



REQUEST FOR PROPOSAL

For the

Statewide

Voter Registration System (VoteCal)

RFP SOS 0890 – 46

October 29, 2010

State of California
Secretary of State
1500 – 11th Street
Sacramento, CA 95814

Table of Contents

Section I – Introduction and Overview of Requirements	
A.	Purpose of this Request for Proposal..... I-3
B.	Scope of the RFP and Bidder Admonishment..... I-3
C.	Availability..... I-4
D.	Department Official I-4
E.	Bidder’s Library Department Contact I-4
F.	Key Action Dates I-5
G.	Intention to Submit a Proposal I-6
H.	Americans with Disabilities Compliance I-6
	Exhibit I.A Bidder’s Intention to Submit a Proposal I-7
	Exhibit I.B Bidder’s Final Proposal Response Checklist I-8
Section II – Rules Governing Competition	
A.	Introduction..... II-1
B.	Identification and Classification of RFP Requirements II-1
C.	Proposal Requirements and Conditions..... II-1
D.	Bidding Steps..... II-4
E.	Other Information II-9
	Exhibit II.A Competitive Bidding and Bid Responsiveness II-11
Section III – Current Systems and Opportunities	
A.	Introduction..... III-1
B.	Business Program, Functions, and Background III-1
C.	Business Problem and Opportunities III-10
D.	Customers and Users III-14
E.	Current Technical Environment and Existing Infrastructure..... III-16
Section IV – Proposed System Business Processes	
A.	Introduction..... IV-1
B.	VoteCal Project Scope IV-1
C.	VoteCal Project Goals and Objectives IV-3
D.	Business Benefits IV-4
E.	Proposed VoteCal System Functionality and Constraints..... IV- 5
Section V – Administrative Requirements	
A.	General Administrative Requirements V-1
B.	Bidder Prequalification (Mandatory) V-6
C.	Draft and Final Proposal Administrative Requirements..... V-14
	Exhibit V.1 Confidentiality Statement..... V-25
	Exhibit V.2 Subcontractor List V-26
	Exhibit V.3 Workers’ Compensation Insurance Certification V-28
	Exhibit V.4 Small Business Preference..... V-29
	Exhibit V.5 Bidder Qualifications and References V-30
	Exhibit V.6 Staffing Experience and Matrix V-31
	Exhibit V.7 Bidder’s Staff Resume..... V-38
Section VI – Project Management, Business, and Technical Requirements	
A.	Introduction..... VI-1
B.	Project Management Activities and Plans VI-1
C.	The SOS Management Role..... VI-10
D.	Business Functional Requirements VI-11
E.	Technical Requirements VI-66

**Exhibit VI.1 Project Management, Business, and Technical Requirements
Response Matrix VI-78**

Section VII – Cost Tables

A.	Introduction.....	VII-1
B.	Payment Terms.....	VII-1
C.	Cost Table Instructions.....	VII-5
D.	Cost Tables and Instructions	VII-5

Section VIII – Proposal Format

A.	Introduction.....	VIII-1
B.	Final Proposal Format and Content	VIII-2
C.	Draft Proposal Format and Content	VIII-3

Section IX – Evaluation and Selection

A.	Introduction.....	IX-1
B.	VoteCal Evaluation Team.....	IX-1
C.	Pre-Draft Confidential Discussions	IX-1
D.	Review of Draft Proposals	IX-1
E.	Response Evaluation Process and Determination of Score.....	IX-4
F.	Cost Assessment	IX-29
G.	Determination of Winning Proposal	IX-30
H.	Contract Award.....	IX-34
	Exhibit IX.1 Preliminary Review Form	IX-35
	Exhibit IX.2 Bidder Reference Form - Client Telephone Reference Questionnaire.....	IX-37
	Exhibit IX.3 Reference Check Questionnaire for Proposed Project Manager.....	IX-40
	Exhibit IX.4 Reference Check Questionnaire for Proposed Staff	IX-43

Section X – Demonstration of Requirements

A.	General	X-1
B.	Preparation.....	X-1
C.	Requirements.....	X-1

Appendix A – State Contract

1.	Standard Agreement	2
----	--------------------------	---

Attachment 1 – Statement of Work

1.	General	1
2.	Contractor’s Responsibilities.....	1
3.	Contractor Personnel.....	2
4.	Work Standards	3
5.	Responsibilities of SOS.....	3
6.	Full System Acceptance	4
7.	Warranty Period.....	4
8.	Unanticipated Tasks.....	4
9.	Change Control Procedures.....	5
10.	Problem Escalation	6
11.	Deliverables.....	6
12.	Software Provisions	9
13.	Payment.....	14

Attachment 1 SOW Exhibit 1 – Sample Work Authorization

1.	Sample Work Authorization	1
----	---------------------------------	---

Attachment 1 SOW Exhibit 2 – VoteCal System Tasks and Deliverables

A.	Introduction	1
B.	Standards	1
C.	Payment Milestones	2
D.	Deliverable Development	5
E.	Tasks and Deliverables.....	6

Attachment 1 SOW Exhibit 3 – Sample Deliverable Expectation Document (DED)

1.	Introduction	1
2.	Delivery Description	1
3.	Deliverable acceptance criteria	2
4.	Deliverable Schedule	3
5.	Resources Required	4
6.	Deliverable Payment	4
7.	Deliverable Expectation Document Approval	4

Attachment 1 SOW Exhibit 4 – Hardware Maintenance and Operations and Technical Help Desk Service Levels

1.	Service Categories	1
2.	Maintenance and Operations	2
3.	Technical Help Desk and Problem Escalation Service Levels	4
4.	SOS Responsibilities	5

Attachment 1 SOW Exhibit 5 – Software Maintenance and Help Desk

1.	Extended VoteCal Software Application Support	1
2.	Solution Software Help Desk Support and Problem Escalation Service Levels ..	3
3.	SOS Responsibilities	4

Attachment 2 General Provisions

1.	IT General Provision	1
----	----------------------------	---

Attachment 3 – Information Technology Purchase Special Provisions

1.	Liquidated Damages	1
2.	Title to Equipment	1
3.	Price Decline (Applicable to Third Party Contractors)	1
4.	Price Decline (Applicable to Manufactures)	2

Attachment 4 – Information Technology Maintenance Special Provisions

1.	Maintenance of Equipment	1
2.	Exclusion	1
3.	Responsibilities of the Contractor	2
4.	Responsibilities of the State	2
5.	Maintenance Coverage	2
6.	Maintenance Charges	3
7.	Maintenance Credit for Inoperative Machines.....	4
8.	Engineering Charges	4
9.	Relocation of Equipment	4
10.	Termination	4

Attachment 5 – Information Technology Personal Services Special Provisions

1.	Contract type	1
2.	Personnel	1
3.	Responsibilities to the state	1
4.	Unanticipated Tasks	2

5. Invoice and Payments for Services 2
6. Contract Evaluation 3
7. Conflict of Interest 3

Attachment 6 – Secretary of State Statement of Work Special Provisions

1. Definitions 1
2. Inspection, Acceptance and Rejection..... 1
3. Warranties 4
4. Other Provisions related to Operations of the Agency 5
5. Rights..... 8
6. Limitation of Liability 8
7. Indemnification 9
8. Disputes..... 10
9. Termination for the Convenience of the State 10

Glossary

SECTION I - INTRODUCTION AND OVERVIEW OF REQUIREMENTS

A. PURPOSE OF THIS REQUEST FOR PROPOSAL

The purpose of this Request for Proposal (hereafter called the RFP) is to solicit proposals that will provide the California Office of the Secretary of State (SOS) with a new Statewide Voter Registration System (VoteCal). This is a competitive solution-based procurement that will select a Bidder to develop and implement a single, centralized voter registration database that meets applicable Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301, et seq.) requirements.

The objective of this RFP is to provide a thorough understanding of the State's current Calvoter system, HAVA requirements, and VoteCal Statewide Voter Registration System and related needs.

The term of this contract is for implementation plus one (1) year warranty concurrent with one (1) year of maintenance and operations. Additionally, SOS may execute five (5) one-year options for hardware maintenance and operations and one (1) five-year option for software application support. The proposed solution implementation activities must be scheduled and managed so as to minimize the conflict with the conduct of elections.

Bidders' proposals will be evaluated across a number of categories, including business and technical experience, proposed Bidder staffing, ability to meet the business, technical and administrative requirements, project management approach, and cost. Responses to this RFP will be evaluated based on the total bid, and award, if made, will be to a single Bidder awarded the highest points as calculated in accordance with the methodology defined in Section IX - Evaluation and Selection.

