request a change to the requirements in the solicitation prior to Final Proposals	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	3/18/2019		
<b>End Date:</b>	4/02/2019		
<b>Number of Business Days:</b>	11 (excludes 4 weekend days and Cesar Chavez Day)		
<b>Activity:</b>	State's response to bidder's questions, bidder's request for changes to the requirements and release of potential addendum	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	4/03/2019		
<b>End Date:</b>	4/08/2019		
<b>Number of Business Days:</b>	4 days (excludes 2 weekend days)		
<b>Activity:</b>	Last day to submit Final Proposals	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	4/09/2019		
<b>End Date:</b>	4/22/2019		
<b>Number of Business Days:</b>	10 (excludes 4 weekend days)		
<b>Activity:</b>	Evaluation Period	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	4/22/2019		
<b>End Date:</b>	4/26/2019		
<b>Number of Business Days:</b>	5		
<b>Activity:</b>	Contract Award	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	4/27/2019		
<b>End Date:</b>	5/20/2019		
<b>Number of Business Days:</b>	16 (excludes 8 weekend days)		
<b>Activity:</b>	Contract Execution	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	5/21/2019		
<b>End Date:</b>	6/10/2019		
<b>Number of Business Days:</b>	14 (excludes 6 weekend days and Memorial Day)		
<b>Insert Solicitation Key Action Date</b>			

3.6.1 Solicitation Identifier

☐ Primary    ☒ Ancillary    ☐ No Procurement

Department of General Services (DGS) Delegated Purchasing Authority:    ☐ Over    ☒ Under

Solicitation Title: Transportation Asset Management System (TAMS) Business Process Management

### 3.6.2 Solicitation Method

<b>Solicitation Method</b>	Request for Offer/Master Service Agreement (RFO/MSA)	If "Other," specify:
<b>Anticipated Amount</b>	\$750,000	
<b>Conducted By</b>	Department of Technology	If "Other," specify:
<b>Development Status</b>	In Progress	
<b>Solicitation Number</b>		

### 3.6.3 Procurement Scope Statement

The purpose of this Request for Offer (RFO) (hereafter referred to as "solicitation") is to obtain proposals from qualified bidders to provide the California Department of Transportation and the State of California (hereafter referred to as "State") with the Transportation Asset Management System (TAMS) Business Process Management (BPM) services during both the preparation and implementation of the TAMS. (Hereafter referred to as "TAMS BPM RFO"). This will provide services to support planning and preparation and the eventual implementation of TAMS. The BPM is to develop business processes identified as gaps for TAMS to be implemented prior and parallel to the implementation of TAMS.

### 3.6.4 Solicitation Contact

<b>Contact First Name:</b> Emily	<b>Contact Last Name:</b> Klahn
<b>Contact Email:</b> Emily.Klahn@state.ca.gov	<b>Contact Phone Number:</b> (916) 628-5661

### 3.6.5 Anticipated Length of Contract

<b>Contract Start Date:</b>	7/01/2020
<b>Contract End Date:</b>	9/30/2021
<b>Optional Years:</b>	
<b>Contract Start Date:</b>	
<b>Contract End Date:</b>	

### 3.6.6 Anticipated Solicitation Key Action Dates

<b>Activity:</b>	Release of Solicitation	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	3/23/2020		
<b>End Date:</b>	4/22/2020		
<b>Number of Business Days:</b>	22 (excluding 8 weekend days and Cesar Chavez Day)		
<b>Activity:</b>	Last day to submit written questions using Attachment 1 and request changes to requirements using Attachment 2	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	4/23/2020		
<b>End Date:</b>	5/07/2020		
<b>Number of Business Days:</b>	11 (excluding 4 weekend days)		
<b>Activity:</b>	State's response to bidder's questions, bidder's request for changes to the requirements and release of potential addendum	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	5/07/2020		
<b>End Date:</b>	5/12/2020		
<b>Number of Business Days:</b>	4 (excluding 2 weekend days)		
<b>Activity:</b>	Last day to submit Final Proposals	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	5/13/2020		

