

SAN LUIS OBISPO COUNTY PENSION TRUST  
(SLOCPT)



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# Request for Proposal

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for a Hosted, Pension Administration System

**RFP Release Date**

**7/31/2015**

**Proposal Due Date**

**9/25/2015 – 1:00p.m. PST.**

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## **PART A GENERAL AND PROCUREMENT INFORMATION**



## A.1 GENERAL INFORMATION

### A.1.1 PURPOSE AND SCOPE

The San Luis Obispo County Pension Trust (SLOCPT) is soliciting proposals from public retirement system implementation vendors for a fully-hosted, new integrated pension administration solution. Specifically, Respondents are to propose a hosted solution consisting of the implementation of a fully integrated, best-practices-based retirement system along with configurations / customizations to that system to meet the mandatory requirements of SLOCPT. The contract to be awarded, as a result of this solicitation, will be for the following: a fully-hosted, line-of-business (LOB) application software, including imaging and workflow, documentation, testing, implementation, integration, training, warranty, and post-implementation support. SLOCPT has no IT staff and is therefore interested in reviewing responses for the new solution that can be provided in a vendor fully-hosted strategy. However, an optional item for a non-hosted on premise solution is also being requested.

SLOCPT will award this contract to the Respondent who can best meet the needs as defined in this Request for Proposal (RFP). The high level functionality required by the new solution includes the following:

- Core line-of-business (LOB) functions, which include the applications that permit the system to perform all of its operations, e.g. enrollment / onboarding, process wage and contribution files, calculate and maintain service credit and contribution balances, generate benefit estimates, issue refunds, calculate the cost of purchased service, perform retirement processing, benefit payroll, tax processing, 1099 processing, production of member annual statements, etc.
- Technology enablers of workflow, imaging, correspondence generation, search capabilities, etc.
- Support for the execution of all processes required in accordance with SLOCPT policies, the County's standards, Board policies, etc. that are in effect on the day of contract execution
- Redesign of SLOCPT's current business processes as necessary to increase processing efficiency and take best advantage of the LOB solution
- Browser-based access to the solution for SLOCPT users, including the necessary disaster recovery components
- Internet-based (with mobile device accessibility) self-service functionality to improve access to the solution for employers, members and retirees
- Conversion and transformation of SLOCPT data
- Enablement of all required interfaces with other entities, including but not limited to SLOCPT's Payroll Bank (Union Bank), the County, the IRS, their Actuary (currently Gabriel Roeder Smith), Empower Retirement (formerly Great West), Small World, ADP (3<sup>rd</sup> party payroll provider for Courts), and other 3<sup>rd</sup> parties
- Standard reports, custom-developed reports and ad-hoc reporting capabilities
- Thorough test and quality assurance of the entire solution
- A warranty that starts with the rollout of the first functional capability and concludes twelve months after the rollout of the final capability
- An "optional item" for a non-hosted, on premise solution
- An "optional item" for the back-file image conversion and upload of existing retiree image files and member physical folders.

The prime contractor is also responsible for:



- Providing SLOCPT-specific manuals and documentation for system users and administrators; in addition to all baseline functionality. All such documentation must reflect the customized, as-built status of the solution. Standard documentation reflecting only the Respondent's un-customized base solution will not be acceptable
- Providing training for system users in application navigation and the use of screens and windows, as well as in the use of the new solution to perform their various job functions, processes, and sub-processes in the new environment
- Configuration of the pension administration software
- Providing necessary software customizations to meet business and functionality requirements
- Providing full implementation of the new solution (including as-built documentation of system configurations and customizations)
- Providing ongoing software support for the new pension administration solution during the implementation and warranty period as provided herein
- Providing project management services for the implementation effort as provided herein
- Providing the required infrastructure and environments needed for the new solution during the project and post-implementation, including the maintenance and upgrade of such items as part of the hosting agreement.

The objective of this RFP is to elicit a response from Respondents for the implementation of the new solution. This RFP articulates the functional, technical, and other requirements and expectations of SLOCPT in the new integrated pension administration solution.

The RFP also specifies the common format of a Respondent's responses and the time frame to enable SLOCPT to compare the Respondent's solutions and to make its choice.

#### **A.1.1.1 Project Vision**

To replace the current pension administration system with a solution that can serve SLOCPT staff, its members and other stakeholders with the ability for SLOCPT to progressively add new functionality and continuously keep the solution current as both technology evolves and the needs of SLOCPT change.

#### **A.1.1.2 Project Mission**

The current pension administration system (i.e., Magenic RAD) has allowed SLOCPT since its installation in 2006 to use a system that is browser based, that provides the core pension functionality, and has minimized the need for manual processing. The current legacy system has been able to handle the processing needs, the various calculations, the disbursement functionality and the required interfaces of SLOCPT. However upgrades, new releases and future product support does not exist.

Therefore the mission for this project is for SLOCPT to partner with a company and a solution that can support the requirements and needs of SLOCPT today; but more importantly to position them for success well into the future. This project is intended to improve business processes, automate and integrate manual and work-around tasks within the new pension administration system, streamline processing with the use of imaging and workflow technology; and be positioned to evolve and upgrade the new solution to support SLOCPT well into the future.

SLOCPT expects to complete the project in the following seven (7) high-level phases:

- Project Initiation and Start-up



- Infrastructure, Hardware and Software Setup and Hosting (or Non-Hosted, On Premise Solution)
- Requirements Confirmation
- Rollout #1: Pension Payroll, Disbursements and Retiree Maintenance including associated imaging and workflow; and the “optional item” for retiree image back-file conversion if authorized
- Rollout #2: Membership including associated imaging and workflow; and the “optional item” for member folder back-file conversion if authorized
- Post Implementation Support
- One (1) Year Warranty.

### **A.1.2 ABOUT SLOCPT**

SLOCPT is an independent trust established for the employees of San Luis Obispo County, the Superior Court in San Luis Obispo County and certain local agencies that have elected to contract with the County Board of Supervisors to participate. The benefits available from SLOCPT are set forth in the San Luis Obispo County Employees Retirement Plan. The Plan includes multiple Tiers of pension benefits, categories of membership and numerous discrete bargaining units.

SLOCPT exists for the exclusive purpose of providing accurate, timely benefits and services to its members and their beneficiaries. SLOCPT is also charged with the prudent investment of Member Contributions and County Appropriations, and defraying reasonable expenses of administration.

Established as a voluntary plan in 1958 under California Government Code Section 53215. In 1974, participation in the Plan became mandatory for all permanent County employees and contracting agencies. The SLOCPT is similar in its operation to other California county retirement systems that under the 1937 County Employees Retirement Law (“CERL” or “the ’37 Act”), but the SLOCPT is not identical to such systems.

### **A.1.3 MINIMUM QUALIFICATIONS**

A Respondent must meet all of the qualifications outlined below. A statement that the Respondent’s firm meets the qualifications must be included in the Respondent’s Cover Letter accompanying the proposal.

#### **A.1.3.1 Respondent Minimum Qualifications**

To qualify as a Respondent, the Respondent must be able to cite three or more public sector defined benefit pension clients with similar scope as required by SLOCPT. At least two of those three cited referenced clients must have a project which is fully complete, (i.e., in the warranty period or later). These referenced clients must have at least 5,000 members and retirees.

The Respondent must include the projects it is using to satisfy the minimum requirements described above as part of Section A-2.2.1 of its Technical Proposal. For each project listed, there should be a corresponding Respondent Client Reference Form included in E.1.1 of the RFP.

#### **A.1.3.2 Project Manager Minimum Qualifications**

The Respondent’s intended Project Manager must be an employee (not a sub-contractor) of the Respondent and have a minimum of three years of experience in project management within the past five years. That experience must include three years of work similar in scope as that outlined in Part B of this RFP with a public retirement system.

As part of Section A-2.4 (Respondent staffing) of the Technical Proposal, the Respondent must include not only an employee reference form, provided in E.1.1 of the RFP, but must also complete a



project reference form for any project that is being used to meet the project manager's minimum requirements (i.e. a project where the proposed project manager served as project manager in the last five years.).

#### **A.1.4 RFP ORGANIZATION**

This RFP is organized as described below.

#### **PART A – GENERAL AND PROCUREMENT INFORMATION**

This part of the RFP contains general information about the project and the procurement information important to the Respondent.

#### **PART B – SLOCPT BACKGROUND**

This part of the RFP describes SLOCPT's current environment and thereby provides the background for the issuance of this procurement.

#### **PART C – PROJECT SCOPE AND SPECIFICATION OF REQUESTED SERVICES**

This part of the RFP defines in detail the scope of the project. It addresses the business requirements to be satisfied, the project's technical requirements (including standards to be observed, hardware and software to be provided, and interfaces to be accommodated), and other required services and deliverables, including project management services, data-related services, staffing, training, testing, disaster recovery planning, and warranty, maintenance, and support requirements.

#### **PART D– TERMS AND CONDITIONS**

This part of the RFP provides minimum terms of the implementation and software agreement between the Respondent and SLOCPT.

#### **PART E– RESPONDENT PROPOSALS**

This part of the RFP provides detailed instructions for the preparation and format of the technical and cost proposals, as the criteria SLOCPT will use in evaluating the proposals.

#### **PART F– ATTACHMENTS**

This part of the RFP includes attachments that are not incorporated into the body of the RFP itself. These attachments are either available in this section (or) are available to download from the following website: <http://www.slocounty.ca.gov/PensionTrust.htm>.

Part F includes the following information:

- 1 – Requirements "Ability To" Matrix
- 2 – SLOCPT Current "As-Is" Business Processes
- 3 – Forms Inventory
- 4 – Letter / Correspondence Inventory
- 5 – Report Inventory
- 6 – The Retirement Plan as of December 31, 2013 v2
- 7 – Money in Your Future – 2010 with addendums – Tier 2 & Tier 3.
- 8 – Annual Actuarial Valuation
- 9 – CAFR
- 10 – Respondent Cost Proposal Template.



## A.2 PROCUREMENT INFORMATION

The following sections provide general administrative information about the procurement.

### A.2.1 PROCUREMENT SCHEDULE AND MILESTONES

The dates provided in Table 1 below are approximate and for the period up to the project start date following contract award.

SLOCPT reserves the right to change the calendar of events or issue Addenda to the RFP at any time. SLOCPT also reserves the right to cancel or reissue the RFP. Respondents should check the following website <http://www.slocounty.ca.gov/PensionTrust.htm> from time to time as any amendments or other RFP related materials will be posted there.

Table 1 Project Schedule

Date	Activity
July 31, 2015	RFP Release Date
August 14, 2015	Due Date for Pre-Bid Questions
August 28, 2015	SLOCPT Response to Pre-Bid Questions
September 25, 2015	Deadline for Receipt of Proposals
October 26 <sup>th</sup> to 30 <sup>th</sup> , 2015	Hold Scripted Product Demonstrations / Presentations
November 2 <sup>nd</sup> to 6 <sup>th</sup> , 2015	SLOCPT Site-Visits to Peer Clients
November 20, 2015	Finalize Evaluation / Notify Successful Vendor
December 18, 2015	SLOCPT Contract Executed
January 4, 2016	Project Starts

### A.2.2 PROCUREMENT POINT OF CONTACT

From the issue date of this RFP until a successful Respondent is selected and the selection is announced; Respondents are not allowed to communicate, for any reason, with SLOCPT staff or trustees regarding this **particular procurement**, except through the Contracting Officer named herein. SLOCPT shall reserve the right to reject the proposal for violation of this provision.

The point of contact for questions and all other contractual matters relating to this RFP is:

Christopher Fikes  
Project Manager  
LRWL, Inc.  
[fikesc@lrwl.com](mailto:fikesc@lrwl.com)

Respondent's proposals are to be delivered to the SLOCPT office to the attention of:

Christopher Fikes  
San Luis Obispo County Pension Trust  
1000 Mill St.  
San Luis Obispo, CA 93408

**By submitting a proposal, the Respondent acknowledges that it has read this RFP, understands it, and agrees to be bound by its requirements.**



### A.2.3 RFP AMENDMENTS

SLOCPT reserves the right to amend the RFP. Amendments will be posted to the SLOCPT website at the following address: <http://www.slocounty.ca.gov/PensionTrust.htm>. SLOCPT reserves the right to reject any and all bids and to waive any and all technicalities or formalities.

### A.2.4 RESPONDENT QUESTIONS ABOUT RFP AND PROCUREMENT

Respondent questions relating to this RFP and/or procurement may be submitted to the Point of Contact named in Section A.2.2. Questions are to be submitted as a Word document using the format specified in Table 2 below. The closing date for questions is August 14, 2015.

Table 2 Format for Submission of Respondent Questions

No.	RFP Section	RFP Page	Respondent Question	SLOCPT Response
Q1				
Q2				
Q3				

Email is the required method of communication. All written questions must include the name of the firm and the person submitting the questions. A compilation of all questions and answers, along with any RFP addenda, will be posted to the SLOCPT website no later than August 28, 2015.

### A.2.5 PRESENTATIONS AND PRODUCT DEMONSTRATIONS

At SLOCPT's discretion, Respondents who receive high scores after the initial review of the proposals may also be required to provide presentations and/or product demonstrations at SLOCPT's offices. Respondents will also be provided with scripted product demonstration scenarios on which to base their product demonstrations in order to assure an objective comparison among Respondents' proposed solutions.

SLOCPT requires that the proposed Project Manager and other key assigned project staff conduct the demonstrations. SLOCPT's objective is to discern the Respondent's intended project staffs' familiarity with the solution and their ability to explain, communicate, converse, and interact with SLOCPT staff. While respecting the role of sales and marketing staff in the sales process, SLOCPT expects to interact with key project members during the presentation and demonstration process.

In addition, SLOCPT will conduct visits to Respondent's existing customer sites where the proposed solution is in production.

SLOCPT reserves the right to forgo Respondent presentations, product demonstrations, and/or customer site visits.

### A.2.6 REQUESTS FOR CLARIFICATION

Upon review of proposals submitted by Respondents, SLOCPT may, at its discretion, submit to Respondents written questions and requests for clarification relating to technical and/or cost proposals. Respondents will be provided a reasonable period of time in which to submit written responses to SLOCPT's questions and requests for clarification. Such question-and-answer



exchanges may be repeated until SLOCPT is satisfied that all information necessary to enable a complete evaluation of proposals has been obtained.

All such written exchanges between SLOCPT and the successful Respondent will be incorporated by reference into the contract to be executed by the two parties.

### **A.2.7 BEST AND FINAL OFFERS**

At SLOCPT's discretion, Best and Final Offers (BAFO) may be solicited from Respondents after the initial review of proposals and product demonstrations and site visits.

BAFOs may include but are not limited to cost, scope changes, staffing changes, and/or changes to approach – both those solicited by SLOCPT and those offered by Respondent.

SLOCPT reserves the right not to solicit Best and Final Offers.

### **A.2.8 COST FOR PREPARING PROPOSALS**

The costs for preparation and delivery of the proposal, as well as any other costs incurred in the pursuit of contract award (e.g., preparation and presentation of product demonstrations), are the sole responsibility of the Respondent. SLOCPT will not provide reimbursement for such costs.

### **A.2.9 FACILITIES AND HUMAN RESOURCES TO BE PROVIDED BY SLOCPT**

SLOCPT has a single conference room (in their main office) where project staff can work and hold meetings when onsite and where access to audio/visual equipment is available. Access to SLOCPT's current processing environment and copying facilities will be provided along with workspace for up to six (6) Respondent Staff members; including a conference room (in an adjoining building to their main office). Respondents must provide laptops and cell phones for their project staff. SLOCPT will provide appropriate connectivity to its network as well as a wireless Internet connection. The Respondent must abide by SLOCPT's security and other system use policies when connected to the SLOCPT network. All Respondent's equipment must be updated regularly with security patches and must include an up-to-date anti-virus software subscription.

SLOCPT (thru its contractual relationship with the County) has access to County training rooms and other County facilities as needed for items such as end-user training, any 3<sup>rd</sup> party product specific training, user-acceptance testing, etc. where a larger room or specific training room is needed.

During the project the following individuals will be the primary contacts from SLOCPT:

Debbie Villalon will serve as the System Coordinator / Program Manager. She will be responsible for the business side of the project, participating in requirements sessions, providing subject matter expertise, assisting with system validation, test preparation and execution, etc. during the project and continuing into post-implementation support.

Myca Tan will serve as the County IT Project Manager. She will be responsible for the project management and technical side of the project, including project administration, governance, planning, coordination / scheduling, and the technical aspects of the project.

The following should be considered by the Respondent for human resource planning:

- SLOCPT has a total of 9 full-time staff, 3 part-time staff, and 1 part-time County IT provided individual
- In total, SLOCPT estimates that 2 FTE(s) can be available over the course of the project.



## **A.2.10 CLARIFICATION OF TERMINOLOGY**

All references in this RFP to features, functions, or deliverables that “should”, “must”, “will”, “has ability to”, etc. be provided by the Respondent are to be construed as mandatory. Similarly, all references in this RFP to information that “should”, “must”, “will”, “has ability to”, etc. be provided in the Respondent’s proposal are to be construed as mandatory.

In reviewing Respondents’ technical proposals, SLOCPT will assume that all features and functionality described therein will be delivered for the quoted not-to-exceed cost presented in the Respondents’ cost proposals. Statements such as “... *[Functionality n] can be provided ...*” or “... *[Functionality n] may be provided ...*” or other similar sentence constructions will be interpreted to mean that functionality will be provided at no additional cost. If Respondents wish to discuss functionality that is feasible but not included in their cost bid, they must explicitly state as much in every applicable case.

References to days are to calendar days unless otherwise explicitly stated.

Reference is made throughout the RFP to project phases. The phases we require are based on best practices in project management, particularly as defined in the Project Management Institute’s Project Management Book of Knowledge (PMI’s PMBOK). In addition, we use the term “sub-phase” or “functional roll-out” to refer to the major functional rollouts (e.g., core pension, new functionality) that encompass the new Pension Solution implementation phase.

Throughout this RFP, SLOCPT refers to awarding of the contract as if that award were a given. In fact, SLOCPT reserves to itself the right to reject all proposals and to make no award whatsoever.



## **PART B SLOCPT BACKGROUND**



## B.1 OVERVIEW OF ORGANIZATION AND FUNCTIONS

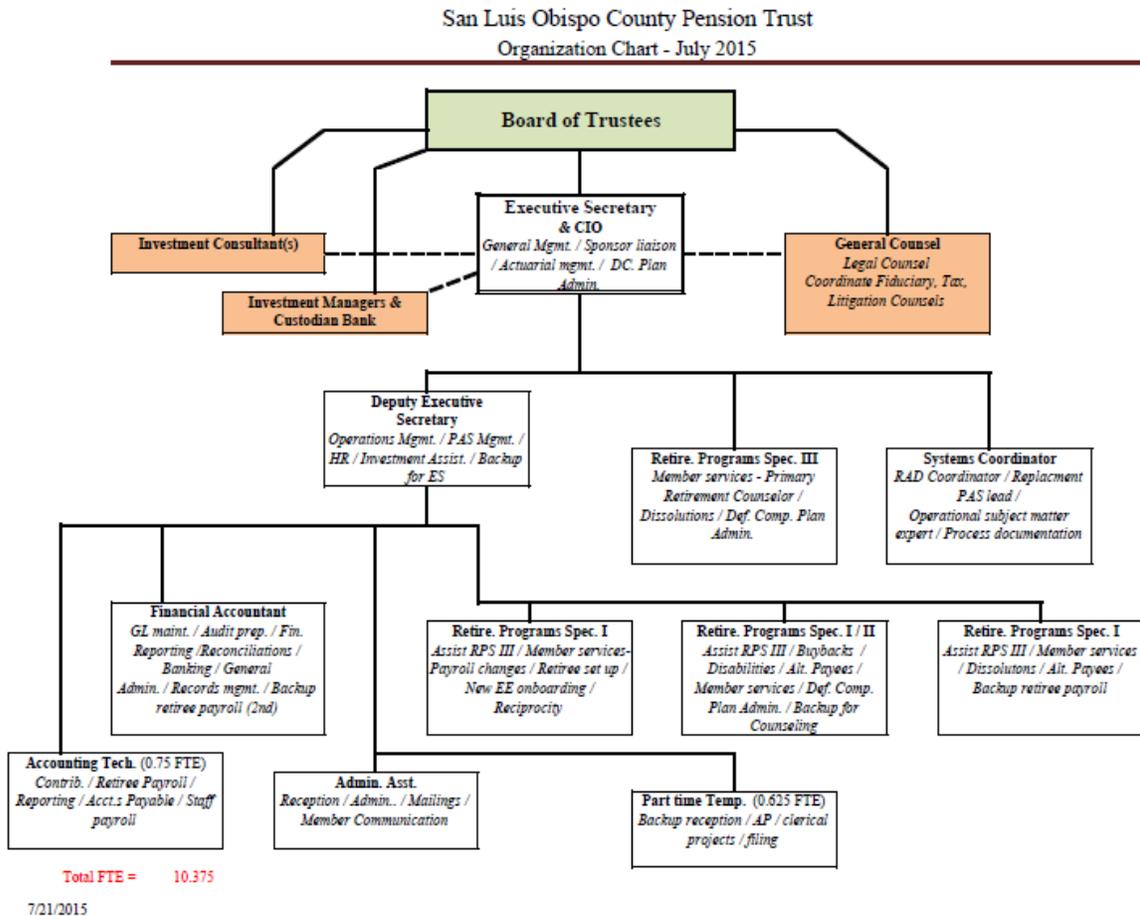
### B.1.1 ORGANIZATION AND STAFF

The Board of Trustees is the governing body of SLOCPT. The Board is composed of seven members, three Trustees who are elected by the active members, three Trustees appointed by the Board of Supervisors and the Ex-Officio Trustee who is the County Auditor/Controller/Treasurer/Tax Collector/Public Administrator.

The Board of Trustees is responsible for the overall operation of SLOCPT. The Board directs the activities of the SLOCPT staff, establishes SLOCPT’s Investment Policy and sets all other policies related to the operation and funding of SLOCPT. The Trustees do not determine what benefits are contained in the Retirement Plan.

The SLOCPT organizational chart is depicted in Figure 1.

Figure 1 - Organization Chart





We point out that there are no full-time IT professionals at SLOCPT. Both Debbie Villalon and Myca Tan coordinate all system issues, operations, system changes and modifications with the existing legacy system provider. SLOCPT has been in a contractual agreement with Magenic since the implementation of RAD in 2006 and will continue that contractual agreement over the course of this project until the system decommissioning of RAD.

For background, Magenic provides the following high-level services:

- Operational Support
- Application Maintenance and Support
- Special Projects / Enhancements.

For background, the San Luis Obispo County IT provides the following high-level services:

- Network / Infrastructure Support
- Other Application Maintenance / Support
- Workstation Maintenance / Support
- Project Management.

### **B.1.2 KEY PLAN PROVISIONS**

The plan provisions of SLOCPT are contained in the following document and are included in the Attachments section of the RFP: **The Retirement Plan as of December 31, 2013 v2**

A summarized, easy-to-read version for the membership is contained in the following document and is included in the Attachments section of the RFP: **Money in Your Future – 2010 with addendums – Tier 2 & Tier 3.**

### **B.1.3 KEY PROCESSING STATISTICS**

General statistics about the current pension administration system are included in Table 3 below:

Table 3 SLOCPT Pension Administration Statistics

ITEM	QUANTITY
Number of active members	2,500
Number of inactive members	500
Number of retirees and beneficiaries receiving monthly payments	2,500
Number of Disability Retirees	150
Number of plans	1
Number of tiers	3
Number of contributing employers	5
Net assets	\$1,200,000,000
Number of SLOCPT employees	9FT and 3PT
Annual Number of Retirements	180
Annual Number of Refunds	200
Annual Number of Service Purchases	50



The volumes of documents currently printed as part of the legacy pension administration system are indicated in Table 4 below.

Table 4 Current SLOCPT Printing Volume Estimates

PRINTING JOB	APPROXIMATE VOLUME	FREQUENCY	OUTPUT SOURCE
Annual Member Statements	3000	Annually	Printed in-house; mailing done by 3 <sup>rd</sup> Party
1099's	2500	Annually	SLOCPT prints in-house and mails directly
Pension Checks	125	Monthly	SLOCPT prints in-house and mails directly
ACH advices	2500	Monthly	Printed in-house; mailing done by 3 <sup>rd</sup> Party and retiree can elect for "paperless" advice

#### B.1.4 CURRENT BUSINESS PROCESSES

SLOCPT's "As-Is" business processes are summarized in Attachment F.2 of this RFP. However provided is a listing of the core business process areas for quick reference:

- Active Member Counseling
- New Member Enrollment / General Changes
- Recurring Contributions
- Purchase of Service / Buybacks
- Global Reporting
- General Account Changes (Retiree)
- Reciprocity
- Divorce
- Global Communications
- Retiring Member Benefit Calculations
- Death
- Terminated Member Counseling
- Deferred Compensation
- Terminations
- Recurring Payroll (Pension Payroll)
- Non-Recurring Payroll (Refunds and Ad-Hoc)
- Power of Attorney
- IRS 415 Limits
- Cost of Living Adjustment (COLA)
- Deferred Retirement Option Plan (DROP)



## **B.2 CURRENT TECHNICAL ENVIRONMENT**

The sections that follow include descriptions of the hardware and system software for each of the major business applications SLOCPT currently runs.

SLOCPT will assume responsibility for all operational and programming support of its current systems. The Respondent will have no responsibilities in this regard. Also, SLOCPT will assume responsibility for all activities relating to the shutdown / decommissioning of the current pension system after cutover to the new solution.

### **B.2.1 WIDE AREA NETWORKS**

SLOCPT currently has an optical fiber connection to the County data network that provides a redundant gigabit Ethernet connection. This fiber optic connection to the County provides access to various County data communication services including:

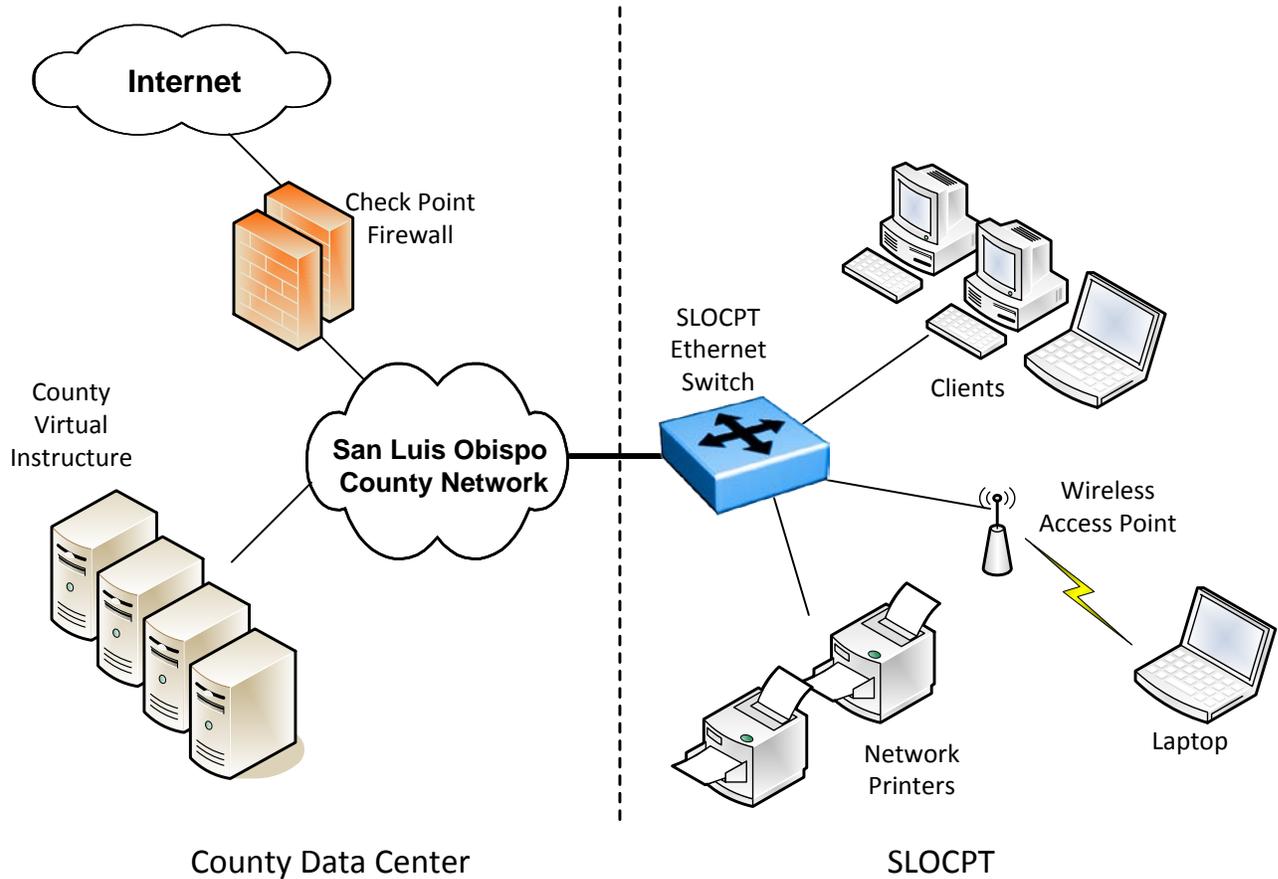
- Internet connection – a 200 Mbps to Level3 and a 100 Mbps backup connection to Digital West Networks Inc.
- Virtual server infrastructure using VMWare and IBM Blade Center
- Email – Lotus Notes (the County is currently in the process of transitioning to Office 365)



## B.2.2 LOCAL AREA NETWORKS

An overview of the current SLOOPT network infrastructure is provided in Figure 2 below.

Figure 2 SLOOPT Network Infrastructure





The SLOCPT is part of the County's Local Area Network (LAN) which is Windows 2012 R2 Active Directory. Table 5 Current SLOCPT Server Configuration shows the SLOCPT servers, the models and their primary functions.

The infrastructure of the network consists of an Avaya 48-port gigabit switch connected via optical fiber to a Cisco ASR1010 Router in the County data center. All SLOCT devices are connected via CAT6 cabling to the Avaya switch and running at 10/100/1000 Mbps. There is one Juniper wireless access point which provides both secure wireless connection to the County network and a public access to a separate internet connection.

### **B.2.3 WAN/LAN SECURITY**

WAN/LAN security is facilitated by:

- The firewall is a cluster of two Check Point GAIA devices running version R77.20 providing internet access and remote VPN access.



## B.2.4 SLOCPT CLIENT/SERVER

SLOCPT leverages ten (10) virtual VMWare ESXi 5.5 servers hosted in the County data center to manage day-to-day operations. Pension Administration System servers are listed in Section B.3. The current server configurations are included below:

Table 5 Current SLOCPT Server Configuration

Server Name	Server Role	CPU	Disk Space	Memory	Operating System	Secondary applications
Svrptapp	Small app server	One 2.4GHz	80GB	512MB	Microsoft Windows Server 2008 R2	Sage Business Works, Paychex, other applications.
Svrptrstdev	Application Development/ File Server	One 2.4 GHz	230GB	512MB	Microsoft Windows Server 2003	Legacy applications such as Deferred Compensation, PAF History, Old development history for RAD
Svrptfile	Print/File Server	One 2.4GHz	180GB	2GB	Microsoft Windows Server 2008	NA
Devradweb	Application Development Web Server	Two 2.4GHz	65GB	2GB	Microsoft Windows Server 2012	IIS
Devradsql	Application Development SQL Server	Two 2.4GHz	85GB	4GB	Microsoft Windows Server 2012	Bullzip PDF
Stgradweb	Application Testing Web Server	Two 2.4GHz	95GB	4GB	Microsoft Windows Server 2012	IIS
Stgradsql	Application Testing SQL Server	Two 2.4GHz	134GB	4GB	Microsoft Windows Server 2012	Bullzip PDF
Prdradweb01	Application Production Server - Internal	Two 2.4GHz	65GB	4GB	Microsoft Windows Server 2012	IIS
Ptradweb1	Application Production Server – Public	Two 2.4GHz	45GB	2GB	Microsoft Windows Server 2012	IIS
Prdradsq101	Application Production SQL Server	Two 2.4GHz	110GB	6GB	Microsoft Windows Server 2012	Bullzip PDF

## B.2.5 DESKTOP COMPUTING

All of SLOCPT's personal computers are Dell machines (OptiPlex models only) running Microsoft Windows 7 or 8 and are covered by a hardware warranty with Dell. SLOCPT also has two laptop computers used in the conference room frequently. County IT manages all patches and updates on a monthly basis. Application software found on typical SLOCPT workstations is presented in the table below:



Table 6 SLOCPT Current Workstation Software

SOFTWARE NAME	PURPOSE
MS Office Professional 2013	Office Productivity Tools
Adobe Acrobat Standard Version 9, 10, 11	PDF Reader, converter and editor
Google Talk, Hip Chat	Instant Messaging
Internet Explorer Version 10+	Internet Browser
Mozilla Firefox Version 28+	Internet Browser
Google Chrome Version 36+	Internet Browser
Microsoft System Center Endpoint Protection and McAfee Virus Scan	Anti-virus software
UltraVNC	Remote access software utilized for technical support
FileZilla FTP Client	Free FTP Solution
Core FTP	Banking Processes FTP Solution

## B.2.6 MOBILE AND REMOTE COMPUTING

SLOCPT uses Check Point Endpoint VPN, managed by County IT. Remote access to network resources is granted to limited staff for telecommuting. Currently only Windows and Mac based systems are supported.

