



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

Contact Last Name:

Boyd

Contact Phone Number:

(916) 651-6533

Part A Submission Date:

4/13/2020

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

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Part A Summary of Changes:

Not applicable, initial submission.

Part A Project Approval Executive Transmittal

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: Emily	Contact Last Name: Klahn
Contact Email: Emily.Klahn@state.ca.gov	Contact Phone Number: (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
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			and detailed requirements for vendor feedback
Start Date:	7/25/2019		
End Date:	9/05/2019		
Number of Business Days:	30 days (excludes 12 weekend days and Labor Day)		
Activity:	Other	If "Other," specify:	Release pre-solicitation
Start Date:	2/14/2020		
End Date:	3/23/2020		
Number of Business Days:	26 (excluding 12 weekend days and Presidents' Day)		
Activity:	Other	If "Other," specify:	Confidential meetings for pre-solicitation
Start Date:	4/06/2020		
End Date:	4/10/2020		
Number of Business Days:	5		
Activity:	Release of Solicitation	If "Other," specify:	Click here to enter text.
Start Date:	4/13/2020		
End Date:	5/01/2020		
Number of Business Days:	15 (exluding 4 weekend days)		
Activity:	Last day to submit written questions for clarification of solicitation for Bidder's Conference	If "Other," specify:	Click here to enter text.
Start Date:	5/02/2020		
End Date:	5/18/2020		
Number of Business Days:	11 (excluding 6 weekend days)		
Activity:	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.
Start Date:	5/18/2020		
End Date:	5/22/2020		
Number of Business Days:	5		
Activity:	Last day to submit Final Proposals	If "Other," specify:	Click here to enter text.
Start Date:	5/25/2020		
End Date:	6/10/2020		
Number of Business Days:	12 (excluding 4 weekend days and Memorial Day)		
Activity:	Evaluation Period	If "Other," specify:	Click here to enter text.
Start Date:	6/11/2020		
End Date:	6/23/2020		
Number of Business Days:	9 (excluding 4 weekend days)		
Activity:	Demonstration	If "Other," specify:	Click here to enter text.

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

Insert Solicitation Key Action Date

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

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

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

3.6.5 Anticipated Length of Contract

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

3.6.6 Anticipated Solicitation Key Action Dates

Activity:	Release of Solicitation	If "Other," specify:	Click here to enter text.
Start Date:	3/15/2019		
End Date:	3/15/2019		
Number of Business Days:	1		
Activity:	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.
Start Date:	3/18/2019		
End Date:	4/02/2019		
Number of Business Days:	11 (excludes 4 weekend days and Cesar Chavez Day)		
Activity:	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.
Start Date:	4/03/2019		
End Date:	4/08/2019		
Number of Business Days:	4 days (excludes 2 weekend days)		
Activity:	Last day to submit Final Proposals	If "Other," specify:	Click here to enter text.
Start Date:	4/09/2019		
End Date:	4/22/2019		
Number of Business Days:	10 (excludes 4 weekend days)		
Activity:	Evaluation Period	If "Other," specify:	Click here to enter text.
Start Date:	4/22/2019		
End Date:	4/26/2019		
Number of Business Days:	5		
Activity:	Contract Award	If "Other," specify:	Click here to enter text.
Start Date:	4/27/2019		
End Date:	5/20/2019		
Number of Business Days:	16 (excludes 8 weekend days)		
Activity:	Contract Execution	If "Other," specify:	Click here to enter text.
Start Date:	5/21/2019		
End Date:	6/10/2019		
Number of Business Days:	14 (excludes 6 weekend days and Memorial Day)		

Insert Solicitation Key Action Date

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

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

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

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

3.6.5 Anticipated Length of Contract

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

3.6.6 Anticipated Solicitation Key Action Dates

Activity:	Release of Solicitation	If "Other," specify:	Click here to enter text.
Start Date:	3/23/2020		
End Date:	4/22/2020		
Number of Business Days:	22 (excluding 8 weekend days and Cesar Chavez Day)		
Activity:	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.
Start Date:	4/23/2020		
End Date:	5/07/2020		
Number of Business Days:	11 (excluding 4 weekend days)		
Activity:	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.
Start Date:	5/07/2020		
End Date:	5/12/2020		
Number of Business Days:	4 (excluding 2 weekend days)		
Activity:	Last day to submit Final Proposals	If "Other," specify:	Click here to enter text.
Start Date:	5/13/2020		

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

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)
Independent Verification and Validation

3.6.2 Solicitation Method

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

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

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

3.6.5 Anticipated Length of Contract

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

3.6.6 Anticipated Solicitation Key Action Dates

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

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

Insert Solicitation Key Action Date
Insert Solicitation

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

Total Detailed Functional Requirements:	746
Total Detailed Non-Functional Requirements:	160
Total Detailed Project/Transition Requirements:	Identified in RFP SOW.
Detailed Requirements Grand Total:	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:	
<ul style="list-style-type: none"> Enter the percentage of change in the space provided 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: 	0 %	

