Stage 3 Solution Development (Part A)

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:
California Air Resources Board
Organization Code:
3900
Proposal Name:
Integrated Inventory Database System
Department of Technology Project Number: 3900-069

3.5 Part A Submittal Information

Contact Information:

Contact First Name:	**Contact Last Name:**
Stephen	Zelinka
Contact Email:	**Contact Phone Number:**
steve.zelinka@arb.ca.gov	(916) 445-2199

Part A Submission Date:
Date Picker

Part A Submission Type:

☒ New Submission ☐ Updated Submission (Post-Approval)
☐ Updated Submission (Pre-Approval) ☐ Withdraw Submission
　　　　　　Reason: Select...
　　　　　　If "Other," specify:

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

☐ 3.4 General Information ☐ 3.7.2 Stage 3 Requirements Count
☐ 3.5 Part A Submittal Information ☐ 3.7.3 Stage 2 Mid-Level Solution Requirement Changes
☐ 3.6 Procurement Profile ☐ 3.7.4 To-Be Business Process Workflow
　☐ 3.6.1 Solicitation Identifier ☐ 3.8 Statement of Work (SOW)
　☐ 3.6.2 Solicitation Method 　☐ 3.8.1 Completed SOW Sections
　☐ 3.6.3 Procurement Scope Statement 　☐ 3.8.2 SOW Security Attributes
　☐ 3.6.4 Solicitation Contact ☐ 3.9 Proposed Procurement Planning and Development Dates
　☐ 3.6.5 Anticipated Length of Contract ☐ 3.10 Procurement Risk Assessments and Dependencies
　☐ 3.6.6 Anticipated Solicitation Key Action Dates ☐ 3.11 Procurement Administrative Compliance Checklist
☐ 3.7 Stage 3 Solution Requirements ☐ 3.12 Solicitation Readiness
　☐ 3.7.1 Stage 3 Solution Requirements Template

Part A Summary of Changes:

Part A Project Approval Executive Transmittal

Attachment: (File Attachment)

Condition(s) from Previous Stage(s):

Condition #			
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: Integrated Emission Inventory Database and Data Reporting Interface

3.6.2 Solicitation Method

Solicitation Method	Request for Offer/California Multiple Award Schedules (RFO/CMAS)	If "Other," specify:
Anticipated Amount	$1,000,000.00	
Conducted By	Agency/state entity	If "Other," specify:
Development Status	In Progress	
Solicitation Number	17AQP009	

3.6.3 Procurement Scope Statement

The California Air Resources Board's (CARB's) efforts to meet air quality standards, achieve greenhouse gas (GHG) emission reduction targets, and reduce exposure to toxic air contaminants require an increasing emphasis on integrated, multi-pollutant approaches. In addition, recent legislative mandates have increased the requirements for providing integrated analysis of air pollutant emission trends and health impacts. Assembly Bill 197 (Garcia, 2016; AB 197) sets specific requirements for enhanced emissions inventory publication, as well as interpretation of emission trends and the impact of control programs across all pollutants. Assembly Bill 617 (Garcia, 2017; AB617) further requires CARB to establish a statewide strategy for emission reductions at the community level, provide guidance for community, access to air quality monitoring programs, utilize the best available control technologies for reducing emissions, develop uniform criteria pollutant and toxic air contaminant reporting, and data collection system. Supporting these legislative mandates will require the development of an integrated emission inventory database system which includes greenhouse gas, criteria pollutant and toxic air contaminant emissions data in a single unified framework, with a user friendly interface to report and summarize emissions data.

The primary goal of this procurement is to select a qualified data solutions vendor that will provide services of the following: 1.) develop a database system that serves the requirements for a comprehensive integrated emission inventory, and 2.) develop an accompanying web interface to upload, query, and manage emissions data for the state of California. The database system design shall include but not be limited to: data storage, data organization and tracking, and data integrity and quality assurance, user-friendly access to data, and system performance necessary to meet AB617 and AB197 requirements.