B. SCOPE OF THE RFP AND BIDDER ADMONISHMENT

This RFP is being conducted under the policies developed by the Office of the Chief Information Officer (OCIO) and procedures developed by the Department of General Services (DGS) as provided under Public Contract Code (PCC) Section 12102 et seq. At any time, the State can invoke PCC 6611, which provides the State flexibility in negotiating issues with the Bidders or Contractor. This RFP contains instructions governing the requirements for a firm quotation to be submitted by interested Bidders. The format in which the proposal information is to be submitted and the material to be included are described in Section VIII - Proposal Format. Bidders may also refer to Exhibit I.B in completing their proposal. This RFP also addresses the qualifications that Bidder's proposed staff must meet to be eligible for consideration, as well as addressing Bidder's responsibilities before and after award.

This procurement will follow a phased approach designed to increase the likelihood that Final Proposals will be received without disqualifying defects. The additional step(s) will (1) ensure that the Bidders clearly understand the State's requirements before attempting to develop their final solutions; (2) ensure that the State clearly understands what each Bidder intends to propose before those proposals are finalized; and (3) give the State and each Bidder the opportunity to discuss weaknesses or potentially unacceptable elements of a Bidder's proposal and give the Bidder the opportunity to modify its proposal to correct such problems. Specific information regarding such steps is found in Section II - Rules Governing Competition, Section VIII - Proposal Format and Section IX - Evaluation and Selection.

IF A BIDDER EXPECTS TO BE AFFORDED THE BENEFITS OF THE STEPS INCLUDED IN THIS RFP, THE BIDDER MUST TAKE THE RESPONSIBILITY TO:

- **CAREFULLY READ THE ENTIRE RFP;**

- **IF CLARIFICATION IS NECESSARY, ASK APPROPRIATE QUESTIONS IN A TIMELY MANNER;**
- **SUBMIT ALL REQUIRED RESPONSES, COMPLETE TO THE BEST OF BIDDER'S ABILITY, BY THE REQUIRED DATES AND TIMES;**
- **MAKE SURE THAT ALL PROCEDURES AND REQUIREMENTS OF THE RFP ARE ACCURATELY FOLLOWED AND APPROPRIATELY ADDRESSED; AND**
- **CAREFULLY REREAD THE ENTIRE RFP AND RESPONSE BEFORE SUBMITTING EACH BID.**

C. AVAILABILITY

Bidders must be aware that all staff proposed for this solution must be available to commence work on this project within thirty (30) days of contract award, if an award is made.

D. DEPARTMENT OFFICIAL

The Procurement Official and the mailing address to send all questions, correspondence, Pre – Qualification packages, copies of protests, draft and final proposals and any other proposal related material is:

Regina Weary
Department of General Services
Procurement Division
707 Third Street, 2nd Floor
West Sacramento, CA 95605
Phone (916) 375-4554 Fax (916) 375-4505
Regina.Weary@dgs.ca.gov

E. BIDDER'S LIBRARY DEPARTMENT CONTACT

SOS has compiled a set of documents for Bidders to reference while preparing their response to this RFP. The Bidder's Library is available at the Secretary of State website at the following link:

<http://www.sos.ca.gov/elections/votecal/bidders-library/>

F. KEY ACTION DATES

Listed below are the dates and times by which actions must be taken or completed. If the State finds it necessary to change any of these dates, it will be accomplished via an addendum to this RFP. **ALL DATES AFTER THE FINAL PROPOSAL SUBMISSION DEADLINE ARE APPROXIMATE AND MAY BE ADJUSTED AS CONDITIONS INDICATE, WITHOUT ADDENDUM TO THIS RFP.**

<u>EVENT</u>	<u>DATE/TIME</u>
1. Release of RFP	10/29/10
2. Last day to submit Bidder's Intention to Submit a Proposal (Exhibit I.A) and signed Confidentiality Statement (Exhibit V.1.)	11/12/10 By 5:00 PM, PST
3. Last day to submit questions for clarification of the RFP requirements	11/12/10 By 5:00 PM, PST
4. Last day to protest RFP requirements and request contract language changes prior to pre-qualification*	12/03/10
5. Bidder pre-qualification packages due	01/06 20 /11 By 5:00 PM, PST
6. Pre-qualification decision announced	0402/28 11/11
7. Confidential Discussions with Individual Bidders. Confidential Discussions to be held at the Secretary of State's Office	02/14/11 – 03/11/11 (Time TBD)
8. Last day to submit (1) requests for contract language changes, (2) questions for clarification, or (3) requests for changes to the RFP requirements	03/11/11 By 5:00 PM, PST
9. Last day to protest the RFP requirements*	03/25/11 By 5:00 PM, PST
10. Submission of Draft Proposals due to DGS	04/29/11 By 5:00 PM, PST
11. Confidential Discussions (and potentially demonstrations) concerning Draft Proposals. Confidential Discussions to be held at the Secretary of State's Office	07/08/11 – 08/05/11 (Time TBD)
12. Submission of Final Proposals due to DGS	09/02/11 By 5:00 PM, PST
13. Cost Proposal Opening ***	10/21/11 (Time TBD)
14. Notification of Intent to Award***	10/25/11 11/14/11
15. Last Day to Protest Selection****	10/28/11 11/17/11
16. Contract Award and Execution***	12/23/11 12/29/11

Additional action dates may be inserted as necessary.

* Or five (5) days following an Addendum that changes the requirements of the RFP.

***Date is subject to change.

* See Section II. E.2 – Alternative Protest Process.

G. INTENTION TO SUBMIT A PROPOSAL

Bidders that want to participate in the RFP steps should submit a Bidder's Intention to Submit a Proposal, Exhibit I.A., in accordance with Section II.D.4 - Bidder's Intention to Submit a Proposal.

H. AMERICANS WITH DISABILITIES COMPLIANCE

PROCUREMENT DIVISION (STATE DEPARTMENT OF GENERAL SERVICES) AMERICANS WITH DISABILITIES ACT (ADA) COMPLIANCE POLICY OF NONDISCRIMINATION ON THE BASIS OF DISABILITY

To meet and carry out compliance with the nondiscrimination requirements of Title II of the Americans with Disabilities Act (ADA), it is the policy of the Procurement Division (within the State Department of General Services) to make every effort to ensure that its programs, activities, employment opportunities, and services are available to all persons, including persons with disabilities.

For persons with a disability needing reasonable accommodation to participate in the Procurement process, or for persons having questions regarding reasonable accommodation for the Procurement process, please contact the Procurement Division at (916) 375-4400 (main office); the Procurement Division TTY/TDD (telephone device for the deaf) and California Relay Service numbers are listed below. You may also contact directly the Department Official listed in Section 1.D.

IMPORTANT: TO ENSURE THAT WE CAN MEET YOUR ACCOMMODATION, IT IS BEST THAT WE RECEIVE YOUR REQUEST AT LEAST 10 WORKING DAYS BEFORE THE SCHEDULED EVENT (e.g., MEETING, CONFERENCE, WORKSHOP, etc.) OR THE DEADLINE DUE DATE FOR PROCUREMENT DOCUMENTS.

The Procurement Division TTY telephone number is:

Sacramento Office: (916) 376-1891

The California Relay Service Telephone Numbers are:

Voice: 1-800-735-2922

TTY: 1-800-735-2929

EXHIBIT I.A – BIDDER’S INTENTION TO SUBMIT A PROPOSAL

Department of General Services - Procurement
Attn: Regina Weary
707 3rd Street, Second Floor
West Sacramento, CA 95605

Reference: RFP SOS 0890-46

This is to notify you that it is our present intent to do the following regarding the above referenced RFP (Bidder shall specify):

- We intend to submit a proposal, and we have no problem with the RFP requirements.
- We intend to submit a proposal, but we have one or more problems with the RFP requirements for reasons stated in an attachment to this letter.
- We do not intend to submit a proposal for reasons stated in an attachment to this letter, and we have no problem with the RFP requirements.
- We do not intend to submit a proposal because of one or more problems with the RFP requirements for reasons stated in an attachment to this letter.