<b>End Date:</b>	5/29/2020		
<b>Number of Business Days:</b>	12 (excluding 4 weekend days and Memorial Day)		
<b>Activity:</b>	Evaluation Period	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	5/29/2020		
<b>End Date:</b>	6/08/2020		
<b>Number of Business Days:</b>	7 (excluding 4 weekend days)		
<b>Activity:</b>	Notification of Intent to Award	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	6/08/2020		
<b>End Date:</b>	6/10/2020		
<b>Number of Business Days:</b>	2		
<b>Activity:</b>	Contract Award	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	6/10/2020		
<b>End Date:</b>	6/11/2020		
<b>Number of Business Days:</b>	2		
<b>Activity:</b>	Contract Execution	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	6/11/2020		
<b>End Date:</b>	7/01/2020		
<b>Number of Business Days:</b>	15 (excluding 6 weekend days)		
<b>Insert Solicitation Key Action Date</b>			

### 3.6.1 Solicitation Identifier

<input type="checkbox"/> Primary	<input checked="" type="checkbox"/> Ancillary	<input type="checkbox"/> No Procurement
<b>Department of General Services (DGS) Delegated Purchasing Authority:</b>	<input type="checkbox"/> Over	<input checked="" type="checkbox"/> Under
<b>Solicitation Title:</b> Transportation Asset Management System (TAMS) Independent Verification and Validation		

### 3.6.2 Solicitation Method

<b>Solicitation Method</b>	Request for Offer/Master Service Agreement (RFO/MSA)	If "Other," specify:
<b>Anticipated Amount</b>	\$665,600	
<b>Conducted By</b>	Department of Technology	If "Other," specify:
<b>Development Status</b>	Not Started	
<b>Solicitation Number</b>		

### 3.6.3 Procurement Scope Statement

This Agreement is for the Vendor to provide the Transportation Asset Management System (TAMS) with Independent Verification and Validation (IV&V) Services for all implementation phases of the TAMS Project.

“Independent” Verification and Validation (IV&V) is the set of verification and validation activities performed by an agency not under the control of the organization developing the software. IV&V services must be provided and managed by an organization technically and managerially independent of the software development project. This independence takes two mandatory forms:

- Technical independence requires the IV&V service provider not be organizationally involved in the TAMS implementation effort, or have participated in the Project’s initial planning and/or subsequent design.
- Managerial independence requires the IV&V service provider to ensure the IV&V effort is vested in an organization departmentally and hierarchically separate from the software development and program management organizations.

The selected Vendor is accountable to the California State Transportation Agency (CalSTA) with periodic reporting as determined appropriate by Caltrans and CalSTA.

### 3.6.4 Solicitation Contact

<b>Contact First Name:</b> Emily	<b>Contact Last Name:</b> Klahn
<b>Contact Email:</b> Emily.Klahn@state.ca.gov	<b>Contact Phone Number:</b> (916) 628-5661

### 3.6.5 Anticipated Length of Contract

<b>Contract Start Date:</b>	7/30/2020
<b>Contract End Date:</b>	11/30/2023
<b>Optional Years:</b>	
<b>Contract Start Date:</b>	
<b>Contract End Date:</b>	

### 3.6.6 Anticipated Solicitation Key Action Dates

<b>Activity:</b>	Release of Solicitation	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	4/20/2020		
<b>End Date:</b>	5/18/2020		
<b>Number of Business Days:</b>	21 (excluding 8 weekend days)		
<b>Activity:</b>	Last day to submit written questions for clarification of solicitation for Bidder's Conference	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	5/19/2020		
<b>End Date:</b>	6/01/2020		
<b>Number of Business Days:</b>	9 (excluding 4 weekend days and Memorial Day)		
<b>Activity:</b>	State's response to bidder's questions, bidder's request for changes to the requirements and release of potential addendum	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	6/02/2020		
<b>End Date:</b>	6/04/2020		
<b>Number of Business Days:</b>	3		
<b>Activity:</b>	Last day to submit Final Proposals	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	6/05/2020		
<b>End Date:</b>	6/12/2020		
<b>Number of Business Days:</b>	6 (excluding 2 weekend days)		
<b>Activity:</b>	Evaluation Period	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	6/12/2020		
<b>End Date:</b>	6/17/2020		
<b>Number of Business Days:</b>	4 (excluding 2 weekend days)		
<b>Activity:</b>	Notification of Intent to Award	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	6/18/2020		