3.6.4 Solicitation Contact

Contact First Name:	**Contact Last Name:**
Stephen	Zelinka

Contact Email:		Contact Phone Number:	
steve.zelinka@arb.ca.gov		(916) 445-2199	

3.6.5 Anticipated Length of Contract

Contract Start Date:	6/29/2018		
Contract End Date:	6/28/2020		
Optional Years:			
Contract Start Date:	7/01/2020		
Contract End Date:	6/30/2022		

3.6.6 Anticipated Solicitation Key Action Dates

Activity:	Other	If "Other," specify:	Release of RFO
Start Date:	3/30/2018		
End Date:	3/30/2018		
Number of Business Days:	1		
Activity:	Other	If "Other," specify:	Last Date/Time to Submit Questions (via email)
Start Date:	3/30/2018		
End Date:	4/06/2018		
Number of Business Days:	5		
Activity:	Other	If "Other," specify:	Questions and Answers Addendum Posted (via email)
Start Date:	4/06/2018		
End Date:	4/13/2018		
Number of Business Days:	5		
Activity:	Other	If "Other," specify:	RFO Response Submission Due Date and Time
Start Date:	4/13/2018		
End Date:	4/20/2018		
Number of Business Days:	5		
Activity:	Other	If "Other," specify:	Review of Offer Submissions Begins
Start Date:	4/20/2018		
End Date:	5/04/2018		
Number of Business Days:	11		
Activity:	Other	If "Other," specify:	Contractor's Staff Must be Available to Begin Work
Start Date:	6/29/2018		
Number of Business Days:	1		
Activity:	Other	If "Other," specify:	Estimated Agreement Term (Initial Engagement of Services)

Start Date:	6/29/2018
End Date:	6/28/2020
Number of Business Days:	440

Insert Solicitation Key Action Date

Insert Solicitation

3.7 Stage 3 Solution Requirements

3.7.1 Stage 3 Solution Requirements Template

Attachment: (File Attachment)

3900-069_CARB_IM
PEI_Detailed_Solutio

3.7.2 Stage 3 Requirements Count

Total Detailed Functional Requirements:	254
Total Detailed Non-Functional Requirements:	142
Total Detailed Project/Transition Requirements:	78
Detailed Requirements Grand Total:	474

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?	☐	☒
2. Since approval of the Stage 2 Alternatives Analysis, has the Agency/state entity modified (changed or deleted) any mid-level solution requirements?	☐	☒

If question 1 or 2 above is "Yes":

- 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:

Percentage of Change:
%

3.7.4 To-Be Business Process Workflow

Attachment: (File Attachment)

3900-069_CARB_IM
PEI_To_Be_Business_

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

…

Insert Attachment

3.8 Statement of Work (SOW)

Attachment: (File Attachment)

3900-069_CARB_IM
PEI_SOW_04052018.

Insert Attachment

3.8.1 Completed SOW Sections

Completed SOW Section: 1. Background and Purpose

Insert Completed SOW Section

Completed SOW Section:	**14. Deliverable Acceptance/Rejection Process**
SOW Component Detail: (See SIMM Section 180 SOW Guidelines for specific information)	[redacted]

	██
	██
Responsible:	██
Performance Deliverable:	██
Requirement Number(s):	██████████
Methodology/Approach:	████████████████████████████████████
	██████████

Completed SOW Section:	**15. Data Handling and Ownership**
SOW Component Detail:	The Contractor shall assign its entire rights, title, interest, including all copyrights and other proprietary rights associated with all deliverables and work products to CARB. 1. CARB retains sole, full, exclusive and complete ownership and control of all data, materials, results, conclusions, reports, models, and any concept, idea, or product arising directly or indirectly from the Agreement. 2. Any works developed during and/or pursuant to this Agreement by Contractor, including all related copyrights and other proprietary rights therein, as may now exist and/or which hereafter come into existence, shall belong to State upon creation, and shall continue in State's exclusive ownership upon termination of this Agreement. Contractor further intends and agrees to assign to State all right, title and interest in and to such materials as well as all related copyrights and other proprietary rights therein
Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	NFM-3 12.3.3
Methodology/Approach:	Other: See CMAS Terms and Conditions IT v122017 Sections 37, 38, 40, and SaaS subsection 7
Solicitation Number: (If applicable)	17AQP009