The following is the contact person for our company:

Name and Title: _____

Address: _____

City, State & Zip: _____

Phone Number: _____ Fax Number: _____

Email Address: _____

Sincerely,

Name (Signature)

Typed Name and Title

Company _____

Phone Number () _____ Fax Number () _____

EXHIBIT I.B - BIDDER'S FINAL PROPOSAL RESPONSE CHECKLIST

- DOES YOUR FINAL PROPOSAL SUBMITTAL DOCUMENTATION FOLLOW THE FORMAT SPECIFIED IN SECTION VIII - PROPOSAL FORMAT?
 - ⇒ COVER LETTER WITH ORIGINAL SIGNATURE INCLUDED?
 - ⇒ LABELED VOLUMES AS IDENTIFIED AND IN THE SPECIFIED NUMBER OF COPIES?
 - ⇒ NO COST DATA PROVIDED IN ANY VOLUMES EXCEPT VOLUME III?
- IS THE CONTRACT IN YOUR FINAL PROPOSAL AND IN ORDER?
 - ⇒ CONTRACT SIGNED BY AN INDIVIDUAL AUTHORIZED TO BIND THE FIRM?
 - ⇒ HAVE THE CALCULATIONS FOR COSTS BEEN CHECKED FOR ACCURACY?
 - ⇒ DO THE COSTS ENTERED ON THE COST SHEETS IN VOLUME III OF THE FINAL PROPOSAL SUBMITTAL CORRESPOND WITH THOSE COSTS IDENTIFIED IN THE CONTRACT EXHIBIT(S)?
- IS THE LETTER OF CREDIT REQUIREMENT SATISFIED?
- IN THE STATE'S "DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) PARTICIPATION REQUIREMENT" (RFP SECTION V.F), IS THE REQUIRED DOCUMENTATION INCLUDED?

BIDDERS: THE STATE MAKES NO WARRANTY THAT THE CHECKLIST IS A FULL COMPREHENSIVE LISTING OF EVERY REQUIREMENT SPECIFIED IN THE RFP. CHECKING OFF THE ITEMS ON THE CHECKLIST DOES NOT ESTABLISH YOUR FIRM'S INTENT NOR DOES IT CONSTITUTE RESPONSIVENESS TO THE REQUIREMENT(S). THE CHECKLIST IS ONLY A TOOL TO ASSIST PARTICIPATING BIDDERS IN COMPILING THEIR FINAL PROPOSAL RESPONSE. BIDDERS ARE ENCOURAGED TO CAREFULLY READ THE ENTIRE RFP. THE NEED TO VERIFY ALL DOCUMENTATION AND RESPONSES PRIOR TO THE SUBMISSION OF FINAL PROPOSALS CANNOT BE OVEREMPHASIZED.

SECTION V - ADMINISTRATIVE REQUIREMENTS

In addition to meeting all Requirements in Section VI of this RFP, Bidders must meet and adhere to all mandatory administrative requirements included in this RFP to be deemed responsive. These requirements include meeting the Key Action Dates specified in Section I – Introduction and Overview of Requirements; the rules as specified in Section II - Rules Governing Competition; the format instructions as specified in Section VIII – Proposal Format; completion of appropriate cost information as specified in Section VII – Cost Proposal; and the administrative requirements detailed in this section. Administrative Requirements must be acknowledged and accepted in the Cover Letter. Requirements that require a response from the Bidder in the Draft Proposal and Final Proposal include specific instructions within the requirement and are identified as “(Mandatory)”. The Bidder must include all required documentation in their response. Some of these same requirements must be submitted in the pre-qualification process. Please see Section V.B. – Bidder Pre-qualification for specific direction.

Each formal Bidder submission (Pre-Qualification Package, Draft Proposal, and Final Proposal) must include responses to all of the mandatory requirements specified for that submission, even if the response to a requirement has not changed since its prior submission. For example, Bidders must respond to administrative requirement A11 in the Pre-qualification Package, the Draft Proposal and the Final Proposal. Bidder response to this requirement must demonstrate that staff proposed to fill specific project roles possess the requisite skills and experience (see later in this section for more information on administrative requirement A11). Bidder response to this requirement includes submitting completed Exhibit V.6 - Staffing Experience Matrix and Exhibit V.7 – Staff Resume for each staff proposed to fill the six (6) Key Team Roles. In response to administrative requirement A11, a Bidder will first submit these exhibits in their Pre-qualification Package. If the Bidder is pre-qualified, then these responses to administrative requirement A11 will be submitted again later in the Draft Proposal and Final Proposal.

All requirements within Section V that include Contractor responsibilities will be incorporated into the resulting Contract.

The contract terms and conditions to be awarded are included in this solicitation document in its final form, and any alteration by a Bidder may result in rejection of its proposal.

A. GENERAL ADMINISTRATIVE REQUIREMENTS

1. Request for Additional Information Notice

If during the evaluation process the State is unable to assure itself of the Bidder's ability to perform under the Contract if awarded, the State has the option of requesting from the Bidder any information that the State deems necessary to determine the Bidder's ability to perform. This includes, but is not limited to, personnel in the numbers and with the skills required, equipment of appropriate type and in sufficient quantity, financial resources sufficient to complete performance under the contract, and experience in similar endeavors. If such information is required, the Bidder will be so notified and will be permitted five (5) working days to submit the information. Failure to provide the requested information within five (5) working days may be cause for rejection of the proposal.

If the information submitted by the Bidder, or available from other sources, is insufficient to satisfy the State as to the Bidder's ability to perform, the State may ask for additional information or reject the proposal. The State's determination of the Bidder's ability to perform, for the purpose of this RFP, shall be final.

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2. Prime Contractor Responsibility

A Bidder submitting a proposal that results in the award of a contract will be considered the prime Contractor ("Contractor"). The Contractor accepts full responsibility for coordinating and controlling all aspects of the contract, including support or activities to be performed by any sub-contractors. The Contractor will be the sole point of contact with the SOS relative to contract performance.

If this performance involves the use of one or more products that are proprietary to another firm, the prime Contractor must hold the third-party license agreements until completion of Phase VII – First Year Operations and Closeout.

If any proposal includes equipment or services provided by other firms, the prime Contractor will be considered as Contractor for the delivery and operation of the entire solution.

The Contractor will be responsible for compliance with all requirements under the contract, even if requirements are delegated to subcontractors.

3. Contractor Representation

The Contractor and all subcontractors shall not in any way represent themselves in the name of the SOS or the State of California without prior written approval.

4. Notice to Subcontractors (If applicable)

Upon award to a Contractor, notice shall be given by DGS to the certified DVBE/Small Business subcontractors listed in Exhibit V.2 - Subcontractor List, of their participation in the contract. Notification to the subcontractor(s) by the Contractor is encouraged immediately after award of a contract.

5. Contractor Owned Software

If the contractor proposes their own software, all required licenses shall transfer to the State at conclusion of Phase VII - First Year Operations and Closeout pursuant to the terms of this contract.

6. Third Party Licensing

The State recognizes that the Contractor may have integrated Third-Party Software into the proposed solution. All such software must be purchased and licensed to the successful Contractor. All required licenses purchased by the Contractor shall include written acceptance by the Third-Party Software provider of the State's Information Technology Third Party COTS General Provisions dated July 15, 2008 <http://www.documents.dgs.ca.gov/pd/TAS/SICOTSSWGP071508.pdf> as agreed to by the State and the Contractor after contract execution.

Contractor agrees to provide to the State this written acceptance and copies of the software licensing agreement(s) no later than completion of Phase VII – First Year Operations and Closeout. Upon receipt, DGS will review the documents for approval. Software licensing terms and conditions provided by the Contractor which are not in conflict with the State's General Provisions - Third Party COTS General Provisions dated July 15, 2008 will be accepted by the State, provided however that any licensing clause, term or condition representing that the license is superior to or takes precedence over other articles, attachments, specification, provisions, contracts, terms or conditions shall be stricken and shall have no legal effect.

Contractor shall hold all licenses until completion of Phase VII – First Year Operations and Closeout. After the completion of Phase VII and approval by DGS of licenses, the licenses shall automatically pass to the State consistent with the Agreement and the State's Information Technology Third-Party COTS General Provisions. In the event that Contractor fails to perform

on the contract, Contractor shall immediately grant all software licenses to the State upon request by the State.

The State reserves the right to waive this requirement on a case-by-case basis, at the State's sole discretion, if it is in the best interest of the State.

7. Confidentiality Statement (Mandatory ~~for Pre-qualification and Final Proposal~~) – Pass/Fail

The Bidder engaging in services pertaining to this project, requiring contact with confidential State voter information, will be required to exercise security precautions for all such data that is made available and must accept full legal responsibility for the protection of this confidential information. This includes all statistical, personal, technical and/or other confidential personal data and information relating to SOS's operations that are designated confidential by the SOS. All voter registration data must be encrypted in transit and at rest. Under no circumstances shall the Bidder sell or otherwise disclose to any unauthorized third party, or inappropriately use or publish the contents of any records.

~~In addition to the~~The contractor/Bidder submitting must submit this a Confidentiality Statement (Exhibit V.1) form for the firm. The completed statement may be submitted with the Intent to Bid and, if it was not, it must be submitted with the Pre-qualification Package and Final Proposal, the. In addition, each of the Bidder's staff members that will participate in either set of Confidential Discussions must sign a staff confidentiality statement prior to the start of the Confidential Discussions. The Contractor will also be required, prior to starting the project, to submit a signed staff confidentiality statement from every staff member.