## B.2.7 FILE AND PRINT SERVICES

File and print services are standard generic services provided under the Windows 2008 server software. It consists of a home directory for each user and shared file areas. All network printers are available for any user to select and use and are distributed throughout the office.

SLOCPT's current inventory of printers is provided in the table below:

Table 7 SLOCPT Current Printer Inventory

MANUFACTURER	NETWORK OR PERSONAL	MODEL	QUANTITY
HP	Networked	Color LaserJet 5550dtn	1
HP	Personal	LaserJet 1100	1
HP	Personal	LaserJet 1150	1
HP	Networked	LaserJet 200 Color MPF M275w	1
HP	Networked	LaserJet4250n	1
HP	Networked	LaserJet 600 M601	1
Samsung	Networked	MultiXPress8246	1
Epson	Personal	WF-3540	1
Epson	Personal	WF-3640	1
<b>Total</b>			<b>9</b>



### **B.2.8 DISASTER RECOVERY**

SLOCPT Disaster Recovery is incident dependent. Current servers are hosted in County IT's data center where there are many provisions to protect the data. County IT's data center is secured to limited personnel, temperature and humidity controlled, with Inergen and water fire suppression systems, as well as supplied with back up uninterruptible power supplies (UPS) and a diesel generator.

For additional disaster recovery purposes, nightly incremental Tivoli System backup of all SLOCPT files are generated as well as a full backups on a weekly basis. This covers application and file data. The Recovery Time Objective (RTO) leveraging these back-ups is eight (8) hours, or less.

In addition, full tape backups of the production database are taken and sent to a secure, off-site location on a twice weekly basis; these provide quick recovery in a major building disaster.



## B.3 CURRENT BUSINESS APPLICATIONS

Major applications supporting the current retirement administration operations of SLOCPT are presented in Table 8 below.

Table 8 SLOCPT's Current Major Applications

APPLICATION	PURPOSE
Magenic RAD	Pension Administration System (Web-based)
Sage Business Works	Accounting Software
SAP	Accounting Software for the County
PAF History	Legacy system account data

### B.3.1 PENSION ADMINISTRATION SYSTEM (MAGENIC RAD)

The Retirement Accrual and Distribution application was the result of an effort to modernize the pension administration system they were using. The effort initiated in 2004 and took approximately two years to complete. Since go-live, RAD has administered the accrual and distribution for all members.

There are three environments: Production, Staging and Development. Each environment has two virtual servers: one Microsoft Server 2012 web server and one Microsoft Server 2012 server with Microsoft SQL2012 SP2.

### B.3.2 ACCOUNTING SYSTEM (SAGE BUSINESS WORKS)

Sage Business Works is used to administer the general ledger and accounts payables relating to operational expenses.

### B.3.3 SAP (COUNTY HR / ACCOUNTING)

SLOCPT uses SAP to pull Pension Contributions and journal entries and transfer funds to and from the County.

### B.3.4 PAF HISTORY

SLOCPT uses PAF History to research historic / legacy account data.



## **PART C PROJECT SCOPE**



## C.1 NATURE OF DESIRED SOLUTION

The primary objective of this project is to implement a fully-hosted, stable, state-of-the-industry, fully integrated solution capable of supporting SLOCPT's mission well into the future. It must enable SLOCPT staff to perform all of their current duties; such as calculation of member retirement estimates, employee contribution and benefits, maintaining wage and contribution information, maintaining service credit information, processing requests for information, contribution refunds, refund buybacks, purchase of service credit, withholding of health insurance premiums, related financial reconciliation and integration, and actual retirements (i.e., including but not limited to researching / reviewing the member's service credits and wage and contribution history, calculating benefits, setting forth retirement options, adding the member to the benefits payment capability). At a minimum, a new solution must provide all of the functions of the existing system used to conduct SLOCPT business.

Additional objectives to be served by this procurement include:

- Improved service levels to members
- Improved, centralized management of member and retiree information
- Increased work efficiency, integrating checklists and steps that are now manual into streamline business processing
- Implementation of imaging; including the “optional item” back-file conversion of retiree images and member physical file folders
- Implementation of workflow; including best practices
- Web-based, self-service functions for members, retirees, and employers
- Improved accuracy of all information collected, maintained, and provided by SLOCPT
- Improved timeliness and accuracy of responses to members' inquiries
- Improved system audit and control capabilities
- Improved system security and controls
- Ad-hoc and custom reporting tools
- A secure environment for the receipt, processing, storage and transmittal of all information related to SLOCPT business operations via a fully-hosted strategy.

Finally, and perhaps most important, SLOCPT requires that the new solution assist the staff in their mission of providing the best possible service to the membership. SLOCPT is committed to increasing its use of technology to provide ever more accessible and member-oriented service to its membership. SLOCPT looks to the new solution for more extensive use of email and other Web-based technologies for SLOCPT's member-based communications. Improved web-based, member self-service is a significant goal in the implementation of SLOCPT's new LOB solution, including availability on mobile devices in the future.

SLOCPT desires to accomplish these goals with as much standard “off-the-shelf” technology and software as possible, to optimize both efficiencies and effectiveness in its retirement services delivery offerings.

Respondents are encouraged to present solutions that embrace enabling technologies. The solution proposed to SLOCPT must generally reflect the capabilities available to the most technologically enabled public retirement systems. SLOCPT desires proposals for modern solutions, i.e., open solutions, modern database management capabilities, and user-friendly interfaces. However, SLOCPT does not wish to be a test or “beta” test site for such technologies and solutions.



## C.2 REQUIRED DELIVERABLES AND DEADLINES

Respondents must provide a detailed listing of deliverables with estimated completion dates that will be produced for the project. This section consists of a list of the minimum set of high-level deliverables required for the project. Table 9 below lists those deliverables with predicated delivery dates on the contract start date or start of a phase or work unit. These deliverables, as well as all the others listed in this section, must appear in the Respondent's Detailed Project Work Plan. Some items may need to appear multiple times since they are Implementation Phase-related.

Table 9 Delivery Due Dates for Major Deliverables

Nbr	Deliverable	Days Post Contract Start	Days Prior to Start of Phase or Work Unit
1	Detailed Project Work Plan	30	
2	Development Methodology Overview	45	
3	Risk Management Plan	60	
4	Communications Plan	60	
5	Statements of Work		30
6	Respondent Updated Requirements Traceability Matrix	90	
7	Detailed System Design	180	
8	Data Conversion and Migration Plans		30
9	Testing Strategy and Problem Incident Reporting Methodology		30
10	Change Control Methodology	60	

The following section further identifies the minimum set of high-level deliverables required of the project. The list includes deliverables identified above (i.e., those with dates predicated on project start date or task or work unit start date) as well as deliverables due on a schedule dictated by the project plan developed by the Respondent:

### 1. DETAILED PROJECT WORK PLAN

The Respondent must provide a complete, detailed plan of all activities required to meet the project requirements including: system design; development (to meet custom requirements); training; testing; conversion; and post-installation warranty. Building on the initial plan provided with the proposal and updated with the signing of the contract, the plan must include all project deliverables, all detailed tasks with start dates, completion dates, hours to complete, dependencies, Respondent and SLOCPT resources assigned and project milestones. The work plan must reflect the phasing of the project as described in Section C.5.1.7. This plan must be established and maintained by the Respondent throughout the life of the project. It will be reviewed at bi-weekly meetings between SLOCPT and the Respondent. The detailed plan must be presented to SLOCPT within the time period indicated in Table 11; to be updated whenever any changes are made to the plan, but no less frequently than quarterly.



## **2. DEVELOPMENT METHODOLOGY OVERVIEW – END USER DOCUMENT**

The Respondent must provide a top-level Development Methodology Overview – End User (DMO). The DMO must describe, at a high level, how the system will be defined, designed, tested, and deployed, i.e., the Respondent’s development life cycle for the project – aimed at end-users. The DMO must be presented to SLOCPT no later than the time period indicated in Table 11.

## **3. RISK MANAGEMENT PLAN**

Within the time period indicated in Table 11, the Respondent must deliver a detailed Risk Management Reporting Methodology for use throughout the project in reporting risks identified during the course of the project.

## **4. COMMUNICATION PLAN**

The Respondent must provide a complete, communication plan explaining the types of communication to be used on the project, the intended audience of each type of communication and the recurrence of such communications.

## **5. STATEMENTS OF WORK (SOWs)**

All work to be done under the contract to be awarded will be covered by written Statements of Work (SOW) authorized by SLOCPT, which define reasonably sized components of work. Refer to Section C.5.2.3 for additional requirements relating to SOWs. As indicated in Table 11, a SOW must be submitted prior to the start of the tasks or activities identified in the SOW. The Respondent acknowledges and agrees that in no way shall SOWs diminish responses to the requirements as articulated in the RFP submission. The first Statement of Work should be provided at the time of contract signing.

## **6. UPDATED REQUIREMENTS TRACEABILITY MATRIX**

SLOCPT will develop and provide to the Respondent the Requirements Traceability Matrix within the time period indicated in Table 11. The Respondent must update and return it to SLOCPT also within the time period indicated in Table 11. Refer to Section C.5.2.2 on the Requirements Traceability Matrix for additional information.

## **7. COMPLETION OF DETAILED SYSTEM DESIGN SPECIFICATIONS**

The Detailed System Design Specifications must include all components of the system. It should include use cases, use case models, site map(s), interface design models, process flowcharts where appropriate, and supplementary specification documents. The method of implementing security in each application element must also be defined in this specification. The Respondent must conduct walkthroughs of the Detailed System Design with appropriate members of SLOCPT’s project team and provide demonstrations to enhance SLOCPT’s understanding and to facilitate review and approval by SLOCPT. The details of this deliverable are discussed in Section C.5.2.7.

## **8. COMPLETION OF DATA CONVERSION AND MIGRATION PLAN(S)**

A Data Conversion and Migration Plan must be provided for the project as discussed in Section C.5.3.3. The plan will include a detailed description of the conversion methodology and process, and a description of the quality assurance process to assure that all records have been converted correctly and fully.



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## **9. TESTING STRATEGY AND PROBLEM INCIDENT (DEFECT) REPORTING METHODOLOGY**

Thirty days prior to the beginning of any Respondent testing, the Respondent must deliver a detailed strategy document outlining the phases of testing and the responsibilities of each party. The Strategy should include the defect or Problem Incident Reporting Methodology for use throughout the project in reporting production problems as well as problems identified during testing activities. See Section C.5.2.9 for details.

## **10. COMPLETION OF CHANGE CONTROL METHODOLOGY**

Within the time period indicated in Table 11, the Respondent must deliver a detailed Change Control Methodology for use throughout the project. See Section C.5.2.8 for details.

## **11. COMPLETION OF TEST PLANS/SCRIPTS**

The Respondent will be responsible for the development of all test plans for the entire system to be implemented at SLOCPT as described in Section C.5.7, not just for the customizations implemented specifically for SLOCPT. This includes all unit tests, system tests, and User Acceptance Tests. The Respondent will design and develop test scenarios, test variants, test cases, test data, and expected test results for each phase of the rollout. Test plans and related activities will be repeated for all phases.

## **12. COMPLETION OF ROLLOUT PLAN(S)**

A detailed rollout plan for each functional cutover phase must be provided for review and approval by SLOCPT 30 days prior to each rollout. The plan must detail tasks, responsibility, duration, deliverables, and “ownership” among all project stakeholders (i.e., SLOCPT, the Respondent, and all involved third parties). The plan must detail week-by-week, day-by-day, and in some cases hour-by-hour activities.

## **13. COMPLETION OF TRAINING PLAN AND DOCUMENTATION**

A detailed training plan for each rollout phase must be delivered, specifying who will be trained, what subjects will be covered, and a schedule for all training sessions. Included in the training plan must be training for SLOCPT staff in the use of the Change Control Methodology and the Problem Incident Reporting Methodology. In addition, training materials must be developed and delivered to SLOCPT for review prior to the start of actual training activities. This deliverable must include, not only training in the use of screens and windows, pull-down menus, radio buttons, data entry, and the like, but also training in all of the functions, processes, and sub-processes that users will use need to accomplish their role-specific work duties. Training must address SLOCPT users as well as employers; in addition, within SLOCPT, training must be aimed at two different cohorts – users involved in UAT and the general user population.

## **14. SYSTEM READY FOR ACCEPTANCE TESTING**

Modifications to the LOB application software to satisfy the specific functional requirements of SLOCPT must be implemented and tested by the Vendor prior to release to SLOCPT for testing. For the system to be ready the UAT Entrance Criteria, defined in C.5.7.1 must be met and confirmed by the Respondent and SLOCPT Project Managers.

## **15. COMPLETION OF TRAINING**

The Respondent must provide phased training for users as described in Section C.5.6.



## **16. SYSTEM READY FOR PRODUCTION (PER PHASE)**

After successful completion of the UAT and meeting all cutover criteria as described in Section C.5.7.3, the system will be turned over to the users for production use.

## **17. COMPLETION OF THE CONVERSION PROCESS**

Completion and verification of the conversion of all retirement system data in accordance with the Data Conversion Plan referenced in #8 above. This process is documented as complete when the delivery of all conversion reconciliation reports have been reviewed and accepted by SLOCPT.

## **18. BI-WEEKLY STATUS REPORTS AND MEETINGS**

The Respondent must deliver bi-weekly written project status reports and facilitate bi-weekly status meetings throughout the life of the project. The reporting requirements are detailed in C.5.2.4.

## **19. LOB APPLICATION SOFTWARE LICENSE**

The Respondent will be required to deliver to SLOCPT a license for the use of the line-of-business (LOB) application software and all requisite third party software necessary to use and maintain the LOB application.

## **20. WARRANTY**

The Respondent must provide a warranty for the LOB application effective from the time of the first rollout through 12 months after final acceptance by SLOCPT of the last rollout as described in Section C.6.3.

Respondents are encouraged to identify additional project deliverables, as applicable, beyond the minimum set identified above.

Respondents are advised that the project deliverables discussed above are **not** related to individual payment points, however 1 or more may map to a single payment point. Deliverables – termed herein “contractual deliverables” – that, upon their written acceptance by SLOCPT, will trigger payments have been established by SLOCPT.



## C.3 FUNCTIONAL REQUIREMENTS

The following sections provide detailed information on the business and technical functional requirements that MUST be satisfied by the new system. The Respondent is required to provide:

- Existing functionality (i.e., the current procedures, etc. are defined in Attachment F.2 SLOCPT Current “As-Is” Business Processes) that must be reproduced, albeit with a greater degree of automation and integration, with improved business processes, and with an improved degree of user and customer satisfaction
- Functionality to support the execution of all processes (business rules) required in accordance with enabling County Ordinance, Board policies, Plan provisions / rules, etc. that are in effect on the day of contract execution
- To-Be functionality (the “to be state” defined in the following sections and listed as requirements in Attachment F.1 Requirements “Ability To” Matrix) that must be developed with a high degree of automation, integration, and improved business processes

The latter item is presented as a single requirement matrix, as Attachment F.1 Requirements “Ability To” Matrix with categories matching the 24 functional business areas under Section C.3.1. Respondents’ responses to the Request for Proposal must include a completed response to the matrix in Attachment F.1.

The column headings in the “To-Be” matrices in Attachment 1 are:

1. **Requirement ID** – An internal indicator of the specific requirement.
2. **RFP Section** – Corresponds to one of the subsections below, B.3.1.1 – B.3.1.22 and sections B.3.2.1 – B.3.2.3
3. **Category** – Functional area applicable to the requirement. These categories correspond to the section headings or contents in B.3.1.1 – B.3.1.22 and sections B.3.2.1 – B.3.2.3
4. **Description** – A detailed description of the requirement (typically begins with “ability to”)
5. **Vendor Solution** – Respondents must complete this column as part of their response to the RFP. Respondents must designate (with an “x”) whether the requirement or rule can be implemented through configuration of a base solution, via a customization or, if the requirement cannot be met. If this column is left blank in the proposal, SLOCPT will assume it is part of the base solution and configuration being offered.

If at the time of contract award, requirements gathering, or detailed design, an agreement is made between the Respondent and SLOCPT not to implement any current functionality, that agreement must be documented thoroughly and signed by both parties and reflected in updates to the Requirements Traceability Matrix (RTM).

Any and all functions inherent to manual calculations and standalone spreadsheets in the “as is” environment are to be automated and seamlessly integrated in the new system. In this context, integrated means the system does the calculation, and not that the spreadsheet is loaded with data and then manually executed by a user and the resulting data re-entered into the LOB system.

### C.3.1 Desired “To Be” Business Functionality

The matrix (Attachment F.1 Requirements “Ability To” Matrix), referenced in the following subsections, lists the many detailed business function capabilities and business rules for which the proposed integrated retirement system solution must provide.



The new pension system will be a browser-based solution. The solution will provide web-enabled, self-service functionality and ease-of-use not only to SLOCPT users, but also to members, retirees, and beneficiaries.

SLOCPT believes that the table-oriented approach described above for presentation of functional requirements is an appropriate method for succinct description of the requirements and for the Respondent's response. However, the approach does not provide SLOCPT with a "feel" for how the functionality is provided. Therefore, the Respondent must (in addition to completing the matrix), provide a narrative description of the functionality provided in each specified functional area below. This narrative should not exceed 20 pages.

### **C.3.1.1 Activity Tracking**

The objective of the new system should provide the ability to track and summarize the various contacts made with members, retirees and other entities to be maintained in the new Line of Business solution. The intent of this required functionality is to ensure that SLOCPT staff can easily access and review the history of communications and contacts with a member and retiree.

### **C.3.1.2 Annual Member Statements**

At the conclusion of each calendar year, active members are provided with a membership statement.

### **C.3.1.3 Beneficiary Maintenance**

SLOCPT must be able to maintain all beneficiaries for SLOCPT active and retired members, for both the retirement and death benefits.

### **C.3.1.4 Benefit Calculations and Benefit Estimates**

The requirements categorized as "Benefit Estimates" And "Benefit Calculations" in the requirement matrix must address all Tiers, Groups, Bargaining Units, etc. for SLOCPT. The new PAS must have the ability to calculate the benefits for all Tiers, Groups, Bargaining Units, etc.

### **C.3.1.5 COLA**

Annually, SLOCPT provides a cost of living adjustment that varies dependent on the pension Tier of the member. The new system must have the ability to apply the COLA to retirees and beneficiaries according to plan provisions.

### **C.3.1.6 Counseling and Seminar Tracking**

The retirement process for nearly all members begins with an in-person counseling session. Since this is the starting point for the retirement (and occasionally the purchase process), the proposed solution should allow completion of related applications on-line with the member present and, if authorized, should be seamlessly incorporated into the benefit calculation process with no redundant entry of data.

### **C.3.1.7 Death Processing**

The system must provide the ability to record and communicate death related information; as well as track member balances and payments, the receipt of member related death information, as well as the appropriate contact information.



### **C.3.1.8 Deferred Retirement Option Program (DROP)**

The members of SLOCPT may voluntarily participate in DROP. The proposed solution must administer eligibility for, and participation in, the DROP program. These and related requirements are categorized as “DROP.”

### **C.3.1.9 Disability**

The volume of disability requests is minimal; however the solution still must support the disability process from initial request, to the tracking of required medical information, to the approval / denial of the claim, and the initial setup of retirement payment.

### **C.3.1.10 Employer Reporting – Recurring Contributions**

SLOCPT has a few reporting employers – primarily the County that are responsible for providing employment, payroll and recurring contribution information to SLOCPT on a bi-weekly basis. That information is processed through a series of edits and eventually the information is posted to the members’ accounts. The new system must interface and/or provide required data extracts with the County’s SAP system.

### **C.3.1.11 Enrollment - Onboarding**

The County / Employers will submit new employees/members on the bi-weekly maintenance file. An end-user should also have the ability to create a new member through manual data entry.

### **C.3.1.12 Funds Management**

The requirement matrix contains a category for “Funds Management.” The proposed solution must have the ability to maintain transaction history, and must be able to provide file interface/reports allowing SLOCPT the ability to update the Sage BusinessWorks accounting solution. Therefore, the proposed solution must follow generally accepted accounting principles.

### **C.3.1.13 Member Maintenance – General Account Changes**

Subsequent to enrollment, maintenance of the member’s demographic information and related data is the responsibility of both the employer (as related to updated information submitted through the wage and contribution reporting process) and the member through the applicable portal for retired and terminated members. In addition, as discussed with the employer reporting requirements, occasionally manual adjustments are required for a member’s account. Each member (unless placed in suspense or in distribution) is entitled to interest on their contributions, calculated and applied with each pay period.

### **C.3.1.14 Member Self Service Portal**

Some of the same functionality required by internal staff is also applicable to functionality that must be available on the member self-service portal. Specifics about which features and processes will need to be made available via self-service will be determined during the requirements confirmation / design phases of the project. It is SLOCPT’s expectation that any and all processes that can be performed internally by staff – could be made available via self-service if so determined.

### **C.3.1.15 Payroll – Recurring and Non-Recurring Payroll**

The requirements for “payroll and other payments” in the matrix should allow SLOCPT the ability to integrate payroll into the Pension Administration.



### **C.3.1.16 Power of Attorney**

Power of Attorney records are rare, but do exist. The new system must accommodate tracking of Power of Attorney.

### **C.3.1.17 Purchase of Service - Buybacks**

The proposed solution should provide the ability to calculate a purchase of service contract, administer the collection of payment for the purchase, and finally grant the service to the member's account. Most purchase types allow an installment plan through payroll deduction for currently active members, or are funded through a lump sum payment or rollover.

### **C.3.1.18 QDRO and Court Orders**

The QDRO and Court Order requirements outline the needs for processing court orders such as Qualified Domestic Relations Orders (QDRO), support orders, and other court orders or similar documents. The proposed solution must have the ability to reflect court orders within benefit calculations and payments.

### **C.3.1.19 Refunds - Terminations**

The requirements and rules categorized as "Refunds" outline the requirements for withdrawal of member contributions (and interest) prior to retirement. At SLOCPT, terminated, non-retired (vested or non-vested) members are allowed to receive a refund of employee contributions with interest through a lump sum disbursement or direct rollover to another retirement instrument.

### **C.3.1.20 Return to Work**

Retirees can elect to return to work, freeze their benefit, and return to active status. When they do return, the County / Employers will recommence reporting wages and contributions which must be considered when the member decides to re-retire and the benefit must be recalculated.

### **C.3.1.21 Retiree Deductions**

Some retirees are eligible to receive health insurance benefits. SLOCPT processes a retiree file and based on a member's election a deduction for the member's share of the premium and remittance of payment to the Employer will occur with each monthly retiree payroll. The proposed solution must include processing of monthly changes and an annual open enrollment update to retiree payroll for premiums. The system must remit a payment and report to the participating Employers for the withholdings on a monthly basis which is typically done through SLOCPT's A/P software (Business Works) or through journal entry in SAP.

### **C.3.1.22 Tax Reporting**

SLOCPT currently performs and maintain payroll records in-house, as well as the related tax reporting. The system is responsible for reporting both IRS and California income and withholding information for all payments of benefits. The new PAS should be able to accommodate all current functionality including but not limited to applicable reporting, tax table updates, and generation of files to be submitted to the IRS and California Franchise Tax Board annually. The requirements are categorized as "Tax Reporting" within the requirement matrix.



### **C.3.1.23 Reciprocity**

SLOCPT allows for reciprocity with other qualified plans. These agreements allow participants to aggregate their service under several plans to qualify for a benefit from a plan, or spell out how much of the benefit is paid by each multiemployer plan.

### **C.3.1.24 Deferred Compensation**

There is a single requirement for the support of this functionality. All the other functions / processing related to Deferred Compensation are not within the scope of the project.

## **C.3.2 SUPPORTING FUNCTIONALITY**

The specific business functional requirements in this section are general in nature, being applicable across more than one of the business areas for which business requirements are defined in the previous section. The requirements for the supporting functionality are divided into categories corresponding to the RFP sub-sections which follow. They are:

- Imaging
- Workflow
- Audit and Security
- Correspondence, Forms, and General System Requirements
- Reporting and Management Reports

The detailed requirements for each of the sections below are included in the requirements matrix, Attachment 1 along with the other functional requirements as described in Section C.3.1. The instructions for completing the matrix are discussed in Section C.3.

### **C.3.2.1 Imaging**

The solution itself and/or a 3<sup>rd</sup> party product must support Electronic Content Management (i.e., Imaging) of both inbound and outbound communications. The requirements in the matrix contain the features / functionality required of the imaging solution itself; however the Respondents also have additional “implementation service” requirements for the strategy, design, setup, support, and training of the new imaging solution since it is a new concept for SLOCPT. Please refer to Section C.6.1 for those requirements.

### **C.3.2.2 Workflow**

The solution itself and/or a 3<sup>rd</sup> party product must support Workflow functionality. The requirements in the matrix contain the features / functionality required of the workflow solution itself; however the Respondents also have additional “implementation service” requirements for the strategy, design, setup, support, and training of the new workflow solution since it is a new concept for SLOCPT. Please refer to Section C.6.2 for those requirements.

### **C.3.2.3 Audit and Security**

Administering security, maintaining an audit trail, and reporting on both are an important factor in proposed solutions. The related requirements are categorized as “Audit and Security” in the requirements matrix. This group of requirements addresses the underlying audit (e.g. tracking of data updates, implementing a segregation of duties, flagging and identifying audited records) and security (e.g. passwords, encryption, screen level, field level) functions of the entire application.



Typical reviewers of these requirements are agency management, the internal / external auditor, and those responsible for security.

### **C.3.2.4 General Requirements**

The general requirements are generic in nature and apply to either the technical core of the system (e.g. parameter, table driven system, on-line help) or functions/rules within the application that are required in many if not all of the business process (e.g., support of pre-filled forms, provide mailing labels, automatically capture and store all outgoing correspondence for access through the member folder, etc.).

SLOCPT requires that member correspondence be produced from the Respondent's solution and pre-populated with the appropriate member data. SLOCPT requests that Respondents prepare to provide up to 50 predefined letters (which can be comprised of multiple pages) as part of the scope of the project as well as approximately 50 pre-filled forms. SLOCPT staff would require the ability to modify these letters and forms over time. In addition to the 50 pre-defined letters, SLOCPT also requires that the solution have multiple blank templates that are prefilled with member mailing information. These, blank prefilled templates can then be edited by staff to include the appropriate text on an as-needed basis. Additionally, SLOCPT forms that are pre-populated with member data should be generated from the Pension Solution. The form should include the necessary barcodes for interfacing with the proposed imaging solution. Requirements for letters and forms are categorized with the "General" requirements in the requirements matrix. In response to this section please include a brief narrative describing how correspondence and forms are maintained and produced in the new solution.

### **C.3.2.5 Reporting**

This category includes both general reporting requirements (e.g. add a watermark to all reports, ability to export to Excel, print, save, or view only, provide a parameter driven reporting tool) and requirements for certain standard reports/queries (e.g. member and employer reports by status, staff performance reports, quantity of reports to be written by Respondent). Statistical or management reporting differs from general reporting in that its reporting requirements are over time, providing a trend analysis capability.

These requirements are inclusive of reporting tools, management level reports, as well as related standards. SLOCPT expects Respondents to build the appropriate reports to support each business process. SLOCPT requires that the solution being proposed is a robust report writer that will allow new reports to be developed at any time. As part of the reporting requirements, metrics reports are very important to SLOCPT and their ability to measure processing times and improve customer service. SLOCPT wishes to build a dashboard of metrics to be used to monitor and communicate operational activities to decision-makers. In response to this section please include a brief narrative describing how Reports (and ad-hoc queries) are developed, maintained, and produced in the new solution. This should note the availability of ad-hoc querying tools and address how management reports are generated and developed.



## **C.4 TECHNICAL REQUIREMENTS**

The project's technical requirements are summarized below.

### **C.4.1 BROWSER-BASED SOLUTION**

SLOCPT desires a pension administration solution that resides in a hosted environment.

SLOCPT uses various browsers (i.e., Internet Explorer Version 10+, Mozilla Firefox Version 28+, and Google Chrome Version 36+) as their standard browser for internal employees, but because SLOCPT has no control over the browser platform that members and retirees select for use on their own computers, it is essential that the portion of the solution exposed to SLOCPT external stakeholders (i.e., members, retirees, employers, etc.) via the web be able to support the current release, and at least the two immediately prior versions of each of the following: Microsoft Internet Explorer, Mozilla Firefox, Safari, and Google Chrome.

Respondent should confirm an understanding of this requirement and a commitment to meet this requirement.

### **C.4.2 MOBILE BROWSER COMPATIBILITY**

SLOCPT desires that the Member Web Portal be accessible on mobile Microsoft, Android, and Apple IOS browsers (not a SLOCPT specific Application). End-users should have the ability to determine if they want to view the full-site or a mobile device view. The mobile site will have limited functionality but allows secure login to view at least the following:

- Current Member Demographics
- Current Contribution Balance
- Current Service Credit
- Current Beneficiaries
- Statements of Account (both active and retiree payment)
- Current and past years 1099R information
- Benefit/career milestones (start, vested, eligible)
- Annual Statements
- Benefit Calculator

Within its response to this Section, SLOCPT requires that the Respondent describe where in the development life cycle this functionality exists for your proposed solution (i.e. infancy, in development, being tested, or in production). If a mobile site is in production or being tested by a client, please provide the clients as reference.

### **C.4.3 HOSTING THE SOLUTION**

The Respondent is required to host the pension administration system and all associated data. SLOCPT has a preference to not take ownership and responsibility for the hardware and commodity software (or ongoing upgrades) required for the pension application to operate other than hardware required to connect to the facility.

However should the Respondent's approach, experience and cost associated with hosting be unfavorable to SLOCPT; SLOCPT working with the County would be positioned to support the solution as part of an "on premise" arrangement. Therefore Respondents are responsible for



providing a response and associated cost for a non-Hosted, “on premise” solution as part of an Optional Requirement (i.e., Option #1 Non-Hosted, On Premise Solution).

The Respondent is required to provide a description of its approach for application hosting services and the facilities it intends to use. As part of the facilities description, the Respondent must describe the physical security employed at the hosting site which must include the appropriate controls such as ongoing staffing background checks, use of man traps for entry, biometric scanning, and ongoing monitoring of the site using video cameras.

The Respondent should also include a diagram depicting SLOCPT communications with the hosting site. The proposal must confirm that provision of all services (management of technology; software installation, configuration, maintenance, upgrade and enhancement; data backup and restoration; etc.) will be the responsibility of the successful Respondent, but that any interruptions of provided service to perform any of the above (or other) actions will be announced in advance and coordinated with SLOCPT liaison staff. The proposal must also discuss provisions the Respondent has taken to ensure SLOCPT business continuity.

Respondents are advised that they may provide the required hosting services themselves through facilities they maintain or, alternatively, may elect to provide such a service through a hosting provider under a subcontract agreement. Regardless of the approach proposed, the Respondent is and will be considered the prime contractor for all services procured under this RFP.

In the event the subcontracted hosting service provider ceases to provide such hosting services, the Respondent shall be responsible for the continuity of such services either by providing such services itself or by subcontracting the services to another hosting provider. Any such change in the provision of these services is subject to the review and approval by SLOCPT. In the event such an occasion arises, SLOCPT will not bear any cost for the migration, installation, configuration of any software components, the conversion of underlying data, or testing for the success of the migration itself. All such costs will be borne solely by the Respondent.

SLOCPT maintains the option of electing to inspect the hosting facility at any time.

Specifically, the proposed hosting services must accommodate the following minimum list of requirements:

- The hosting proposal and agreement should take into consideration the line speed of the current broadband connection at SLOCPT and include the necessary recommendation for upgrading the line.
- The hosting services must house all necessary hardware and applicable operating software for the proposed application to operate within the performance requirements outlined in Section C.4.6.1 “System Sizing and Performance Requirements.” SLOCPT reserves the right to use a third-party testing service to measure and validate response times.
- The service must allow for access or connectivity by the software vendor in order that the vendor may upload patches, enhancements, etc. to the LOB solution software, as necessary, within the production and other environments but will follow the appropriate change control standards.
- The hosting services must include back-up and restoration processing that complete within the time window identified in Section C.4.6.3 , “Recoverability Requirements” of the Mandatory Requirements.
- The hosting services must include provisions for disaster recovery site in the event of a catastrophic event at the primary hosting site. The disaster site must be operational with the ability to perform critical activities (i.e. monthly retiree payroll) within 4 hours, and have full access by all staff members within 48 hours. Included with this service, SLOCPT must be provided with a disaster recovery plan.