Completed SOW Section:	**17. Security/Confidentiality**
SOW Component Detail:	It is expressly understood and agreed that information the Contractor receives from the State or from a third party in performing its obligations under this Agreement may be deemed confidential by the State. Therefore, Contractor must: 1. Observe complete confidentiality with respect to such information, including without limitation, agreeing not to disclose or otherwise permit access to such information by any person or entity in any manner whatsoever unless such disclosure is required by law or legal process. 2. Take reasonable efforts to ensure that Contractor's employees, agents, representatives, and independent Contractors are informed of the confidential nature of such information and ensure by agreement or otherwise that they are prohibited from copying or revealing, for any purpose whatsoever, the contents of such information or any part thereof, or from taking any action otherwise prohibited under this section. 3. Not use such information or any part thereof in the performance of services to others or for the benefit of others in any form whatsoever whether gratuitously or for valuable consideration, except as permitted under this Agreement. 4. Notify State promptly and in writing of the circumstances surrounding any possession, use or knowledge of such information or any part thereof, by any person other than those authorized by this paragraph.

5. Adhere to all required CARB confidentiality and disclosure policies. All staff resources submitted by the Contractor are required to provide all requested background information.

6. Treat all information, deliverables, and work products as confidential. All information, deliverables, and work products cannot be disclosed in any form to any third party without CARB's written consent except when required by law or legal process. Contractor is authorized to maintain a copy of all information necessary to comply with its contractual obligations and applicable professional standards.

7. Not use, without CARB written approval, any CARB materials for any purpose other than performing the contracted services.

8. Not remove any CARB equipment and/or data on any activities outside CARB's secured environment without advance written approval from the responsible CARB Project Manager.

9. At the conclusion of the engagement or upon termination of this Agreement, the Contractor shall surrender all transportable recorded media.

10. Upon confirmation of loss or theft, report any lost or stolen hardware and/or transportable-recorded media to CARB.

11. Provide CARB all pass phrases/passwords used for private keys to encrypt data used, produced or acquired in the course of performing duties under this Agreement.

12. The Contractor must sign non-disclosure and confidentiality agreements as provided by CARB

13. The Contractor agrees to notify the CARB immediately of any security incident involving the information system, data or servers containing the information system or data. The Contractor agrees that the CARB has the right to participate in the investigation of a security incident involving its data or conduct its own independent investigation, and that the Contractor shall cooperate fully in such investigations.

14. The Contractor agrees that the it shall be responsible for all costs incurred by the CARB due to security incident resulting from the data custodian's failure to perform or negligent acts of its personnel, and resulting in an unauthorized disclosure, release, access, review, or destruction; or loss, theft or misuse of an information asset. If the Contractor experiences a loss or breach of data, the Contractor shall immediately report the loss or breach to the CARB. If the CARB determines that notice to the individuals whose data has been lost or breached is appropriate, the Contractor will bear any and all costs associated with the notice or any mitigation selected by the CARB. These costs include, but are not limited to, staff time, material costs, postage, media announcements, and other identifiable costs associated with the breach or loss of data.

15. The Contractor agrees that it shall immediately notify and work cooperatively with the CARB to respond timely and correctly to public records act requests.

For further details, also refer to CMAS SaaS and Data Security Terms and Conditions contract.

Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	NFM-8 16.1.1-26 and NFM-9 16.2.1-5
Methodology/Approach:	Other: See CMAS Terms and Conditions IT v122017 Section 34 and SaaS subsection 4
Solicitation Number: (If applicable)	17AQP009

Completed SOW Section:	**18. Disaster Recovery**
SOW Component Detail:	SOW Task 10 System Implementation item g. specifies a deliverable which document tools and protocols for system backup and recovery. The terms of this backup and recovery functionality is further specified in the CMAS Terms and Conditions IT v122017 SaaS subsection 10
Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	NFM-2 12.2.5 and PTM-8 21.11.12
Methodology/Approach:	Other: See CMAS Terms and Conditions IT v122017 SaaS subsection 10
Solicitation Number: (If applicable)	17AQP009

Completed SOW Section:	**20. Hardware and Software Needs**
SOW Component Detail:	SOW Task 10 System Implementation item i requires the vendor to provide a cost for initial deployment and estimated ongoing maintenance.
Responsible:	Both
Performance Deliverable:	☐
Requirement Number(s):	NFM-5 13.2.2-6
Methodology/Approach:	Agency/state entity model language used If "Other," specify:
Solicitation Number: (If applicable)	17AQP009