Requirement A1 ~~The For both Pre-qualification Package and Final Proposal, Bidder must provide a signed Exhibit V.1 - Confidentiality Statement for the Bidder Firm. Bidders must include the signed Confidentiality Statement in the Pre-qualification Package if it has not already been submitted. Bidder agrees to submit a signed Confidentiality Statement for every staff member prior to starting the Project.~~

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8. General Liability Insurance Certificate (Mandatory ~~for Pre-qualification and Final Proposal~~) – Pass/Fail

The Bidder must furnish to the State a certificate of insurance stating that there is liability insurance presently in effect for the Bidder of not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined. If the policy has an aggregate limit, that limit shall apply on a "per project or location" basis. The policy shall include coverage for liability arising out of premises/operations, products/completed operations, independent Contractors, personal/advertising injury and liability assumed under an insured Contract.

The certification of insurance must include the following provisions:

- The insurer will not cancel the insured's coverage without 30 days prior written notice to the State;
- The State of California, Department of General Services, and Secretary of State, their officers, agents and employees are included as additional insured.

~~In addition to being required to provide a certificate of insurance meeting the specifications described above within thirty (30) days of contract signing, the Bidder must also include a statement in Pre-qualification Package, the Draft Proposal and the Final Proposal agreeing to provide the specified general liability insurance.~~

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Requirement A2 ~~For the Pre-qualification Package, the Draft Proposal and the Final Proposal, the For both Pre-qualification Package and Final Proposal~~

Bidder will provide a statement indicating the Bidder agrees to provide the required general liability insurance. The Bidder also agrees to provide a certificate of insurance within thirty (30) days of contract signing, and at any time the State may request stating that there is liability insurance presently in effect for the Bidder of not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined. If the policy has an aggregate limit, that limit shall apply on a "per project or location" basis. The certification of insurance must include the following provisions:

- The insurer will not cancel the insured's coverage without 30 days prior written notice to the State;
- The State of California, Department of General Services, and Secretary of State, their officers, agents and employees are included as additional insured.

9. Workers Compensation Liability Insurance Certificate (Mandatory ~~for Pre-qualification and Final Proposal~~) – Pass/Fail

The Bidder must furnish to the State a certificate of insurance stating that there is Workers' Compensation insurance with statutory limits and employers' liability with a limit of no less than \$1,000,000 on all of its employees who will be engaged in the performance of this agreement. The policies for the contractor and all staff working on State Owned or Controlled Property must include a waiver of subrogation in favor of the State of California, Department of General Services, and Secretary of State. The certificate of insurance must include the provision that the insurer will not cancel the insured's coverage without 30 days prior written notice to the State.

In addition to providing the certificate of insurance stating there is Worker's Compensation meeting the specifications described above within thirty (30) days of contract signing and at any time the state may request, Bidders must include a completed Exhibit V.3 in the Pre-qualification Package, the Draft Proposal, and the Final Proposal.

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Requirement A3 For the Pre-qualification Package, the Draft Proposal and the Final Proposal, the For both Pre-qualification Package and Final Proposal Bidder will submit a completed Exhibit V.3. Bidder also must agree to provide a proof of a valid Worker's Compensation Insurance Policy within thirty (30) days of contract signing, and at any time the State may request and completed Exhibit V.3

~~**10. Liability/Errors & Omissions Insurance requirement, #A4, is deleted effective Addendum #2. Professional Liability/Errors & Omissions Insurance (Mandatory for Pre-qualification and Final Proposal) – Pass/Fail**~~

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~~**–The Bidder must furnish to the State a certificate of insurance stating that there is Professional Liability/Errors & Omissions Insurance covering the Bidder with a limit of no less than \$1,000,000 each claim, and \$3,000,000 annual aggregate.**~~

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~~**10. Requirement A4 – For both Pre-qualification Package and Final Proposal the Bidder agrees to furnish to the State a certificate of insurance within thirty (30)**~~

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~~days of contract signing, and at any time the State may request stating that there is Professional Liability/Errors & Omissions Insurance covering the Bidder with a limit of no less than \$1,000,000 each claim, and \$3,000,000 annual aggregate.~~

~~41. Commercial Automobile Liability Insurance requirement, #A5, is deleted effective Addendum #2, Commercial Automobile Liability Insurance (Mandatory for Pre-qualification and Final Proposal) – Pass/Fail~~

~~42. The Bidder must furnish to the State a certificate of Commercial Automobile Liability Insurance stating that there is Commercial Automobile Liability Insurance covering the Bidder with a limit of no less than \$1,000,000 each accident covering all owned, hired and non-owned autos. The policy shall include an endorsement naming the State of California, Department of General Services and Secretary of State, their officers, agents and employees as additional insureds.~~

~~11. Requirement A5 – For both Pre-qualification and Final Proposal the Bidder must furnish to the State a certificate of Commercial Automobile Liability Insurance stating that there is Commercial Automobile Liability Insurance covering the Bidder with a limit of no less than \$1,000,000 each accident covering all owned, hired and non-owned autos. The policy shall include an endorsement naming the State of California, Department of General Services and Secretary of State, their officers, agents and employees as additional insureds.~~

~~43.12. Subcontractor List (Mandatory for Pre-qualification and Final Proposal) – Pass/Fail~~

Each participating Bidder shall submit a completed Exhibit V.2 - Subcontractor List, for each proposed subcontractor, with the pre-qualification package and Final Proposal, OR indicate on such form that none are to be used. Subcontractor changes after contract award must be accepted in writing by the State before they occur.

Commercially Useful Function

On January 1, 2004, Chapter 623, Statutes of 2003, became effective and required all small businesses, micro-businesses, and disabled veteran business enterprises to perform a "commercially useful function" in any contract they perform for the State.

A business that is performing a commercially useful function is one that does all of the following:

- Is responsible for the execution of a distinct element of work of the contract.
- Carries out its obligations by actually performing, managing or supervising the work involved.
- Performs work that is normal for its business, service, and function.
- Is not further subcontracting a portion of the work that is greater than that expected to be subcontracted by normal industry practices.

The Bidder must complete Section B of Exhibit V.2 by providing a written statement detailing the role, services and/or goods the small business, micro-business, and/or disabled veteran business enterprise will provide to meet the Commercially Useful Function requirement. If a small business, micro-business, or disabled veteran business enterprise is not being proposed, this written statement is not required.

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Requirement A6 ~~For both the Pre-qualification Package, the Draft Proposal and the Final Proposal, each Bidder shall submit a completed Exhibit V.2 - Subcontractor List, for each proposed subcontractor with the proposal, OR indicate on such form that no subcontractors are to be used. The Commercially Useful Function section of the form must be completed if a subcontractor is being used.~~

14.13. Letter of Credit Intent (Mandatory ~~for Pre-qualification and Final Proposal~~) – Pass/Fail

The State requires the Bidder to demonstrate financial resources necessary to perform under the Contract by securing an agreement to issue a Letter of Credit valued at twenty-five percent (25%) of contract from a financial institution. Bidders are required to submit with their ~~pre~~Pre-qualification package, ~~the Draft Proposal and and the~~ Final Proposal, a signed letter on official letterhead from a financial institution stating that the financial institution intends to issue the Bidder the required Letter of Credit. The Secretary of State, State of California, must be identified as beneficiary. The letter must also state the financial institution issuing the Letter of Credit is insured by the Federal Deposit Insurance Corporation and is licensed to do business in the State of California.

When the Letter of Credit is provided to the State at contract signing, the Letter of Credit must further provide for honor of a draft on demand for payment presented with the State's written statement, signed by the Executive Officer of the Secretary of State, certifying that there has been loss, damage, or liability resulting from the Contractor's performance or nonperformance of duties and obligations under the VoteCal Contract, or from the negligence or act of omission by the Contractor or its agents, servants, and employees and that the amount of the demand or draft is, therefore, now payable.

The awarded Contractor is required to provide the State with a Letter of Credit that is acceptable to the State when the contract is signed by the vendor.

Requirement A7 ~~For the both Pre-qualification Package, the Draft Proposal and the Final Proposal, Bidder must submit a letter on letterhead from an FDIC-insured financial institution that it intends to issue a Letter of Credit to Bidder in the amount of 25% of the contract value. All cost information should be redacted from this letter.~~

15.14. Bidder Feedback Process

The primary vehicle for bidder feedback will be through informal bidirectional discussions between the SOS and selected pre-qualified bidders during the confidential discussions.