- Any scheduled down-time associated with periodic maintenance must occur within the hours defined within C.4.6.2 and must be made known to SLOCPT fourteen (14) days prior to occurrence.
- The data center used to provide the hosting services must, at a minimum, conform to Tier 3 data center standards.
- The data center must be audited by a third-party on a regular basis to ensure the facility is both physically secure as well as technically secure. Such reports must be made available to SLOCPT upon request. The site must be SOC 2/3 certified and SSAE 16 Type II and ISAE 3402 compliant. (NOTE: SLOCPT reserves the right to audit the site at any time).
- The hosting service must provide a Service Level Agreement (SLA) that guarantees 99.99% up time. Measurements should be provided by the Respondent as part of their proposal. The measurement must include the variables in the calculation to arrive at the uptime history.

The hosting service provider will function as “guardian” of the production application. The hosting provider will make available the necessary interface between all other entities, such as the developers, users and operations staff that run the various environments. This production control will implement procedures necessary to ensure successful migration of updates to the production environment and will approve all production changes. The operations staff of the hosting service will be responsible for the day-to-day support operations of the production environment and other environments hosted by the firm. In addition, the hosting service will be responsible for all system and database back-ups.

In response to this Section, SLOCPT would like Respondents to describe their hosting solutions, including a discussion of up-time, down-time, how each are measured. Additionally please provide details on the site and its technical security.

#### **C.4.3.1 Multiple Environments**

SLOCPT must have access to both a Quality Assurance Environment and a Production Environment. SLOCPT recognizes that in order to save on ongoing costs, the QA environment does not have the same requirements as the Production environment (i.e. The QA region maybe hosted at the Respondent’s offices versus being at the more secure production site). SLOCPT recognizes that the Respondent may propose additional environments to meet SLOCPT performance requirements or the implementation project itself.

The Respondent should provide information for how the environments will be implemented, located, and secured. The Respondent should explain why the recommended environment structure is preferred.

The Respondent must propose a methodology and tools for maintaining the multiple environments (including data refresh and migration capabilities) on an ongoing basis after project completion. The Quality Assurance Environment should be available during and after the project for both testing changes as well as to be used for training. All features and functions available in the Production Environment should be available in the testing environment.

#### **C.4.3.2 Hardware**

Although the solution will be hosted, in the event any special hardware would be required at SLOCPT offices, the Respondent should note and describe it in this section of its proposal.

Additionally, SLOCPT has provided its current desktop configurations in Section B.2.5. In response to this section, Respondents should state any additional requirements.



### **C.4.3.3 Pension Administration Software and Required Middleware**

The Respondent should provide a detailed list of all software being used in its pension administration application (i.e., operating systems, compilers, utilities, applications, middleware, etc.). With regard to the Pension Administration Solution the following should be identified:

- Language
- RDMS
- Development Tools
- Screen Generator
- Report Generator
- Middleware

The Respondent should also confirm that all “proprietary” software is fully owned by the Respondent. All source code and executables will be put in custody of a third party. If, for any reason, the Respondent goes into bankruptcy or ceases operations, SLOCPT will have access to the source and executable codes to continue operations.

With a hosted solution, SLOCPT anticipates minimal need for special software to be installed on user desktops. Should installation of any special software be required and not already resident on the SLOCPT end user desktops, it should be listed by the Respondent and included in their cost proposal.

Respondents are required to include as attachments to their proposals the following:

- A comprehensive list of all documentation (including but not limited to user, system, and operational) delivered with their systems. Include samples (which will be returned if so requested) of all documentation products for evaluation.
- Screen "snapshots", windows, and screens from the system they have implemented that was most similar to the one being sought by SLOCPT. Alternatively, provide as an attachment any system introductory materials (applicable to SLOCPT) or a video.
- A list of all standard reports supplied with the system being proposed, classified as management, operational, or financial. Appropriate samples must be included in the Respondent's proposal.

The Respondent will provide all upgrades and patches to application software over the course of the contract. Documentation and manual updates, as well as letters of transmittal, will always accompany such patches and upgrades.

### **C.4.4 LOB APPLICATION STANDARDS**

The sections that follow provide the Respondent with an overview of the standards that must be applied in their provision of a new pension administration system.

#### **C.4.4.1 User Interface Standards**

The Respondent should provide a discussion of how its solution meets the following guidelines:

- The system is to be fully integrated and all subsystems are to be seamlessly interfaced
- The application shall have an intuitive look and feel and allow for easy navigation
- Screens should be presented in a way that limits the need to scroll horizontally. In cases where horizontal or vertical scrolling is required page headers must remain intact (member, employer,



or other record identification information) as well as identifying column or section headers on transaction grids

- The application shall have a consistent style such that users encountering an operation for the first time should feel that the screen is “familiar” with common options and capabilities available in the same geographic location on the screen. Specifically the system must demonstrate:
  - That it can be learned by all users (e.g., that it has intuitive navigation)
  - Efficient to use and that its methods for use can be retained and remembered by users

The Respondent must describe in the response just how they meet the above requirements. The description should include reference to any standards incorporated in the user interface design and/or testing such as the International Organization for Standardization’s Guidance on Usability (ISO 9241-11)

- All functionality exposed to members / retirees through the SLOCPT web-site shall have a consistent look and feel and shall conform to SLOCPT style standards and branding
- Examples / samples demonstrating adherence to these standards are to be included in the Respondent’s proposal.

#### **C.4.4.2 Parameterization**

Throughout the requirements that are discussed in this RFP, reference is made to various, user-administered, date-sensitive, system-wide, parametrically set numerical values and rules. A SLOCPT on-site system administrator must be able to perform their maintenance. Maintaining parameters must require **no** program or code changes. No such data is to be hard coded in the system.

In their proposals, Respondents must provide a discussion as how their solution will meet this requirement. The proposal should explicitly list those parameters (factors, values, and static data) that will not be maintainable via a system administrator interface. If such items are listed, the Respondent should provide reasoning as to why they are not maintainable via this method and explain the method by which they are to be maintained. Any parameters not so identified in the Respondent’s proposal will be required to be maintainable by the system administrator in the manner described above.

#### **C.4.5 SYSTEM SECURITY STANDARDS**

Securing member data is of utmost importance to SLOCPT. With a hosted solution and data being available over the Internet, SLOCPT requires assurance that the appropriate safeguards are in place. In addition to responding to and meeting the requirements in the following sub-sections, SLOCPT requests that Respondent describe the methods and solutions employed to ensure data is secured both internally at SLOCPT and externally over the Internet.

##### **C.4.5.1 Security and Controls**

Note that in addition to the platform security and control requirements outlined below, the Respondent must also comply with the functional audit and control requirements.

The system must be designed to control and limit access via logins and/or other security mechanisms. Access control and integrated security in general, must be managed by role rather than by authorizing a specific individual.

Throughout the system, the system administrator will provide access and restrictions based on individual user-ids; he/she must be provided with the flexibility to grant or restrict access at the



menu, submenu, and discrete screen level as well as to limit access to screens to query only or to allow both query and update. The application must provide controlled access to individual screens and functions based on user login id. At a minimum, the application or security package must provide the following controls:

- Menu access
- Screen access
- Screen function access
- Transaction access
- Process access
- Transaction approval process
- Workstation location access
- Workstation time restriction

The Respondent must populate security repositories by entering the users and their assigned roles into the system using an appropriate security administration tool. The security repository must be stored in an encrypted, protected mode. The Respondent must work closely with SLOCPT staff to define the roles necessary to perform all required business functions. The security repository must be populated, and the Respondent must provide written affirmation certifying that it has done so, prior to any user testing activities.

The login process must establish the access rights and associate all automatic and manual transactions to that user's ID. The system must provide an advisory warning message on the login screen regarding the unauthorized use of SLOCPT's business information and the possible consequences of violations.

Upon authorization of the login user name and password, the system must display, for that user name, the date and time either of the last successful login or the number of unsuccessful attempts to access the system since the last successful system access.

In general, the system may allow simultaneous logins with the same user name and password. If the system does not allow simultaneous logins, a warning should display if a user tries to log in more than once. The system should ask the user if the active session should be terminated. If the answer is yes, then the system must terminate the active session and establish a new session. If the response is no, the login will not be allowed.

The user will either logoff the system or is automatically logged out of the system after a user administrator defined period of idle time (the maximum idle time value must be a parameter modifiable by the system administrator). The system must provide a notification one minute prior to a time out. Whether the user logs off or the system logs the user off after the idle time threshold has been exceeded, the system must then ensure that in process work is saved and all objects created for the user at the back-end are destroyed and that the system exits cleanly.

After three (3) unsuccessful login attempts, the system must:

- Disable the user account for a period of time previously defined by the security administrator
- Record the event for audit
- Inform the user of a contact who will unlock the account – or provide another means of authenticating the user password

Password complexity must meet industry standards for both the Member Portal and the internally used application. The system must provide tools for the system administrator to manage user



accounts. This will include such tasks as resetting a password and activating, suspending, or deleting a user account. These functions must be limited to only the system administrator or other well-defined privileged users. NOTE: SLOCPT expects the new solution to allow external users (i.e. members) to reset their own password so that SLOCPT is not contacted about forgotten passwords.

The system must have the capability to suspend or activate a user account. This may occur for the following reasons:

- Account is locked out after password is entered incorrectly more than three times
- If the user temporarily is not entitled to access
- The account is suspended by a systems administrator, for example if a security breach is suspected
- The account has been inactive for an extended period of time

The system must provide the capability to ensure that relevant information about actions performed by users can be linked to the user in question in sufficient detail so that the user can be held accountable. The system must maintain information sufficient for after-the-fact investigation of loss or impropriety and must provide individual user accountability for all security-relevant events. The system must protect this information from unauthorized access or modification.

The system administrator must be provided the capability to independently and selectively review the actions of any one or more users, including privileged users, based on individual user identity.

The system must provide a real-time capability to monitor and log the occurrence or accumulation of security-relevant events that may indicate an imminent security violation and immediately notify the system administrator when events exceed established thresholds. If the occurrence or accumulation of these security relevant events continues, the system must take the least disruptive action necessary to terminate the event involved.

The system must provide the capability for the system administrator to generate a status report detailing the values of all configurable security parameters.

#### **C.4.5.2 Data Security and Controls**

The Respondent must discuss its solution's approach to safeguarding individual member, retiree and beneficiary information from fraudulent efforts to gain access to such information. That discussion must include the Respondent's identification of those data items that they consider personal data, to include at least the following:

- Social Security Number
- Member name
- Member address
- Member telephone number
- Email address
- Birth Date
- Bank Information

Furthermore, the Respondent must indicate what steps the proposed solution takes to encrypt, redact, or otherwise secure unauthorized access to that information, alert the system administrator or other person in authority of any attempted unauthorized access, etc. Additionally, access of data via self-service portals must follow the following standards:



- Database server must not be accessible from the Internet in anyway other than a secure and encrypted VPN connection or through web services
- Must be able to decrypt data encrypted using AES 128-bit, 256-bit and/or TDES methodologies
- Must be able support strong keys for decrypting and encrypting data presented between the layers
- Self Service portal applications must include a separate data access layer that isolates the data access from the rest of the application

## C.4.6 OPERATIONAL REQUIREMENTS

The following section should be viewed in conjunction with Section C.4.3, Hosting the Solution.

### C.4.6.1 System Sizing and Performance Requirements

The Respondent's solution must be architected, configured, and sized so that ALL functionality can be processed on-line in real time – both editing and updating. During system design, SLOCPT will consider permitting a small number of unattended batch process routines for very limited purposes providing the Respondent can justify the proposed exceptions and can ensure that those exceptions will not in any way compromise SLOCPT business processes. SLOCPT's expectation is that unattended processing will be confined to end-of-period jobs such as the production payroll, member statements, and 1099Rs. The Respondent is to provide a complete and comprehensive list of all such batch processes in its proposal.

The Respondent's proposed solution must provide near 24x7 availability for all Web-enabled externally accessible applications (i.e. member portal). At a maximum, Respondents may allocate eight hours per week of scheduled Web site downtime during off-peak hours (i.e. 10:00 p.m. to 5:00 a.m. PST). Degradation of SLOCPT's current system availability is not acceptable.

As SLOCPT prefers a fully hosted solution, the **Respondent** has full responsibility to ensure the hosting hardware is sufficient to continually meet SLOCPT performance criteria. Any performance criteria not met must be repaired by the Respondent within thirty (30) days of being informed by SLOCPT. Respondents must ensure response time averaging five (5) seconds or better for all on-line activities. SLOCPT understands that with a hosted solution a number of variables must be considered in taking this measurement and feels that tests performed at the hosting site, for the same transactions should be recorded in two (2) seconds or better. Respondents should describe how they will provide proof of such tests to SLOCPT.

It is the Respondent's responsibility to provide an appropriately sized platform to accommodate the following user loads:

- Up to 15 concurrent sessions of SLOCPT staff users
- An average of 10 concurrent external users (members) accessing the system SLOCPT assumes most days would have very little impact but on the first day of the month traffic would be very high due to retirees looking for benefit check information or annually during statement execution or 1099 generation. SLOCPT expects Respondents to discuss this in their proposal the type of degradation of services SLOCPT and external users would experience and at what load levels. Furthermore, the description should include how this is monitored and addressed if it becomes problematic. (See Section B.1.3 for registered user statistics)
- Membership Growth of 3% per year (see B.1.3, for current volumes).

Any required batches must include supporting reports that indicate failure/success of the job and indicate any errors that occurred. If a batch fails abnormally, tools should be available to restart where the job left off or to back the failed records out of the system. Due to the size of SLOCPT, no



batch is expected to exceed two hours in length if run more often than annually (i.e. monthly payroll, employer validations, etc.)

When batches run, they should not affect SLOCPT's staff ability to do other work. For example, users should not have to log out and the system should meet the predefined performance criteria above. If SLOCPT requires additional runtime improvements to meet performance requirements stated in this RFP, the Respondent must cooperate fully and support any such requests without delay and at no cost to SLOCPT.

#### **C.4.6.2 Availability and Planned Downtime Requirements**

SLOCPT expects the system calculated availability to be 99.99%. As described in C.4.3, the Respondent must describe how they measure this and over what period of time the calculation was performed.

Downtime should be scheduled only during off-peak hours (i.e. 10:00 p.m. to 5:00 a.m.). Respondent must specify how availability is measured, under what conditions this guarantee will not be met, and the remedies available to SLOCPT if it is not met.

To explain how planned downtime issues can be minimized within the new solution, the Respondent's proposal must address:

- How the solution minimizes (or removes) the need for maintenance of architectural and operational infrastructure. This includes online maintenance tools, as well as procedures and techniques to shrink scheduled maintenance windows
- Maintenance activities for hardware, operating system, software, application, database and network components
- Upgrade activities for hardware, operating system, software, application, database and network components

Respondent should include a methodology to demonstrate the on-line maintenance techniques applicable to the planned downtime areas identified above.

#### **C.4.6.3 Recoverability Requirements**

Respondents should include in their proposals information on recovering from failures if the proposed solution components or procedures fail. The response must include recovery types and levels offered by the proposed solution. Examples include:

- Services offered, such as 24x7 service contracts
- Types and levels of service provided
- How a Respondent will respond to failure scenarios, including how components are replaced
- Restore/recovery procedures
- Tools employed to restore the database, application, and restore connectivity to the users

To confirm the proposed solution's ability to meet reasonable recovery requirements, Respondents are required to provide recovery time estimates. Examples (to be met) include:

- Full database recovered within 24 hours
- No individual table recovery of more than 2 hours

Furthermore, provision of interim recovery is expected to be a feature of the system. For example, should a process be 95% complete when the system fails, the process should have been check-



pointed and should not have to be re-run in its entirety. The Respondent is to describe in its response how this capability is achieved.

#### **C.4.7 SYSTEM VULNERABILITY ASSESSMENT**

SLOCPT reserves the right to select a third-party organization, paid for by SLOCPT, to conduct periodic vulnerability assessments of the web portals.

Upon completion of the initial assessment, the third-party organization will review all events with SLOCPT personnel, determine which of the identified shortcomings are false positives and which actually need repair and agree upon any remaining shortcomings. In the event there remain shortcomings in the security configuration and architecture, the Pension Solution vendor will be immediately notified. The vendor will be responsible for rectifying all remaining shortcomings within ten (10) business days of being advised of them. The rectification effort may consist of any combination, or all, of the following elements: additional hardware components, additional software tools, installation services, and/or configuration services. It must include suitable testing to confirm to SLOCPT's satisfaction that all of the identified security shortcomings have been eliminated. All costs associated with the rectification effort will be borne by the vendor if it is related to a vendor implemented or recommended configuration.

Once all necessary corrections are made and tested to SLOCPT's satisfaction, the third-party assessment organization will reassess. If the same or additional shortcomings are identified and additional corrective activities are required, these findings will be presented to the vendor, and the vendor will complete the corrective activities within 15 days of being advised of them. To confirm that all remaining security problems have been eliminated, the vendor will test all corrections. Again, all costs for corrective activities will be borne by the vendor.

In the event that the vendor is unable to resolve all issues to the satisfaction of SLOCPT and the third-party assessment organization in two iterations as described above, SLOCPT reserves the right (and will notify the vendor of its intent) to engage the services of another (different from the organization doing the security and vulnerability analysis) third-party organization to resolve all remaining network security issues. In this situation, the vendor will be required to issue a credit to SLOCPT for the full amount of the cost of the third-party organization's (which corrected the deficiencies) efforts to correct the situation. The credit will be applied to the first invoice issued by the vendor to SLOCPT following notification to the vendor of the amount expended on the third-party services.

#### **C.4.8 MEMBER SELF SERVICE WEB PORTAL**

The SLOCPT members and retirees must be provided with controlled access to their member record as well as a range of administrative functions, such as benefit estimates and address change requests.

For the member portal the following requirements apply:

- All communications and data exchanges must be through a Secure Socket Layer (SSL)
- Must be accessible through a link on the <http://www.slocounty.ca.gov/PensionTrust.htm> website
- Must be able to receive and send W3C standard XML datasets that will communicate with W3C standard interoperable XML Web Services
- Security must be multi-layered
- Must support the sending and receiving of e-mail and interacting with Microsoft Exchange

Respondents should discuss the following in their proposals:



- How security would be managed for members of each group and how the user is authenticated at login and for each data request; including self-registration and user-id / password recovery
- The advantages and disadvantages (both technical and user-related) of such access and how the Respondent has overcome the challenges posed by web self-service access in prior installations
- Discussion of any third party tools that are used to authenticate and manage the security of the portal



## **C.5 PROJECT MANAGEMENT AND IMPLEMENTATION SERVICES**

In addition to the business and technology requirements specified, SLOCPT has identified several project management-related areas that are of importance in selecting a vendor. These requirements have been accumulated under a single heading — Project Management and Implementation Services. The intent of this section is to inform the Respondent of its responsibilities and the expectations for its conduct over the duration of its relationship with SLOCPT in the following areas:

- Project Management
- Project Deliverables
- Data and Data Conversion
- Project Staffing
- Documentation
- Training and Knowledge Transfer
- Testing
- Transition and Support

### **C.5.1 PROJECT MANAGEMENT**

SLOCPT expects the Respondent to be competent in project management skills. The Respondent's approach to project management must ensure that:

- Project planning is part of normal daily activities
- Resource planning occurs in conjunction with SLOCPT management and SLOCPT selected Oversight Project Manager (if applicable)
- Budget / Project Finance Reporting and status
- There is an established path for escalation of project issues
- Risk management is included as part of the normal process
- Project management is able to provide reports to SLOCPT business units and management on the progress against project objectives, to ensure continued project support
- The project plan is organized in a phased approach that provides achievable and demonstrable milestones and deliverables. The engagement should be managed to meet specific milestones with an established method of reporting project status

#### **C.5.1.1 Relationship**

This engagement will be a long-term relationship; therefore, the nature of the relationship will be a key to the success of the project. To address this issue, the proposed solution and approach must ensure that:

- The Respondent has a demonstrated ability to understand and deliver realistic mission-critical systems
- There is a high degree of cooperation between SLOCPT and the Respondent
- The Respondent can provide technical leadership and has the courage to suggest innovative solutions and take advantage of opportunities as they present themselves



- The Respondent understands the aggressive nature of the schedule and will take ownership of tasks in a proactive manner
- The Respondent understands the vision for SLOCPT and is able to align the Respondent's capabilities with SLOCPT's needs
- The relationship is not an opportunity to sell untried Respondent offerings that may place SLOCPT at risk in meeting its business objectives
- The Respondent may be required to participate in discussions with the current vendor; which would always be facilitated by SLOCPT

### **C.5.1.2 Project Oversight**

The Respondent will report to the SLOCPT County IT Project Manager. The Respondent will report project status as described in Section C.5.2.4.

### **C.5.1.3 Three-Party Relationship**

All Respondents must understand and acknowledge that SLOCPT may engage an Oversight Project Management (OPM) consultant. If so, there will be a three-party relationship, during this project, between SLOCPT, the Respondent, and the OPM consultant. It is anticipated that the OPM will assist SLOCPT with: (1) assessing the project methodologies, planning, and execution; (2) assessing implementation quality; (3) evaluating quality and compliance of deliverables – both written and software; (4) providing input into the design process, and integrating process improvement; (5) providing project management support to SLOCPT in its own planning efforts and assist in the completion of its own tasks.

The OPM will review all such materials and provide suggestions and comments in the same time frame, and in the same manner, as will SLOCPT staff.

The OPM Consultant will be bound to reasonable commercial terms of confidentiality protecting any confidential or proprietary information belonging to the Respondent and its subcontractors. As such, no material will be limited in its distribution and/or restricted from review and discussion with the OPM.

### **C.5.1.4 Multiple Products, Services and Methodologies**

It is essential that the Respondent understand that SLOCPT is seeking more than a "software development" company. Mature software product development skills and experience are a necessary, but far from sufficient, qualification. SLOCPT understands that each Respondent has (or should have) a methodology for developing and deploying its particular (retirement) solution, but SLOCPT is seeking a solution comprised of more than just those tasks and items identified in the Respondent's development methodology. In order to deliver the broad, integrated solution that SLOCPT seeks, the Respondent must have experience with, and methodologies to address, numerous other disciplines such as Business Process Reengineering, procedure document development, training, and workflow analysis, in addition to retirement industry knowledge. Respondent proposals must provide evidence of a mature, proven methodology in each of these other critical areas of the project.

Therefore, the Respondent's proposal must address the methodology that will be employed in each of the following areas:

- **Project management** – Respondent's project management structure, procedures, roles and responsibilities, client reporting, meetings, and provisions for replacement of personnel



- **Project scheduling** – Scheduling tools and procedures, schedule updating, reporting against the project schedule, and responding to change orders
- **Budget Reporting** – Tracking and reporting the project financials over the course of the project
- **Data conversion**– Conversion planning, data mapping from the existing to the new environment, identification of data errors, identification of data fields that need to be balanced and/or within acceptable tolerances as agreed to with SLOCPT, and reporting on reconciliation and balancing of converted data
- **Configuration management** – Version control
- **Risk management** – Identification and mitigation strategies related to all facets of risks associated with the project, including a discussion of the methodology for designing and implementing information and infrastructure security
- **Project change control** – Defining new / changed requirements, developing an estimate, evaluating schedule effects, SLOCPT approval, integrating requested changes into the project, and testing
- **Problem incident reporting** – How to report a problem, how the problem is assigned for resolution, integrating the “fix” into the project, regression testing, SLOCPT acceptance, and analysis and trend tracking
- **System operation** – Configuration control, job scheduling, equipment maintenance, written documentation and procedures, personnel scheduling, and problem resolution
- **Infrastructure and information security** – Defining security requirements for enterprise information and applications and developing a security plan to address the requirements
- **Training** – Determining training needs, developing training materials, scheduling training appropriately within the overall project, assigning trainers, providing training facilities as necessary, and gauging the effectiveness of training; training methodology must address training not only in navigation, screens, data entry, and the like, but also in the use of the new solution to perform various job functions, processes, and sub-processes
- **Testing** – Preparing test plans, test schedules, test variants, test scenarios, test cases, test data, expected results; executing tests; reporting test results; referring problems identified in testing for resolution; integration with problem incident report methodology, and re-testing after the problem has been resolved

During the course of the project, the Respondent will be expected to deliver and support all products and services described in the RFP – not just those steps described in its standard system development and deployment process.

### **C.5.1.5 Project Management and Control Methodology**

Respondents are required to address in their proposals the following minimum requirements in the areas of project management and control.

The Respondent must describe in detail the methodology it will utilize to manage and control the project including its change control methodology.

Due to the magnitude and complexity of the effort, it is essential that an automated project management tool be utilized for this purpose; the tool used should be discussed in response to this section and how reports and access will be provided to SLOCPT.

The Respondent is to provide examples of its use in previous efforts on behalf of other clients.



The Respondent is expected to use the tool to automatically reflect the effect on the overall project of changes in various parameters, e.g.:

- Changes in project scope / requirements
- Changes in project schedule
- Changes in resource availability

The Respondent must be prepared to automatically generate various reports to reflect the project's status at any point in time, e.g.:

- Gantt charts depicting start date, end date, and duration of individual tasks
- Graphical display of the project's critical path
- Percent complete status of individual tasks

The Respondent must describe in its proposal the control methodology that it will utilize to ensure that any problems that may develop in the course of the project (including but not limited to schedule slippages or resource constraints) will be quickly identified and resolved. The Respondent must provide examples of how this project control technique, i.e., issue resolution, has been utilized successfully in previous similar engagements on behalf of other clients.

#### **C.5.1.6 System Development Life Cycle (SDLC)**

Out of consideration for the demands that will be placed on SLOCPT staff members during the course of the project, in addition to the demands of their day-to-day duties, Respondents must state their commitment to utilize a single system life cycle methodology and terminology for all portions of the project. SLOCPT staff members are to be educated in and expected to utilize only one (not several) life cycle methodology and terminology set for the duration of the project.

SLOCPT prefers methodologies that allow SLOCPT staff multiple opportunities to validate requirements and design. For this reason, an iterative development methodology is favored for use in the development of the pension application. Ideally, this includes an opportunity to view rapid prototypes of requirements and design concepts, screens, content, and application flow. (Such prototypes do not necessarily need to become operational or be reused during development.) Proposals that include within the development period a conference room pilot – wherein users see the full member life cycle from enrollment, through withdrawal and refunds, re-enrollment, refund buy back, retirement, return to work, change of address, beneficiary, plan, etc. – would be viewed favorably by SLOCPT.

SLOCPT suggests a project phasing approach in Section C.5.1.7 Phasing the Project.

SLOCPT's objective is to be assured that an appropriate control scheme is put in place and rigorously applied to all project activities such that all project participants understand what they are working on, what is expected of them, and how it fits into the overall project. Specifically, SLOCPT wants to ensure that, without exception, all project participants – the Respondent's staff, SLOCPT staff, and all concerned third parties (i.e. OPM Consultant) – when approaching a task (whether it is developing software, drafting / updating written documents, or reviewing a deliverable), clearly understand. To accommodate this knowledge transfer, training in the Respondent's approach should be provided as part of the kickoff efforts of the project.

##### **C.5.1.6.1 WRITTEN DELIVERABLES**

In its proposal, the Respondent must confirm that (unless otherwise specifically agreed to by SLOCPT, on a per-document basis) all documents to be delivered during the project will include the following "history" of generation:



- Submittal of a complete draft for review and feedback
- Submittal of the final, complete document for final review and acceptance

Note that SLOCPT expects quality in the Written Deliverables provided by the Respondent. In addition, due to the staff size of SLOCPT, multiple iterations of user-review on documents will not be accepted. Thus if a document upon first review appears to be lacking sufficient quality, the document will be returned immediately to the Respondent for their update without SLOCPT having to dedicate any resources / effort in providing any specific content level review or feedback.

Furthermore, all documents, starting with the response to this RFP (i.e., the proposal), must be delivered in a current or immediately previous version of MS Office Suite. These files must be in an “unlocked” form such that SLOCPT can use revisions and comments in reviewing them.

The Respondent is required to detail its proposed document formatting standards pertaining to written deliverables, taking care that the following topics are included:

- Cover page, inclusive of document title, version, and revision history
- Table of contents – if the document is over ten pages
- Page headers and/or footers (including page numbers)
- Captions on tables and figures

*Note: SLOCPT staff must be allocated a minimum of seven (7) business days to turn around a deliverable under review. In addition, all deliverables must be reasonable in volume in order to permit the review to be completed within seven (7) business days. A deliverable which would require the average person more than eight (8) applied hours to review would not be considered reasonable in volume given the seven-day turnaround cycle. Deliverables requiring more than eight (8) hours of review must be allocated a proportionately longer review cycle. Also, the Respondent shall not be permitted to deliver an unusually large quantity of deliverables in a short time period (i.e., NO “PILING ON”) that would preclude SLOCPT staff from meeting their review timeframes.*

#### **C.5.1.6.2 SOFTWARE DELIVERABLES**

The Respondent is required to detail its proposed control methodology pertaining to software deliverables, taking care that the following minimum requirements are explicitly included:

- Installation of the application software at the hosting site; It should be easily identifiable by the end user, within the software, what release or version of the software they are using as well as the release date (i.e. a menu item, on the screen heading, or going to help/about)
- Easy identification by the end-user of which environment in which they are working (i.e. QA vs. Production)
- All reports shall have unique names, as well as the date of the report run, printed in the header or footer
- With each revision or release of software, documented release notes must be provided for each environment where software is promoted (QA and Production). Prior to any move to Production, release notes must be delivered and signed off by both the SLOCPT and Respondent project manager. The release notes must include:
  - A listing of all specifications (or similar design documents) and the version number of each reflected in the software delivery
  - A listing of all change orders reflected in the delivery
  - A listing of differences in the current and previous release (i.e. fixes, newly discovered defects [regression] and new functionality)



- Risk analysis and rollback plan

### **C.5.1.6.3 DELIVERABLE REPOSITORY AND TRACKING**

During the course of the implementation of the new system, numerous written deliverables will be provided to SLOCPT by the Respondent. These deliverables can be expected to range from requirements meeting notes, to Respondent's status reports, to operations manuals, etc. Many of these items will be delivered in multiple versions.

The Respondent may choose to deliver project documents in PDF format. However, SLOCPT requires that all documents also be delivered in the appropriate Microsoft Office suite (current or immediately previous revision) document format with no locks, inhibitors, etc. that restrict the use of track changes or comments.

It is imperative that all versions of all documents delivered at any point in the project and at the end of the project can be identified, located, and accessed by both the Respondent and SLOCPT staff as needed. Therefore, the Respondent must maintain for the life of the project (and leave it behind upon the completion of the contract) a repository of all written project deliverables in electronic form residing in the shared environment. The deliverables must be accessible to all project participants, including via the Internet or a supplied VPN.

The deliverables repository must be designed and organized, with appropriate training provided, such that SLOCPT staff can efficiently locate and retrieve any document of interest. Write permission to the repository must be suitably restricted. While anyone involved in the project should be able to access all repository items, the ability to add to, delete from, or modify the repository's contents is to be strictly controlled and restricted to authorized Respondent personnel. It will be the Respondent's responsibility, throughout the project until final turnover, to guarantee the continuous correctness and completeness of the repository's contents.

Respondents are to describe in their proposals:

- Their commitment to satisfying the requirements for the deliverables repository
- Where the repository will be located, how it will be backed up, and how it will be recovered in the event of an equipment failure
- How they propose to organize the repository for ease of use and access
- How they will control the repository to guarantee, on a continuous basis, the correctness and completeness of the repository at any point in time
- Their commitment to produce a document (which itself must be included in the repository) describing the deliverables repository, how it is organized, how items from it can be accessed, and how to recover the repository if necessary
- Their commitment to train SLOCPT staff in the use of the repository (including an administrator, managers, and end-users)
- Whether third party tools are utilized (if so, they are to be provided by the Respondent – and their price included in the Respondent's cost proposal)

It is SLOCPT's intention that both the Respondent and SLOCPT will make a concerted effort to track all deliverables and their status. SLOCPT envisions that the deliverable repository may have tools available for tracking along with the ability to execute regular reports to track the status of all deliverables. Absent an automated process, the Respondent should maintain a Deliverable Register used to track the status of all deliverables in process along with their due dates.



The Respondent is required to detail its proposed control methodology pertaining to tracking written and software deliverables, taking care that the following minimum requirements are explicitly included:

- Title and identifier of deliverable
- Current version of the deliverable
- Date of issue
- Project phase to which the deliverable pertains
- Short description of the deliverable, indicating what is included and what is not included
- Current owner of the document's current version (i.e. SLOCPT review or Respondent update)

At the project management status meetings, the Respondent must formally report all of the deliverables issued during the status reporting period in a cumulative table format showing the delivery and anticipated turnaround dates. The SLOCPT Project Manager will confirm that all deliverables reported by the Respondent were received based on SLOCPT's deliverables control file. To avoid deliverables "slipping through the cracks", the Respondent will submit a weekly report of deliverables' status, e.g., those awaiting review, in revision, in test, in rework. Refer to Section C.5.2.4 for additional status reporting requirements.