Completed SOW Section:	**23. System Installation**
SOW Component Detail:	The complete database and user interface shall be deployed on a CARB or State of California system. Contractor and CARB will agree on a schedule for testing and go live date. Additionally, the Contractor shall provide support for the initial deployment, production support, and system transition to CARB staff of the constructed solution. Specific tasks include: • Work with CARB system operations staff to successfully deploy the initial delivered solution into CARB's production environment. Provide written build and run-time instructions for each logical server and system process. • Develop and deliver programming, operations, training, and user manuals for the new system. Provide detailed document walkthroughs with CARB staff. Documentation and walkthroughs must include adequate material, detail, and question and answer periods sufficient to ensure knowledge transfer from Contractor to CARB staff. • Monitor new system access statistics and visible performance, and modify the system as required. • Establish credentials for all data users and setting up hierarchy of privileges associated for each user credential • Set up a go live schedule for CARB internal system environment • Provide and document tools and protocols for system backup and recovery • Provide a written Build and Run-Time Instructions for each logical server and system process. • Perform a data conversion from legacy database or existing spreadsheets and ArcGIS shape files to the new system. The existing server hosted instance shall be upgraded and reloaded with data from the upgraded web user application, and made available for public use. • Develop and deliver Programming, Operations, and User Manuals. • Develop and deliver an As-Built System Design Document that reflects the final high level architecture and design of the production system, including hardware performance specifications, software components, user roles, functional processing overview, web application site map, system data flows and interfaces, and data entity model. • Provide software maintenance support, including response to production incidents, problem analysis, defect repairs, data fixes, application changes, system testing, user acceptance testing support, and application builds associated with each Production Release. All system changes must be delivered via established configuration management

processes and procedures. Fix all user reported defects; re-deliver and re-test all defect

Responsible:	Both
Performance Deliverable:	☐
Requirement Number(s):	NFM-1 12.1.7, NFM-3 12.3.1-3, and PTM-8 21.11.12
Methodology/Approach:	Select... If "Other," specify:
Solicitation Number: (If applicable)	17AQP009

Completed SOW Section:	**24. System Implementation or Integration**
SOW Component Detail:	The production instance of the legacy databases shall be completely replaced with the new fully functional Integrated Multi-Pollutant Emission Database. The complete database and user interface shall be deployed on a CARB or State of California system. Contractor and CARB will agree on a schedule for testing and go live date. Specific tasks include: a. Accept the system testing and validation performed. b. Work with CARB system operations staff to successfully deploy the initial delivered solution into CARB's production environment. Provide written build and run-time instructions for each logical server and system process. c. Develop and deliver programming, operations, training, and user manuals for the new system. Provide detailed document walkthroughs with CARB staff. Documentation and walkthroughs must include adequate material, detail, and question and answer periods sufficient to ensure knowledge transfer from Contractor to CARB staff. d. Monitor new system access statistics and visible performance, and modify the system as required. e. Establish credentials for all data users and setting up hierarchy of privileges associated for each user credential. f. Set up a go live schedule for CARB internal system environment. g. Provide and document tools and protocols for system backup and recovery. h. Detail the license requirements and terms of use considerations for all software recommended for the proposed system. i. Provide the updated cost for initial deployment and estimated ongoing maintenance.

Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	FM-22 4.11.1-13 and NFM-3 12.3.1-3
Methodology/Approach:	Agency/state entity model language used If "Other," specify:
Solicitation Number: (If applicable)	17AQP009

Completed SOW Section:	**26. System Testing and Acceptance Procedures**
SOW Component Detail:	The contractor shall perform comprehensive testing for the emission inventory database system and front-end application: a. Web-User Application Testing - Perform Functional, Integration, Performance, and Security testing of all programming modules and utilities for the web-user application. Track, and report all defects discovered and resolved defects during testing (include test reports in weekly status updates). Fix all reported defects; re-deliver and re-test all defect repairs. Monitor the system access statistics and visible performance, and modify as required. b. Database Interaction Testing - Perform Functional, Integration, Performance, and Security testing of the interaction of the user interface with the backend Integrated Emission Inventory database to ensure no data corruption or other issues have been introduced. CARB anticipates the use of automated test tools for unit and integration testing (i.e., continuous integration). Track, document, and report all defects discovered and resolved

	defects during testing (include test reports in weekly status updates). Fix all reported defects; re-deliver and re-test all defect repairs.
Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	NFM-7 15.1.1-4 and PTM-7 21.10.4-5
Methodology/Approach:	Agency/state entity model language used
Solicitation Number: (If applicable)	17AQP009