Any feedback submitted by a bidder will first be evaluated to determine if the initial intent of the requirement(s) is maintained. If there is no change in requirement intent, and the SOS agrees that the feedback further clarifies the requirement, the requirement may be modified based on bidder feedback. If it is determined that the bidder's feedback suggests a change to the initial intent of the requirement(s), the SOS will review the feedback to determine if incorporating the feedback would be in the best interest of the State while remaining solution independent. During their review, the SOS may utilize an independent verification and validation consultant and/or additional subject matter experts to ensure the revised intent is clearly understood, solution independent, and aligns with project goals. Bidder feedback that is incorporated into the RFP requirements, in whole or in part, will be amended to this RFP according to Section II.C.5.c - Addenda.

Should the SOS reject a Bidder's feedback and the Bidder believes that one or more of the RFP requirements is onerous, unfair, or imposes unnecessary constraints on the Bidder in proposing less costly or alternate solutions, the Bidder may request a change to this RFP following the

release of the final system requirements via an RFP addenda. Bidder requests to change the RFP must be submitted in accordance with rules set forth in this RFP.

B. Bidder Pre-Qualification (Mandatory)

This procurement will consist of a pre-qualification phase. Only pre-qualified Bidders will be allowed to participate in the confidential discussions and submit Draft and Final Proposals. This solicitation will result in a single contract award to complete the VoteCal solution for the Office of the Secretary of State.

In order to be considered for pre-qualification, Bidders must submit their complete Pre-Qualification Package as outlined in this section to the Procurement Official listed in Section I.D. by the date and time identified in Section I.F - Key Action Dates.

During prequalification stage, the State will pre-qualify up to four (4) of the highest scoring bidders based on the selection criteria defined in this section. These four vendors will proceed to confidential discussions during which SOS will meet with Bidders individually to discuss their proposed concepts and the RFP requirements for the purpose of ensuring a greater mutual understanding of the requirements.

The Pre-qualification Package submission must follow the format defined below.

1. Pre-Qualification Package General Format

In order to be considered for prequalification, bidders must submit to the state one (1) master copy, ten (10) hard-copies, and one (1) softcopy in searchable PDF of the following items in the quantity, order and format listed. Reference numbers after each item refer to the sections in the RFP that describe the requirement.

Bidders must also adhere to applicable format components of Section VIII – Proposal Format. General Format Instructions for the Pre-qualification Package:

TAB – 1

- a) Signed Confidentiality Statement (Mandatory) (Requirement A1)
- b) General Liability Insurance Certificate (Mandatory) (Requirement A2)
- c) Workers Compensation Liability Insurance Certificate (Mandatory) (Requirement A3)
- ~~d) Professional Liability/Error & Omissions Insurance (Mandatory) (Requirement A4)~~
- ~~e) Commercial Automobile Liability Insurance (Mandatory) (Requirement A5)~~
- ~~f)d) Letter of Credit Intent (Mandatory) (Requirement A7)~~

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- a) Financial Capacity/Responsibility (Mandatory) (Requirement A8)
- b) Bidder Qualifications and References (Mandatory) (Requirement A9)
- c) Bidder Qualifications and References (Desirable) (Requirement A10)
- d) Subcontractor List (Mandatory) (Requirement A6)
- e) Proposed Staff Experience (Mandatory) (Requirement A11)
 - A11 is demonstrated by completing Exhibit V.6 - Staffing Experience Matrix and Exhibit V.7 – Staff Resume for the following six Key Team Roles:
 - 1. Project Manager
 - 2. Business Lead
 - 3. Technical Lead
 - 4. Development Lead
 - 5. Testing Lead
 - 6. Data Integration Lead
- f) Proposed Staff Experience (Desirable) (Requirement A12)

A12 is demonstrated by completing Exhibit V.6 - Staffing Experience Matrix and Exhibit V.7 – Staff Resume for the following four (4) roles (as further described in the requirement specification that follows later in this section):

1. Project Manager
2. Business Lead
3. Technical Lead
4. Data Integration Lead

~~A12 is demonstrated by completing Exhibit V.6 – Staffing Experience Matrix and Exhibit V.7 – Staff Resume for the six roles listed for Requirement A11.~~

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All pre-qualification documents submitted by the Bidder shall not contain any cost information. Pre-qualification documents will be rejected as non-responsive if submitted with costs.

The review and assessment of the above materials is necessary to ensure Bidders selected from the pre-qualification process will be able to submit responsive Draft and Final proposals. The State will follow the evaluation process outlined below and in Section IX – Evaluation and Selection for evaluation of these pre-qualification items.

2. Pre-Qualified Bidders Scoring Approach

The State Evaluation Team will determine which Bidder's Pre-qualification Packages are responsive and responsible. From these Pre-qualification Packages, the State Evaluation Team will identify up to four (4) Bidders that have the highest score for the evaluation factors. The State will pre-qualify up to four (4) of the highest scoring Bidders. If fewer than four Bidders are determined to be responsive and responsible Bidders, the State Evaluation Team may pre-qualify fewer than four Bidders. At any time the State Evaluation Team may reject any and all pre-qualified packages submitted in response to this section. In the event of a tie that would result in pre-qualification of more than four Bidders, the pre-qualifications will be granted to the Bidders with the highest Bidder Qualifications and References. See Table V-1 below for the pre-qualification scoring summary.

Table V - 1. Pre-Qualification Scoring Summary

Evaluation Criteria	RFP Section Reference	Maximum Points
Administrative Requirements	V.A	Pass/Fail
a) Signed Confidentiality Statements (Requirement A1) b) General Liability Insurance Certificate (Requirement A2) c) Workers Compensation Liability Insurance Certificate (Requirement A3) d) Professional Liability/Error & Omissions Insurance (Requirement A4) e) Commercial Automobile Liability Insurance (Requirement A5) f) Letter of Credit Intent (Requirement A7)		
Subcontractor List (Mandatory)	V.A.12	Pass/Fail
Financial Capacity/Responsibility (Mandatory)	V.B.3.A	Pass/Fail
Bidder Qualifications and References (Mandatory) See Section IX.E.8 for scoring criteria	V.B.3.B	2300

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Evaluation Criteria	RFP Section Reference	Maximum Points
Bidder Qualifications and References (Desirable) See Section IX.E.8 for scoring criteria	V.B.3.C	700
Staff Qualification Requirements (Mandatory) See Section IX.E.9 for scoring criteria	V.B.3.D	Pass/Fail
Staff Qualification Requirements (Desirable) See Section IX.E.9 for scoring criteria	V.B.3.E	800
Maximum Pre-Qualification Score		3800

3. Pre-Qualification Administrative Requirements

Below are requirements for the Pre-qualification process. Requirements for the Draft Proposal and Final Proposal are listed below in section V.C. – Draft and Final Proposal Administrative Requirements.

A. Financial Capacity/Responsibility (Mandatory) – Pass/Fail

The principal purpose for this request is to provide information to determine financial qualification. State policy and state and federal statutes authorize maintenance of this information. The State will treat all financial information submitted as confidential as provided by law when designated as such. This information will only be shared with personnel involved in the evaluation of this RFP. All financial data will be returned to the Bidder or destroyed upon request.

The Bidder must provide:

- i. audited financial statements or SEC 10K filings (including a balance sheet) that support average annual gross revenue of \$100,000,000 or more for each of the company's last three fiscal years or a letter from an established surety company stating their willingness to issue a Letter of Bondability for \$55,000,000.
- ii. information regarding any judgments, arbitrations, or ongoing litigation of a material nature that is not addressed in the audited financial statements that may otherwise impact the firm's going concern.
- iii. information to demonstrate an ability to sustain six months of expenses on this project without payment from the State during the first six months of this project. This would include a detailed statement/analysis from the Bidder identifying estimated costs for the first six months of work and evidence of sufficient capital resources to meet those costs without State payment. This analysis should include the cost of any financial instruments (e.g. Letter of Credit for project), and the estimated cost for all planned staffing, including anticipated new staffing, travel expenses, facility acquisition, etc., as well as any other expenses anticipated to be incurred during the first six months of work. If the analysis includes a line of credit, then attach a letter from a banking official attesting to that credit line and the credit-worthiness of the firm.

The State reserves the right to require submission of additional evidence of financial capacity and/or resources as necessary to clarify any questions or issues that arise from a review of the financial data supplied.

Review of vendor financial documents and determination of qualification to bid on the VoteCal project and evaluation and scoring will be by a group decision. SOS may engage qualified individuals, including Certified Public Accountants or subject matter experts during the pre-qualification process to assist the Evaluation Team in assessing the financial stability of vendors. These other individuals do not have voting privileges or responsibility for the evaluation process, but they will serve in an advisory capacity.