<b>End Date:</b>	6/19/2020		
<b>Number of Business Days:</b>	2		
<b>Activity:</b>	Contract Award	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	6/20/2020		
<b>End Date:</b>	6/26/2020		
<b>Number of Business Days:</b>	5 (excluding 2 weekend days)		
<b>Activity:</b>	Contract Execution	If "Other," specify:	Click here to enter text.
<b>Start Date:</b>	6/27/2020		
<b>End Date:</b>	7/30/2020		
<b>Number of Business Days:</b>	23 (excluding 10 weekend days and Independence Day)		
<b>Insert Solicitation Key Action Date</b>			
<b>Insert Solicitation</b>			

### 3.7 Stage 3 Solution Requirements

#### 3.7.1 Stage 3 Solution Requirements Template

Attachment: 61b RFP\_Exhibit\_19-TAMS\_Requirements.xlsx

#### 3.7.2 Stage 3 Requirements Count

<b>Total Detailed Functional Requirements:</b>	746
<b>Total Detailed Non-Functional Requirements:</b>	160
<b>Total Detailed Project/Transition Requirements:</b>	Identified in RFP SOW.
<b>Detailed Requirements Grand Total:</b>	906

#### 3.7.3 Stage 2 Mid-Level Solution Requirement Changes

	Yes	No
1. Since approval of the Stage 2 Alternatives Analysis, has the Agency/state entity developed any new solution requirements that were not represented in the mid-level solution requirements?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2. Since approval of the Stage 2 Alternatives Analysis, has the Agency/state entity modified (changed or deleted) any mid-level solution requirements?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If question 1 or 2 above is "Yes":	Percentage of Change: 0 %	
<ul style="list-style-type: none"> <li>Enter the percentage of change in the space provided</li> <li>Describe below the nature and scope of the change(s), impact(s) to the recommended solution, and how requirements align with the business objectives established in the Stage 1 Business Analysis:</li> </ul>		

#### 3.7.4 To-Be Business Process Workflow

61a RFP\_Exhibit\_19-TAMS\_BCM-BPW\_Requirements.pdf

If a to-be business process workflow is not attached, explain why below:

Attached.

### 3.8 Statement of Work (SOW)

Attachment: (File Attachment)

Insert Attachment 56 2660-544\_Caltrans\_TAMS\_S3SD\_Part\_A-TAMS\_RFP\_SI\_Part\_2.docx

### 3.8.1 Completed SOW Sections

Completed SOW Section: 1. Background and Purpose  
Completed SOW Section: 2. Description of Proposed New System or Service  
Completed SOW Section: 3. Term of the Contract  
Completed SOW Section: 4. Contract Contacts  
Completed SOW Section: 5. Solution Requirements  
Completed SOW Section: 6. State Data Center or Contractor Hosted Facility Environment  
Completed SOW Section: 7. State's Roles and Responsibilities  
Completed SOW Section: 8. Contractor's Roles and Responsibilities  
Completed SOW Section: 9. Key Staff Qualifications and Skills  
Completed SOW Section: 10. Key Personnel Changes  
Completed SOW Section: 11. Escalation Process  
Completed SOW Section: 12. Change Control Procedures  
Completed SOW Section: 13. Project (Contractor) Tasks and Deliverable Requirements  
Completed SOW Section: 16. Reporting  
Completed SOW Section: 19. Delivery (Hardware and Software)  
Completed SOW Section: 30. Help Desk/Call Center  
Completed SOW Section: 31. Insurance Requirements  
Completed SOW Section: 35. Unanticipated Tasks  
Completed SOW Section: 37. GSPD-401IT General Provisions - Information Technology  
Completed SOW Section: 39. Glossary of Terms

#### Insert Completed SOW Section

Completed SOW Section:  
SOW Component Detail:  
(See SIMM Section 180 SOW  
Guidelines for specific  
information)

Responsible:

Performance Deliverable:

Requirement Number(s):

Methodology/Approach:

Solicitation Number:  
(If applicable)

#### 14. Deliverable Acceptance/Rejection Process

Details related to the procurement deliverable acceptance/rejection process.

State

☐

**SOW Section 9**

Agency/state entity model language used

If "Other," specify:

Completed SOW Section:

SOW Component Detail:

Responsible:

Performance Deliverable:

Requirement Number(s):

Methodology/Approach:

Solicitation Number:  
(If applicable)

#### 15. Data Handling and Ownership

Data handling and ownership details.