Completed SOW Section:	**27. Transition of Operation to New Contractor or to State**
SOW Component Detail:	The Contractor shall provide support for the initial deployment, production support, and system transition to CARB staff of the constructed solution, including but not limited to, the following: a. <u>Server Build and Run Time Instructions</u> - Work with CARB system operations staff to successfully deploy the initial delivered solution into CARB's production environment. Provide a written Build and Run-Time Instructions for each logical server and system process. b. <u>Loading and Validating Data</u> - Develop and perform a data conversion from legacy database or existing spreadsheets and ArcGIS shape files to the new system. Data conversion must include trial runs, data validation, and final loading of the data during the go-live production deployment. The existing server hosted instance shall be upgraded and reloaded with data from the upgraded web user application, and made available for public use. c. <u>Programming, Operations and User Manuals</u> - Develop and deliver Programming, Operations, and User Manuals. Provide detailed document walkthroughs with CARB staff. Documentation and walkthroughs must include adequate material, detail, and question and answer periods sufficient to ensure knowledge transfer from Contractor to CARB staff. d. <u>As-Built System Design Document</u> - Develop and deliver an As-Built System Design Document that reflects the final high level architecture and design of the production system, including hardware performance specifications, software components, user roles, functional processing overview, web application site map, system data flows and interfaces, and data entity model. e. <u>Maintenance Support, Knowledge Transfer Sessions, and Materials</u> - Provide software maintenance support, including response to production incidents, problem analysis, defect repairs, data fixes, application changes, system testing, user acceptance testing support, and application builds associated with each Production Release. All system changes must be delivered via established configuration management processes and procedures. Fix all user reported defects; re-deliver and re-test all defect repairs. Work with CARB software maintenance staff to provide knowledge transfer of the detailed system design and code, and transition maintenance of the system to the State. In addition, refer to CMAS terms and conditions contract for transition period details.
Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	PTM-6 21.9.1-2
Methodology/Approach:	Other: See CMAS Terms and Conditions IT v122017 SaaS subsections 6 and 8
Solicitation Number: (If applicable)	17AQP009

Completed SOW Section:	**28. Knowledge Transfer and/or Training**
SOW Component Detail:	The Contractor shall deliver specific technology and application knowledge to CARB staff via appropriate training and mentoring sessions and materials as requested by CARB. This task includes but is not limited to the following: 1. Develop and recommend published training materials related to specific technologies and applications used or supported during this engagement.

	2. Provide mentoring, training, and/or knowledge transfer to CARB technical staff applicable to the application software maintained and supported, and including response to production incidents, problem analysis, defect repairs, data fixes, application changes, system testing, user acceptance testing support, application builds associated with each production release, best practices and techniques implemented during this engagement.
Responsible:	Both
Performance Deliverable:	☒
Requirement Number(s):	PTM-6 21.9.2 and NFM-3 12.3.1
Methodology/Approach:	Other: See CMAS Terms and Conditions IT v122017 Section 36
Solicitation Number: (If applicable)	17AQP009
Completed SOW Section:	**29. Maintenance and Operations (M&O)**
SOW Component Detail:	Services for maintenance and operations are not included in this contract. After completion of all tasks in this contract, an assessment will be made to the success of complete knowledge transfer and operations to CARB staff and state infrastructure (Tasks 10 and 11) to determine any future maintenance and operations service needs from vendor(s). The AB-617 budget guidance indicates funding may be requested for ongoing maintenance two years after the project start.
Responsible:	State
Performance Deliverable:	☐
Requirement Number(s):	N/A
Methodology/Approach:	N/A
Solicitation Number: (If applicable)	N/A
Completed SOW Section:	**32. Warranty**
SOW Component Detail:	In addition to the warranty language provided in the federal GSA Multiple Award Schedule, all hardware, software, and services must comply with the terms Warranty specified in the California Multiple Award Schedules (CMAS) General Provisions - Information Technology - Section 18
Responsible:	Both
Performance Deliverable:	☐
Requirement Number(s):	NFM-2 12.2.7
Methodology/Approach:	Other: See CMAS Terms and Conditions IT v122017 Section 18
Solicitation Number: (If applicable)	17AQP009
Completed SOW Section:	**33. Service Level Agreements (SLAs)**
SOW Component Detail:	Contractor shall adhere to the service level agreements (SLA) requirements as outlined in the SOW and CMAS Terms and Conditions IT v122017
Responsible:	Both
Performance Deliverable:	☐
Requirement Number(s):	PTM-8 21.11.17
Methodology/Approach:	Agency/state entity model language used
Solicitation Number: (If applicable)	17AQP009
Completed SOW Section:	**34. Liquidated Damages**
SOW Component Detail:	All provisions for liquidated damages, their calculation method, and compensation proportion to harm as a result of vendor services must comply with the California Multiple Award Schedules