The Respondent must describe in its proposal its approach to the above, including providing samples. If the Respondent takes exception to the above, the Respondent must describe an alternate methodology that will satisfy the same objectives.

### C.5.1.7 Phasing the Project

SLOCPT is seeking proposed solutions that embrace a phased implementation approach. SLOCPT suggests the following phasing, but understands that each Respondent's methodology may treat these differently and will consider proposed alternatives.

- **Phase 1 Project Initiation and Start-up** - Delivery of a detailed work plan within the period specified in Table 11 of Section C.2. The detailed work plan must include" Data Analysis and Conversion Plan, Rollout plan, Training Plan, Testing Strategy and Problem Incident Reporting (PIR) Methodology, Project Management Plan (inclusive of a Work Breakdown Structure), including but not limited to narratives, task definitions, schedules, Gantt charts, dependencies, SLOCPT and Respondent manpower loading, payment points tied to deliverables tied to the work plan, and monthly cash flow projections.
- **Phase 2 Infrastructure, Hardware and Software Setup and Hosting** - Including but not limited to implementation of a hosted software environment. This should include the setup of SLOCPT connectivity and granting access to the appropriate users.
- **Phase 3 Requirements Confirmation** - Delivery of a detailed requirements document, a revised detailed work plan, etc. This phase will be completed within the period specified in Table 11 Section C.2.
- **Phase 4 (Rollout #1)** - Pension Payroll, Disbursements and Retiree Maintenance including associated imaging and workflow; and the "optional item" for retiree image back-file conversion if authorized
- **Phase 5 (Rollout #2)** - Membership including associated imaging and workflow and the "optional item" for member folder back-file conversion if authorized

Both Phase 4 and Phase 5 include the design, development and release of software to production. SLOCPT recognizes that it is not in their best interest to release all functionality at one time. SLOCPT envisions a release schedule that would allow SLOCPT to focus on one module/release at



a time. SLOCPT understands there may be other alternatives or the order of releases could be proposed differently. SLOCPT, however, wants to ensure there is a clear progression. SLOCPT encourages Respondents to provide an alternative to the above, but SLOCPT believes that these releases should be handled separately allowing SLOCPT the ability to limit risk. The Respondent must discuss how it plans to phase or roll out the solution according to its methodology. This discussion must address the rationale for the recommended breakdown of the functional rollout into phases, the reasons for the recommended sequence of the functional rollout, and provide a top-level schedule indicating expected start and completion dates for each phase. The proposal provided by the Respondent and the ensuing contract shall clearly define all the elements of each phase and the relationship among phases in terms of schedule and deliverables.

- **Phase 6 - Post Implementation Support** –The completion of the Post Implementation Support periods as they are described in Sections C.6.3 and C.6.4.
- **Phase 7 - One (1) Year Warranty** –The completion of the Post Implementation Support periods as they are described in Sections C.6.3 and C.6.4.

### **C.5.1.8 Project Work Plan**

The Respondent assumes full responsibility for planning, scheduling, and completing all project tasks.

Therefore, the Respondent must provide a complete, high-level summary plan for the entire project that is included with this proposal. At contract signing a detailed plan, for the first 60 days must be included. Within the first 45 days of the project, SLOCPT expects the plan to be refined and finalized. The work plan must reflect the agreed upon (or proposed) phasing of the project as described in Section C.5.1.7. This plan must be established and maintained by the Respondent throughout the life of the project. It will be reviewed at bi-weekly meetings between SLOCPT and the Respondent. The detailed plan must be presented to SLOCPT within the time period indicated in Table 11. It is to be updated whenever any major changes are made to the plan but no less frequently than quarterly.

## **C.5.2 STANDARD PROJECT MANAGEMENT DELIVERABLES**

SLOCPT understands that Respondents will bring to the project their own project methodologies and standard deliverables. However, SLOCPT has identified a set of project deliverables that the Respondent must provide. They are described and defined in detail in the following subsections.

### **C.5.2.1 Respondent Activities Before and After Meetings with SLOCPT Staff**

SLOCPT's ability to support the project is directly related to the amount of time available for SLOCPT staff to dedicate to it in addition to their normal duties. SLOCPT understands that the project cannot be completed without extensive input from our staff. Yet, other demands on their time and energy dictate that their project participation be highly efficient and productive. Therefore, certain procedures and guidelines must be observed when scheduling SLOCPT staff to attend meetings and other project work sessions.

Prior to scheduling formal meetings with SLOCPT staff, the Respondent must fulfill the following requirements:

- Prepare a specific, detailed meeting agenda and distribute it to all participants at least three business days prior to the meeting. By providing advance notice of what is to be covered, participants can be better prepared to bring appropriate resource materials and to provide necessary input in an efficient manner. In addition, the need for follow-up meetings will be minimized.



- Attach to the agenda a description of the products and/or objectives that are expected to result from the meeting (e.g., design of a particular new system output, clarification of requirements in RFP Section). By thus defining the meeting's objectives in advance, discussions should be better focused with less temptation to wander into time-consuming digressions.

The Respondent is required to provide minutes of all meetings held with SLOCPT staff. They are to be published within two business days of each meeting. In lieu of meeting minutes, a design document, requirement document, etc. can be provided if it depicts the results of the meeting and can be delivered within a two day timeframe.

Further, when legitimate digressions do occur – e.g., discovery of an ambiguity in an RFP requirement that requires resolution – they should be added to the agenda of a subsequent meeting, rather than addressed in an *ad hoc* fashion at the original meeting. In other words, decisions that should be confined to one or two persons should not occupy a roomful of staff simply because they happen to be convened at the time the issue arose. The Respondent will be responsible, via its planning and preparation activities, for ensuring that SLOCPT staff time devoted to the project is utilized in the most efficient and productive manner possible.

### **C.5.2.2 Requirements Traceability Matrix (RTM)**

To assist SLOCPT in tracking all project requirements and deliverables, a Requirements Traceability Matrix will be initially prepared by SLOCPT and the OPM/QA consultant, then completed and regularly maintained by the Respondent. This section discusses the purpose of and detailed requirements for the Requirements Traceability Matrix (RTM).

In developing the new integrated retirement system for SLOCPT, requirements will be defined in further detail at every step in the process. Prior to beginning work with the Respondent, a number of steps will have occurred:

- Development of the Request for Proposal
- Issuance of questions by Respondents and preparation of responses by SLOCPT
- Receipt of the proposal from Respondent by SLOCPT
- Issuance of questions by SLOCPT and preparation of responses by Respondent.
- Cost and / or scope negotiations, if appropriate
- Execution of the contract

Described in this section is a process and product (document) that will be prepared by SLOCPT and the Respondent as part of the effort to:

- Further, more-precisely define the requirements
- Provide a trail or “traceability” of requirements to be met – starting from the RFP, going through the proposal, the question-and-answer cycle, and contract negotiations, and culminating with the preparation of the requirements document
- Provide a common understanding for the “go-forward” activities of subsequent phases, including “what” will be delivered and “when” in the project’s evolution it will be delivered

The product that will be prepared by SLOCPT and the Respondent to achieve SLOCPT’s objectives will consist of a Requirements Traceability Matrix in the format of a Microsoft Excel spreadsheet (NOTE: SLOCPT recognizes other tools may be proposed by the Respondent to maintain this but it must contain all of the items listed herein). The Excel spreadsheet will be divided into categories corresponding to requirements areas, such as LOB, Technical, Miscellaneous, Software, etc. The matrix may include at a minimum the contents of which are described below (and which may be re-



sequenced or modified if SLOCPT so desires to include further mapping to specification or use case, etc.):

1. **No.** – Sequential unique number, identifying the requirement. They are aggregated by major category (e.g., LOB requirements may be numbered L-1, L-2, etc., technical requirements may be numbered T-1, T-2, etc.). The unique identifier will follow each line item through the project, regardless of how the line items may be reorganized or “shuffled” within the spreadsheet.
2. **Requirement (Description) per Contract Exhibits / RFP** – A summarized description of the requirement.
3. **Source** – Identification of the source of the requirement. The source may be the RFP, the Respondent’s proposal, Q&A, BAFO, contract, contract exhibits, etc.; in some cases only one reference is made back to the RFP / proposal / contract, etc.; in others, multiple references are made.
4. **Page / Section** – The location of the requirement in the source.
5. **Phase** – The phase of the project in which the requirement will be delivered per the project plan.
6. **SOW** – The Respondent’s Statement of Work which includes the requirement, if applicable.
7. **Received Date / Who** – The date that the requirement was delivered to SLOCPT, and to whom it was delivered.
8. **Accepted Date / Who** – The date that the requirement delivery was accepted, often times through an Acceptance Test, by SLOCPT and by whom it was accepted.
9. **Comments** – Any comments relating to the requirement. Comments will include, among other things, an explanation of what caused a requirement to be removed or added. This must be specific, citing specific conversations which have previously occurred between SLOCPT and the Respondent, the date and attendees, and the prior document which transmitted this information (including but not limited to meeting minutes, status reports, and specific correspondence) to SLOCPT. As stated elsewhere in this RFP, any agreement between SLOCPT and the Respondent to eliminate project requirements stated in the RFP, the Respondent’s proposal, or the contract must be in writing and executed by both parties.
10. **Test Case** – If applicable, identification of the test case that confirms that the requirement has been satisfied.

Activities on the part of both SLOCPT and the Respondent related to the traceability issue will include:

- First, SLOCPT will prepare the matrix that codifies and organizes the requirements of the RFP and negotiated contract. An example of the matrix as it will be delivered to the Respondent by SLOCPT is shown in Exhibit 1 herein. SLOCPT will complete columns 1 (No.), 2 (Requirement Description), 3 (Source) and 4 (Page / Section) and deliver it to the Respondent for review.
- Next the Respondent will review the matrix and verify its accuracy. Any discrepancies or differences in interpretation will be mutually resolved before the next step.
- Then the Respondent will complete columns 5 (Phase of the project in which the Respondent will implement the requirement) and 6 (SOW, the Statement of Work to be prepared by the Respondent which will include the requirement).
- In cases where a function described in the RFP is not “carried” forward, the Respondent will note this by providing a written explanation in the comments column (9) for that function. Further, if there are any new functions that have evolved during the requirements analysis, the Respondent will add them as appropriate entries at the end of the matrix. An example of the matrix as it is to be completed by the Respondent is provided in Exhibit 2.



- The Respondent will then provide the matrix to SLOCPT for review.
- SLOCPT staff will review the matrix – annotating any differences of opinion with respect to the Respondent’s completion of the matrix. The annotated matrix will be returned to the Respondent.
- Next, a meeting or series of meetings will be held at which discussions will occur to resolve any differences.
- Then SLOCPT and the Respondent will update the matrix so that it reflects the agreed upon changes, and it will become part of the deliverables from the Requirements Definition. If appropriate, any changes to schedule and cost will be identified at this time.
- SLOCPT will provide the matrix to the Respondent within the period specified in Table 11 in Section C.2. The revised, updated, completed matrix will be provided to SLOCPT by the Respondent within the period specified in Table 11 in Section C.2. The matrix will provide a more precise reference point for the “go-forward” strategy for the implementation phases.

Columns 7 and 8 will be filled in as portions of the project are completed by the Respondent and/or the Oversight Project Manager and delivered to SLOCPT for review and acceptance. Column 10 will be filled in by the Respondent as test plans; test scenarios, test cases, etc. are developed during the course of the project. Exhibits 1, 2 and 3 on the following pages show three stages in the development of a small portion of a sample RTM.

Furthermore, the Respondent will be responsible for tracking and matching project requirements, not only from the RFP (and associated amendments, questions and answers, Respondent’s proposal and any amendments thereto) to the design definition, but also through the requirement definition, design, and implementation activities. At any time, should SLOCPT question how a particular requirement expressed in the RFP / procurement cycle will be addressed in the new system, the Respondent must be able to demonstrate how that requirement was carried forward from the RFP into the proposal, the requirements definition, the system design, and eventually the final implementation.



Exhibit 1 Requirements Traceability Matrix Example

1	2	3	4	5	6	7	8	9	10
No.	Requirement per Contract Exhibits / RFP	Source	Page / Section	Phase	SOW	Received Date / Who	Accepted Date / Who	Comments	Test Case(s)
1	Ability for users to tie documents, images, spreadsheets, and similar or related items to any activity tracking log entry.	RFP	C.3.1.1						
2	Ability to capture (automatically user-id, user name, date and time stamped) all contacts and inquiries, including comment, status, routing, requestor, caller, relationship, etc. (via Email, correspondence, telephone calls, counseling sessions, Facebook posts, Tweets, Individual Member (IM) sessions, personal contact). As appropriate, interactions should be categorized and coded based on type of interaction (information, disability, death, etc.)	RFP	C.3.1.1						
3	Ability to maintain a call log, with drop down values for the type of call at the member level, automatically capturing timestamp and user id.	RFP	C.3.1.1						

Exhibit 2 Requirements Traceability Matrix Example with Respondent Entries

1	2	3	4	5	6	7	8	9	10
No.	Requirement per Contract Exhibits / RFP	Source	Page / Section	Phase	SOW	Received Date / Who	Accepted Date / Who	Comments	Test Case(s)
1	Ability for users to tie documents, images, spreadsheets, and similar or related items to any activity tracking log entry.	RFP	C.3.1.1	4	6				
2	Ability to capture (automatically user-id, user name, date and time stamped) all contacts and inquiries, including comment, status, routing, requestor, caller, relationship, etc. (via Email, correspondence, telephone calls, counseling sessions, Facebook posts, Tweets, Individual Member (IM) sessions, personal contact). As appropriate, interactions should be categorized and coded based on type of interaction (information, disability, death, etc.)	RFP	C.3.1.1	4	6				
3	Ability to maintain a call log, with drop down values for the type of call at the member level, automatically capturing timestamp and user id.	RFP	C.3.1.1	4	6				



Exhibit 3 Completed Requirements Traceability Matrix Example

1	2	3	4	5	6	7	8	9	10
No.	Requirement per Contract Exhibits / RFP	Source	Page / Section	Phase	SOW	Received Date / Who	Accepted Date / Who	Comments	Test Case(s)
1	Ability for users to tie documents, images, spreadsheets, and similar or related items to any activity tracking log entry.	RFP	C.3.1.1	4	6	20150502 PPC	20150516 RK	None	CALC-1, -2, -3, & -8
2	Ability to capture (automatically user-id, user name, date and time stamped) all contacts and inquiries, including comment, status, routing, requestor, caller, relationship, etc. (via Email, correspondence, telephone calls, counseling sessions, Facebook posts, Tweets, Individual Member (IM) sessions, personal contact). As appropriate, interactions should be categorized and coded based on type of interaction (information, disability, death, etc.)	RFP	C.3.1.1	4	6	20150502 PPC	20150516 RK	None	CALC-4 & -5
3	Ability to maintain a call log, with drop down values for the type of call at the member level, automatically capturing timestamp and user id.	RFP	C.3.1.1	4	6	20150502 PPC	20150516 RK	Requires collaboration on format of transferred data.	CALC-6, -7, & -8



### **C.5.2.3 Statements of Work**

All work to be done under the contract to be awarded will be covered by written Statements of Work (SOW) authorized by SLOCPT, which define reasonable components of work. Thus, manageable “chunks” of work will be defined, executed, and managed. When viewed in the aggregate, these “chunks” comprise the entire project.

The Respondent will submit detailed written SOWs to the SLOCPT Project Manager for review, possible revision, and acceptance. SLOCPT will require up to ten (10) days to review and authorize a SOW. Therefore, the vendor must factor in this review period when scheduling its activities under the contract. Under no circumstances, will any work be done absent a SOW duly authorized by the SLOCPT Project Manager.

Conversely, the vendor will not issue SOWs for work to be done in the distant future – i.e., “banking” of SOWs will not be permitted. While SLOCPT understands the vendor’s desire to be able to schedule its personnel as far in advance as possible, SLOCPT’s objective is to ensure that SOWs are developed in a “just-in-time” fashion in order that they reflect the project’s most recent developments – and ‘downstream’ SOWs benefit from the experiences of the upstream SOWs. SLOCPT wishes to avoid having work conducted under “stale” SOWs. Therefore, the vendor will deliver each SOW no sooner than the period specified in Table 11 in Section C.2 prior to the date that work under that SOW is scheduled to begin. If work on a particular SOW does not begin within that same period after SLOCPT’s authorization of the SOW, then SLOCPT reserves the right to require that the SOW be re-issued and re-authorized prior to commencing work there under.

In their proposals, vendors are to confirm their understanding of the above stated requirements relating to SOWs and their timing.

### **C.5.2.4 Bi-Weekly Status Reports and Project Status Meetings**

The vendor will be required to submit written bi-weekly status reports and to facilitate bi-weekly project status meetings. The status reports must include separate sections that cover all parallel parts, phases, or aspects that were in progress or had been completed during the reporting period or that will begin during the next reporting period. SLOCPT reserves the right to request weekly status reports if project activity so warrants.

The status reports must be available to the SLOCPT Project Manager and Project Team by 5:00 PM PST Monday of the week following the reporting period. The bi-weekly reporting period ends at close of business on every other Friday. Ad hoc status reports will also be required if SLOCPT Project Manager feels they are needed. Status reports should include:

- Overall Project Summary
  - Narrative assessment of the project status
  - Project Dashboard indicating metrics for schedule, quality, budget, risk
- Tasks performed during period
  - Status of each and remaining work
  - Any changes to schedule and impact of such change
- Tasks schedule for the next period, and any deviations from the original plan
- New Risks, or Issues Encountered, with potential solutions
- Ad hoc status / progress information.
  - Action Item Summaries



- Deliverable status, with percentage of completion and time ahead or behind schedule for particular tasks
- Testing progress, and PIR summaries

The final format of the status report will be mutually agreed upon between SLOCPT and the Respondent within thirty (30) days of the project start date. Respondents should include samples of previously used status reports on other similar projects.

### **C.5.2.5 PAS Replacement Steering Committee**

The SLOCPT Project Manager will be responsible for keeping the PAS Replacement Steering Committee at SLOCPT informed of the project status. However, SLOCPT anticipates there may be the need, on occasion, for executive level participation by all parties. Though, not a regularly planned meeting, Respondents must acknowledge that they will participate accordingly. The PAS Replacement Steering Committee meeting represents an opportunity to bring together the major stakeholders to accomplish, among other things, the following:

- Confirm decisions
- To facilitate the resolution of disputes or provide additional clarification of issues at the highest level
- To encourage collaboration among all of the participants by reminding them that the project enjoys support at the highest levels within the organization

Attendance by the Respondent at the PAS Replacement Steering Committee will be scheduled as needed; it will be discussed and scheduled as part of the bi-weekly project management meeting. The Respondent's Project Manager, and other Respondent senior staff as appropriate, may be required to attend meetings.

### **C.5.2.6 Requirements Analysis**

It is anticipated that the Respondent's early efforts in developing the LOB solution will consist of collaborative efforts between Respondent Staff and SLOCPT staff to identify the differences between the Respondent's template solution and SLOCPT's specific requirements. This portion of the project may be termed GAP analysis, requirements definition, etc. depending upon the Respondent's development methodology. For the purposes of this discussion, it will be called GAP analysis.

During the first GAP analysis session on a given topic, the Respondent must excerpt from the Requirements Traceability Matrix / RFP and review with the SLOCPT staff what the Requirements Traceability Matrix (RTM) / RFP expressed for requirements on that topic.

The RFP requirements will ALWAYS pertain unless, during GAP analysis, the users agree to eliminate an RFP requirement AND a written agreement to that effect is prepared by the Respondent and signed by the SLOCPT Project Manager. If SLOCPT agrees to such a "reduction" in requirements during GAP analysis, the Respondent will not be expected to reduce its fixed price. However, the Respondent will, as part of the written agreement to eliminate the requirement, issue SLOCPT a "credit memo" which estimates the dollar value of the effort that is avoided by virtue of eliminating the requirement. SLOCPT will be able to apply all such credit memos to offset the cost of future Change Control Requests (CCRs). The Respondent must describe in its proposal how the "credit" would be determined based on the effort avoided due to the reduction in requirements.

If at a later date, SLOCPT wishes to restore a requirement that it had agreed in writing to eliminate, then that requirement is subject to a CCR. In that event, however, the cost of the CCR cannot



exceed the value of the credit memo that was earlier issued by the Respondent for eliminating that requirement.

Respondents must take note of, and confirm in their proposals, the following: **under no circumstances will SLOCPT's approval of system design and/or specifications abrogate the RFP requirements.** SLOCPT staff invested a great deal of time in developing the RFP requirements. The Respondent, not SLOCPT staff, is responsible for ensuring that all RFP requirements are correctly reflected in Respondent design and/or specification documents. Absent a specific written agreement to eliminate or modify an RFP requirement, signed by the SLOCPT Project Manager, that RFP requirement will remain operative.

At a minimum the end-result of this phase is clarification and update to the RTM. Respondents are required, as a part of their proposal, to provide a written description of the methodology they use in accomplishing the GAP analysis discussed above. The description should be accompanied by appropriate supporting sample documents (e.g., sample GAP meeting schedule, sample meeting agenda, sample meeting summary). SLOCPT is particularly interested in understanding the "How To" training given to Respondent's GAP analysis meeting facilitators, providing instructions on issue "parking," issue resolution, etc.

SLOCPT is also very interested in understanding how during the determination of requirements, the Respondent plans to communicate to SLOCPT staff the details of "How?" a requirement will be met (in addition to the "Yes, it's in there," response which leaves the "What it looks like" question unanswered.) What SLOCPT wishes to avoid is agreement and sign-off on the existence of a function, only to find later that there was great misunderstanding on the part of SLOCPT staff as to **how** the function will be provided. To this end, SLOCPT staff will be instructed not to sign off on requirements and specifications that they do not understand. Respondents must discuss this topic in detail in their proposals.

### **C.5.2.7 Design Sessions, Documentation, and Specifications**

In addition to requirements analysis described previously, SLOCPT expects that Respondents will schedule and facilitate Joint Application Development (JAD) sessions with designated subject matter experts. In their proposals Respondents should describe this design process in terms of how they address the functional requirements provided within the RFP as well as introduce pension administration best practices to the SLOCPT attendees.

As the end result of the design sessions, Respondents are required to provide all technical specifications to SLOCPT to support the configuration of the system. These documents must reference functional requirements, tie to the RTM, and include use cases/scenarios discussed during the design sessions. Completion of these specifications is required before testing can begin.

Respondents should explain each type of specification it plans to deliver in its proposal and provide samples where applicable.

### **C.5.2.8 Change Orders, Change Control and Reporting**

This section includes requirements pertaining to change control, change reporting and the management of the integration of changes over the course of the project.

#### **C.5.2.8.1 CHANGE ORDERS**

It is to be anticipated in a project of such magnitude that SLOCPT will make periodic requests for changes in the new solution. SLOCPT understands such changes may incur additional costs and possibly delays relative to the project schedule. The SLOCPT Project Manager will provide all such



change requests in writing to the Respondent's Project Manager. The Respondent's Project Manager will respond to such change requests with a written proposal for completing the change.

It must be understood by the Respondent that SLOCPT will not pay for the effort involved in developing the change order. Just as the Respondent bears the cost of developing its proposals in response to this RFP, the Respondent will bear the cost of estimating the cost, time, and manpower required to implement all change requests forthcoming from SLOCPT during the course of the project. Respondents are cautioned to factor into their proposed approach, cost, and manpower estimates sufficient resources to respond to SLOCPT's change requests as they arise throughout the project. SLOCPT will not be billed separately for Change Order analysis tasks.

Further, it is pointed out to the Respondent that the responses are to describe the completion of the work requested; a response that describes the cost for an analysis and plan will not be acceptable.

#### **C.5.2.8.2 MISCELLANEOUS CHANGE ITEMS**

SLOCPT understands that the Respondent must be aware of the entire "scope" of the engagement in order to respond to this RFP accurately. However, Respondents must recognize that certain **predictable** (change) items will arise during the course of the engagement – items over which SLOCPT has no control. These items fall into two classes: (1) those relating to tax calculations and reporting formats, which would apply to all of the Respondent's clients; and (2) those relating to retirement system calculations and business rules which, while outside SLOCPT's control, would be unique to SLOCPT. Following is a representative, though not all-inclusive, list of typical, predictable items that need to be addressed over the course of any retirement system implementation:

- Tax-related
  - ❑ Changes to calculation rules and tax tables
  - ❑ Changes to 1099 format
  - ❑ Changes related to meeting IRS plan qualification requirements
  - ❑ Changes to IRS 415 limits
- Retirement system-related
  - ❑ Changes to plan provisions or business rules prior to project development
  - ❑ COLA: changes to calculation rates or rules for COLA
  - ❑ Member and employer contribution rates
  - ❑ Annual interest rates as adopted
  - ❑ Actuarial assumed rate of return, actuarial assumption changes / experience tables (every two to five years)
  - ❑ Employment codes, departments, or classifications as changed or added by the employer
  - ❑ Checks: changes in extract criteria
  - ❑ Banks: changes in bank(s) or routing number(s)
  - ❑ Retiree Health Care premiums

In summary, it is the Respondent's responsibility to maintain the annually changing parameters of the LOB application software through the end of the warranty period.



### **C.5.2.9 Testing Strategy and Problem Incident Reporting**

The Respondent is required, thirty (30) days prior to the beginning of the first testing phase, to provide a Testing Strategy document inclusive of the defect or problem incident reporting process.

The Testing Strategy must highlight each type of testing that will be performed (e.g. unit, system, and user acceptance testing) and the details of how each phase will function and SLOCPT responsibilities. The Testing Strategy must also detail the preparation activities for each phase including test case preparation and review.

The Respondents must provide evidence in their proposals that they have in place and will utilize an automated and demonstrable Problem Incident Reporting (PIR) system for managing and facilitating test-related activities as well as production problems. The PIR system must offer, at a minimum, the following attributes:

- It must define how PIRs will be initiated, uniquely identified, logged, and by whom.
- It must relate each PIR to the particular functional area (e.g., employer reporting, benefit estimates) or appropriate area, e.g., training, documentation, etc.
- It must relate each PIR to the appropriate test variant / scenario / case / data set.
- It must track the status of, complexity of, and priority accorded to each PIR.
- It must provide for relating PIRs to change orders when appropriate (in those cases where what was originally thought to be a problem incident is actually determined to be a request for a design change).
- It must track the scheduled fix delivery date.
- It must track the fix release number through which the PIR was addressed.
- It must provide for tracking efforts to correct the problem and the eventual resolution of the problem incident.
- It must include a summary / reporting mechanism as described below.
- Though a manual approach of Word, email, or Excel documents is not acceptable, the system must be capable of exporting information to those systems.

The desired summary / reporting mechanism should be in a row-and-column format. It should summarize current and “phase-to-date” PIRs and include graphics capabilities showing trends in problem incident reporting and resolution, as well as the existing backlog of PIRs at any point in time and amount of time (maximum, minimum, average) to close out and correct PIRs. Examples of the summary / trend information of interest to SLOCPT include (at both individual functional or business area levels, delivery phases, as well as the project in total):

- Number of test cases for the phase, cases to execute and cases executed – for the phase and for each LOB area
- Number of test case data sets for each executed test case
- Number of executed test cases with one or more PIRs (opened or closed)
- Number of test cases undergoing rework
- Number of test cases awaiting or undergoing retesting
- Number of open PIRs at any point in time
- Number of closed PIRs since the beginning of the project and the beginning of the current phase
- Number of PIRs opened / closed in the last week/last month



The Respondent will provide training to appropriate SLOCPT staff as necessary to facilitate their use and understanding of the PIR system. No user testing will proceed until the PIR approach has been presented to, reviewed by, and accepted by SLOCPT.

At the conclusion of the project, the Respondent must leave the client with a copy of the PIR system and the complete database of reported problem incidents for the project. In addition, as part of the leave-behind, Respondent will provide documentation and training for SLOCPT administration personnel as appropriate.

### **C.5.2.10 Risk Management**

Risk management includes identification, analysis, planning, tracking, control, and communication of risk areas associated with all project phases. Risk assessment and management are on-going tasks in any project. The Respondent must demonstrate that it can provide a risk management (analysis and mitigation) strategy and methodology that can be used throughout the project to monitor potential risks and to develop mitigation strategies in anticipation of any problems that may arise. Then, based on feedback, assessments can be updated on a continuing basis for the duration of the project. While some risks can be identified from the outset of a project, others will emerge in the course of the project's life cycle.

The risk management strategy and methodology should address how the Respondent proposes to accomplish the following:

- Define measures of success and set targets
- Identify key assumptions
- Identify, analyze, and document risks that threaten the ability to achieve the success targets
- Develop and document mitigation strategies for each identified risk
- Specify tasks to implement the mitigation strategy
- Build consensus on appropriate mitigation strategies
- Establish criteria for escalating risks
- Enlist support for mitigation steps that are outside of the project's direct control
- Monitor and report on risks

Further, as a part of their response, the Respondent is required to provide a list of the top ten risks they currently foresee with this project, their assessment of the probability of their occurrence, and the steps they will take to avoid or mitigate those risks.

At key points in the project cycle and no less frequently than quarterly, the successful Respondent will be required to conduct formal risk assessments, to review the status of project risks to ensure that appropriate mitigation strategies are in place and to report on the project's risk status.

### **C.5.3 Data**

The following sections set forth the Respondent's responsibilities relating to the migration of data from the legacy environment to the new solution, as well as the precautions the Respondent is expected to take to ensure the security of SLOCPT's member and retiree data.

#### **C.5.3.1 Data Security**

The security of SLOCPT's member and retiree data must be paramount throughout the execution of this project. SLOCPT recognizes that access to the real data will be necessary for both data



conversion and for debugging of any problematic calculations. However, the risk of loss or inappropriate use of personal data, possibly leading to identity theft or other such abuses, is high. Therefore, we require that the Respondent provide a discussion in its response regarding how it proposes to manage the security of SLOCPT's data during the project implementation and thereafter as it will reside in a hosted solution.

The response should include at least the following information:

- A complete list of which data the Respondent considers to be Personally Identifiable Information (PII)
- A written commitment that all of the PII will be encrypted when sent off-site, even when sent in email correspondence
- A written commitment that none of the PII will be stored on any local PCs (including Respondent laptops) without specific permission from the SLOCPT Project Manager – and should that permission be forthcoming, stored only in encrypted format
- A description of just which Respondent Staff need (and will be provided) access to PII and why
- Ongoing Procedures that will be in place to secure data during and after the project

In addition, while the properly constrained and controlled use of member data outside of SLOCPT's hosting site (as long as it stays within the United States and Canada) is permitted, no member data is to appear in unencrypted emails under any circumstances. The Respondent must describe in detail the processes and safeguards that will be utilized prior to SLOCPT's data leaving the premises.

### **C.5.3.2 Data Conversion**

SLOCPT understands that a critical component of the project is the accurate and complete conversion of legacy system data to the new environment. Currently SLOCPT does not have on staff an individual that understands the data structures, the data model, and the skill set for data extraction and transformation. Therefore it will be the Respondents responsibility to contract with a 3<sup>rd</sup> party (i.e., Magenic or another capable company) to assist with data analysis, data mapping, and data extraction.

### **C.5.3.3 Data Conversion Plan**

The Respondent must create a data conversion plan that establishes the conversion environment and outlines strategies for both the automated and manual conversion of data to the new solution. The data conversion plan at a minimum must:

- Identify how the conversion requirements will be confirmed and refined
- Describe the methodology employed as discussed further in Section C.5.3.4
- Identify the roles and responsibilities of SLOCPT and the Respondent. Discuss options for satisfying data required of the LOB solution data model that is not present in the data to be converted
- Describe how functional application rules and decisions will be reflected in data conversion mapping and design process
- Describe the techniques that will be used to transform data to meet the rules employed in the new system
- Account for data that is left behind in Magenic RAD and not converted (i.e. reverse mapping)
- Develop data conversion test scripts



- Develop and implement reconciliation tools and techniques to ensure the new system data matches the legacy system data from which it was converted
- Create the schedule for conversion activities
- Keep the data conversion consistent with the implementation schedule

The Respondent will work jointly with SLOCPT to map legacy data to the new solution. SLOCPT does not have direct access to the current pension database but has provisions with the current pension vendor to get SLOCPT data extracts, as specified by SLOCPT along with supporting documentation. The Respondent will work with SLOCPT to analyze and convert this data. The Respondent will be responsible for performing any agreed upon transformation/cleansing of data based on business rules in the new system as well as loading the data into the new system. In their proposals, Respondents should confirm their understanding of these requirements. As part of the conversion plan, the Respondent must include plans for testing the conversion process, including full reconciliation and balancing procedures for ensuring that all legacy system data was correctly converted and loaded. The conversion plan must elaborate how the integrity and confidentiality of the data will be protected throughout the conversion process.