Both

☒

**SOW 11, Information and Data Ownership; SOW 12, Transition Period; SOW 2.7.2.2, Data Security; SOW 5, Responsibilities of the Contractor**

Agency/state entity model language used

If "Other," specify:

Completed SOW Section:

SOW Component Detail:

Responsible:

Performance Deliverable:

Requirement Number(s):

Methodology/Approach:

#### 17. Security

Details related to security and privacy controls and plan(s).

Both

☐

**SOW Exhibit 26: SaaS Security Practice**

Dictated by policy

If "Other," specify:

**Solicitation Number:**  
(If applicable)

**SOW Component Detail:**

Details related to the National Institute of Standards and Technology (NIST) 800-53 controls.

**Responsible:**

Both

**Performance Deliverable:**



**Requirement Number(s):**

**FedRAMP level is not required per Caltrans' Security. SOW Exhibit 26: SaaS Security Practice**

**Methodology/Approach:**

Agency/state entity model language used

If "Other," specify:

**Solicitation Number:**  
(If applicable)

**SOW Component Detail:**

System Security Plan (SSP) details.

**Responsible:**

Both

**Performance Deliverable:**



**Requirement Number(s):**

**Deliverables Workbook; Realization, Design Solution. Privacy Threshold Assessment completed February 15, 2019 and provided to CDT.**

**Methodology/Approach:**

Dictated by policy

If "Other," specify:

**Solicitation Number:**  
(If applicable)

**Completed SOW Section:**

### 18. Disaster Recovery

**SOW Component Detail:**

Disaster recovery (including business continuity/technology recovery) details.

**Responsible:**

Both

**Performance Deliverable:**



**Requirement Number(s):**

**SOW Section 2.7.2.4, Disaster Recovery**

**Methodology/Approach:**

Select...

If "Other," specify:

**Solicitation Number:**  
(If applicable)

**Completed SOW Section:**

### 20. Hardware and Software Needs

**SOW Component Detail:**

System hardware/software needed; price/quantity; physical and performance requirements; etc.

**Responsible:**

Contractor

**Performance Deliverable:**



**Requirement Number(s):**

**SOW Exhibit 27: 2020 Caltrans IT Hardware and Software Standards; SOW 2.7, Software-as-a-Service (SaaS) Subscription and Maintenance**

**Methodology/Approach:**

Agency/state entity model language used

If "Other," specify:

**Solicitation Number:**  
(If applicable)

**Completed SOW Section:**

### 23. System Installation

**SOW Component Detail:**

Solution installation details.

**Responsible:**

Contractor

**Performance Deliverable:**



**Requirement Number(s):**

**SOW 9.3, Final Acceptance; SOW 2.6, Services to be Provided**

**Methodology/Approach:**

Agency/state entity model language used

If "Other," specify:

<b>Solicitation Number:</b> (If applicable)	
<b>Completed SOW Section:</b>	<b>24. System Implementation or Integration</b>
<b>SOW Component Detail:</b>	Solution implementation details.
<b>Responsible:</b>	Contractor
<b>Performance Deliverable:</b>	<input type="checkbox"/>
<b>Requirement Number(s):</b>	<b>SOW 2.6, Services to be Provided; SOW 2.8, Project Phases</b>
<b>Methodology/Approach:</b>	Agency/state entity model language used If “Other,” specify:
<b>Solicitation Number:</b> (If applicable)	
<b>SOW Component Detail:</b>	Solution integration details.
<b>Responsible:</b>	State
<b>Performance Deliverable:</b>	<input type="checkbox"/>
<b>Requirement Number(s):</b>	<b>SOW Exhibit 24: Draft TAMS Draft Information Architecture</b>
<b>Methodology/Approach:</b>	Agency/state entity model language used If “Other,” specify:
<b>Solicitation Number:</b> (If applicable)	
<b>Completed SOW Section:</b>	<b>26. System Testing and Acceptance Procedures</b>
<b>SOW Component Detail:</b>	Details related to solution/testing and acceptance procedures.
<b>Responsible:</b>	Both
<b>Performance Deliverable:</b>	<input type="checkbox"/>
<b>Requirement Number(s):</b>	<b>SOW 2.6, Services to be Provided; SOW 2.6.3, Description of Services; SOW 2.6.3.3, Realization; SOW 2.6.2, TAMS Project Objectives</b>
<b>Methodology/Approach:</b>	Agency/state entity model language used If “Other,” specify:
<b>Solicitation Number:</b> (If applicable)	
<b>Completed SOW Section:</b>	<b>27. Transition of Operation to New Contractor or to State</b>
<b>SOW Component Detail:</b>	Details related to the transition of operations to new contractor or state.
<b>Responsible:</b>	Both
<b>Performance Deliverable:</b>	<input type="checkbox"/>
<b>Requirement Number(s):</b>	<b>SOW 2.6.3.4, Final Preparation; SOW 2.6.3.5, Go-Live Support; SOW 2.7.2.6, TAMS Project User Support; SOW 2.8, Project Phases; SOW 2.8.4, Phase 3 – Contractor Guided Configuration</b>
<b>Methodology/Approach:</b>	Agency/state entity model language used If “Other,” specify:
<b>Solicitation Number:</b> (If applicable)	
<b>Completed SOW Section:</b>	<b>28. Knowledge Transfer and/or Training</b>
<b>SOW Component Detail:</b>	Knowledge transfer and/or training details.
<b>Responsible:</b>	Both
<b>Performance Deliverable:</b>	<input type="checkbox"/>
<b>Requirement Number(s):</b>	<b>SOW 2.6.3.4, Final Preparation; SOW 2.6.3.5, Go-Live Support; SOW 2.7.2.6, TAMS Project User Support; SOW 2.8, Project Phases; SOW 2.8.4, Phase 3 – Contractor Guided Configuration</b>
<b>Methodology/Approach:</b>	Agency/state entity model language used If “Other,” specify:

<b>Solicitation Number:</b> (If applicable)	
<b>Completed SOW Section:</b>	<b>29. Maintenance and Operations (M&amp;O)</b>
<b>SOW Component Detail:</b>	Maintenance and operations details.
<b>Responsible:</b>	Both
<b>Performance Deliverable:</b>	<input type="checkbox"/>
<b>Requirement Number(s):</b>	<b>SOW 2.6.3.4, Final Preparation; SOW 2.6.3.5, Go-Live Support; SOW 2.7.2.6, TAMS Project User Support; SOW 2.8, Project Phases; SOW 2.8.4, Phase 3 – Contractor Guided Configuration</b>
<b>Methodology/Approach:</b>	Select... <div>If “Other,” specify:</div>
<b>Solicitation Number:</b> (If applicable)	
<b>Completed SOW Section:</b>	<b>32. Warranty</b>
<b>SOW Component Detail:</b>	Warranty details.
<b>Responsible:</b>	Contractor
<b>Performance Deliverable:</b>	<input type="checkbox"/>
<b>Requirement Number(s):</b>	<b>SOW 2.7.2.5, Warranty Support; Cloud Computing – SaaS General Provisions, Section 13, Warranty; SOW 2.7.4.2, System Responsiveness Warranty</b>
<b>Methodology/Approach:</b>	Agency/state entity model language used <div>If “Other,” specify:</div>
<b>Solicitation Number:</b> (If applicable)	
<b>Completed SOW Section:</b>	<b>33. Service Level Agreements (SLAs)</b>
<b>SOW Component Detail:</b>	SLA details.
<b>Responsible:</b>	Contractor
<b>Performance Deliverable:</b>	<input type="checkbox"/>
<b>Requirement Number(s):</b>	<b>SOW 2.7.4, Service Levels</b>
<b>Methodology/Approach:</b>	Agency/state entity model language used <div>If “Other,” specify:</div>
<b>Solicitation Number:</b> (If applicable)	
<b>Completed SOW Section:</b>	<b>34. Liquidated Damages</b>
<b>SOW Component Detail:</b>	Provision for liquidated damages; calculation method; compensation proportionate to harm; tied to a contractual requirement; and dispute process.
<b>Responsible:</b>	Contractor
<b>Performance Deliverable:</b>	<input type="checkbox"/>
<b>Requirement Number(s):</b>	<b>SOW 2.7.4.1, System Availability, Credit; Part 1, Holdbacks</b>
<b>Methodology/Approach:</b>	Agency/state entity model language used <div>If “Other,” specify:</div>
<b>Solicitation Number:</b> (If applicable)	
<b>3.8.2 SOW Security Attributes</b>	<div><div>Yes</div><div>No</div></div>
1. Does the SOW provide details on the information security and privacy controls that are required (based on the NIST 800-53 controls)?	<div><div>☒</div><div>☐</div></div>
2. Does the SOW define how the information security and privacy controls will be procured and implemented?	<div><div>☒</div><div>☐</div></div>
3. Does the SOW include provisions for creating the System Security Plan (SSP)?	<div><div>☒</div><div>☐</div></div>