This is a pass/fail requirement. The VoteCal Evaluation team will consider Bidder submissions to arrive at a decision as to whether the Bidder has presented satisfactory evidence of financial capacity. The team will particularly consider the degree of analysis and detail provided by the Bidder in response to the requirement to demonstrate an ability to sustain six months of expenses on this project without payment from the State.

Requirement A8 Bidder shall submit:

- o **Audited financial statements or SEC 10K filings (including a balance sheet) that support average annual gross revenue of \$100,000,000 or more for each of the company's last three fiscal years or a letter from an established surety company stating their willingness to issue a Letter of Bondability for \$55,000,000.**
- o **Information regarding any judgments, arbitrations, or ongoing litigation of a material nature that is not addressed in the audited financial statements that may otherwise impact the firm's going concern.**
- o **Information to demonstrate an ability to sustain six months of expenses on this project without payment from the State during the first six months of this project.**

B. Bidder Qualifications Requirements (Mandatory) – 2300 Points

The Bidder must describe three (3) projects that meet the following requirements using Exhibit V.5: Bidder Qualifications & References. The Bidder or qualifying subcontractor must have been the prime contractor for each of the referenced projects. A subcontractor's reference can be used if the subcontractor was the prime contractor for the referenced contract and the subcontractor is anticipated to perform at least twenty-five percent (25%) of the proposed implementation work effort by total staff resource hours applied as indicated on Exhibit V.2 - Subcontractor List. One project may meet multiple requirements, but at least three projects must be provided that meet at least one of the requirements below.

Mandatory qualification criteria:

- a. All references must be for projects successfully completed¹ within the past eight (8) years,
- b. All references must be for projects that implemented large complex data integration systems that required interfaces with three (3) or more external systems that were not under the control of the Bidder or the customer,
- c. At least one (1) reference must be for a successfully completed voter registration system implementation with similar scope provided in Section VI - Project Management, Business and Technical Requirements,

¹ "Successfully Completed" for purposes of this RFP is defined as: "the system (1) either is in production and is being utilized by the users as the system of record, or (2) is near completion of a successful pilot."

- d. At least one (1) reference must be for a successfully completed statewide system (a reference for a project that implemented a statewide voter registration system will meet this criterion),
- e. At least one (1) of these references must be for an implementation where the total number of concurrent users² was 200 or greater, and
- f. At least one (1) of these references must be for a project that was completed within the past three (3) years.

All Exhibit V.5 - Bidder Qualifications & References forms must be signed by the referenced organization or company individual or designee.

References will be contacted and points will be awarded based on client satisfaction, as described in Section IX. Exhibit IX.2 details the questions that are to be asked of each of the references and will also be used to document the reference's responses.

Failure to provide verifiable references may cause the Proposal to be rejected. The purpose of the Bidder Qualification and References requirement is to provide the State the ability to assess the Bidder's prior record and experience in providing similar or relevant services to other organizations. The descriptions of these projects must be detailed and comprehensive enough to permit the State to assess the similarity of those projects to the work anticipated in the award of the contract resulting from this procurement. References must include all information required on Exhibit V.5 - Bidder Qualifications & References.

Requirement A9 The Bidder must provide descriptions of three (3) projects that meet the mandatory Bidder qualification requirements using Exhibit V.5: Bidder Qualifications & References.

C. Bidder Qualifications Requirements (Desirable) – 700 Points

Additional points may be awarded for the following desirable corporate qualification requirements. One corporate reference that is submitted in response to the mandatory requirement A9 may be submitted if it meets this desirable requirement as well. Alternatively, the Bidder may submit an additional, fourth (4th) reference to satisfy the desirable requirement. Each submitted Exhibit V.5 – Bidder Qualifications & References must include indication of whether the reference is being submitted for the mandatory requirement, desirable requirement, or both. The Bidder must indicate submission for the Desirable requirement for no more than one (1) of Bidder's submitted client references, and indicate submission for the Mandatory requirement for three (3) references.

The Bidder must submit a complete description of the referenced project using Exhibit V.5: Bidder Qualifications & References. This form must be signed by the referenced organization or company individual or designee. The Bidder or qualifying subcontractor must have been the prime contractor for the referenced project. A subcontractor's reference can be used if the subcontractor was the prime contractor for the referenced contract and the subcontractor will perform at least 25 percent (25%) of the proposed implementation work effort by total staff resource hours applied as indicated on Exhibit V.2 - Subcontractor List.

Desirable Bidder qualification requirements:

- a. Project must have been completed within the past eight (8) years.

² "Concurrent users" for purposes of this RFP, unless otherwise stated, is defined as all system users, regardless of user group or role (i.e., county EMS user or internal staff), accessing the system simultaneously.

- b. Reference must be for successfully completed voter registration system implementation with similar scope provided in Section VI – Project Management, Business and Technical Requirements with bottom-up approach (county elections officials' staff retaining use of their existing election management systems).
- c. Reference must be for an implementation where the total records integrated was at least 10,000,000.

Requirement A10 The Bidder may provide a description of one (1) project that meets the desirable Bidder qualification requirements using Exhibit V.5 – Bidder Qualifications and References.

All Exhibit V.5 forms must be signed by the referring company/organization individual or designee.

References will be contacted and points will be awarded based on client satisfaction, as described in Section IX. Exhibit IX.2 details the questions that are to be asked of each of the references and will also be used to document the reference's responses.

D. Proposed Staff Qualification Requirements (Mandatory) – Pass/Fail

The Bidder agrees to provide information regarding references and staff capability for proposed role(s) using Exhibit V.6: Staffing Experience Matrix and Instructions and Exhibit V.7 – Bidder Staff Resume. The Bidder agrees that the State reserves the right to contact references listed in Exhibit V.6 to validate the proposed staff's experience and capabilities. All referenced work used to meet the requirements must have been performed within the past ten (10) years. Referenced work must have been for a client external to the Bidder's organization and subsidiaries. Research and development projects internal to the employee's organization will not be counted towards the experience requirements.

The Bidder must complete Exhibit V.6: Staffing Experience Matrix and Instructions and Exhibit V.7 - Bidder Staff Resume for each of the six proposed key staff. The Bidder must assign one staff member for each of the required roles defined below; the same resource may not be assigned to more than one role. The Bidder is not precluded from utilizing subcontractors as necessary to meet the requirements.

By submitting Exhibit V.6 - Staff Experience Matrix and Exhibit V.7 – Bidder Staff Resume, for each of the six proposed key staff, the Bidder is certifying that the proposed staff named to each role fulfills all requirements of that role. The State's determination of experience shall be final. In addition, if the State determines it has suffered any undue project delays or deliverable quality degradation due to the Contractor's assignment of unqualified staff based on the requirements of this RFP, the SOS reserves the right to consider the Contractor in default and terminate the contract for cause.

The Evaluation team will contact project references provided in Bidder's submitted Exhibit V.6 to validate experience documented in Exhibit V.6 and Exhibit V.7.

The purpose of the Proposed Staff Qualifications requirements are to provide the State the ability to assess the Bidder's proposed staff qualifications and experience with similar or relevant services to other organizations. The descriptions of the projects must be detailed and comprehensive enough to permit the State to assess the similarity of those projects and the type of work experience attained to the work anticipated in the award of the contract resulting from this procurement. Additionally, Bidders must include the skill requirement reference from each role in the sub-sections below (e.g. (PM.1), (BL.7), (TL.2), etc.). All references must be specific to the

services proposed for the proposed candidate's role. When required, a copy of the Project Manager certification(s) must be included. See Exhibit V.6 for instructions.