#### **C.5.3.4 Data Conversion Strategy and Methodology**

Respondents must demonstrate in their proposals that they have in place a strategy and methodology for data conversion that is comparable to and compatible with their methodology for the design and development of the LOB solution. Although SLOCPT recognizes that data architects and other technical specialists will execute the conversion activities, appropriate management and planning disciplines must also be applied to the effort to ensure that:

- There is adequate coordination between the data conversion effort and the other project components (design, development, testing, training, etc.)
- There is adequate communication about the data conversion effort with SLOCPT managers, external entities, and users, as well as with the Respondent's other project team members

Therefore, Respondents are to include in their proposals their proposed strategy and methodology for data conversion. The methodology must embrace the same degree of rigor and formality as the Respondent's system development methodology. The conversion methodology is required to address, at a minimum, the following areas of concern:

- The planning of the data conversion effort and how those plans will be communicated to (and approved by) SLOCPT managers, external entities, and users, as well as Respondent development teams; SLOCPT requires that a detailed, written conversion plan be prepared for each functional rollout phase
- When conversion activities will be scheduled relative to the development effort
- The roles and responsibilities of the Respondent and SLOCPT staff in the conversion effort; such roles and responsibilities must identify the procedures to be used by both the Respondent's staff and SLOCPT's staff in performing the verification that all data was converted correctly
- The development of written procedures, methods, and checklists for balancing and reconciling conversion of data between the legacy environment and the new environment. This includes, in addition to developing the procedures, validating them with SLOCPT staff during testing and training, training SLOCPT staff in their use during testing, and validating that they are being used properly on an on-going basis. The procedures must provide sufficient controls that Respondent and SLOCPT can readily discern the validity of any step in the conversion process as well as the validity of the converted data. The procedures must be reviewed and approved by the SLOCPT Project Manager prior to their use.



- Techniques to be used in cleaning and converting legacy system data (e.g., data mapping, automated conversion routines, balancing, and reconciliation of the converted data at various points throughout the conversion process)
- Training of users at the time of a functional rollout phase cutover as to what data is to be entered in which system and how
- Synchronization of the data conversion effort with the various other aspects of the project (e.g., LOB development)
- A method to communicate to users what default values were used during conversion and why

### **C.5.3.5 Data Conversion Validation**

In addition to planning and executing the data conversion, the Respondent must also create a data reconciliation report. This report must be in a format and at a level of detail that is appropriate for SLOCPT Executive Management, staff, users, and an internal or external auditor to review and approve. This report should contain an overall summary of the effort that was undertaken along with a reconciliation of members, beneficiaries, member accounts, retirees, retirees by benefit type, reconciliation of contribution balances, and reconciliation of benefit payroll balances. Additionally, a separate report is required that documents the data transformations that were made as part of the conversion routine.

Given that SLOCPT does not have direct access to the database, only extract files, Respondents should discuss how they can work with SLOCPT to ensure that all data is converted based on these extract files.

### **C.5.4 Project Staffing**

In addition to requiring the project staffing plan described below, SLOCPT has a number of other project staff-related requirements as indicated below.

#### **C.5.4.1 Project Staffing Plan**

The Respondent must include in its proposal a preliminary project staffing plan. This plan must lay out the reporting structure of the Respondent's team that will be assigned to the effort and illustrate how this reporting structure fits into the Respondent's overall organizational structure.

The staffing plan must include estimates of the manpower loading of project phases. This should also include the staffing requirement for SLOCPT staff members.

#### **C.5.4.2 Preparation of Respondent Personnel**

All staff members and subcontractor staff members assigned to the project who may interface with SLOCPT staff must have read the RFP and the Respondent's technical proposal, as well as any clarifications to the technical proposal, to gain an overall understanding of the project and its objectives, prior to interacting with any member of SLOCPT staff. Signed and dated certifications that Respondent Staff members have read the above documents must be kept on file and may be requested by SLOCPT for review. Under no circumstances will such an initial familiarization with the RFP, project objectives, current operating environment, and desired functionality or other project objectives or requirements be provided by SLOCPT staff members.

And because personnel should be familiar with the contents of the RFP, after award of the contract to the Respondent, it will be the Respondent's responsibility, prior to requesting any material, to review the RFP and its appendices first. If after reviewing that material, samples of any forms,



letters, reports, procedures, etc. are found not to be in the appendices, then the Respondent will request them from SLOCPT staff.

#### **C.5.4.3 Project Manager**

The Respondent's proposed Project Manager will be the primary on-site customer liaison, responsible for coordination, scheduling, and resolution of issues. He/she will be responsible for working closely with SLOCPT's designated Project Manager and Systems Coordinator, generally on a regular basis, either in person or via telephone and/or email. The Respondent should identify what percent of time the Project Manager is expected to be assigned to the project and on-site.

The Respondent must agree that its designated Project Manager will remain continuously assigned to the project for the duration of the project. Should a change be necessary due to one of the exceptions identified below, SLOCPT reserves the right to approve the candidate proposed by the Respondent as a replacement for the Project Manager as well as review and approve the transition or succession plan to the new Project Manager.

#### **C.5.4.4 Key Personnel**

Key personnel must be identified in the staffing plan, and the Respondent must commit that these staff members will not be reassigned over the duration of the effort without SLOCPT's prior written agreement. Key personnel to be identified include the Project Manager, a lead analyst and one additional senior staff member. The Respondent should designate the percentage of time each key person is assigned to the SLOCPT project.

The Respondent must agree in its proposal that it will pay to SLOCPT a penalty of \$50,000 per occurrence should it remove from the project any of the three (3) key staff members identified above except in the case of serious illness, death or termination of employment with the Respondent. This penalty will be credited to SLOCPT no later than five business days after the last day that the staff member in question works on the project. No penalty will be assessed if the change in staff is requested by SLOCPT or for grounds presented by the Respondent and accepted by SLOCPT.

#### **C.5.4.5 Replacement of Personnel**

The skills of the replacement individual for any staff member who is removed from or leaves the project for any reason must match or exceed the replaced staff member in terms of skill level and experience. SLOCPT reserves the right to approve/reject the replacement prior to assignment as well as at any time during the ninety (90) days after the replacement begins work on the project.

Further, any replacement not occasioned by illness, sudden death, or other immediate departure of the staff member must be assigned at least two weeks prior to reassignment of the staff member being replaced in order that a smooth, effective transition / transfer can occur. In such an event, a transition / transfer plan must be provided to SLOCPT in writing two weeks prior to the start of the transition. In their proposals, Respondents must include a sample of such transition plans.

SLOCPT reserves the right to address individual Respondent staff performance with the assigned Project Manager or the Respondent's executive team should the need arise during the project. Should a plan to correct any of the Respondents staff performance issues identified by SLOCPT, not be amenable, the Respondent may be requested to provide a replacement plan for the identified staff member.

#### **C.5.5 Documentation**

As a goal, the system provided by the Respondent should be so easy to use, so self-explanatory, and so intuitive that little or no documentation is necessary. However, laudable as that goal may be,



SLOCPT requires that the Respondent provide two types of documentation for the new pension administration system:

- User documentation, including electronic help which can be maintained and modified by SLOCPT without Respondent support
- System administration documentation for a business analyst who needs to reconfigure a function

The required documentation is discussed in the sections that follow.

### **C.5.5.1 User Documentation**

The most important piece of user documentation associated with the new solution is described below as the Work Process Manual. But that is not all of the user documentation that must be delivered as part of the system. Below, SLOCPT documents a minimal set of requirements for user-oriented documentation for the new solution.

#### **C.5.5.1.1 WORK PROCESS MANUAL**

To augment the user work process training effort, the Respondent will be required to produce a fully compiled soft copy Work Process Manual (that can be modified later by SLOCPT) and a corresponding on-line help facility (see C.5.5.1.2) to assist the users in processing work with the new solution. The manual should be organized to correspond with the work processes for which each user is responsible. Planning for the manual and help facility should start at the beginning of the requirements definition effort. The manual must reflect the ‘as built’ nature of the system, and not the as defined or as designed. It must include an index as well as a table of contents.

The Work Process Manual will address all manual, as well as automated, work processes in the new environment. As an example, if during design a low-volume task is determined best handled manually (i.e. an offline calculator) this should be included in the manual.

In addition to documenting all steps to accomplish the processing of work, the Work Process Manual should make appropriate references to both automated and “manual” provisions designed to ensure the proper segregation of duties for internal security and control purposes. Examples include: ensuring that a user cannot update his or her own account, ensuring that account reconciliation is performed by someone other than the person responsible for general ledger postings, and ensuring supervisor review of account reconciliations. While it is SLOCPT’s responsibility to implement the recommended segregation of duties, the Respondent must develop the procedures and describe such segregation processes in terms of roles and work processes.

In addition to a detailed Table of Contents, the Work Process Manual must include a detailed, indented index to assist the user in locating the information of interest.

#### **C.5.5.1.2 WORK PROCESS ON-LINE HELP FACILITY**

The on-line help facility must reflect the ‘as-built’ nature of the system, and not the as-defined or as-designed. The on-line help facility envisioned by SLOCPT should operate much like Microsoft Word’s Word Help with its “Search for:” help assistance. A field should be provided near the top of each system screen into which the user can enter a question (e.g., “How do I reprint a member’s 1099?”) or a series of key words (e.g., “1099 reprint”). The help facility should respond with a list of likely work processes / sub-processes from which the user can select. When the user selects an item from the list, the appropriate excerpt from the Work Process Manual should be displayed.



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### **C.5.5.1.3 DELIVERY OF WORK PROCESS MANUAL AND ON-LINE HELP**

Both the Work Process Manual and the on-line help facility must be delivered in final draft form at least three weeks prior to the time of each functional cutover. SLOCPT will review the material and respond with comments and corrections in timely fashion. Upon receipt of those comments, at least one week prior to cutover, the corrected material, accompanied by an addendum describing all changes that have occurred since the distribution of the original deliverables, must be provided.

### **C.5.5.2 Administrative Documentation**

System configuration documentation that must be provided includes but is by no means limited to:

- Documentation on all aspects of pension administration system configuration such as changing of tax codes, addition of new plans, etc.
- Documentation on aspects of the system that are configurable but other than pension administration system-specific (e.g., frequency of backups)
- Batch Planning, Scheduling, and troubleshooting
- System upgrades and maintenance
- Disaster Recovery and Business Continuity documentation

### **C.5.6 Training and Knowledge Transfer**

The Respondent will provide two comprehensive training programs, addressing both the use and the administration of all systems required within this RFP.

The training programs will encompass all applications included in the proposed solution. Training will occur in a phased manner, i.e., not all at the beginning or at the end of the project, but corresponding to the phasing of the overall project. A particular concern of SLOCPT is the ability of users to process work and fulfill their job duties utilizing the new solution as soon as it first becomes available at the time of the initial functional cutover. As described above, the Respondent will provide standard training in the new solution, which will familiarize staff with the technical environment: screen navigation, windows, containers, tabs, wizards, and drop down lists, radio buttons, hot keys, data entry fields, and the like. But this training, while essential, is not sufficient to equip the users to begin processing work efficiently. Users do not think in terms of tabs and containers and wizards, etc. They think in terms of processes and sub-processes – e.g., processing member contributions, generating retirement estimates, issuing refunds, setting up service purchases, etc. This is the reason for the stress placed on **training in work processes** in this RFP.

The format of the training to be provided to SLOCPT users and technical staff must include, in addition to classroom instruction, training workshops / laboratories that offer participants hands-on experience with all of the facets of the new solution pertaining to their job duties.

On-site training is to be provided by the Respondent in all aspects of the new system. Regardless of the format and schedule for training (of all types) proposed by the Respondent, SLOCPT expects that the Respondent (or its subcontractor[s]) will conduct all training sessions. All training sessions will be administered through formal classroom instruction, training workshops / laboratories or through web-based access using designated office space at SLOCPT.

The Respondent must provide all electronic source documents, graphics, and the like used in the development and presentation of all aspects of training. All training materials, either in electronic or hard copy format, may be copied by SLOCPT without restriction. Respondents must develop their training plans and price their training services accordingly.



SLOCPT and the Respondent will jointly determine the training dates and schedule SLOCPT staff and facilities.

### C.5.7 Testing

SLOCPT expects a comprehensive testing process to be in place and utilized to determine whether the solution delivered (both base functionality and customizations) satisfactorily addresses the requirements defined in the RFP as confirmed or revised during requirements definition. This includes all components described in this RFP including, the pension administration solution, the enterprise content management solution, and workflow.

Testing terms may vary from Respondent to Respondent in their methodologies – but the requirements as stated herein must be met as a minimum. If the Respondent uses different terms, it must provide a mapping of its terminology to SLOCPT’s. If small iterations of testing are included in the Respondent’s plans, that are somehow differentiated from full User Acceptance Testing, they should be discussed in the Respondent’s proposal. A list of test-related terms, along with their meaning in the context of this RFP, is provided below:

Vendor Testing	<p>The hierarchical series of tests conducted by the vendor to verify proper functioning prior to delivering one or more components of the solution to SLOCPT. In order from simplest to most complex, Vendor Acceptance Testing (VAT) includes:</p> <ul style="list-style-type: none"> <li>■ <b>Unit Testing</b> – Tests performed by the programmer or developer to ensure the reliable performance of functions, procedures, and routines before making the product available to other developers within the larger component or system</li> <li>■ <b>Integration Testing</b> – Testing of the solution with all its integrated components to ensure that they work together as designed, that the various sub-systems communicate with one another properly, errors are properly propagated from one component to another, etc.</li> <li>■ <b>System Testing</b> – Testing of the entire system (as a system) to ensure that the solution meets the design specifications.</li> <li>■ <b>Performance Testing</b> – Tests designed and executed to determine whether or not the solution delivered satisfies the performance benchmarks identified in the RFP and refined and agreed to by SLOCPT and the vendor.</li> <li>■ <b>Regression Testing</b> – Possibly the most important aspect of the vendor’s testing responsibility, regression testing is the principle of re-testing previous problem repairs subsequent to the correction of new problems to ensure that previously repaired problems do not recur. Regression testing is an integral part of any good software development methodology.</li> </ul>
SLOCPT User Acceptance Testing (UAT)	<p>Execution of a series of defined steps using predefined data the objective of which is to determine whether the actual outcome consistently, repeatedly, and accurately equals the expected result. User acceptance testing is a deliberate process and requires test scenarios, test cases, test data, and expected outcomes to be prepared by the respondent and known in advance of test execution. UAT occurs subsequent to the completion of VAT – though</p>



	vendor-accomplished regression testing continues in response to changes and repairs of problems determined during UAT.
SLOCPT Parallel Testing	As part of the UAT effort, certain if not all aspects of the system may be executed in parallel with the current system. Vendors must support this period as necessary.

These responsibilities include the identification and preparation of all test plans, test variants, test scenarios, test cases, test scripts, test data, and expected results for the entire system (not just the modifications/enhancements of the base product) and *for all testing levels through Vendor Testing*.

Furthermore, as indicated, SLOCPT requires that the Respondent plan for and execute complete, end-to-end testing of the solution, not just the customizations done for SLOCPT. In addition, the Respondent will provide a mechanism for reporting actual test results vs. expected results and for tracking all errors and problems identified during test execution (see Section C.5.2.9 Problem Incident Reports), as well as their resolution. This reporting mechanism will include trend analysis for tests completed, errors identified, rework efforts, and retesting efforts, in both numeric and graphical presentations.

SLOCPT reserves the right to review and approve the materials developed by the Respondent for vendor testing. SLOCPT must have the ability to use the scripts used in Vendor Acceptance Testing and to augment those materials and test plans and scripts as SLOCPT sees fit. Most often this will be based on use cases and scenarios discussed during the design phase. No user testing is to start until SLOCPT staff is trained by the Respondent in problem incident reporting (PIR) mechanisms.

In preparation for and execution of testing activities, the Respondent must:

- Create the test environment, meeting the specifications of the test plans
- Ensure that sufficient and approved test data is populated in the test database(s)
- Install and train SLOCPT staff on the use of an ad hoc query capability, complete with the ability to download the results of the queries in ASCII format or to an Excel spreadsheet prior to execution of testing
- Support the operation of the test system and deliver system output to SLOCPT as requested
- Document and resolve errors encountered during testing – and fully regression test the repairs
- Provide adequate technical and other staff dedicated to testing support and problem resolution while testing activities are in progress
- Update the requirements traceability matrix demonstrating that the tests performed validate that specified system requirements, either listed in the Functional Requirements (Section C.3) or generated through the requirements GAP analysis conducted as part of this

In its proposal, the Respondent is to include its proposed test plan methodology. After contract award, the Respondent will be required to include details of its test plan methodology in the detailed project work plan. A separate test plan and set of test materials will be prepared for each functional cutover.

SLOCPT is concerned about the amount of time that will be allocated to testing relative to design and development. It is crucial that SLOCPT training and testing activities not be abbreviated in order to meet project implementation schedules; it **cannot** be assumed that when testing commences SLOCPT can allocate 100% of its resources to this effort. Therefore, SLOCPT requires that a fixed ratio apply to the time devoted to SLOCPT training and testing relative to the time devoted to Respondent requirements definition, design, and development. We propose a 4:1 ratio – i.e., if the



time required for the Respondent to design, build, and test a particular functional rollout phase is eight months, then up to two months must be allocated to SLOCPT staff for training and test execution. The Respondent must disclose in its proposal the assumptions it has used with regard to SLOCPT resources required during testing.

Respondents are invited to discuss this issue in their proposals and to offer an alternative approach. However, if they propose a significantly higher ratio of development time to testing time, they must explain the rationale for their alternative. Prior to contract execution, a fixed ratio will be discussed and agreed to. No deviations from the fixed ratio will be permitted during the course of the project except by express written approval of SLOCPT.

The following sections provide specific requirements and detail the Respondent's responsibilities relating to both Vendor Acceptance Testing (VAT) and User Acceptance Testing (UAT) of the new solution.

#### **C.5.7.1 Criteria for Cutover to User Acceptance Testing (Vendor Exit Criteria)**

Respondents should note that for purposes of this RFP, anytime SLOCPT will be required to test the solution, it is considered UAT. We understand there may be subtle differences in what the Respondent may call pilot testing or early exposure testing, versus 'full-UAT,' but regardless of the definition, SLOCPT requires the Respondent to complete testing prior to any testing that is performed by SLOCPT.

Prior to the commencement of UAT, the Respondent must have successfully completed all required testing required by the phase definition. At the conclusion of vendor testing, the Respondent will provide written certification, signed by both the Respondent's project manager and the Respondent's Test Team Director (an individual separate and apart from the development staff charged only with test and quality assurance responsibility) that all tests have been completed satisfactorily and that the system is ready for UAT and no critical or minimal high severity defects remain.

The final output of Vendor Acceptance Testing (VAT) will be both hardcopy and electronic test materials including, but not limited to: test plans, test scripts, expected test results, actual test results, and tangible proof (i.e., screen prints [before and after images] or report output) that actual test results were compared to expected test results. UAT will not begin until after **all** Respondent Test material has been provided to SLOCPT.

#### **C.5.7.2 SLOCPT User Acceptance Testing**

UAT will be conducted for each functional cutover.

In addition to assisting SLOCPT users in utilizing the test materials and executing the tests, the Respondent's independent testing team will also support users in reporting test results and in re-testing, as required, to confirm that all Problem Incident Reports were addressed correctly and thoroughly.

SLOCPT will execute both test scripts provided by the Respondent and those of which have been built by SLOCPT. Tests conducted during UAT will be executed against converted data drawn from SLOCPT's current production legacy system as well as against new data added during execution of the test cases. As a result, the Respondent will need to accommodate in its project plan and timeline the completion of some sufficient level of data conversion to provide a satisfactory sample data set.

#### **C.5.7.3 Criteria for Final Cutover (UAT Exit Criteria)**

Regardless of the project schedule, UAT for a rollout phase will not be considered complete until all of the major processes run to completion without major error or issue.



The Respondent Project Manager, the SLOCPT Project Manager, and the Oversight Project Manager must certify in writing completion of the following prior to any rollout of the new system:

- Successful SLOCPT execution of all UAT
- Successful Respondent execution of all Vendor Acceptance Testing
- Successful reconciliation of member data to the Legacy system
- Successful reconciliation of benefit payroll to that of the preceding pay period (i.e. parallel)

In addition, there must be no critical PIRs outstanding for those processes or business functions that are anticipated to occur within 2 months of production cutover. No more than 5% of non-critical business functions (i.e., those that are anticipated to occur beyond 2 months following cutover) may have open PIRs at that time.

### **C.5.8 RESPONDENT Transition Support During Cutover**

The transition from the current business processes to those in each phase and each major sub-system must be planned and managed by the Respondent. Having implemented its solution in other locations and with other clients, the Respondent understands that having received SLOCPT's approval of the UAT phase of testing is just one milestone in SLOCPT's transition to competent usage of the new solution (or any of its critical subsystems).

The Respondent is required in its response to detail the cutover support plans for each phase of the LOB solution and for the specific sub-systems as indicated in the sections that follow.

Each rollout phase of the new solution will bring significant changes to the way that SLOCPT executes its business processes, some of them operational, and some of them user-oriented. SLOCPT's users will have undergone training, and many will have participated in UAT, but they will not be fully prepared for the sudden change in their environment.

To assist in the transition to the New Pension System, Respondents are required to plan for and provide a transition support for the period from one week before the scheduled cutover milestone and until two weeks afterward. The team or people supporting the cutover have the following characteristics:

- A broad understanding of the solution
- Excellent people skills
- Excellent communication skills (possibly trainers)
- Patience for those times when they will be asked the same question multiple times

SLOCPT desires a long-term partnership with the implementing vendor and is also interested in how the project will transition from implementation to ongoing support. SLOCPT would look favorably upon proposals that integrate the long-term support personnel into the project early during the transition period.



## **C.6 OTHER REQUIRED SERVICES AND DELIVERABLES**

SLOCPT has identified additional areas that are of importance in selecting a vendor. These requirements have been accumulated under a single heading — Other Required Services and Deliverables. The intent of this section is to inform the Respondent of its responsibilities and the expectations for its conduct over the duration of its relationship with SLOCPT in the following areas:

### **C.6.1 ENTERPRISE CONTENT MANAGEMENT (IMAGING)**

With a new solution, SLOCPT envisions documents will be scanned upon receipt with the image being used as the source of all document processing. Furthermore, SLOCPT envisions that the solution will integrate fully with the member's record held within the Pension Solution. SLOCPT envisions the Respondent's Pension Solution as being the gateway to all member data. The end user should be able to access a participant's document folder from within the Pension Administration System. The Pension Administration System should then provide a listing of all documents within a member's imaging system folder. These documents should be listed, opened, and viewed without exiting the Respondent's solution. Furthermore, from within the member's record, the user should have access to all work processes for the given member. As an example, if the member has a pending Retirement application, this should be easily identified through integration with workflow tools. SLOCPT expects these workflow tools to be fully integrated within the Pension Solution. The user should not have to exit the pension system or do anything outside of the Pension Solution with regard to processing work in the queue.

SLOCPT also expects to be able to operate the Imaging system in stand-alone mode for more complex queries and to utilize the system for non-member document management such as accounting reports, investment reports, and other legal (Fund related) documents.

SLOCPT would like Respondents to provide a description of how they plan to meet these requirements, outline the Respondent's experience integrating with ECM applications for image archival and retrieval as well as workflow enablement. If the Respondent intends to utilize the services of a sub-contractor, it should be noted accordingly in the proposal.

#### **C.6.1.1 Hardware, Software, and Data**

The proposal should discuss the hardware, imaging software, database management software, and capture software required for the solution. These items should be reflected in the cost proposal. SLOCPT expects the images and related metadata will be maintained at the production hosting site, alongside the pension data. This increase in data may result in an increased hosting cost which must also be addressed in the cost proposal.

#### **C.6.1.2 Imaging Implementation Services**

The Respondent must commit to be responsible for providing, and must (in the cost proposal) propose ALL costs associated with, the following installation and implementation services:

- Development of an Imaging implementation plan
- Defining the document names and other index values to be used by SLOCPT
- Documenting the scanning, indexing, and QA process to be used by SLOCPT (Day-Forward Scanning Approach)
- Inventorying, uncrating, setting up, and connecting any equipment, such as scanners, a scan station, and software and ensuring that all the proposed equipment and software are fully operational. Furthermore, SLOCPT expects the Imaging applications and data will be hosted,



alongside the pension data. (NOTE: SLOCPT would prefer an approach that repurposes any equipment that already exists). The appropriate warranties should be provided with all proposed hardware.

- Working with SLO County IT to attach all proposed devices to the network
- Establishing the appropriate security level and access permissions / restrictions for each user on the system based on information obtained from SLOCPT staff. The Respondent is also responsible for establishing system security measures necessary to protect operations against unauthorized internal or external access into the communications, servers/platforms or operating system infrastructure.
- All project management, joint application design, training, testing, documentation, and other services described in section C.5 of the RFP for the implementation project
- All programming and required integration with the Pension Solution
- User and Administrator training (i.e. administering the document base, adding new document types, removing old document types, etc.)

The Respondent must state in its cost proposal its hourly rate for customization of scripts, APIs, software, and similar or related items over and above that required in this RFP.

There is an “optional item” for Back-file Conversion. Refer to section 7.2 for those requirements.

## **C.6.2 WORKFLOW TOOLS**

Due to SLOCPT’s size, the workflow tools required are likely not as robust as those for larger retirement systems however SLOCPT still recognizes value in using workflow to limit paper within the office, to track work / status, to better track performance metrics, and to automate audit checklists eliminating current paper based tracking.

### **C.6.2.1 Workflow Implementation**

SLOCPT expects that with workflow, all incoming paper (which will be scanned upon arrival) or online member requests will result in the creation of a workflow case or population of a work queue. In some cases the work may need to go no further than one desk (i.e. a single queue, a single user), but in other cases, such as with a retirement application, work may need to go to up to three individuals for processing, review and approval. As part of the design process, the Respondent will work with SLOCPT to determine the number of workflow processes needed, the flow / routing of those workflows; along with the rules, roles, etc. concerning those processes.

As part of the implementation process, Respondents will determine those processes that are more efficiently automated through workflow, versus other means. Currently, there are annual processes that may also be candidates for workflow, but scheduled batches may also be the best solution. Along with the implementation of the workflow tools, the following supporting process must be considered in the Respondent’s proposal:

- All project management, joint application design, training, testing, documentation, and other services described in Section C.5 of the RFP for the implementation project
- All programming and required integration with the Pension Solution
- User and Administrator training (i.e. administering addition of users/roles to queues, adding new documents to workflows, etc.)

In response to this section, SLOCPT would like Respondents to describe their workflow tools being offered, how they are implemented both during the project and once the system is up and running and new workflows are required.



### **C.6.3 LOB APPLICATION WARRANTY AND SUPPORT**

With regard to the customized line-of-business application, the Respondent must warrant that it will operate, in its entirety, in accordance with the RFP's requirements and the specifications approved by SLOCPT, for twelve (12) months after final turnover and acceptance of the last phase of the project. LOB Application program functionality may be implemented in a given month of the year and based on its nature (semi-monthly, annually, etc.) may not get executed for the first time within the 12 month warranty. For each and every type of functionality that falls into this category, the warranty period is the twelve (12) months following the first execution of the functionality. The cost for this warranty should be included in the Respondent's cost proposal and be so identified. This implies a longer warranty period for portions delivered earlier in the project. If a component of the LOB solution (e.g. Web server software) has a version upgrade, the Respondent shall be responsible for upgrading such component without any additional cost to SLOCPT through the end of the warranty period. Respondent time utilized for Warranty Services, does not count against any additional support.

#### **C.6.3.1 Statutory and Regulatory Changes**

For statutory and regulatory changes that have been necessitated by any federal or California government agency, statute, judicial interpretation, or directive (including but not limited to IRS, Department of Labor, and Department of the Treasury, State of California, etc.) from the point of contract award through the end of the warranty period, including changes in the federal and state tax withholding tables, SLOCPT will not be charged. Rather, this functionality will be provided to SLOCPT at no additional cost. Following the warranty period, such changes will be provided to SLOCPT for as long as SLOCPT maintains a support arrangement with the Respondent. The annual software license and maintenance fee or other such fee will be included in the Respondent's cost proposal and so identified.

#### **C.6.3.2 Limitations**

Respondents must identify any and all limitations and constraints with respect to software maintenance and warranty. They must be explained in terms of risk, change control, and cost implication. If the Respondent does not identify such limitations and constraints, then warranty and maintenance protection afforded SLOCPT, and its associated costs, will be as described above without limitation or constraint.

### **C.6.4 POST IMPLEMENTATION MAINTENANCE AND SUPPORT**

SLOCPT views the availability of support prior to and following the end of the LOB solution warranty period as a crucial element of the overall solution. SLOCPT is also sensitive to the potentially significant cost of such ongoing support. SLOCPT requires the Respondent to provide support and maintenance services to the system on an on-going basis commencing with the end of the warranty period.

Note: Unless stated otherwise, references to "warranty" through the remainder of this section shall be interpreted by the Respondent as "LOB solution warranty."

Respondent is to price the provision of five years of post-implementation maintenance and support plus indicate any factor for inflation for subsequent years. Initially, this support will occur simultaneously with the mandatory warranty support, but it is not to include any warranty work and is to be separate and apart from warranty support as described in Section C.6.3.

The scope of the post implementation support activities includes all activities required in support of the application – i.e., maintaining and enhancing the LOB solution.



With regard to maintenance and support of the LOB solution, it is anticipated that this work will be done remotely.

The Respondent shall describe its maintenance and support strategy including receipt by the Respondent of a support request from SLOCPT and the processing of same through completion and approval by SLOCPT (including expected elapsed times). SLOCPT understands that with the launch of Member Self Service features, their own staff must be prepared to address questions from members. However, there may be times when users are having an issue connecting to the site, or a request by the member results in a system error, not the actual use of the functionality. SLOCPT would like to gain a better understanding of the approach that will be used to manage such issues.

Respondents shall indicate in their technical proposals the number of hours they believe are appropriate for maintenance, enhancement, and operational support (as described above) over a 12-month period and quote in their cost proposals a fixed annual fee. SLOCPT is interested in gaining an understanding of what services are included in the maintenance agreement, including any additional hours for enhancements. It is SLOCPT's experience however that enhancement during the warranty will likely be limited and will require a lower budget during that period. The Respondent must also quote an hourly figure in the event additional time is required within a single 12-month period for enhancements.

Include in the technical proposal response the conditions under which the Respondent would be willing to provide the extension of services if so requested by SLOCPT – for example, extensions must be in increments of six months or more and must be requested at least 60 days prior to the end of the current support period. A proposed maintenance and support agreement should be included with the Respondent's proposal.



## C.7 MANDATORY OPTIONAL REQUIREMENTS

The project has been divided into mandatory and optional portions. This section and all of its subsections identify the optional project areas.

Respondents must respond to all of the options.

They are optional only in the sense that SLOCPT will have the option of authorizing them. SLOCPT may choose to authorize no options, or one option, or all of the options. SLOCPT will make a decision as to whether or not to authorize each option at the time of contract negotiations.

### C.7.1 OPTION 1 – NON-HOSTED, ON PREMISE SOLUTION

SLOCPT has a preference for a hosted solution, however due to various factors, should a hosted solution not be viable SLOCPT will need to proceed with a non-hosted, on premise solution. Therefore, Respondents, as part of their response to this option (i.e., Option 1 Non-Hosted, On Premise Solution), will need to provide the following information.

#### C.7.1.1 Hardware

Respondents must provide SLOCPT its recommendations regarding:

- Hardware
  - Servers
  - Desktop and other interactive access devices
  - Storage
  - UPS
  - Printers and peripheral equipment.
- Respondents must list all components required for their solutions to meet or exceed all of the stated functional and technical requirements, as well as all stated performance requirements.
- The Respondent is required to provide a List of Recommended Hardware, which is to include the specification and configuration of all of the hardware components that will be required to support the proposed solution, including appropriately sized production, development, user acceptance testing, and query environments for use during the phased project. The vendor is to include the List of Recommended Hardware in both the technical proposal and in the cost proposal. The List of Recommended Hardware in the technical proposal must list only the required hardware components (as described above) and include NO cost information. The List of Recommended Hardware in the cost proposal should be identical to this but INCLUDE cost information. Under no circumstances should cost information be listed in the technical proposal.
- **Note that SLOCPT will purchase all hardware components in a separate procurement.** The Respondent will be responsible for installing, testing, and configuring the required hardware in a SLOCPT provided data center (i.e., within the San Luis Obispo County) working with SLOCPT staff and/or SLO County IT personnel in a cooperative manner.