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:	14. Deliverable Acceptance/Rejection Process
SOW Component Detail: (See SIMM Section 180 SOW Guidelines for specific information)	Details related to the procurement deliverable acceptance/rejection process.
Responsible:	State
Performance Deliverable:	<input type="checkbox"/>
Requirement Number(s):	SOW Section 9
Methodology/Approach:	Agency/state entity model language used If "Other," specify:
Solicitation Number: (If applicable)	

Completed SOW Section:	15. Data Handling and Ownership
SOW Component Detail:	Data handling and ownership details.
Responsible:	Both
Performance Deliverable:	<input checked="" type="checkbox"/>
Requirement Number(s):	SOW 11, Information and Data Ownership; SOW 12, Transition Period; SOW 2.7.2.2, Data Security; SOW 5, Responsibilities of the Contractor
Methodology/Approach:	Agency/state entity model language used If "Other," specify:
Solicitation Number: (If applicable)	

Completed SOW Section:	17. Security
SOW Component Detail:	Details related to security and privacy controls and plan(s).
Responsible:	Both
Performance Deliverable:	<input type="checkbox"/>
Requirement Number(s):	SOW Exhibit 26: SaaS Security Practice
Methodology/Approach:	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:

Solicitation Number:
(If applicable)

Completed SOW Section:

24. System Implementation or Integration

SOW Component Detail:

Solution implementation details.

Responsible:

Contractor

Performance Deliverable:

Requirement Number(s):

SOW 2.6, Services to be Provided; SOW 2.8, Project Phases

Methodology/Approach:

Agency/state entity model language used If "Other," specify:

Solicitation Number:
(If applicable)

SOW Component Detail:

Solution integration details.

Responsible:

State

Performance Deliverable:

Requirement Number(s):

SOW Exhibit 24: Draft TAMS Draft Information Architecture

Methodology/Approach:

Agency/state entity model language used If "Other," specify:

Solicitation Number:
(If applicable)

Completed SOW Section:

26. System Testing and Acceptance Procedures

SOW Component Detail:

Details related to solution/testing and acceptance procedures.

Responsible:

Both

Performance Deliverable:

Requirement Number(s):

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

Methodology/Approach:

Agency/state entity model language used If "Other," specify:

Solicitation Number:
(If applicable)

Completed SOW Section:

27. Transition of Operation to New Contractor or to State

SOW Component Detail:

Details related to the transition of operations to new contractor or state.

Responsible:

Both

Performance Deliverable:

Requirement Number(s):

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

Methodology/Approach:

Agency/state entity model language used If "Other," specify:

Solicitation Number:
(If applicable)

Completed SOW Section:

28. Knowledge Transfer and/or Training

SOW Component Detail:

Knowledge transfer and/or training details.

Responsible:

Both

Performance Deliverable:

Requirement Number(s):

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

Methodology/Approach:

Agency/state entity model language used If "Other," specify:

Solicitation Number:
(If applicable)

Completed SOW Section: 29. Maintenance and Operations (M&O)

SOW Component Detail: Maintenance and operations details.

Responsible: Both

Performance Deliverable:

Requirement Number(s): 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

Methodology/Approach: Select... If "Other," specify:

Solicitation Number:
(If applicable)

Completed SOW Section: 32. Warranty

SOW Component Detail: Warranty details.

Responsible: Contractor

Performance Deliverable:

Requirement Number(s): SOW 2.7.2.5, Warranty Support; Cloud Computing – SaaS General Provisions, Section 13, Warranty; SOW 2.7.4.2, System Responsiveness Warranty

Methodology/Approach: Agency/state entity model language used If "Other," specify:

Solicitation Number:
(If applicable)

Completed SOW Section: 33. Service Level Agreements (SLAs)

SOW Component Detail: SLA details.

Responsible: Contractor

Performance Deliverable:

Requirement Number(s): SOW 2.7.4, Service Levels

Methodology/Approach: Agency/state entity model language used If "Other," specify:

Solicitation Number:
(If applicable)

Completed SOW Section: 34. Liquidated Damages

SOW Component Detail: Provision for liquidated damages; calculation method; compensation proportionate to harm; tied to a contractual requirement; and dispute process.

Responsible: Contractor

Performance Deliverable:

Requirement Number(s): SOW 2.7.4.1, System Availability, Credit; Part 1, Holdbacks

Methodology/Approach: Agency/state entity model language used If "Other," specify:

Solicitation Number:
(If applicable)

3.8.2 SOW Security Attributes

Yes No

- | | | |
|-----------------------------------------------------------------------------------------------------------------------------------------|---|---|
| 1. Does the SOW provide details on the information security and privacy controls that are required (based on the NIST 800-53 controls)? | ☒ | ☐ |
| 2. Does the SOW define how the information security and privacy controls will be procured and implemented? | ☒ | ☐ |
| 3. Does the SOW include provisions for creating the System Security Plan (SSP)? | ☒ | ☐ |

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: Utilize General Provisions Information Technology GSPD-401IT	<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: Working collaboratively with CDT STP.	<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.
Attachment: (File Attachment) Attained with each procurement | <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.
Attachment: (File Attachment) Routed with SIMM-71B | <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

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