Requirement A11 Each proposed resource must meet the minimum requirements following the role description, respectively, as documented in Exhibit V.6 – Staffing Experience Matrix with supplemental information provided in Exhibit V.7 – Bidder Staff Resume:

- a) **Project Manager (PM)** - The PM will be responsible for managing all Bidder resources and activities relating to the completion of the deliverables outlined in the contract. The PM must have:
- 60 months experience with managing complex IT system implementation projects that have one-time total costs of \$20 million or more and that include many stakeholders and multiple external system interfaces. (PM.1)
 - 60 months experience managing projects utilizing Project Management Institute (PMI®) methodologies or similar professional project management methodologies. (PM.2)
 - 36 months experience planning complete life-cycles of phased IT system implementation projects. (PM.3)
 - Copy of current Project Management Professional (PMP) or higher-level certification from the PMI®, or equivalent project management credential that is accredited under ISO/IEC 17024.(PM.4)
- b) **Business Lead (BL)** - The BL will be responsible for serving as an expert in the voter registration functional areas of the Bidder's proposed solution. This resource will be responsible for leading and gathering information in all voter registration discussions and sessions. This resource should assist with compiling responses for the Bidder's deliverables for this area. The BL must have:
- 36 months Experience performing voter registration business process analysis on complex IT system implementation projects that include many stakeholders with multiple external system interfaces. (BL.1)
 - 36 months Experience with collaborative business process assessment, analysis, writing, and re-engineering methods and strategies including business flow diagramming. (BL.2)
 - 24 months Experience communicating, both verbally and written, business process information including presenting ideas/recommendations to stakeholders. (BL.3)
- c) **Technical Lead (TL)** - The TL will be responsible for defining and designing all necessary physical and logical technical architectures for the Bidder's proposed system. This resource will be responsible for participating and gathering information in all technical architecture discussions and sessions. This resource should assist with compiling responses for the Bidder's deliverables for this area. The TL must have:
- 60 months Experience architecting complex integrated IT systems that include multiple business disciplines with multiple external system interfaces and process at least 5 million transactions annually. (TL.1)
 - 60 months Experience implementing roles-based security. (TL.2)
 - 36 months Experience architecting a system(s) that uses a Wide Area Network (WAN). (TL.3)
 - 60 months Experience facilitating knowledge transfer and transition management regarding technical architectures. (TL.4)

- d) **Data Integration Lead (DIL)** - The DIL will be responsible to ensure the proposed system data structure supports the proposed solution to meet the RFP requirements. This resource will be responsible for participating and gathering information in all data architecture and data integration related discussions and sessions. This resource should lead development of Bidder's deliverables related to Data Integration. The DIL must have:
- 60 months Experience setting data policy and recommending technical solutions for the management, storage, access, navigation, movement, and transformation of data on projects from five or more geographically distinct sources. (DIL.1)
 - 60 months Experience specifying DBMS and ETL tools and technologies for structured and unstructured content. (DIL.2)
 - 24 months Experience creating and maintaining metadata repositories. (DIL.3)
 - 36 months Experience creating and maintaining enterprise schema. (DIL.4)
 - 60 months Experience enforcing principles of good canonical (normalized) data design. (DIL.5)
- e) **Development Lead (DL)** – The Development Lead (DL) will be responsible for all development activities for the Bidder's proposed system. The DL will be responsible for leading and completing development and ensuring that the application supports the Section VI – Project Management, Business and Technical Requirements. The DL must have:
- 60 months Experience managing the development effort of complex IT system implementation projects that have one-time total costs of \$25 million or more. (DL.1)
 - 60 months Experience in completing development activities in the specific technologies included in the Bidder's proposed system. (DL.2)
 - 24 months Experience in defining and managing software configuration management processes. (DL.3)
- f) **Testing Lead (TestL)** - The TestL will be responsible for all testing activities for the Bidder's proposed system. This resource will be responsible for leading and managing all aspects of testing and ensuring that the application supports Section VI – Project Management, Business and Technical Requirements.
- 60 months Experience managing the testing effort of a complex IT system implementation effort. (TestL.1)
 - 60 months Experience defining and implementing testing approaches and processes in multiple testing phases (TestL.2)
 - 24 months Experience in test planning and execution activities. (TestL.3)
 - 36 months Experience in implementing a defect management process. (TestL.4)

E. Proposed Staff Experience Requirements (Desirable) – 800 Points

For bidder resources assigned to the required roles above, additional points may be awarded for each role below for the following desirable proposed staff experience requirements. Points will be awarded based on the proposed staff member's total number of months of experience in each area.

Requirement A12 Describe the staff member's experience using Exhibit V.6 – Staffing Experience Matrix and Exhibit V.7 – Bidder Staff Resume for any or all of the four (4) key team members identified below:

a) Project Manager (PM)

- Experience with managing complex IT system implementation projects for the State of California. (PM.5)
- Experience managing IT implementation projects that involve both local government and state government entities as stakeholders. (PM.6)

b) Business Lead (BL)

- Experience with the implementation of business processes for voter registration systems. (BL.4)

c) Technical Lead (TL)

- Experience with architecting complex integrated IT systems for the State of California. (TL.5)

d) Data Integration Lead (DIL)

- More than 36 months experience mapping the structure and organization of customer data from as-is state to future state for voter registration systems. (DIL.6)
- Experience with managing complex data integration efforts for the State of California. (DA.7)

C. Draft and Final Proposal Administrative Requirements

This section describes specific guidelines that are applicable to the submission of the Draft Proposal and Final Proposal. Only those Bidders that were selected through the pre-qualification process outlined above will be allowed to submit Draft and Final Proposals. Bidders shall develop and submit their Draft Proposal and Final Proposal, based on their due diligence performed during the confidential discussions and the latest RFP addendum requirements. These guidelines are also applicable to the new Final Proposal if all original Final Proposals are declared flawed (drafts) by the Evaluation Team.

1. Draft and Final Proposal Format

Please see Section VIII – Proposal Format for instructions on preparing Draft Proposal and Final Proposal.

2. Draft and Final Proposal Scoring

Please see Section IX – Evaluation and Selection for scoring of Draft Proposal and Final Proposal.

3. Draft and Final Proposal Administrative Requirements

The following are the administrative requirements unique to the Draft Proposal and Final Proposal. For the Draft and Final Proposal, these requirements must be submitted in addition to those listed above in Section V.A.

A. Cover Letter (Mandatory)

The Bidder's Draft Proposal and Final Proposal must include a cover letter substantiating the Bidder's acknowledgement and acceptance of all RFP requirements. The cover letter must include:

- A statement indicating that the signer is authorized to bind the bidding firm contractually,
- A statement that the Bidder commits to fulfilling all requirements of the RFP,
- A signature block indicating the:
 - Title or position that the signer holds in the firm,
 - Signer's contact information including phone, fax, e-mail, and address, and
- The original signature of the signer.

The cover letter must NOT contain any cost information.

Requirement A13 Bidder's Draft and Final Proposal must contain a signed Cover Letter, which must contain the following:

- **Proposal Cover Letter must be signed by authorized individual and indicate that the signer is authorized to bind the firm contractually, and identifies the signer's title.**
- **Statement that the Bidder commits to meeting all requirements of the RFP.**
- **Statement that the proposal is firm's binding offer good for 180 days from scheduled date for contract award.**
- **Statement indicating that the Bidder has available staff with the appropriate skills to complete performance under the contract for all services and provide all deliverables as described in this RFP.**
- **Statement accepting full Prime Contractor responsibility for coordinating, controlling, and delivering all aspects of the contract and any subcontractors on their team.**

B. Executive Summary (Mandatory)

The Bidder's Draft Proposal and Final Proposal must contain an Executive Summary that describes the salient features of the proposal and condenses and highlights the contents of the proposal to provide a broad understanding of the entire proposal. The Executive Summary will be used to facilitate the evaluation of the proposal by the State.

The Executive Summary must include an overview of the services to be provided as part of this contract in order to meet the RFP requirements. Bidders are to limit their discussion to those services specific to those required by this RFP and avoid marketing materials.

The Executive Summary should also describe:

- List of the firms and individuals proposed as subcontractors (if applicable), staff names, and the experience of the proposed team with Voter Registration automation;
- Summary of the technology proposed;
- Summary of Bidder's approach to meeting the business functional requirements;
- The degree to which the proposed solution components are currently in use; and
- Summary of the responsibilities of the SOS for the support of implementing the proposed solution.

The Executive Summary must also provide a concise profile of the company. The company profile must include at a minimum:

- ownership and location of offices,
- history – number of years in business,
- qualifications – similar endeavor success and years providing services specific to this RFP, and
- executive-level organizational chart showing lines of authority.

The Executive Summary must NOT include any cost information.

Requirement A14 Bidder's Proposal must contain an Executive Summary of their proposed solution, which includes the following information:

- **Overview of services**
- **List of the firms and individuals proposed as subcontractors (if applicable), staff names, and the experience of the proposed team with Voter Registration automation;**
- **Summary of the technology proposed;**
- **Summary of Bidder's approach to meeting the business functional requirements;**
- **The degree to which the proposed solution components are currently in use;**
- **Summary of the responsibilities of the SOS for the support of implementing the proposed solution; and**
- **Company profile.**

C. Certification to Do Business in the State of California (Mandatory)

Bidders' Draft Proposals and Final Proposals must contain a copy of Bidder's certification with the California Secretary of State to do business in California. If certification has not been received, a copy of Bidder's application and statement of status must be included.

The Contractor must be certified with the California Secretary of State, if required by law, to do business in California. If the Bidder does not currently have this certification, the firm must be certified before contract award can be made.

Requirement A15 The Bidder and all subcontractors proposed which are to receive ten percent (10%) or more of the total contract value must submit a California Certificate of Good Standing.