This includes the installation, testing, and configuration of:

- All recommended solution servers
- All recommended network infrastructure components
- All desktop PCs that currently exist within SLOCPT



- SLOCPT also requests recommendations from the Respondent with regard to upgrading or replacing the following items in order to effectively maintain the proposed solution hardware:
  - Required power
  - Server room cooling systems (Air Conditioning and Humidification)
  - Fire suppression systems
  - Server racks and cabinets
  - Required space (server room space, communications closets, etc.)
  - Backup hardware (Tape, Cached magnetic media, DVD, etc.)
  - Backup software
  
- Should the proposed hardware configuration prove inadequate to support the new solution – in terms of functionality, performance, availability, or scalability – it will be the Respondent’s responsibility to fund such additional hardware purchases as may be necessary to bring the solution into compliance with RFP requirements. Whether the Respondent itself purchases the additional hardware or reimburses SLOCPT for its purchase will be determined at the sole discretion of SLOCPT – in either case, the acquisition of any such additional hardware will result in no additional cost on the part of SLOCPT. The Respondent (neither SLOCPT nor the hardware vendor) will be responsible for testing, installing, and appropriately configuring the additional hardware. Any project delays that result from the need to expand / replace the hardware environment will be the responsibility of the Respondent. No change orders will be approved by SLOCPT relating to such a situation.
  
- SLOCPT’s current processing infrastructure includes workstations (desktop PCs) and associated equipment, some of which is likely to be suitable to support proposed solutions. The Respondent is expected to include existing SLOCPT hardware components, to the degree they are suited to support the proposed solution, in the recommended hardware configuration – SLOCPT expects that some of the existing hardware is acceptable in the new solution, some must be upgraded, and some must be replaced and/or augmented with additional components. In providing its recommended hardware configuration, the Respondent is required to clearly delineate existing hardware components that are usable as is vs. existing hardware that must be upgraded vs. new hardware components that SLOCPT must purchase to support the proposed solution. Since any hardware components proposed for re-use are currently in production use, any hardware components proposed for reuse must have a clearly defined migration path and timeframe defined.
  
- In their response, Respondents are cautioned to include recommendations for all ancillary equipment required by the proposed solution such as cabling, connectors, equipment racks, and backup devices.

#### **C.7.1.1.1 Servers**

- The Respondent is to provide detailed information on all servers required to affect the proposed solution, including number of servers, processor configurations, and speeds. Include number of processors, memory, and disk cache for each server. Respondents are cautioned to address all necessary routers, hubs, and other miscellaneous hardware requirements relating to servers. Recommendations should be vendor agnostic.
  
- It is the Respondent’s responsibility in the proposal to recommend an appropriately sized platform to accommodate up to ten (10) concurrent sessions of SLOCPT staff users (whether



internal or external [i.e., working from home or another remote location]), three (3) active wage and contribution transmissions occurring, and fifty (50) concurrent external users accessing the system through the Web – all while still meeting the response requirements. If anytime during the project's contract, the proposed solution fails to accommodate the required number of concurrent sessions while still meeting system response time requirements, it will be the Respondent's responsibility to fund such additional hardware purchases as may be necessary to bring the solution into compliance with RFP requirements.

#### **C.7.1.1.2 Desktop and Other Interactive Access Devices**

The Respondent is to provide detailed recommendations on all desktop PCs and other devices (such as laptops) required to support the proposed solution. Include processor speeds, memory, and disk cache configuration. For each workstation, indicate whether the requirement can be satisfied by existing equipment as is, or by existing equipment suitably upgraded (include all upgrade information), or by newly purchased equipment. Quantities and specifications of the configuration of SLOCPT existing desktops can be found in the SLOCPT Current Technical Environment documentation.

SLOCPT believes that its current desktop PCs are adequate to support the new system. Respondents are expected to review the SLOCPT Current Technical Environment documentation to confirm this belief or to recommend changes and upgrades as necessary.

#### **C.7.1.1.3 Storage**

- The Respondent must recommend the storage configurations that will support the “high-availability” proposed solution. A minimum of RAID 5 must be proposed.
- Respondent must also provide solution backup strategy recommendations and their justification for the storage recommendations. This will insure appropriate understanding so the SLOCPT technical services organization may quickly identify any issues with business continuity, and/or impacts to their existing Disaster Recovery Plan (DRP).

#### **C.7.1.1.4 Backup Power**

The Respondent must provide recommendations for all solution required power needs. Recommendations need to include purchase and installation of uninterruptible power supplies (UPS's) for all servers being proposed. The following capabilities must be supported in this regard:

- At least two hours of power backup in the event of a power outage for all servers, consoles, and related monitors and peripherals
- Automatic notification to the operating system of the affected platform to shut down in an orderly fashion prior to the complete loss of power
- Network-enabled capabilities so information and control can be handled remotely
- Notification of IT system administrators via automated phone, pager, and/or email of UPS sequence of events including, but not limited to:
  - Loss of incoming electricity and activation of UPS power supply
  - Resumption of external incoming electricity



### C.7.1.1.5 Surge Protectors

Surge protectors must be provided for all PCs, printers, and other equipment not otherwise protected by a UPS.

### C.7.1.1.6 Printers and Peripheral Equipment

- Respondents must review SLOCPT's current printer and peripheral lists and ensure and verify the proposed solution works with existing SLOCPT peripheral equipment. If not, the Respondent must provide recommendations to upgrade or replace existing equipment.
- The solution must allow users to redirect to various local or network attached peripherals system output, including, but not limited to:
  - Member Correspondence
  - Reports
  - Faxes
- The Respondent's hardware specifications must provide sufficient printing capability to support the printing of all reports and checks generated by the system, as well as other in-house, system-generated printing needs such as member correspondence. Those specifications should take advantage of the current inventory of SLOCPT printers and specify only those additional printers that are deemed necessary.
- As a guide, SLOCPT suggests the Respondent consider and assess the need for at least the following printing capabilities:
  - High speed, duplexed, large capacity laser printer(s) for the continued, effective printing of any formerly wide-carriage and multi-part reports (to be located in the data center)
  - Adequate high or medium-speed laser printers with duplexed and large capacity bins for printing of hard copy output, including but not limited to correspondence and medium size reports
  - Portrait and/or landscape capabilities enabled by application software printer drivers
  - The ability to print to an envelope feeder
  - Print Screen from within the LOB application to include large, multi-paged screens
- The successful Respondent must provide the capability for user to redirect all outputs to any of the appropriate printers or other devices attached to the network in a simple one step process. In addition, users (not IT) should have the capability to change their default printer for all system output in a simple one-step process.

### C.7.1.1.7 Remote Access

SLOCPT believes that the community of remote access users is divided into four groups:

- **Members and Retirees** – Individuals with controlled access to their member record as well as a range of administrative functions, such as benefit estimates and address change requests
- **Employers** – Organizations who require remote access in order to complete Web-based reporting of member wages and contributions along with any administrative tasks related or unrelated to wage reporting
- **Staff Members** – SLOCPT employees who work from home or who log in from remote counseling and member education sites



- **IT Support** – those members of the vendor (or software or hardware support) staff who have been contracted to provide (sometimes remote) support of the system

SLOCPT further believes that all groups should be given access via the Internet. Such access would mean that staff members, for example, logging into the SLOCPT system from outside the SLOCPT office would continue to have access to the same services (such as office automation, LOB application, workflow, imaging, and email, development tools, network monitoring, maintenance, etc.) that they enjoy while sitting at their desks.

- In their response, Respondents must provide remote access hardware and software recommendations. Respondents must describe their remote access methodology, and provide detailed discussion of:
  - Current remote access industry standards and best practices
  - Current remote access hardware offerings from a minimum of three different vendors, and the Respondent's preferred solution
  - Current remote access security technologies and standards
- Respondents should also include details of remote access solutions they have implemented, and provide a sample of the documentation provided to clients which might describe areas such as:
  - Remote access implementation methodology
  - Hardware and software employed
  - Client security requirements
  - Maintenance and support procedures needed to ensure effective ongoing operations of the solution
- Respondents must describe in their proposals how the solution they propose would affect the required remote access for all groups described above. The description must include discussions of:
  - The particular features to which each group of users would have access
  - How security would be managed for members of each group, including any hardware or software needed to enforce existing or future security policies and procedures
  - The advantages and disadvantages (both technical and user-related) of such access and how the Respondent has overcome the challenges posed by remote access in prior installations.

### **C.7.1.2 Software**

The project's software requirements are addressed below.

#### **C.7.1.2.1 Overall Software Requirements**

- **Note that SLOCPT will purchase all commodity software requirements in a separate procurement.** The Respondent will be responsible for installing, testing, and configuring the required software working with SLOCPT staff and/or SLO County IT personnel and SLOCPT technology consultants in a cooperative manner.

This includes the installation, testing, and configuration of:

- All recommended commodity software



- All servers and desktop PCs with setting required to run the software

The vendor's proposed solution must include NO software or hardware locks, traps, toggle keys, or similar security measures that would in any way deny SLOCPT full and complete access.

The source code for any software (be it the customized line-of-business application, middleware, a code generator, a specialized I/O routine, or any similar or related item) which is developed by the contractor, or an affiliate company that is 20% or more owned by the contractor, and used in the new system must be deposited with an escrow agent with documentation of such deposit provided to SLOCPT prior to delivery of the modified application for each phased production cutover. SLOCPT's acceptance of a phase will be contingent upon this requirement being met. Any subcontractor developed source code must similarly be escrowed.

In addition, the source code for any third-party software that is delivered and/or licensed to SLOCPT as part of the new solution must be escrowed on SLOCPT's behalf if, at the time of final turnover and acceptance of the new system to SLOCPT, that software product has ever previously been escrowed for the benefit of any other client of the third-party provider.

### **C.7.2 OPTION 2 – BACK-FILE CONVERSION - RETIREE IMAGES AND MEMBER FOLDERS**

The Respondent must propose to perform the conversion of SLOCPT retiree image files and member physical folders to image format. This section contains as much specific information as possible so that Respondents can respond to these requirements as accurately as possible. SLOCPT is aware that there are numerous decisions, concessions, tradeoffs, etc. that may need to be resolved during the actual execution of the back-file conversion. However, for proposal purposes, all Respondents should respond based on the information provided herein and note any assumptions they have made in preparing their proposals.

The back-file effort will be divided into two major phases coinciding with the Line of Business Rollouts for Retiree / Pension Payroll (i.e., Phase 4 "Rollout #1") and Membership (i.e., Phase 5 "Rollout #2").

For the Retiree / Pension Payroll phase the Respondent will be responsible for the back-file conversion of the existing retiree image files from their current electronic imaged format and storage structure to that of the new Electronic Content Management solution. It is envisioned that the existing files can merely be copied over in their current format and structure; and all the Respondent will need to do is to have defined indexing attributes assigned to them (i.e., SSN, Name, Document Type, Date, etc.).

Pricing for the Retiree back-file conversion must be a firm fixed price for deliverables, including all expenses. The table contained within this section contains various volume and metric information. SLOCPT will not accept any open-ended, time and materials bids. Respondent must provide pricing on a per retiree image / file basis and a computed total. It should be noted that discrete document type indexing is not envisioned for this grouping and a single document type labelled as "Retiree Back-file Conversion" is sufficient.

This back-file conversion phase due to the type of electronic images being converted, the limited amount of "handling" and/or processing needed, and the low volume should be of minimal effort – however it will provide both parties (i.e., the Respondent and SLOCPT) information and knowledge that will be applied to the 2<sup>nd</sup> phase of the back-file conversion effort requiring the handling and management of physical file folders.



For the Membership phase the Respondent will be responsible for the back-file conversion of the existing member folder / paper files from their current paper format to that of the new Electronic Content Management solution.

Pricing for the Membership back-file conversion must be a firm fixed price for deliverables, including all expenses. The table contained within this section contains various volume and metric information. SLOCPT will not accept any open-ended, time and materials bids. Respondent must provide pricing on a per member document / page basis and a computed total. It should be noted that discrete document type indexing is envisioned for some of the groupings and decisions will need to be made regarding those name and number of document types.

This back-file conversion phase due to the source being paper folders / documents, will have additional "handling" and/or processing needed – different than that performed for the Retiree Back-file conversion.

SLOCPT requires that both back-file conversion efforts observe a defined set of controls and procedures; applicable to all processes including:

- Handling of image-files and physical folders as sensitive SLOCPT data
- Packaging and preparation of appropriate tracking material for movement of information (i.e., files, folders, documents, etc.) within SLOCPT or Respondent facilities
- Document preparation / batching
- Document scanning
- Verification and committal
- Blank page removal
- Image quality enhancement
- Image quality assurance (Respondent)
- Re-scanning
- Indexing
- Final quality assurance (Respondent)
- Re-indexing if necessary
- Preparation for delivery back to original SLOCPT
- Delivery of scanned images and indexes to SLOCPT
- Load to QA environment
- SLOCPT quality assurance in QA environment (SLOCPT)
- Load to production environment
- SLOCPT quality assurance in production environment (SLOCPT)
- Return and re-filing of folders at SLOCPT
- Training and assisting SLOCPT

All information is stored onsite at SLOCPT. The table within this section contains information about the various categories, the estimate of the count for those various categories and whether the documents are envisioned to be back-file converted as a single multipage image labelled as (i.e.,



Member Back-file Conversion) regardless of the number of documents / pages contained (or) to be back-file converted as multiple images with discrete document types requiring document type index assignment.

All Respondent back-file conversion activities will conform to the requirements and procedures set forth below.

#### **C.7.2.1.1 Confidentiality**

The documents to be converted to images contain confidential member data. The Respondent must agree to indemnify and hold harmless SLOCPT for any claims or any other action or damage that may result from theft, loss, destruction, or dissemination of documents or data provided to the Respondent in connection with the back-file conversion effort.

#### **C.7.2.1.2 Location of Conversion Activities**

SLOCPT is aware that many Respondents and/or their subcontractors have both dedicated facilities and trained staff available for back-file conversion efforts. Based on this, SLOCPT is aware that not all of the back-file conversion services will necessarily be performed at SLOCPT.

Therefore, SLOCPT has the following requirements related to where the various back-file conversion activities are to be performed:

- Document Scanning – SLOCPT will provide sufficient office space to support the Respondent with the back-file conversion scanning effort. All document scanning shall be conducted in the SLOCPT-provided space. However, the Respondent is responsible for all hardware, software, staffing, etc. The Respondent assumes responsibility for all document packaging, shipping, insurance coverage (see below), etc. related to the movement of physical folders / files between SLOCPT and the provided space
- Document Image Enhancement / Indexing / Respondent Quality Assurance / etc. – This work must be performed within the continental United States.
- SLOCPT Quality Assurance / Production Upload / etc. – This work must be performed at SLOCPT.

#### **C.7.2.1.3 Insurance Requirements**

The Respondent must include provisions for insurance covering loss, damage, theft, or destruction and actual replacement costs (including SLOCPT, successful Respondent, or other staff or contractor time to reconstruct folders) of documents that may occur during transport of documents or while documents are in the successful Respondent's possession. Details specifying the type of insurance coverage, the insurance carrier, and any limitations on the coverage should be included in the Respondent's response to the RFP. A copy of the insurance policy or binder for such coverage, identifying SLOCPT as the beneficiary, should be included in the Respondent's proposal. SLOCPT requires the Respondent to provide first dollar coverage, i.e., no deductible. SLOCPT has determined that the cost to replace a lost file is \$2,000.

#### **C.7.2.1.4 Document Preparation Procedures**

The successful Respondent is responsible for document preparation prior to scanning and indexing.



### **C.7.2.1.5 Back-file Conversion Processes**

The equipment (including lights, automated feeders, etc.) used for all image capture shall not damage original materials nor shall the manner of its use cause damage. All scanning equipment is subject to the approval of SLOCPT.

In the delivered digital image, the top of the original document or page shall appear at the top of the display screen. SLOCPT requires presentation of the entire original sheet or page. In no event shall the actual document be cropped. In addition, images shall not be skewed.

A scanning log shall be kept that includes, at a minimum, the date and general description of the material scanned, as well as noting exceptions, problems, irregularities, and anomalies. The log shall also include the identification of the scanning operator and shall identify the particular scanning equipment used. The scanning log may be in machine-readable (preferred) or paper form. If a machine-readable log is proposed, it shall be produced using a commonly available software product (e.g., Word, Excel, Access, etc.) and/or delivered as a comma delimited ASCII file. SLOCPT will actively consult this log during the quality review of the materials delivered by the successful Respondent and during "emergency" retrievals of documents.

Batch file sizes should be limited to a size mutually agreed upon by SLOCPT and the successful Respondent after contract award. Respondents should describe in their proposals their suggested strategy and sizing of batches. Media for delivery of batches of images and indexes to SLOCPT by the successful Respondent will be compatible with SLOCPT hardware (e.g., CD, DVD, tape, etc.), and will be retained by SLOCPT after contract award. Costs for such media must be included in Respondents' proposals.

When delivered by the successful Respondent, the sets of images and indexes must also be coherently and logically named and/or numbered, placed in delivery directories and files, and accompanied by a carefully maintained scanning log and printed directory list. Each shipment of digital images delivered to SLOCPT shall include an itemized packing list or manifest.

The Respondent must be willing to guarantee an accuracy rate of 99.5% for all documents scanned, imaged, and indexed, except for those specifications or image attributes requiring 100% accuracy. For example, a batch of images will be rejected if, in a random sample lot size of two-hundred (200) documents, more than one document is found to be missing, duplicated, illegible, or otherwise defective.

Examples of items required to be 99.5% accurate include:

- File and image characteristics: level of compression and image size
- Image quality: blurred or indistinct image, loss of distinct features or lines, incomplete capture of page content, skewing, failure to apply treatment to printed halftones
- Other: failure to capture images completely, missing images, duplicate images, images out of order
- Accuracy of indexed data.

Examples of items required to be 100% accurate include:

- Content of file headers and tags
- File format
- Compression algorithm



- Resolution
- Pixel depth.

SLOCPT reserves the right to inspect the successful Respondent's facilities prior to and during the actual back-file conversion production of images and indexing data, including work and storage areas.

The successful Respondent is responsible for performing all inspections or evaluations of all digital files, file names, and directory names during production and prior to delivery to SLOCPT. All unacceptable (as determined by SLOCPT at its sole discretion) images, filenames, or directory names or entire batches shall be corrected at no additional cost to SLOCPT.

All delivery media will be inspected to ensure that the requirements stated in the RFP are met. Any delivery media or files which are non-functional in SLOCPT system shall be rejected. If there is a consistent failure in loading of samples or if their quality is not acceptable, the entire batch will be rejected. If isolated images fail, SLOCPT will prepare a list and, at SLOCPT sole discretion, return those images or the whole batch for correction at no additional cost to SLOCPT.

The Respondent is required to develop and submit in its proposal drafts of the written processes and procedures and acceptance criteria to be utilized for sample testing during the life of the project. These processes, procedures and criteria must include allowances for SLOCPT rejection of any batch of scanned, imaged, and indexed documents that do not meet the specified accuracy criteria. As requested by SLOCPT, on a case-by-case basis, the Respondent must agree to re-image and re-index all of, or individual records contained in, any batch that is rejected by SLOCPT due to error at no additional cost to SLOCPT. After award of the contract, the successful Respondent will update the processes, procedures and acceptance criteria and submit them to SLOCPT for final review, revision, and acceptance.

SLOCPT considers the quality and accuracy of the delivered scanned images and indexes as vital to SLOCPT acceptance of work performed by the successful Respondent. SLOCPT reserves the right to delay final acceptance of the deliverables (scanned images and indexes) for a period up to six (6) months following the completion of the back-file effort. During that time SLOCPT shall review and examine the images and indexes with due diligence to verify that images and indexes are correct and meet the established accuracy criteria. In the event that it is determined that document images or indexes are incorrect or that images are of poor quality resulting in failure to meet the established 99.5% accuracy level, the successful Respondent must provide corrective action to reproduce accurate images and indexes for the records in error at no additional cost to SLOCPT.

In its proposal, the Respondent is to include detailed flowcharts and diagrams which explicitly identify all processes specifically related to SLOCPT that the Respondent will utilize during the conversion.

The Respondent should include in the proposal its expectations for document turnaround by identifying the amount of time required to prepare the folder / pages, scan, index, deliver the imaged and indexed document and load it onto SLOCPT imaging system for viewing by SLOCPT QA staff.

#### **C.7.2.1.6 Quality Control / Quality Assurance**

A quality assurance / control program, in accordance with the requirements for accuracy and delivery stated in the RFP, shall be initiated and documented by the successful Respondent within the first thirty (30) days from the contract execution date. The QA Plan will be provided to SLOCPT for its review, feedback and approval. It will enumerate all activities and responsibilities of both



SLOCPT and the successful Respondent. This plan will be maintained throughout the life of this contract by the successful Respondent. SLOCPT expects that the successful Respondent shall perform quality control for 100% of deliverables. A specific quality control plan shall be implemented for each phase of contract performance beginning with capture of document images through conversion and ultimate acceptance by SLOCPT of all deliverables.

In its proposal, the Respondent should identify and include a description of its standard quality assurance and quality control approach and how it will be customized and applied to the SLOCPT project.

At a minimum, the successful Respondent shall be responsible for inspecting the accuracy of filenames and directories for all digital images, texts, and associated files produced under this effort. Inspection hardware, software, and procedures shall be of appropriate quality, accuracy, and quantity to ensure that all requirements are met. The successful Respondent shall document all quality control procedures, including actions taken to correct any problems, and submit a quality control report along with (or as a part of) the scanning log with each delivery to SLOCPT. The successful Respondent shall perform sufficient image inspection to ensure that deliveries of images to SLOCPT meet the acceptance criteria discussed below.

The successful Respondent shall ensure that image quality meets the following acceptance criteria:

- Complete page content has been captured
- Images are not skewed, blurred or indistinct
- Image size, position, level of compression, page orientation, and image resolution are correct

In addition to ensuring that the complete page content has been captured, the successful Respondent shall ensure that the complete source document has been scanned according to instructions provided, and that special instructions relating to specific materials have been followed. This includes ensuring that:

- Images and indexes are produced correctly for every required page and that no pages are missing
- Page images have not been duplicated during the scanning process
- Page images are numbered and delivered in the order they appear in the source document unless otherwise instructed

The successful Respondent will provide assistance (as well as written procedures) to SLOCPT such that SLOCPT staff can review and assure quality (QA) of the delivered images and indexes, ideally using the imaging solution and workstations included as part of the mandatory integrated retirement solution. The successful Respondent will also train SLOCPT staff in all aspects of the QA process. Quality assurance procedures to be provided by the Respondent must be designed to ensure 99.5% accuracy rate for all images and indexes.

In addition, a “statistical sampling engine” will be provided by the successful Respondent such that SLOCPT staff will be able to sample a user specified percentage (%) of images, i.e., 10%, 20%, 33%, etc.

The Respondent should include in its discussion of the quality control / quality assurance plan (in its proposal) whether it has received ISO 9000 certification for any of its activities.



### **C.7.2.1.7 SLOCPT Resources Provided**

In addition to the SLOCPT Project Manager, SLOCPT will provide the following resources to support the back-file conversion effort:

- Debbie Villalon – Quality Assurance - Someone responsible for the quality assurance of the imaged back-file documents. The Respondent is to specify in its proposal the level of effort recommended / needed for this activity.
- Myca Tan and/or County IT resource – Database Admin / Network - This person will be available on an as-needed basis. The Respondent is to specify in its proposal the level of effort recommended / needed for this activity.
- Debbie Villalon / Amy Burke - Records Manager - This person will be available on an as-needed basis. The Respondent is to specify in its proposal the level of effort recommended / needed for this activity.
- Amy Burke - Business Analyst (End-User) - This person will be available on an as-needed basis. The Respondent is to specify in its proposal the level of effort recommended / needed for this activity.

### **C.7.2.1.8 Project Control Methodology**

Respondent's proposal must include a detailed description of document security and control measures to be observed as a part of document preparation and scanning. This should include a description of quality assurance checks and balances and the control methodology proposed to insure that documents are accurately processed and accounted for.

In its description of the approach to ensuring the quality of the material imaged and indexed, the Respondent must include in its proposal the procedures that will be observed in the following areas:

- File / folder / document tracking (check in and check out). This procedure must include reconciliation of the number of files / folders / documents checked out to the successful Respondent vs. the number of files / folders / documents returned to SLOCPT. The reconciliation procedure must indicate when files / folders / documents were checked out and when they were returned.
- File / folder / document tracking log. This procedure must provide a mechanism for logging folders / documents in / out which will provide the capability to determine the current location of folders / documents by Folder #, SSN and/or name as requested by SLOCPT staff.
- Receipt of returned files / folders / documents and file images to SLOCPT staff. Folders / documents must be returned to SLOCPT in the same order they were delivered to the successful Respondent utilizing batching requirements documented by the successful Respondent and approved by SLOCPT.
- Quality verification of scanned images and indexes. This procedure must address the following quality issues:
  - Verification that all documents issued to the successful Respondent for processing are accounted for and have been returned to the file in exactly the same order as prior to shipment, except those that are discarded in accordance with procedures prepared by the successful Respondent and approved by SLOCPT.



- Verification of imaged and indexed documents. Minimum verification requirements are as follows:
  - ✓ Accuracy: All documents in the batch are imaged, and none is duplicated.
  - ✓ Correctness of imaged and indexed documents: Documents are correctly indexed to proper SLOCPT #, SSN, name, folder, document ID, etc.
  - ✓ Image quality: The image is clear and of high quality when viewed in both normal and zoom mode.
  - ✓ Positioning of image: Image is correctly displayed top to bottom and, if two sided, both sides can be viewed.
  
- Location and retrieval of folder / document for work in process. This procedure must provide for location and retrieval of a folder or document per user request in the event that a specific folder or document is needed which has been checked out to the successful Respondent for processing.

The Respondent's proposed control methodology must maintain and provide an accurate accounting of:

- The number of folders and the number of documents / pages in a folder
- The number of documents / pages that were scanned / imaged
- The number of documents / pages that were indexed
- Number of batches scanned, inspected / quality checked and indexed, for a given time period (by document type and in total)
- Total number of scan batches completed for a given time period
- Total number of rescans for a given time period
- Number of batches waiting in the index queue at any given time

#### **C.7.2.1.9 Back-file Conversion Approach Manual**

SLOCPT requires that the successful Respondent produce a formal Back-file Conversion Approach Manual. This deliverable will contain all necessary procedures related to the processing of the back-file conversion documents.

Topics such as the following must be included in this document:

- Removing information / notes / sticky-tabs, etc. from SLOCPT files
- Packaging
- Transportation of materials including pick-up, delivery and receipt
- Document / Page preparation and batching
- Scanning
- Verification and committal
- Image quality enhancement
- Image quality assurance (Respondent)
- Re-scanning
- Indexing
- Final quality assurance (Respondent)
- Re-indexing if necessary
- Preparation for delivery back to SLOCPT



- Delivery of scanned images and indexes to SLOCPT
- Load to QA environment
- SLOCPT quality assurance in QA environment
- Load to production environment
- SLOCPT quality assurance in production environment
- Return and re-filing of documents and/or folders at SLOCPT
- Training and assisting SLOCPT

#### **C.7.2.1.10 Transition Period Approach Manual**

SLOCPT requires that the successful Respondent produce a formal Transition Period Approach Manual. This deliverable will contain any and all procedures related to how the SLOCPT business operation will conduct its business during that transition period while both the day-forward and back-file conversion efforts are occurring. Topics such as the following must be included in this document:

- New documents received for a person whose folder conversion is “In Process”
- New documents received for a person whose folder conversion is “Completed ”
- Folders that are in transition from one grouping (i.e., Active, Retired, Deceased, etc.) to the next

#### **C.7.2.1.11 Back-file Conversion Scope**

SLOCPT has performed a preliminary scoping exercise to determine the volume / counts for the back-file conversion effort. The table below shows the various file types, grouping, level of indexing envisioned, and the approximate number of folders and approximate number of pages to compute an overall approximate number of pages for the entire back-file conversion effort.

SLOCPT is aware that our estimates are not exact and thus for purposes of the Respondent’s Cost Proposal please use these numbers when determining your proposed cost for this option. SLOCPT is also aware that there are numerous factors that can affect the scope and pricing for a back-file conversion effort – and those decisions will be discussed and contemplated while working with the awarded vendor should this option be authorized.

Therefore SLOCPT is interested as part of this procurement process in the Respondent’s overall approach, strategy, experience, etc. for purposes of evaluation – with the understanding that the Respondent’s cost information will be an accurate estimate but not an exact quote. It should be noted that during the Contract Negotiations (if this back-file conversion option is authorized with the awarded vendor); a more precise analysis of the volume and the exact cost for this option will be discussed and negotiated.



Table 10 Back-file Conversion Scope includes the preliminary scoping volume for the Back-file Conversion effort:

Table 10 Back-file Conversion Scope

File Type	Grouping	Level of Indexing	Approximate # of Folders	Approximate # of Pages	Approximate Total # of Pages
Physical Folder	Active Members	Discrete Document Type	2,500	40	100,000
Physical Folder	Reserved Members	Discrete Document Type	500	40	20,000
Physical Folder	Suspense	Discrete Document Type	100	40	4,000
Physical Folder	Retirees	Single Folder	2,500	100	250,000
Physical Folder	Terminated Members	Single Folder	5,000	40	200,000
Physical Folder	Deceased Members	Single Folder	3,000	100	300,000
			<b>13,600</b>		<b>874,000</b>
File Type	Grouping		Approximate # of Files	Approximate # of Pages	Approximate Total # of Pages
Imaged Files	Retirees	Single Image	2,500	100	250,000



## **PART D TERMS AND CONDITIONS**



## **D.1 GENERAL**

SLOCPT reserves the right to amend the RFP prior to the date of proposal submission. Amendments will be posted to the SLOCPT Web site at the following address:

<http://www.slocounty.ca.gov/PensionTrust.htm>

SLOCPT makes no representations or warranties, expressed or implied, as to the accuracy or completeness of the information in the RFP and nothing contained herein is or shall be relied upon as a promise or representation, whether as to the past or the future. The RFP does not purport to contain all of the information that may be required to evaluate the RFP and any recipient hereof should conduct its own independent analysis of SLOCPT and the data contained or referenced herein. SLOCPT does not anticipate updating or otherwise revising the RFP. However, this RFP may be withdrawn, modified, or re-circulated at any time at the sole discretion of SLOCPT.

SLOCPT reserves the right, at its sole discretion and without giving reasons or notice, at any time and in any respect, to alter these procedures, to change and alter any and all criteria, to terminate discussions, to accept or reject any Proposal, in whole or in part, to negotiate modifications or revisions to a Proposal and to negotiate with any one or more Respondents to the RFP.

SLOCPT is not and will not be under any obligation to accept, review or consider any Proposal to the RFP, and is not and will not be under any obligation to accept the lowest offer submitted or any offer at all. SLOCPT is not and will not be under any obligation to any recipient of, or any Respondent to, the RFP except as expressly stated in any binding agreement ultimately entered into with one or more parties, either as part of this RFP process, or otherwise.

This RFP is not an offer but a request to receive a Proposal. SLOCPT will consider a Proposal as an offer to develop an agreement based upon the contents of the Proposal. Respondents agree that the contents of their Proposals are valid for one year from the date of submission. SLOCPT will not be liable for any cost incurred in the preparation of a Proposal and will not reimburse any Respondents for their submission. Expenses related to the production of a Proposal are the sole responsibility of the Respondent.

Any Proposal submitted will become the property of SLOCPT. SLOCPT reserves the right to retain all Proposals submitted, and to use any information contained in a Proposal except as otherwise prohibited by law.

Respondents who submit proposals in advance of the deadline may withdraw, modify, and resubmit proposals at any time prior to the deadline for submitting proposals. Respondents must notify the SLOCPT Point of Contact, as identified in Section A.2.2, in writing if they wish to withdraw their proposals. Notifications of intent to withdraw proposals may be delivered electronically via email, but responsibility for confirmation of the delivery and receipt by SLOCPT rests solely with the Respondent.

If a Respondent has any existing client relationship(s) that involve the County or SLOCPT, the Respondent must disclose such relationship(s).



## D.2 CONTRACTUAL REQUIREMENTS

The successful Respondent will be required to enter an Agreement for Services with SLOCPT.