	(CMAS) General Provisions - Information Technology - Sections 26, 27, 28 and 44 as well as Software as a Service subsection 8.d
Responsible:	Both
Performance Deliverable:	☐
Requirement Number(s):	NFM-2 12.2.8
Methodology/Approach:	Other: See CMAS Terms and Conditions IT v122017 Sections 26-28, 44 and SaaS subsection 8.d
Solicitation Number: (If applicable)	17AQP009

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)? **Section 3.8.2 not required; under DGS Delegated Purchase Authority.**	☐	☐
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	Planning and Development Phase - Mature Mid-Level Requirements
Start Date	11/01/2017
End Date	11/30/2017
Number of Business Days	29
Activity	Planning and Development Phase - SOW Development
Start Date	12/01/2017
End Date	12/17/2017
Number of Business Days	16
Activity	Solicitation Development Phase
Start Date	12/18/2017
End Date	12/30/2017
Number of Business Days	12
Activity	Solicitation Development Phase - Solicitation Sections
Start Date	1/01/2018
End Date	3/30/2018
Number of Business Days	88
Activity	Procurement Phase
Start Date	4/01/2018
End Date	6/30/2018
Number of Business Days	90

Insert Activity

3.10 Procurement Risk Assessments and Dependencies

	Yes	No	N/A

	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: **Section 3.10 not required; under DGS Delegated Purchase Authority.**	☐	☐	X
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?	☐	☐	X
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:	☐	☐	X
4. Will this transaction be financed? If "Yes," attach the approved State Financial Marketplace Compliance Certfication form and agreement below. Attachment: (File Attachment)	☐	☐	☒

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: **Section 3.11 not required; under DGS Delegated Purchase Authority.**	☐	☐	☒
2. Has the Agency/state entity received signed confidentiality statements from all project participants (internal and external)?	☐	☐	X
3. Has the Agency/state entity received signed conflict of interest statements from all project participants (internal and external)?	☐	☐	X
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:	☐	☐	☒
5. Does the Agency/state entity's solution requirements ensure compliance with the Information Technology Accessibility Policy (SAM Section 4833)?	☐	☐	X
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)	☐	☐	☒
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)	☐	☐	☒
8. Will the Agency/state entity's solicitation ensure compliance with productive use requirements?	☐	☐	☒

3.12 Solicitation Readiness

	Yes	No	N/A
1. Has the Agency/state entity started development of a Bidder's Library?	☐	☐	☒

2. What evaluation methodology was selected for the primary solicitation?   Value Effective

   Explain the rationale for selection below:

   Section 3.12 not required; under DGS Delegated Purchase Authority.

3. Has the Agency/state entity started development of the evaluation (and selection) criteria for the primary solicitation?   ☐   ☐   X

4. Has the Agency/state entity started development of the cost worksheets as part of the evaluation for the solicitation?   ☐   ☐   X

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:

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:

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

Original "New Submission" Date	4/09/2018
Form Received Date	4/09/2018
Form Accepted Date	4/09/2018
Form Status	Completed
Form Status Date	6/06/2018