### 3.9 Proposed Procurement Planning and Development Dates

Activity	Select...
Start Date	Date Picker
End Date	Date Picker
Number of Business Days	

Insert Activity

### 3.10 Procurement Risk Assessments and Dependencies

	Yes	No	N/A
1. Has the Agency/state entity identified procurement-related external dependencies (e.g., supplier viability, stakeholder/customer legal constraints, ancillary contracts, other state or federal legislation)? If "Yes," describe dependencies below:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
2. Has the Agency/state entity completed the State Contracting Manual Volume 3, Chapter 4, Section 4.B2.13 Risk Criteria Guidelines and incorporated financial protection measures for the primary solicitation?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
3. Does the Agency/state entity intend to maintain ownership of any source code developed for this solution? If "Yes," describe below how ownership will be obtained, maintained, and upgraded: <b>Utilize General Provisions Information Technology GSPD-401IT</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
4. Will this transaction be financed? If "Yes," attach the approved State Financial Marketplace Compliance Certification form and agreement below.  Attachment: (File Attachment)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

### 3.11 Procurement Administrative Compliance Checklist

(Questions may not be all-inclusive)	Yes	No	N/A
1. Has the Agency/state entity obtained approval from Department of General Services Procurement Division (DGS/PD) or Statewide Technology Procurement Division (STPD) to use an alternative evaluation model other than a 50/50 cost split? If "Yes," attach approval below. Attachment: (File Attachment)  If "Yes" or "No," below provide a brief description of the evaluation criteria proposed: <b>Working collaboratively with CDT STP.</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Has the Agency/state entity received signed confidentiality statements from all project participants (internal and external)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
3. Has the Agency/state entity received signed conflict of interest statements from all project participants (internal and external)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
4. Has the Agency/state entity obtained an exemption from the Disabled Veteran Business Enterprise (DVBE) participation requirements and/or the DVBE participation incentive through an approved DVBE Waiver? If "Yes," attach the waiver below: Attachment: (File Attachment)  If "No," provide a brief explanation below: No means no waiver requested.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5. Does the Agency/state entity's solution requirements ensure compliance with the Information Technology Accessibility Policy (SAM Section 4833)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

- |    |   |                                     |                                     |                          |
|----|---|-------------------------------------|-------------------------------------|--------------------------|
| 6. | Has the Agency/state entity completed and received approval of the SIMM Section 71 Certification of Compliance with IT Policies? If “Yes,” attach the approved certification below.<br>Attachment: (File Attachment) <b>Attained with each procurement</b>  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 7. | Has the Agency/state entity completed and received approval of a personal services contracts justification (Government Code Section 19130)? If “Yes,” attach the approved justification below.<br>Attachment: (File Attachment) <b>Routed with SIMM-71B</b> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 8. | Will the Agency/state entity’s solicitation ensure compliance with productive use requirements?   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> |

### 3.12 Solicitation Readiness

	Yes	No	N/A
1. Has the Agency/state entity started development of a Bidder’s Library?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. What evaluation methodology was selected for the primary solicitation? Explain the rationale for selection below:	Value Effective		
3. Has the Agency/state entity started development of the evaluation (and selection) criteria for the primary solicitation?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
4. Has the Agency/state entity started development of the cost worksheets as part of the evaluation for the solicitation?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5. Has the Agency/state entity started development of the bidder and key staff qualifications as part of the evaluation for the solicitation?  If “N/A,” briefly explain below why bidder and key staff qualifications will not be included in the evaluation for the solicitation:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Has the Agency/state entity started development of the bidder and key staff references as part of the evaluation for the solicitation?  If “N/A,” briefly explain below why bidder and key staff references will not be included in the evaluation for the solicitation:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Stage 3 Solution Development (Part A) – Department of Technology Use Only

Original “New Submission” Date	5/20/2020
Form Received Date	5/20/2020
Form Accepted Date	5/20/2020
Form Status	Completed
Form Status Date	6/25/2020