A draft / copy of a sample County contract is attached to the RFP in Attachment 11 and will be used as a basis for contract negotiations. The following provisions will be required of any agreement entered into with SLOCPT:

1. Within the proposed Agreement SLOCPT expects the Respondent will undertake certain obligations. These obligations include, but are not limited to, the following:
  - a. Inclusion of this Request for Proposal – The RFP, along with any SLOCPT approved Assumptions and Exceptions provided by the successful Respondent in Section A-1.4 and A-1.5 of their response will take precedence over the Respondent's Proposal.
  - b. Inclusion of Proposal - The proposal submitted in Proposal to this RFP will be incorporated as part of the Agreement for Professional Services. The executed contract between SLOCPT and the selected Respondent, however, shall have precedence over all other documents relating to the project.
  - c. Governing law for any agreement will be California law.
  - d. The successful Respondent(s) will be required to indemnify and hold the SLOCPT and its officers, agents, employees and assigns, harmless from any liability imposed for injury whether arising before or after completion of work hereunder, or in any manner directly or indirectly caused, occasioned or contributed to, or claimed to be caused, occasioned or contributed to, in whole or in part, by reason of any act or omission, including strict liability or negligence of Respondent, or of anyone acting under Respondent's direction or control or on its behalf, in connection with or incident to, or arising out of the performance of this contract.
  - e. Agreement to the privacy of information, including, but not limited to, SLOCPT member information.
  - f. The successful Respondent will be required to maintain the following insurance requirements during the time of performance of these services and contract period:
    - i. General Commercial Liability-occurrence form in amount of \$1,000,000 per occurrence (Combined Single Limit Bodily Injury and Property Damage) and \$2,000,000 Annual Aggregate;
    - ii. Auto Liability, including Hired Auto and Non-owned Auto, (Combined Single Limit Bodily Injury and Property Damage) in amount of \$1,000,000 per occurrence;
    - iii. Worker's Compensation Insurance in amount required by law; and
    - iv. Professional Liability insurance (may also be known as Errors & Omissions or E&O insurance) in the amount of not less than Five Million Dollars (\$5,000,000) per occurrence and in the aggregate. Such professional liability coverage will be a claims-made program with any prior acts exclusion predating both the date of this Agreement and any earlier commencement of services.

Insurance certificates must be submitted and accepted by SLOCPT prior to the completion of any awarded contract. Failure to obtain insurance satisfactory to SLOCPT will result in the rescission of any Notice of Award to the Respondent. Any contract awarded shall be void if this requirement is not met.



2. SLOCPT will not award contracts to nor accept proposals from individuals or entities that attempt to include any of the following in any proposed contract with SLOCPT:
  - a. Reduce or diminish the common law or statutory standard of care, make any attempt to limit liability, or reduce responsibility of the contractor for mistake, error, or negligence of any type.
  - b. Attempt to limit liability for breach of contract or negligent performance to the amount of the payment to the contractor by SLOCPT.
  - c. Attempt to claim ownership of intellectual property created during the performance of the contract with SLOCPT.
  - d. Attempt to include binding arbitration agreements or waive a trial by jury.
  - e. Attempt to select any forum for resolution of disputes other than San Luis Obispo, CA.
  - f. Attempt in any way to reallocate risk of loss by the Respondent to SLOCPT.
3. SLOCPT will not indemnify or provide legal defense to the Respondent for any reason associated with the Respondent's performance under this contract. SLOCPT has not waived any right or entitlement to claim governmental immunity under this contract.
4. SLOCPT expects a professional job, done commensurate with the standards and practices of the profession/or business. Any warranties disclaiming otherwise will not be acceptable. The product and services will not be accepted "as is".

Prior to award, the finalist(s) will be required to enter into discussions with SLOCPT to negotiate a contract and to resolve any contractual differences before an award is made. These discussions are to be finalized and all exceptions resolved within one (1) week of presentation to the SLOCPT Board of Trustees; if not, the Respondent's proposal may be rejected and discussions may be initiated with other Respondents.



### **D.3 INVOICING, PAYMENTS, HOLDBACKS, AND TRACKING THEREOF**

Although it is understood that many project deliverables will be submitted to SLOCPT by the selected Respondent, the structure of the deliverable based payments must correspond to the following table. Each functional rollout will be addressed with two (2) types of payments: 1) associated with meeting the User Acceptance Testing (UAT) Exit Criteria, and 2) following sixty (60) days of successful use of the functionality in production. Invoices for the contractual deliverables may be rendered only after each has been completed and formally accepted by SLOCPT.

SLOCPT is aware that Respondents may charge a license fee for their pension product. The following table is provided to illustrate the sequence and type of payment points. The sum of the cost of all contractual deliverables will equal the total fixed cost of the project.

There is a significant difference between SLOCPT's receipt of a contractual deliverable and SLOCPT's acceptance of that deliverable. It must be understood that in most cases, SLOCPT will require a minimum of thirty (30) days to provide formal written acceptance of a contractual deliverable. Only upon receipt by the Respondent of written acceptance from SLOCPT's Project Manager, may the contractual deliverable be invoiced to SLOCPT. All invoices must include a copy of the signed acceptance(s) by SLOCPT. Payments of invoices by SLOCPT will be made within thirty (30) days of receipt of the invoice for an accepted contractual deliverable.

**Each invoice for implementation services submitted to SLOCPT by the Respondent must reflect a 15% holdback amount.**

Upon acceptance of the first rollout (i.e., payment point #5) by SLOCPT's Project Manager, the Respondent will submit an invoice for the release of the 1<sup>st</sup> Holdback (i.e., payment point #6). Respondents are cautioned that SLOCPT's acceptance of the system as to when that will occur cannot be pre-defined. Acceptance will not be forthcoming until the solution is delivered – that is to say, not until all Requirements Traceability Matrix line items have been accepted AND all documentation is updated to reflect the “as-built” condition of the system AND all authorized change orders have been completed AND all “punch lists” have been resolved to SLOCPT's satisfaction.

Upon the conclusion of the warranty period, the Respondent will submit an invoice which includes the release of the 2<sup>nd</sup> Holdback (i.e., payment point #11), for payment by SLOCPT.

The Respondent should bear in mind the following terms:

- The “firm fixed price” will be defined in the contract resulting from this procurement based on the mandatory requirements.
- In the event of contract award, all agreements between the prime contractor and any subcontractors must be signed prior to the execution of the contract with the prime contractor by SLOCPT.
- All prices quoted must be good for a period of one hundred eighty (180) days after the proposal submission due date to SLOCPT.

Table 11 Implementation Payments explain each contractual deliverable, its acceptance criteria, and the magnitude of the payment to be associated with it. Within the cost proposal template, a similar table will be provided. Respondents are requested to complete this table accordingly.



Table 11 Implementation Payments

Payment Point	Title	Description / Acceptance	Percentage of Implementation Fees
1	Project Initiation and Start-up	Project Setup, Administration, and Acceptance of complete detailed project work plans	5%
2	Infrastructure, Hardware and Software Setup and Hosting	Payment of any License Fees Payment of any HW / SW and Infrastructure needed prior to the implementation / rollout (or) as part of the Hosting payment schedule	N/a or Flat Amount
3	Requirements Confirmation	Complete more-detailed requirements documented	10%
4	Rollout #1 - UAT Exit	All sub phase UAT Exit Criteria Met and ready for production (including but not limited to): <ul style="list-style-type: none"> <li>■ Data converted and cleaned</li> <li>■ User acceptance testing completed</li> <li>■ User training completed</li> <li>■ Number of defects within criteria</li> </ul>	12%
5	Rollout #1 - 60 Day Acceptance	Satisfactory completion of sixty (60) day usage in Production <ul style="list-style-type: none"> <li>■ No major problems</li> <li>■ An acceptable plan in place to resolve additional issues identified in the first sixty (60) days.</li> </ul>	23%
6	Release of 1 <sup>st</sup> Holdback (for Payment Points 1 thru 5)	Release of 1 <sup>st</sup> Holdback (for Payment Points 1 thru 5)	N/A
7	Rollout #2 - UAT Exit	All sub phase UAT Exit Criteria Met and ready for production (including but not limited to): <ul style="list-style-type: none"> <li>■ Data converted and cleaned</li> <li>■ User acceptance testing completed</li> <li>■ User training completed;</li> </ul> Number of defects within criteria	10%
8	Rollout #2 - 60 Day Acceptance	Satisfactory completion of sixty (60) day usage in Production <ul style="list-style-type: none"> <li>■ No major problems</li> </ul> An acceptable plan in place to resolve additional issues identified in the first sixty (60) days	20%
9	Post Implementation Support	Post Implementation Support	10%
10	One (1) Year Warranty	Warranty period completed. All PIR's identified during and prior to the Warranty resolved. No more PIR's will be reported after the end of this period (those are support). All agreed upon upgrades provided – e.g., software, tax tables, federal reporting.	10%
11	Release of 2 <sup>nd</sup> Holdback (for Payment points 6 thru 11)	Remainder of all payment holdbacks is released	N/A



## **D.4 HOSTING SERVICES AND SERVICE LEVEL TERMS**

As set forth in the RFP, in Section C.4.3, SLOCPT expects certain hosting service level terms and guarantees, along with minimum technical and physical security requirements. Furthermore the items below are mandatory in the final Hosting Services Agreement:

- Respondent shall notify SLOCPT if the SLOCPT Data is to be relocated from its current hosting location thirty (30) days prior to the relocation of the data.
- Respondent will at all times during the term of the SLA provide and will maintain, up-to-date security and anti-virus with respect to the Hosting System's physical facilities, and networks, to prevent unauthorized access or "hacking" of the Hosting System and SLOCPT's data.
- Hosting Vendor will promptly install all patches, fixes, upgrades, updates and new versions of any security software it employs.
- All SLOCPT Data transmitted, accessed or processed as part of the services and used in the Hosting System is SLOCPT's confidential information.
- Annual Provision for SOC 2, Type 2 audit report prepared by an independent certified public accounting firm under Statement on Standards for Attestation Engagements No. 16 ("SSAE 16 Report") for each facility from which the Hosting System and Services are provided. The Hosting Vendor will provide SLOCPT with a copy of each SSAE 16 Report within thirty (30) days of request.
- As a part of the Hosting System and Services maintain a backup of SLOCPT's data and for an orderly and timely recovery of such data in the event that the Services may be interrupted. Respondent will maintain a contemporaneous backup of SLOCPT's data that can be recovered within four (4) hours at any point in time. An offsite copy of data will also be maintained where in the event of a full disaster, SLOCPT should have all services restored within twenty-four (24) hours.
- Inspection of Data. Upon a reasonable request by SLOCPT, Respondent will allow for on-site inspections by SLOCPT or its authorized representative as needed to demonstrate that all facilities supporting SLOCPT Data and the Software have adequate safeguards to assure that needed logical and physical separation is in place and enforced to insure data security, physical security, and transport security.
- Insurance for vulnerability, hacking, etc.
- Inability to meet service level agreements will result in payment credits to SLOCPT.



## **D.5 CONFIDENTIALITY REQUIREMENTS**

Staff members that are assigned by the successful Respondent to this project, such as employees of the Respondent, sub-contractors to the Respondent or employees of sub-contractors, may be required to sign a SLOCPT non-disclosure statement.

SLOCPT may treat all information submitted by a Respondent as public information following the conclusion of the selection process unless the Respondent properly requests that information be treated as confidential at the time of submitting the bid proposal. Respondents should be aware that SLOCPT's release of information is governed by both the California Public Records Act (Cal. Gov't Code §§6250 et. seq.) and the Brown Act open meetings law (Cal. Gov't Code §§54950 et. seq.). Under these laws, SLOCPT may be required to release information submitted by Respondent. Respondents are encouraged to familiarize themselves with these laws before submitting a proposal. All Proposals and the contents thereof will be deemed to be public records open to public inspection after the conclusion of the RFP process and award and execution of a contract unless Respondents previously requested that specific information be treated as confidential and SLOCPT has deemed such information to be confidential under applicable law.

Any bid proposal submitted which contains confidential information must be conspicuously marked on the outside as containing confidential information, and each page upon which confidential information appears must be conspicuously marked as containing confidential information. All proprietary information or trade secret information must be clearly marked in the Proposal as confidential. The Respondent's failure to request confidential treatment of material will be deemed by SLOCPT as a waiver of any right to confidentiality which the Respondent may have had. Identification of the entire bid proposal as confidential may be deemed non-responsive and disqualify the Respondent.

Any request for confidential treatment of information must also be included in the transmittal letter with the Respondent's bid proposal. In addition, the Respondent must enumerate the specific grounds in California Public Records Act or other applicable law that support treatment of the material as confidential. The request for confidential treatment of information must also include the name, address, and telephone number of the person authorized by the Respondent to respond to any inquiries by SLOCPT concerning the confidential status of the materials. The Respondent may be required to submit additional legal analysis in response to specific information requests made under the Public Records Act or other laws to SLOCPT for information provided by the Respondent that Respondent deems to be confidential.

If the Respondent designates any portion of the proposal as confidential, the Respondent must submit one copy of the bid proposal from which the confidential information has been excised or redacted. This excised copy is in addition to the number of copies requested in Section E.1 of this RFP. The confidential material must be excised in such a way as to allow the public to determine the general nature of the material removed and to retain as much of the bid proposal as possible.



## **D.6 OWNERSHIP OF WORK PRODUCT AND INTELLECTUAL CAPITAL**

All work products and deliverables produced under contracts awarded as a result of this bid will be the exclusive property of the SLOCPT. This includes, but is not limited to, software, documentation, and development materials.

SLOCPT expects Respondents to license the use of all proposed software solutions (i.e. the Pension Administration Solution, any proposed software tools such as Enterprise Content Management and Workflow) in perpetuity. The Respondent's proposal must clearly describe the terms of all licensing considerations, such as an End User License Agreement.

SLOCPT requires that all licensed source code be deposited in escrow. "Source Code," means all source code of the software, together with all commentary and other materials supporting, incorporated into or necessary for the use of such source code, including all supporting configuration and customizations for SLOCPT, documentation, and other resource files SLOCPT will have the right to obtain the Source Code in the event:

- The Respondent ceases doing business and its business is not continued by another corporation or entity
- The Respondent files a voluntary petition or has a voluntary petition filed against it under the United Bankruptcy Code, as amended or similar insolvency statute, makes an assignment for the benefit of its creditors generally or seeks the appointment of (or has appointed involuntarily) a receiver, becomes insolvent or bankrupt, admits in writing its inability to pay its debts as they mature or taken any action for the purpose of entering into winding-up, dissolution, insolvency, bankruptcy, reorganization or similar proceedings analogous in purpose or effect thereto, or any such action is instituted against it
- Maintenance and support for the Software is no longer available
- The Respondent declines to provide any services that are essential to SLOCPT's use of the System



## D.7 PROJECT TERMINATION

Respondents are advised that SLOCPT expects to complete the effort with a single Respondent. However, the proposals and ensuing contracts shall provide that at the end of any phase, SLOCPT may, at its sole discretion and with no penalty, terminate the effort and not move forward with the Respondent to a subsequent phase.

Should SLOCPT elect to terminate the project at the end of any phase, the termination shall be subject to the following terms and conditions:

- Termination shall become effective upon SLOCPT sending written or electronic notice to the Respondent. SLOCPT shall only be liable for payment of an amount equal to the costs allocated to the phases that were completed and accepted by SLOCPT; SLOCPT shall not be liable for any other cost, overhead, profits, or damages.
- Termination shall not be considered for cause or for default, and notice of termination shall not constitute an admission or accusation of any wrongdoing on the Respondent's part in connection with the termination.
- Upon termination, SLOCPT and the Respondent shall each execute a covenant not to sue and a general release of all claims or potential claims, including those for costs, profits, liabilities, or damages, as of the date of termination. However, SLOCPT may assert a claim that Contractor failed to return SLOCPT materials and data, which shall include all original files and other materials, and all copies, including unauthorized copies, of such materials in all media, including portions of either originals or copies, in Respondent's possession or under its control. The Respondent shall agree that it will refrain from using any such materials or copies thereof. SLOCPT materials consist of but are not limited to devices, records, data, notes, reports, proposals, business cards, letters, specifications, drawings, equipment, and other materials. The Respondent shall agree to erase or destroy any SLOCPT materials and portions thereof contained in all types of computer memory, and so warrant in writing to SLOCPT within thirty (30) days of termination.

SLOCPT reserves the right to modify these termination requirements prior to the execution of any agreement between the parties and if applicable, the termination provision in the agreement shall govern over this section.



## **D.8 EXCEPTIONS TO TERMS AND CONDITIONS**

If Respondent(s) takes exception to any term or condition set forth in this Request for Proposal, these exceptions must be clearly identified in their Proposal in Section A-1.5. Such exceptions shall be considered in the evaluation and award process. SLOCPT shall be the sole determiner of the acceptability of any exception.



## **PART E RESPONDENT PROPOSALS**



## E.1 FORMAT OF RESPONDENT PROPOSALS

This section sets forth the format that must be followed by Respondents in developing their proposals in response to this RFP. Proposals that vary from this prescribed format are subject to being judged non-compliant and withdrawn from consideration.

The Respondent must understand that SLOCPT will view the degree of compliance with this section as an indication of the degree of cooperation to be expected from the contractor in working with SLOCPT after contract award. SLOCPT's request in this vein is not arbitrary; rather it is designed to enable the evaluation team to compare, in as straightforward a manner as possible, the contents of all proposals. Thus, it is in the Respondent's best interest to organize its proposal as described below.

Respondents are to submit separately bound and packaged Technical and Cost Proposals. No cost information is to be included in the Technical Proposal – with the single exception of Section 1.5, Exceptions, in which it is permissible for Respondents to include relative or differential cost information. Please refer to the discussion for Respondent proposal Section A-1.5 Exceptions, below.

The proposals are to be prepared on standard 8½" x 11" white paper. All proposals are to be in single-column format and page-numbered from first page to last, with the permitted exception of attachments to the proposal. A Table of Contents must be included. Foldouts containing charts, spreadsheets, and other necessary supporting documentation are permissible, but must be held to a minimum. The pages must be placed in a binder with tabs separating the major sections outlined below. Figures and tables must be numbered and referenced in the text by that number.

The following information must appear on the title page of each copy of both the Technical and Cost Proposal:

<p><b>San Luis Obispo County Pension Trust (SLOCPT)</b></p> <p>Technical or Cost Proposal in Response to</p> <p>Request for Proposal for Pension Administration System</p> <p>Federal Tax ID Number: _____ Dun and Bradstreet No.: _____</p> <p>Closing date and time for submission of proposals: _____</p> <p>[Name, title, address, voice, and fax telephone numbers of organization submitting proposal]</p> <p>Signature _____</p>
---

An individual authorized to bind the Respondent to its provisions must sign proposals. The proposal must remain valid for at least one hundred eighty (180) days from the proposal receipt deadline.

Respondents must provide the following number and type of submissions when submitting their proposals:

- Six (6) color originals (marked as original) of the Technical Proposal.



- Six (6) color originals (marked as original) of the Cost Proposal.
- Two (2) CDs/Thumb Drives of the Technical Proposal; in Microsoft Word and/or Excel format – one folder containing technical proposal as submitted and another folder containing technical proposal with confidential information redacted or removed and in PDF format (refer to Section D.5 for provisions relating to confidential proposal material).
- Two (2) CDs/Thumb Drives of the Cost Proposal; in Microsoft Word and/or Excel format – one folder containing cost proposal as submitted and another folder containing cost proposal in PDF format (refer to Section D.5 for provisions relating to confidential proposal material).

Note that the Word and Excel files should have no locks, controls, or other protections or restrictions that prevent reviewers from inserting comments, revisions, etc. that would expedite reviews

The printed copies of proposals and the electronic version must be clearly labeled so as to be easily identifiable with the Respondent's submission. The Word and Excel files must be provided in an "unlocked" form that will allow SLOCPT to edit, insert comments, "cut-and-paste" and annotate the documents and spreadsheets with comments and revisions during its evaluation. Finally, we point out that SLOCPT's internal review of the electronic version of the response is greatly facilitated if the proposal is a single MS Word document.

SLOCPT recognizes that Respondents may wish to copy the required cost spreadsheets into their cost proposals in picture format (to ensure that bid information cannot be altered). While this approach is acceptable, the Respondent must also provide the source MS Excel spreadsheets (unprotected .xlsx files) for the media containing the cost proposal.



## E.1.1 TECHNICAL PROPOSAL FORMAT

The organization and content of the Respondent's Technical Proposal must conform to the outline set forth below. Section numbering of the Respondent's proposal must agree with the outline. Following the outline is a description of the information that must be included in each section of the proposal.

### Table of Contents

#### Proposal Letter

<b>PART A</b>	<b>Respondent Information</b>
A-1	General Information
A-1.1	Respondent Certifications and Affirmations
A-1.2	Statement of Understanding
A-1.3	High Level Deliverables
A-1.4	Assumptions
A-1.5	Exceptions
A-1.6	Warranty Limitations
A-2	Respondent Qualifications
A-2.1	Corporate Background
A-2.2	Relevant Project Experience
A-2.2.1	Client References
A-2.3	Financial Information
A-2.4	Respondent Staffing
<b>PART B</b>	<b>Respondent Response to Project Scope</b>
B-1	Response to Business Functional Requirements (C3 of RFP)
B-2	Response to Technical Requirements (C4 of RFP)
B-3	Response to Project Management and Implementation Services (C5 of RFP)
B-4	Response to Other Required Services and Deliverables (C6 of RFP)
B-5	Response to Optional Requirements (C7 of RFP)
<b>ATTACHMENTS</b>	
Attachment 1	Completion of "To-Be" Requirements Matrix
Attachment 2	Respondent's Annual Financial Report
Attachment 3	Comprehensive List of all Documentation to be delivered
Attachment 4	Samples of Application Documentation
Attachment 5	Menu and Screen Snapshots
Attachment 6	High-level work plan
Attachment 7	Sample Data Conversion Plan
Attachment 8	Sample Test Plan
Attachment 9	List of Standard Reports



Attachment 10	Report Samples
Attachment 11	Samples of Previously Used Status Reports
Attachment 12	Proposed Implementation, License, Hosting and Maintenance Agreement
Attachment 13	Hosting Center / SLOCPT Data Schematic
Attachment 14	Subcontractor Letters of Commitment
Attachment 15	Subcontractor Agreements

Specific contents to be included in each section of the Respondent's proposal are discussed in detail below.

## TABLE OF CONTENTS

Each page of the proposal must be numbered (with the possible exception of pre-printed material included in attachments), and each section heading must appear in the proposal Table of Contents.

## PROPOSAL LETTER

The Proposal Letter must be included and must be signed by a person authorized to legally bind the company. The letter should include a statement indicating that the Respondent meets the minimum qualifications for both the Company and for the Proposed Project Manager as described in Section A.1.3 of the RFP. Supporting details for these statements must be included for both the Respondent and the Project Manager in the Respondent proposal sections A-2.2.1 and A-2.4, respectively.

**Failure to include this signed proposal letter may result Respondent's proposal being deemed nonresponsive.**

## PART A RESPONDENT INFORMATION

### A-1 GENERAL INFORMATION

#### A-1.1 RESPONDENT CERTIFICATIONS AND AFFIRMATIONS

In this section, the Respondent must include the following statements of affirmation:

- A statement regarding the Respondent's legal structure (e.g., a LLC, a corporation), Federal tax identification number, and principal place of business
- A list of the people who prepared the Respondent's proposal, including their titles
- The name, phone number, and email of a contact person who has authority to answer questions regarding the Respondent's proposal
- A list of all subcontractors, if any, that the Respondent will use on the project if the Respondent is selected to do the work – for each proposed subcontractor, the Respondent must include (in Attachment 15 of the technical proposal) a letter from the subcontractor, signed by someone authorized to legally bind the subcontractor, with the following information included in the letter:
  - The subcontractor's legal status, tax identification number, and principal place of business address
  - The name and phone number of someone who is authorized to legally bind the subcontractor to contractual obligations
  - A description of the work the subcontractor will do
  - A commitment to do the work if the Respondent is selected



- ❑ A statement that the subcontractor has read and understood the RFP and will comply with the requirements of the RFP
- A statement affirming the Respondent's commitment to develop a full set of all of the rules, regulations, procedures, and practices that need to be accommodated in the new solution (refer to Section C.3 for additional information)
- Affirmation that the Respondent's organization is the prime contractor and the primary point of contact with regard to contractual matters. The Respondent must confirm that should any third party provider go out of business or otherwise become unable to fulfill its contractual obligations to SLOCPT with respect to this procurement, then the Respondent (prime contractor) will guarantee delivery of the same or equivalent products and services at the contractually agreed upon price.
- Affirmation that the Respondent has reviewed the "Current 'As Is' Business Functionality," as provided in the RFP and included as Attachment 2 of the RFP.
- Affirmation that all requirements expressed in this RFP must be met by the solution implemented by the Respondent unless an explicit written agreement to delete one or more of the RFP's provisions is signed by both SLOCPT and the Respondent (see Section C.5.2.6).
- For the period of time starting with the publishing of the RFP and up until the award of a resulting contract, identification of any contact that the Respondent, a lobbyist, or any other third party which has been retained by the Respondent in any manner has had with SLOCPT staff or SLOCPT Trustees related to the procurement. In addition describe the nature of the contact, the dates, and the substance thereof. Failure to do so accurately may be grounds for rejection of your proposal and/or cancellation of any subsequent contract.
- Identify any occurrence or anticipated occurrence which might reasonably be expected to have a material effect upon your ability to meet your contractual obligations to SLOCPT. Occurrences may include, but are not limited to, the following:
  - ❑ Disposal of major assets;
  - ❑ Any major computer or system upgrade or conversion;
  - ❑ Gain or loss of clients;
  - ❑ Insolvency or the imposition of, or notice of the intent to impose, a receivership, conservatorship or special regulatory monitoring or any bankruptcy proceedings, voluntary or involuntary, or reorganization proceedings;
  - ❑ Reorganization, reduction and/or relocation of key personnel;
  - ❑ Known or anticipated merger or acquisition;
  - ❑ Known, planned or anticipated stock sales;
  - ❑ Any litigation filed against;
  - ❑ Any sale or merger; or
  - ❑ Significant change in market share or service focus.

If an occurrence of the above is expected to not have a material effect upon your ability to meet your contractual obligations to SLOCPT please explain.

The Respondent must also include a single statement indicating they can certify each of the following seven (7) certifications:



1. Certification as to whether the Respondent has ever had a contract terminated for default or cause. If so, the Respondent must submit full details, including the other party's name, address, and telephone number.
2. Certification as to whether the Respondent has ever been assessed any penalties in excess of five thousand dollars (\$5,000), including liquidated damages, under any of its existing or past contracts with any organization (including any governmental entity). If so, the Respondent must provide complete details, including the name of the other organization, the reason for the penalty, and the penalty amount for each incident.
3. Certification as to whether a client has ever demanded payment of a performance bond or a bid bond of the Respondent. If so, provide the name of the client, client contact information and an explanation of the circumstances.
4. Certification as to whether the Respondent has ever been, or is currently, the subject of any governmental action limiting the right of the Respondent to do business with that entity or any other governmental entity.
5. Certification as to whether trading in the stock of the offering company has ever been suspended. If so, provide the date(s) and explanation(s).
6. Certification as to whether the Respondent, any officer of the Respondent, or any owner of a twenty percent (20%) interest or greater in the Respondent has filed for bankruptcy, reorganization, a debt arrangement, moratorium, or any proceeding under any bankruptcy or insolvency law, or any dissolution or liquidation proceeding.
7. Certification as to whether the Respondent, any officer of the Respondent, or any owner with a twenty percent (20%) interest or greater in the Respondent has been convicted of a felony or is currently under indictment on any felony charge.

If the answer to any of the last seven (7) certification items above is affirmative, the Respondent must provide complete details about the matter. An affirmative answer to any of these items will not automatically disqualify a Respondent from consideration. However, at the sole discretion of the evaluation team, such an answer and a review of the background details may result in a rejection of the Respondent's proposal. The team will make this decision based on its determination of the seriousness of the matter, the matter's possible impact on the Respondent's performance on this project, and the best interests of SLOCPT.

#### **A-1.2 STATEMENT OF UNDERSTANDING**

In this section, the Respondent must summarize its understanding of the requirements set forth in the RFP. The Respondent may also reference, in general terms, projects it has successfully completed that met requirements similar to those of SLOCPT.

#### **A-1.3 HIGH LEVEL DELIVERABLES**

In this section of the proposal, the Respondent must identify and briefly describe the high level deliverables to be provided to SLOCPT over the course of the project. The Respondent must make the commitment to include all of the high level deliverables discussed in Section C.2 of the RFP. The Respondent is encouraged to identify additional deliverables as it deems appropriate. In the cost proposal, the Respondent will be required to allocate project costs against the high level project deliverables identified in this section.

#### **A-1.4 ASSUMPTIONS**

In this section, the Respondent must identify and discuss all assumptions it has made in preparing its technical and cost proposals. Further, the Respondent must state that there are no further



assumptions related to meeting requirements of the RFP other than those enumerated in this section of the proposal.

Please include any assumptions you have made with regard to facilities to be provided by SLOCPT for office space and meeting / training rooms as well as availability of SLOCPT human resources.

Any assumptions mentioned elsewhere in the Respondent's proposal will not be valid unless they are also listed in this section.

In setting forth their assumptions, Respondents should note the difference between "assumptions" and "exceptions" and take care that no **exceptions** to the RFP's requirements are included. Valid "assumptions" are suppositions made by the Respondent about issues on which the RFP is silent. "Exceptions" are suppositions made by the Respondent that contradict, or fail to conform with, one or more of the requirements stated in the RFP. Any items that are actually exceptions to the RFP's requirements, but misrepresented by the Respondent as assumptions in Section A-1.4 of the proposal, will be treated as exceptions by SLOCPT – and will, due to the misrepresentation, have a greater negative affect on the Respondent's technical score than would be the case had the item been correctly classified by the Respondent as an exception. (See A-1.5 Exceptions below for a discussion of how to set forth exceptions.)

### **A-1.5 EXCEPTIONS**

In this section of the proposal the offer must provide any exceptions to the contents of the RFP including the SLOCPT Terms and Conditions. For each exception listed, the Respondent is required to propose at least one alternative that would still be acceptable to the Respondent, as a potential Vendor, and that the Respondent reasonably believes will be acceptable to SLOCPT. In other words, the Respondent is required to be creative in addressing all exceptions by setting forth one or more alternative versions of each one (alternative A and B) in the hope that the Respondent and SLOCPT will more quickly arrive at a mutually acceptable compromise. The alternative versions of each Respondent exception may take various forms – again, the Respondent is being encouraged to apply creativity in order to accommodate any and all legitimate Respondent's reservations in a fashion that will not lead SLOCPT to reject the bid due to onerous exceptions.

Any exceptions mentioned elsewhere in the Respondent's proposal will not be valid unless they are also listed in this section.

### **A-1.6 WARRANTY LIMITATIONS**

In this section of the proposal, the Respondent must state any and all limitations and constraints with respect to software maintenance and warranty. They must be explained in terms of risk, change control, and cost implication. Only those limitations and constraints identified in this single section of the proposal will be considered by SLOCPT; any others not included in the single, appropriately labeled section will not be considered or honored by SLOCPT.

### **A-2.0 RESPONDENT'S QUALIFICATIONS**

This section shall include details on the experience of the Respondent and Respondent's recent clients having requirements similar to those of SLOCPT.

#### **A-2.1 CORPORATE BACKGROUND**

This is an introduction to the Respondent's company: its history, scope of operations, organization, size, and any other relevant information about the company that the Respondent desires to include.

In this section, the Respondent must provide basic information about its organization, including the following:



- The names, titles and length of tenure of the top five officers of the company (or its subsidiary or operating division responsible for this project). For any whose time in the position is less than a year, provide the name of his or her predecessor and the reason for the change in position
- Any change in the ownership status of the company in the past three years (or any forthcoming change)
- Company and product visions; must demonstrate commitment to product life and enhancement for at least eight years
- Inclusion of the following table in response to this section

Table 12 - Respondent Company Summary

Company Name	
Principal Office Location	
Where Incorporated	
Other offices where work will be performed for SLOCPT	
Current Number of Employees	
Five Year Average of Staffing Size	
Number of Years in Business	
Number of Years in Pension Business	
Total Number of Pension Administration Solution Clients	
Total Number of Implementation Projects currently in Progress (i.e. Projects between Initiation and Go-Live Date)	

### A-2.2 RELEVANT PROJECT EXPERIENCE AND REFERENCES

The Respondent must provide a representative client list, that includes the year implemented or it should be noted if the project is still in progress.

The details of Respondent's experience relevant to the project shall include a summary of the Respondent's experience over the past five (5) years in implementing new, integrated pension administration systems for defined benefit, public employee retirement systems with membership of at least 5,000.

Respondents should submit a list of at least three current and former (within the past five years) references. All references may be contacted by SLOCPT to verify the Respondent's claims. Respondents are advised to ensure that the contact person's telephone number is current and that



each reference contact is willing to discuss the Respondent's performance with the evaluation committee.

One (1) person with knowledge of several projects qualifies as only a single reference.

Respondents are encouraged to include more than three references if they wish. If subcontractors are being proposed, preference will be given to Respondents who can cite multiple projects on which the Respondent / subcontractor **team** being proposed to SLOCPT previously collaborated.

Reference information should be provided by using the form on the following page. Replicate the form as necessary to provide profiles of all client references.



## Form 1 Respondent Client Reference Form

<b>SLOCPT PENSION ADMINISTRATION SOLUTION PROJECT – RESPONDENT CLIENT REFERENCE</b>			
<b>Reference #:</b>	<b>Respondent Name:</b>	<b>Project Name:</b>	
<b>Client:</b>	<b>Client Address:</b>		
<b>Type of Organization:</b>			
<b>Client Phone:</b>			
<b>Contact Name:</b>	<b>Contact Address:</b>		
<b>Contact Title:</b>			
<b>Contact Phone:</b>	<b>Contact Email Address:</b>		
<b>Start Date:</b>	<b>End Date:</b>	<b>Initial Project Cost:</b>	<b>Final Project Cost:</b>
<b>Hardware Configuration:</b>		<b>Description of Application:</b>	
<b>Project Summary (business problem, scope, approach, resources applied):</b>          			
<b>Major Subcontractors Supporting the Referenced Project –</b> <b>Subcontractors:</b> _____ <b>Roles:</b> _____			
<b>Similarity to SLOCPT Project:</b>          			
<b>List all Respondent Staff members proposed to SLOCPT who also supported the referenced project:</b> <b>Staff Member Name:</b> _____ <b>Proposed Role for SLOCPT:</b> _____ <b>Role on Referenced Project:</b> _____			



### **A-2.3 FINANCIAL INFORMATION**

This section of the proposal must contain Respondent's current and two previous years' audited financial statements, including consolidated balance sheets and income statements (statement of profit and loss). Failure to provide this information may be grounds for rejecting Respondent's proposal. (The Respondent's annual report to shareholders should be included as an attachment – see below.) The Respondent must describe the trends of the last five years in revenues, employees, and profitability. If the Respondent is a subsidiary of a larger corporation, financial information specific to the Respondent is required. An overall corporate information package may also be submitted.

Identify any legal actions, lawsuits, arbitration or formal protests related to public employee retirement systems projects in which the Respondent is currently involved as a defendant at the time the proposal is submitted. Additionally, identify any other such actions in which the Respondent has been involved during the past five (5) years.

Any delisting of Respondent's stock must be disclosed and described.

Any changes in corporate ownership, changes in CEO, CFO, or COO in the past 5 years or projected in the next six (6) months must be described.

The Respondent must inform SLOCPT if any site used as a reference has a financial relationship with the Respondent whereby the client may receive any sort of compensation, including but not limited to reduction in fees, commission, and/or credits based on references leading to sales of Respondent's software, hardware, other products, or services.

The Respondent must summarize the percentage of its organization's current revenue that is derived from retirement system solution implementations (and, as a separate calculation, the percentage of revenue derived from retirement system consulting, actuarial engagements, and the like). Similar information must be provided for each of the previous two (2) years.

*NOTE: The above reference to financial statements does not need to be provided in hard copy format. An electronic copy will suffice.*

### **A-2.4 RESPONDENT STAFFING**

In this section, the Respondent must provide detailed descriptions of how the Respondent's team experience will meet the project requirements. Include team members' resumes (as discussed below), tailored to highlight experience and skills specifically relevant to their role on this effort. This section of the proposal must include the qualifications of the project manager and staff to be assigned to accomplish this project.

The Respondent must designate a single project manager to represent and oversee the project. This person will serve as the focal and contact point for all business matters relating to the project.

The Respondent must provide a list of all the key personnel, as defined in Section C.5.4.4 of the RFP, to be assigned to any part of the project. Respondents are encouraged to specifically identify additional project staff members if possible. The assigned staff should be identified and provided in the Respondent's proposal using Table 13 Proposed Staffing Summary.



Table 13 Proposed Staffing Summary

Role	Staff Name	Company Name / Location	SLOCPT Key Person?	Assigned for Entire Project?	% of Time Assigned to SLOCPT Project	% Onsite	Years with Company	Years of Pension Experience
Project Manager			Ex: Yes or No	Ex: Yes or No	%	%		
Lead Analyst								
etc.								

SLOCPT understands that the Respondent may have one or more other proposals open and under consideration by other prospective clients and that the Respondent’s staff included in the SLOCPT proposal may have been included in these other proposals. For any Respondent resource so allocated, the Respondent shall indicate in its proposal the role for which each such resource was assigned for each open proposal and the capacity (e.g., hours, % FTE) for which they have been proposed. In addition, the Respondent will indicate what method it will use to resolve any conflict arising from the award of contracts competing for these resources.

Respondents shall also include the resumes of all key employees (project manager, lead analyst, and the other key staff), and any other proposed staff members who are identified by name in the proposal. Those resumes must describe in detail the employee’s experience in similar efforts as well as past education and training. Each resume shall include as its first page a Resume Summary prepared by the Respondent using the form provided on the following page. Each Resume Summary **must** include three (3) professional personal references for the particular staff member. These professional references must be provided by the Respondent’s client staff members, from three different clients. Professional references from within the Respondent organization are **not** acceptable.

Respondents must also confirm in this section of the proposal their understanding that:

- Personnel whose names and resumes are submitted in the proposal shall not be removed from this project without prior approval of SLOCPT. Substitute or additional personnel shall not be used for this project until a resume is received and approved by SLOCPT.
- SLOCPT shall have the right to request, and the contractor will comply with any such request, the removal of any Respondent’s staff members from all work on this project immediately.
- The replacement for any staff member who is removed from or leaves the project for any reason must match or exceed the replaced staff member in terms of skill level and experience and subject to SLOCPT approval.



## Form 2 Respondent Staff Resume Summary Form

<b>SLOCPT PENSION ADMINISTRATION SOLUTION PROJECT – RESUME SUMMARY</b>	
<b>Staff Member Name:</b>	
<b>Proposed Role on SLOCPT Project:</b>	
<b>Number of years of professional experience –</b> <b>Total:</b> _____ <b>Retirement system:</b> _____ <b>In role proposed for SLOCPT project:</b> _____	
<b>Education (indicate institutions attended and degrees obtained):</b>	
<b>Professional Reference #1</b>	
<b>Client Name and Address:</b>	<b>Project Title:</b>
	<b>Staff Member's Role on Project:</b>
<b>Contact Name:</b>	<b>Description of Services Provided:</b>
<b>Contact Title:</b>	
<b>Contact Phone:</b>	
<b>Contact E-mail:</b>	
<b>Start Date:</b> _____ <b>End Date:</b> _____	
<b>Professional Reference #2</b>	
<b>Client Name and Address:</b>	<b>Project Title:</b>
	<b>Staff Member's Role on Project:</b>
<b>Contact Name:</b>	<b>Description of Services Provided:</b>
<b>Contact Title:</b>	
<b>Contact Phone:</b>	
<b>Contact E-mail:</b>	
<b>Start Date:</b> _____ <b>End Date:</b> _____	
<b>Professional Reference #3</b>	
<b>Client Name and Address:</b>	<b>Project Title:</b>
	<b>Staff Member's Role on Project:</b>
<b>Contact Name:</b>	<b>Description of Services Provided:</b>
<b>Contact Title:</b>	
<b>Contact Phone:</b>	
<b>Contact E-mail:</b>	
<b>Start Date:</b> _____ <b>End Date:</b> _____	



## **PART B      RESPONDENT RESPONSE TO PROJECT SCOPE**

PART B of the proposal will contain the Respondent's response to the project scope. It is to include all of the sections/subsections of PART C of the RFP beginning with Section C.3.

### **ATTACHMENTS**

#### **ATTACHMENT 1      COMPLETION OF "TO-BE" REQUIREMENTS MATRIX**

This attachment will represent a Respondent completed version of RFP Attachment 1 as described in Section C.3 (This is available on SLOCPT procurement site as an Excel Workbook). The Respondent will be required to complete the column labeled **Vendor Solution** by designating whether the requirement or rule can be implemented through configuration of their base solution, via a customization or, if the if the Respondent **cannot** meet the requirement. If this column is left blank in Respondent proposals, SLOCPT will assume it is part of the base solution and configuration being offered.

#### **ATTACHMENT 2      RESPONDENT'S ANNUAL FINANCIAL REPORT TO STOCKHOLDERS AND AUDITED FINANCIAL STATEMENTS (HARD COPY NOT REQUIRED – ELECTRONIC ONLY)**

#### **ATTACHMENT 3      COMPREHENSIVE LIST OF ALL DOCUMENTATION TO BE DELIVERED**

#### **ATTACHMENT 4      SAMPLES OF APPLICATION DOCUMENTATION**

Attach samples of end-user and technical documentation.

#### **ATTACHMENT 5      MENU AND SCREEN SNAPSHOTS (ALTERNATIVELY OTHER DOCUMENTATION OR RECORDED VIDEO)**

Attach samples / "snapshots" of menus and screens from Respondent's implementation most similar to SLOCPT.

#### **ATTACHMENT 6      HIGH LEVEL WORK PLAN**

This attachment should include the workplan described in Section C.5.1.8.

#### **ATTACHMENT 7      SAMPLE DATA CONVERSION PLAN**

#### **ATTACHMENT 8      SAMPLE TEST PLAN**

#### **ATTACHMENT 9      LIST OF STANDARD REPORTS**

List all standard reports included in the proposed solution, classified as management, operational, or financial.

#### **ATTACHMENT 10      REPORT SAMPLES**

Provide actual samples of reports included in the proposed solution.



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**ATTACHMENT 11      SAMPLES OF PREVIOUSLY USED STATUS REPORTS****ATTACHMENT 12      PROPOSED IMPLEMENTATION, LICENSE, HOSTING AND MAINTENANCE AGREEMENT**

When providing these documents ensure that they are reflective of the desired terms specified in RFP Section Part D, Terms and Conditions

**ATTACHMENT 13      HOSTING CENTER / SLOCPT DATA SCHEMATIC**

Provide a schematic and description that demonstrates how the data and applications are secured at the Hosting Site along with the connectivity to SLOCPT.

**ATTACHMENT 14      SUBCONTRACTOR LETTERS OF COMMITMENT****ATTACHMENT 15      SUBCONTRACTOR AGREEMENTS****E.1.2 COST PROPOSAL FORMAT**

The cost proposal shall identify the costs for purchasing, licensing, and implementing the solution, along with five (5) years of post-implementation support (of the full solution, post final implementation). The provided costs should be inclusive of all costs over the phases defined in Section C.5.1.7 on Project Phasing. It is recognized that post-proposal negotiation with SLOCPT and initial efforts by the Respondent may result in some modifications to the by-phase costing contained in the proposal.

Adherence to and consistency with the work plan are considered critical acceptance criteria for any phase.

The Respondent should bear in mind the specific terms and conditions presented in Part D when preparing its cost schedules. In addition, SLOCPT provides the following reminders:

- Respondents must include in the cost proposal a summary, by staff position, of the number of hours and the hourly rate for all contractor support services included in the proposal.
- Respondent's cost information will be evaluated on the basis of its consistency with the information provided in the Respondent's technical proposal. All calculations in Respondent's cost schedules will be verified for correctness.
- Although the lowest overall price may not necessarily be the primary determining factor for award, SLOCPT shall make every effort to substantiate prices for products and services to ensure that those prices are considered fair and reasonable.
- Any proposal that does not meet the requirements outlined in Part C of the RFP and in the points above, or for which a fixed-dollar proposal amount cannot be precisely determined may be considered a non-responsive proposal and may be rejected by SLOCPT.

Each payment will be tied to **contractual deliverables payment points** as defined by SLOCPT. Invoices for the contractual deliverables may be rendered only after each has been completed and formally accepted by SLOCPT.

For terms relating to invoicing and payments, please refer to Section D.3.

Schedules for presenting the Respondent's cost bid are described below. The described schedules are Excel spreadsheets that are provided as a single Excel workbook accompanying the RFP for the Respondent's convenience, as Attachment F-10 Cost Proposal Template (and available as an Excel workbook file). All subtotals and totals will be computed automatically (but should be confirmed by



the Respondent before submission). Respondents should add line items to the cost schedules as necessary to include all project costs and suitable breakdowns.

### **SLOCPT BID SUMMARY**

On this worksheet, fill in the Respondent name. All other entries will be automatically populated based on the Respondent entries in Schedules 1 through 7.

### **SCHEDULE 1 – HARDWARE COSTS FOR MANDATORY PROJECT ELEMENTS**

Though SLOCPT has asked for a Hosted Solution, we understand there maybe additional hardware needed to connect to the site or required upgrades to workstations, scanners, or printers. If there are no such proposed items, this worksheet will be blank. Enter all hardware components required to affect the mandatory portion of the proposed solution.

### **SCHEDULE 2 – SOFTWARE COSTS FOR MANDATORY PROJECT ELEMENTS**

Enter all software products required to affect the mandatory portion of the proposed solution. Distinguish software that already exists at SLOCPT versus upgrades required to existing software versus new software products. Include all required products such as middleware, operating systems required for in-house machines, software tools, and other office suite software.

### **SCHEDULE 3 – IMPLEMENTATION SERVICES**

This schedule consists primarily of service related costs to implement the mandatory portion of the proposed solution. For each area of service section (e.g., Requirements Analysis, Software Modifications Development), list the applicable staff positions, number of hours, and hourly rates. Hourly rates must be fully loaded to capture all direct and overhead expenses, travel, per diem, and any other travel-related expenses.

For most service categories, therefore, it is expected that hours will be entered only for the implementation period, and no entries will be made in the columns designated “12 Mo Warranty Period.” The only exception is the *LOB Application Software Warranty* section, for which the only entries should be in the “12 Mo Warranty Period” columns.

At the bottom of the schedule, enter the following incremental costs where indicated:

- Hourly rate used for change orders for application related changes

### **SCHEDULE 4 – RECURRING COSTS**

SLOCPT expects that there will be ongoing costs related to the Pension systems (i.e. support, licensing and maintenance). Some of these costs may extend into the post implementation periods. Additionally, SLOCPT is aware that hosting costs will continue as long as the solution is hosted. All of these costs should be included on this worksheet and will automatically populate the Bid Summary.

### **SCHEDULE 5 – OPTION 1 – NON-HOSTED, ON PREMISE SOLUTION**

This schedule consists primarily of service related costs and any additional hardware and/or software if the Option is authorized to proceed with a non-hosted, on premise solution versus a hosted solution. This option if authorized is assumed to have both an initial implementation cost during the project as well as an ongoing cost for post-warranty services so this schedule includes those timeframes.



**SCHEDULE 6 – OPTION 2 – BACK-FILE CONVERSION**

This schedule consists primarily of service related costs and any additional hardware and/or software if the Option is authorized to proceed with a Back-file Conversion effort. The RFP itself and this schedule include a grouping of the various envisioned back-file conversion items. Respondents are to provide cost information for each grouping based on the information and volume information provided.

**SCHEDULE 7 – PROJECT PAYMENT SCHEDULE**

This section should include the completed cost schedule based upon the SLOCPT parameters provided in Section D.3.



## **E.2 PROPOSAL EVALUATION**

The evaluation and the Respondent's selection process will be based on "best value". This procurement method will be used so as to result in the "best buy" for SLOCPT in terms of the functions to be performed.

The evaluation committee may request written clarifications of any offer received. However, SLOCPT in its sole discretion may refuse to accept in full or partially the response to a clarification request given by any Respondent.

Respondents are cautioned that the evaluators are not required to request clarifications; therefore, all offers should be complete and reflect the most favorable possible terms. SLOCPT may elect to conduct negotiations with one or more Respondents and make requests of Respondents as may be necessary or proper for best and final offers (BAFOs).

The best and final offers must be received at the address identified in Section A.2.2 at a time and date to be specified by SLOCPT. If a best and final offer is not submitted, the previous submittal will be construed as the best and final offer. Final ranking of responses and award of the contract will be made after SLOCPT reviews all bids and completes its evaluation, including the evaluation of best and final offers, if they are requested.

### **E.2.1 EVALUATION CRITERIA**

For this procurement, proposals will be evaluated based on the following criteria (in decreasing order of importance):

- Solution Features and Technical Platform
- Respondent's Qualifications
- Cost
- Proposed Project Methodology, Implementation Services, Training, Workplan and Staffing
- Reference Checks and Site Visits

### **E.2.2 EVALUATION METHODOLOGY SUMMARY**

Presented herein is an overview of the evaluation methodology that is being used for this procurement.

#### **E.2.2.1 Evaluation Committee**

An Evaluation Committee has been established consisting of SLOCPT management. When the committee has completed the evaluation process, the SLOCPT Executive Secretary will make a recommendation for approval to the Board of Trustees.

#### **E.2.2.2 Initial Activities**

When the proposals are submitted, they will be evaluated and responses scored. The highest-rated Respondents from this assessment will be further evaluated.



### **E.2.2.3 Presentations and Product Demonstrations**

Selected Respondents are also expected to demonstrate their solution and their ability to implement and customize the selected products in a scripted demonstration, based on scenarios to be provided by SLOCPT, to be conducted at a site selected by SLOCPT.

Respondents will be offered alternative dates from which to select to provide the demonstrations. SLOCPT will provide the Respondents demonstration scripts on which to base their product demonstrations in order to assure an objective comparison among Respondents' proposed solutions.

SLOCPT reserves the right not to conduct Respondent presentations and product demonstrations. Should the presentations and/or demonstrations be held, SLOCPT requires that they be led by the proposed Project Manager.

### **E.2.2.4 Best and Final Offers**

At SLOCPT's discretion, best and final offers (BAFOs) may be solicited.

After best and final offers are received, final evaluations and negotiations will be conducted for an award.

### **E.2.2.5 Negotiations**

Negotiation is the last step in selecting the apparent winner. SLOCPT will initiate negotiations with the top-rated Respondents. If negotiations with the highest ranked Respondent cannot be concluded to SLOCPT's satisfaction, SLOCPT will initiate negotiations with the next lower ranked Respondent.

Upon the successful conclusion of negotiations, the winning Respondent will be announced.



## **PART F ATTACHMENTS**



## **F.1 REQUIREMENTS “ABILITY TO” MATRIX**

Refer to the file (Part F-1 Requirements “Ability To” Matrix.xls).



## **F.2 SLOCPT CURRENT “AS-IS” BUSINESS PROCESSES**

Refer to the file (Part F-2 SLO As-Is Business Processes.doc).



### F.3 FORMS INVENTORY

Included is a preliminary listing of the SLOCPT Forms along with an indication of which participant grouping uses that form and a brief description of the forms' purpose.

Form #	Name	Active Employees	Terminated Employees	Reserve/Reciprocal Maintenance	Retirement Process	Retiree Maintenance	Other	Description
1	Aetna Enrollment(Change) - County Retiree				?	X		Dental Insurance Enrollment/Changes/Cancellation - County Retiree only
2	Authorization to Release Personal Information						X	Member Authorization to release information to a third party
3	Beneficiary Designation	X	X	X	X	X		Member Election to designate a Beneficiary
4	Blended Formula - Service Worksheet							?????????
5	CA All-Purpose Certificate of Acknowledgement						X	Attachment for Notary verification on documents absent designated Notary verification section
6	CA Jurat						X	Attachment for Notary verification on documents absent designated Notary verification section
7	CALPRS Enrollment(Change) - Retiree				X	X		Medical Insurance Enrollment/Changes/Cancellation - Retiree only
8	Change of Name or Address		X	X			X	Member Request to change current name or address on file
9	Collections Worksheet						X	Internal checklist used to collect overpayment of funds
10	Death Benefit Claimant's Statement	X	X	X	X	X		Beneficiary Claimant's Statement verifying benefit
11	Death Benefit Lump Sum Election	X	X	X	X	X		Beneficiary Election to determine what they would like done with Lump Sum Benefit payment
12	Death Benefit Worksheet	X	X	X	X	X		Internal checklist used by SLOCPT to process death claims
13	Direct Deposit Authorization					X	X	Member Election to establish/change ACH payment for monthly benefit payments
14	Employment History Worksheet							????
15	Incoming Transfer/Direct Rollover	X	X	X				Notifies the trust that a 3rd party will be initiating a transfer/direct roll over for purchase service agreement
16	Interest Only Deposit Election	X	X	X				Member election to bring suspended account up to date in a effort to receive credit for service that was previously non-vested
17	Layoff Election		X					Member Election that determines how laid off employee's status and refund of accrual account (if any) will be handled
18	Membership Data	X						Used by employer to enroll/change membership
19	Military Service Purchase Request	X						Member request for purchase of service credit for military service
20	Multipurpose Contribution Rate Form	X						Used by SLOCPT staff determine contribution rate
21	Purchase Reciprocal Service Credit Application		X	X				Former Member application to redeposit previously withdrawn contributions for the purpose of establishing reciprocity
22	Purchase Reciprocal Service Credit Checklist		X	X				Internal form used when processing service purchases
23	Purchase Reciprocal Service Credit Election		X	X				Former Member election to redeposit previously withdrawn contributions for the purpose of establishing reciprocity
24	Purchase Service Credit Election	X						Member election to purchase service credit
25	Purchase Service Credit Worksheet	X	X	X				Internal form used when processing service purchases
26	RAD Retirement Conversion Form					X		Internal document to instruct staff member of different sections and options that need to inputted and verified in RAD
27	Reciprocity Election	X	X	X				Member Election to establish Incoming and/or Outgoing Reciprocity
28	Retirement Application - Disability							
29	Retirement Application - DROP					X		Member Application for Service Retirement Benefits as a DROP Participant
30	Retirement Application - Industrial Disability Member Checklist					X		Member checklist used when applying for Industrial Disability Retirement Benefit
31	Retirement Application - Ordinary Disability Member Checklist					X		Member checklist used when applying for Ordinary Disability Retirement Benefit
32	Retirement Application - Service					X		Member Application for Service Retirement Benefits
33	Retirement Checklist					X		Internal document used by staff to ensure all areas of retirement conversion are being addressed and reviewed
34	Retirement Continuance Worksheet					X		Internal form used when processing the setup of either a survivor or beneficiary retirement continuance
35	Retirement Dental Coverage Election - County					X		Retiring member election with regards to dental insurance
36	Retirement Documentation Checklist					X		Checklist used to ensure all required documentation has been collected for retirement processing
37	Retirement Estimate Request	X	X					Member request to run a Retirement Estimate
38	Retirement Medical Coverage Election - County					X		Retiring member election with regards to medical insurance
39	Retirement Option Selection					X		Member election to select individual Retirement Option
40	Retirement Vision Coverage Election - County					X		Retiring member election with regards to vision insurance
41	SLOCREA Information Request					X		Member election to receive more information about SLO County Retired Employees association
42	Service Survey						X	Customer Service satisfaction survey
43	Tax Letter Worksheet					X		Internal document used to instruct staff to prepare retiree tax letter
44	Tax Withholding Election					X	X	Member Election to establish Federal and State Withholding
45	Termination Refund Request		X	X	X			Member Election to determine what they would like done with Employee accrual balance after employment termination
46	Termination-NonRetirement Worksheet		X	X				Internal document used to process termination refunds
47	Termination-Retirement Worksheet				X			Internal document used by staff to instruct other staff of Retro payments due
48	Voluntary Additional Employee Contribution Election	X						Member Election to start/change/cancel Employee Voluntary Contributions
49	VSP Enrollment(Change) - County Retiree				?	X		Vision Insurance Enrollment/Changes/Cancellation - County Retiree only



## F.4 LETTER / CORRESPONDENCE INVENTORY

Included is a preliminary listing of the SLOCPT Letters / Correspondence along with an indication of which participant grouping receives that letter and a brief description of the letter's purpose.

Letter #	Name	Active	Terminated	Reserve	Reciprocal	Suspense	Retiree	Other	Description
1	Address Change Letter - County		X	X	X	X	X	X	Notification to member of an address change, either through form completion, member inquiry or post office notification
2	Age 62 Benefit Reduction Notice						X		Notice to member who elected to increase benefit before SS eligibility that their benefit will be going down
3	Award Letter - Retiree						X		Letter given to retiree after request for proof of benefit
4	Award Letter - Retiree + Temp Annuity						X		Letter given to retiree after request for proof of benefit
5	Award Letter - Retiree_Medical Insurance Premium						X		Letter given to retiree after request for proof of medical insurance
6	Award Letter + Estimate - Active & Reserve	X		X	X				Letter given to member after request for proof of benefit
7	Beneficiary Desig - % Allocation errors	X		X	X		X		Notice to member that Beneficiary Designation form is not properly allocating %
8	Beneficiary Desig - Spouse Notary	X		X	X		X		Notice to member that Beneficiary Designation form is missing spousal signature notarization
9	Collections - Med Premium						X		Used to inform Employer of reimbursement due to PT in relation to medical premiums
10	Collections - Survivor in Distribution						X		Collection notice to designated Survivor in distribution
11	Death - Active_Basic	X							Notice to designated Beneficiary of Lump Sum benefit and requirements to receive payment
12	Death - Beneficiary_Basic						X		Notice given to loved ones after death of survivor
13	Death - Retired_No Survivor_Overpayment						X		Notice to designated Beneficiary of Lump Sum benefit and requirements to receive payment
14	Death - Retired_Survivor_Insurance						X		Notice to designated Survivor of continuation and lump sum benefits and requirements to receive payment
15	Death - Retired_Survivor_No Insurance						X		Notice to designated Survivor of continuation and lump sum benefits and requirements to receive payment
16	Death - Survivor_Basic						X		Notice to related parties stating recurring payment has stopped
17	Direct Deposit - Bank Change Notice						X		Letter to member indicating their bank has informed us of an account change
18	Direct Deposit - Bank Rejection Notice						X		Letter to member indicating their bank has informed us account is no longer valid
19	Direct Deposit - Incomplete Notice						X		Letter to member indicating error with Direct Deposit Authorization Form
20	DRO - Alt Payee Completion Notice	X		X	X	X	X		Notice to Ex-spouse all document have been received in DRO process
21	DRO - Member Completion Notice	X		X	X	X	X		Notice to member all document have been received in DRO process
22	DRO - Request For Copy	X		X	X	X	X		Request for copy of member DRO
23	DROP Payment Letter Insert							X	Letter sent along with physical check DROP payment
24	Health Premium - Dental_Vision Cancel Response Notice						X		Notice to member after a request to cancel or change Dental or Vision insurance outside of open enrollment
25	Health Premium - Dependent Age 26 Notification						X		Advance notice given to member relating to dependents age ineligibility
26	Health Premium - Direct Payee_Cancel						X		Notice to member that premium change has been reduced below their monthly benefit and requires them to discontinue direct payee status
27	Health Premium - Direct Payee_New						X		Notice to member that premium change has been increased beyond their monthly benefit and requires them to become a direct payee
28	Health Premium - Direct Payee_Premium Change						X		Notice given to retiree who direct pays premiums relating to upcoming premium change
29	Health Premium - Medical_Medicare Transition Notice						X		Advance notice to retiree that medical coverage will be transitioning to Medicare and the steps the need to take to continue coverage
30	Health Premium - Medical_Member Overpayment						X		Notice to member of reimbursement payment to be paid relating to overpayment of medical premium
31	Health Premium - Medical_Member Underpayment						X		Notice to member of additional payment due relating to medical premium
32	Name Change Notice	X		X	X		X		Notice to member sent after receiving name change
33	Purchase Service Credit - 2.09 Eligibility	X							Notice given to returning member of their option to purchase previously withdrawn contributions
34	Purchase Service Credit - 2.09 Notice	X							Notice relating to member inquiry regarding purchase of prior service under section 2.09 of the plan
35	Purchase Service Credit - 2.17 Notice				X				Notice relating to member inquiry regarding purchase of prior service under section 2.17 of the plan
36	Purchase Service Credit - 2.17 Request Notice				X				Cover letter used when sending out information regarding purchase of prior service under section 2.17 of the plan
37	Reciprocity - 15day Notice	X							Notice to member of approaching due date to elect reciprocity
38	Reciprocity - Confirmation	X							Notice to member Reciprocity has been established
39	Reciprocity - Confirmation_Multi System	X							Notice to member Reciprocity has been established
40	Reciprocity - Insert	X	X	X					Information on Reciprocity
41	Reciprocity - Welcome Letter	X							Letter given to new members with possible reciprocity
42	Tax Letter						X		Notice to member detailing the taxability of their monthly benefit payment
43	Tax Notice Insert		X	X	X	X	X	X	Notice given to all members/beneficiaries receiving a lump sum disbursement
44	Tax Withholding - Correction Notice						X		Notice to retired member that errors have been identified in their tax withholding election
45	Termination - Missing Spousal Consent		X						Notice given to member requesting termination refund but has failed to get proper spousal consent
46	Termination - NonVested	X							Notice given to terminated non-vested members identifying potential benefits and steps need to receive those
47	Termination - Vested		X						Notice given to terminated vested members identifying potential benefits and steps need to receive those
48	Tier Placement Correction	X							Notice given to member after reciprocity rejection and incorrect tier placement



## F.5 REPORT INVENTORY

Included is a preliminary listing of the SLOCPT Reports along with an indication of where that report is used and a brief description of the report's purpose.

Report #	Name	CAFR	Board Reports	Actuary	Audit	Financial Statements	Contribution Processing	Distribution Processing	Other	Description
1	Actuarial Report	X		X	X					Detailed data extract used by Actuary to prepare annual valuation, also used to cross check specific statistical info for CAFR that is ultimately review by Auditors
2	Age 26_62_65							X	X	Detailed listing of retire/med members and their beneficiaries reaching age thresholds that require action
3	All Accrual Accounts Detailed	X					X		X	Detailed report listing all members accrual account balances at a specific date in time
4	Annual Member Statement								X	Annual Statement mailed to members with accrual balances
5	Audit-Actives				X					Detailed list of all active members at a specific point in time, ability to filter relevant data based on Auditor needs, used in sample selection for confirmations
6	Audit-Decedents				X					Detailed list of all deceased members and their beneficiaries for a specific date rang, ability to filter relevant data based on Auditor needs, used in sample selection for confirmations
7	Audit-DROP Participants				X					Detailed list of all DROP participants at a specific date in time, ability to filter relevant data based on Auditor needs, used in sample selection for confirmations
8	Audit-Lump Sum Disbursements				X					Detailed list of all Lump Sum disbursements made for a specific date range, ability to filter relevant data based on Auditor needs, used in sample selection for confirmations
9	Audit-Purchased Service Credits				X					Detailed list of all purchases of service credit for a specific date rang, ability to filter relevant data based on Auditor needs, used in sample selection for confirmations
10	Audit-Retired Members				X					Detailed list of all retired members at a specific point in time, ability to filter relevant data based on Auditor needs, used in sample selection for confirmations
11	CAFR Schedules	X							X	Statistical schedules required by GFOA
12	Check Reconciliation				X		X			Shows in detail checks that have been cashed for a selected date range
13	COLA Report							X	X	Detailed and summary data used to reconcile COLAs
14	Deduction Premiums							X	X	Detailed listing of all Health Plans available and associated premium amounts for a selected year
15	Deductions					X	X	X		Detailed report showing total health premiums deducted from recurring checks for a selected date range, ability to filter by employer
16	Member Detail								X	Detailed statement for an individual member that shows specific information for a date selected
17	Monthly Deposits & Contributions		X				X			Report issued to the Board each month detailing contributions received for the prior month
18	Monthly Retirement Report		X							Report issued to the Board each month detailing members who have retired during the course of the prior month
19	Nacha Report							X	X	Detailed listing of ACH and prenotes for a particular recurring payroll date
20	OACH Emailed							X	X	Detailed listing of paperless statements emailed to members for a particular date range
21	Outstanding Checks					X	X			Detailed listing of outstanding checks as of a selected date
22	Pay Period History Summary								X	Annual individual member document filed in each members physical file showing all transaction made to accrual account for any given year
23	Payment Summary	X			X	X	X	X		Shows in detail total benefits paid for a selected date range, ability to filter by type of payment (i.e. service, disability, DROP, etc.), ability to filter by BU, Tier, Employer, etc.
24	Payroll Register					X	X			Detailed check register for a selected date range
25	Payroll Variance							X		Detailed report identifying all monetarily related changes form prior recurring payroll, used by accounting prior to accepting new payroll
26	Recurring Distribution	X						X	X	Detailed report listing all members currently in monthly distribution status
27	System Accrual Detail	X		X		X	X	X	X	Summary report of current reserve balances for a selected date
28	Tax Tables								X	Detailed report used to verify accuracy of tax table used for withholding calculations on distribution



## **F.6 THE RETIREMENT PLAN AS OF DECEMBER 31, 2013 V2**

Refer to the file (Part F-6 The Retirement Plan as of Dec 31 2013 v2.pdf)



## **F.7 MONEY IN YOUR FUTURE – 2010 WITH ADDENDUMS – TIER 2 & TIER 3.**

Refer to the file (Part F-7 Money in Your Future - 2010 with addendums- Tier 2 & Tier 3.pdf)



## **F.8 ANNUAL ACTUARIAL VALUATION**

Refer to the file (Part F-8 Annual Actuarial Valuation.pdf)



## **F.9 CAFR**

Refer to the file (Part F-9 CAFR.pdf)



## **F.10RESPONDENT COST PROPOSAL TEMPLATE**

Refer to the file (Part F-10 Cost Proposal Template.xls).



## **F.11 SAMPLE COUNTY CONTRACT**

Refer to the file (Part F-11 Sample County Contract.doc).