D. Payee Data Record (Mandatory)

The Bidder's Draft Proposal and Final Proposal must contain a fully executed copy of the Standard Form 204 – Payee Data Record. The Payee Data Record may be found at <http://www.documents.dqs.ca.gov/osp/pdf/std204.pdf>.

Requirement A16 The Prime Bidder and all subcontractors proposed which are to receive ten percent (10%) or more of the total contract value must submit a Payee Data Record.

E. Productive Use Requirements (Mandatory)

The objective of the Productive Use Requirements is to protect the State from being an experimentalist for new equipment and software that has no record of proven performance. Although the State does not expect simply to install a solution already in productive use elsewhere, it wants to avoid becoming a “beta site” for a substantially new technology product.

Equipment and software must be currently supported by the manufacturers. No equipment and/or software may be proposed, specified, or employed if the manufacturer has announced an end of support.

Requirement A17 Bidders must provide data to support that the solution proposed (including proposed hardware, operating system software, database and Commercial-off-the-Shelf or other third party application software) meets the Productive Use requirements.

F. Disabled Veterans Business Enterprise (DVBE) Participation Program Requirement and DVBE Incentive (Mandatory)

PLEASE READ THESE REQUIREMENTS CAREFULLY. FAILURE TO COMPLY WITH THE MINIMUM DVBE PARTICIPATION REQUIREMENT WILL CAUSE YOUR SOLICITATION RESPONSE TO BE DEEMED NONRESPONSIVE AND YOUR FIRM INELIGIBLE FOR AWARD OF THE PROPOSED CONTRACT.

1. DVBE Participation - Mandatory

Bidders must fully comply with DVBE Participation Program requirements in Draft and Final Proposals. Failure to submit a complete response will result in a non-responsive determination, in which case the Final Proposal will be rejected.

The minimum DVBE participation percentage goal is 3% for this solicitation. A DVBE incentive will be given to bidders who provide DVBE participation. All Bidders must complete and submit the DVBE Program Requirements packet. All forms must be completed per instructions and included in Volume 1, Final Bid. Cost Information is NOT to be included on these forms. The DVBE Program requirements package may be downloaded from:

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

The Bidder must also complete and submit the Bidder Declaration Form, as describe below. This document and its completion instructions may be accessed at the link below:

<http://www.documents.dgs.ca.gov/pd/delegations/GSPD105.pdf>

The Bidder who has been certified by California as a DVBE (or who has obtained the participation of subcontractors certified by California as a DVBE) must also submit a completed form(s) STD. 843 (Disabled Veteran Business Declaration). All disabled veteran owners and disabled veteran managers of the DVBE(s) must sign the from(s). The DVBE Declaration form may be accessed at:

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

More information about the DVBE Participation Program requirements can be found at:

<http://www.pd.dgs.ca.gov/publications/resource.htm>

The Office of Small Business and DVBE Services offers program information and may be reached at:

Office of Small Business and DVBE Services
707 Third Street, 1st Floor, Room 400
West Sacramento, CA 95605

<http://www.pd.dgs.ca.gov/smbus>

Receptionist: (916) 375-4940 Fax: (916) 375-4650

Requirement A18: Bidders shall provide a response to DVBE Participation Program requirements as part of their proposals.

2. Disabled Veteran Business Enterprise (DVBE) Incentive - Optional

The DVBE Incentive requirement is optional, but will provide additional points to be factored in for contract award purposes.

The Military and Veterans Code Section 999.5(a) to provide an incentive for DVBE participation in State contracts. The incentive for this procurement provides additional points for those bidders that achieve at least one percent (1%) certified DVBE participation. Participation incentives will be rewarded based on Table V.2 that follows, also described in Section IX - Evaluation and Selection.

NOTE: In accordance with Section 999.5(a) of the Military and Veterans Code, Incentive points will be given to bidders who provide Disabled Veteran Business Enterprise (DVBE) participation surpassing designated minimum thresholds. For contract award purposes only, the State shall add Incentive points to proposals that include California certified DVBE participation as identified on the Bidder Declaration GSPD-05-105 located at: www.documents.dgs.ca.gov/pd/delegations/GSPD105.pdf.

The Incentive amount for awards is based on the amount of DVBE participation obtained. The Incentive is only given to those bidders who are responsive to the DVBE Program Requirement and propose DVBE participation in the resulting contract.

Table V.2 – DVBE Point Scale

DVBE POINT SCALE (See Section IX - Evaluation and Selection)	
Confirmed DVBE participation of:	DVBE Incentive:
5% or more	5% of \$1,000 = 50
4% up to 4.99%	4% of 1,000 =40
3% up to 3.99%	3% of 1,000 = 30
2% up to 2.99%	2% of 1,000 = 20
1% up to 1.99%	1% of 1,000 = 10
Less than 1%	0% of 1,000 = 0

G. Small Business Preference (Mandatory)

The Bidder's Draft Proposal and Final Proposal must include a completed Exhibit V.4 – Small Business Preference regardless of whether the Bidder is requesting the Small Business Preference or not.

If requesting the Small Business Preference, the Bidder must also attach a copy of the Small Business approval letter from DGS showing the Bidder's or subcontractor's Small Business number.

A 5% bid preference is now available to a non-small business claiming 25% California certified small business subcontractor participation. Bidders claiming the 5% preference must be certified by California as a small business or must commit to subcontract at least 25% of the "Contract Grand Total" from Exhibit V.2 –Subcontractor List with one or more California certified small businesses. Completed certification applications and required support documents must be submitted to the Office of Small Business and DVBE Certification (OSDC) no later than 5:00 p.m. on the Final Proposal due date, and the OSDC must be able to approve the application as submitted.

The Small Business Regulations, located at 2 CCR 1896 et seq., concerning the application and calculation of the small business preference, small business certification, responsibilities of small business, department certification, and appeals were revised, effective 9/9/04. The new regulations can be viewed at www.pd.dgs.ca.gov/smbus. Access the regulations by clicking on "Small Business Regulations" in the right sidebar.

Requirement A19 All Bidders must submit the completed Exhibit V.4. If Bidder is not requesting a Small Business Preference, Bidder must enter "Not Requested" or "Not Applicable" in response. If Bidder is claiming small business, a copy of the small business approval letter from DGS must also be submitted.

H. Optional Preference Claims (if applicable)

The State has identified a worksite for implementation of this project; however, offsite services may qualify for these preferences.

1. Target Area Contract Preference Act (TACPA)

The following preference will be granted for this procurement. Bidders wishing to take advantage of this preference will need to review the following Website and submit the appropriate response with the Proposal.

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

2. Local Agency Military Base Recovery Act (LAMBRA)

The following preference will be granted for this procurement. Bidders wishing to take advantage of this preference will need to review the following Website and submit the appropriate response with the Proposal.

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

3. Enterprise Zone Act (EZA)

The following preference will be granted for this procurement. Bidders wishing to take advantage of this preference will need to review the following Website and submit the appropriate response with the Proposal.

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

I. Irrevocable Letter of Credit (Mandatory)

The awarded Contractor will be required to provide the State with a Letter of Credit that is acceptable to the State at Contract execution. Failure to submit the required Letter of Credit at contract signing may be cause for default and termination of the Intent to Award. The financial institution issuing the Letter of Credit must be insured by the Federal Deposit Insurance Corporation and must be licensed to do business in the State of California. The California Secretary of State must be identified as beneficiary.

The Letter of Credit must further provide for honor of a draft on demand for payment presented with the State's written statement, signed by the Secretary of State, certifying that there has been loss, damage, or liability resulting from the Contractor's performance or nonperformance of duties and obligations under the Contract, or from the negligence or act of omission by the Contractor or its agents, servants, and employees and that the amount of the demand or draft is, therefore, now payable.

The Irrevocable Letter of Credit MUST be submitted along with the signed contract. Failure to submit a compliant Irrevocable Letter of Credit may be cause for termination of the Intent to Award.

The Letter of Credit must remain in effect through Phase VII and the one year warranty period. The Bidder agrees to extend the Letter of Credit if the date of Phase VII is changed. The Contractor must have a Letter of Credit in effect from VoteCal Contract execution throughout the term of the contract.

J. Bidder Qualifications and References (Mandatory)

The Bidder must meet the same requirement as A9 in the Draft Proposal and Final Proposal as was met in the pre-qualification package.

Requirement A9 The Bidder must provide descriptions of three (3) projects that meet the mandatory Bidder qualification requirements using Exhibit V.5: Bidder Qualifications & References

K. Bidder Qualifications and References (Desirable)

The Bidder may provide additional information to meet the same requirement as A10 in the Draft Proposal and Final Proposal as was met in the pre-qualification package.

Requirement A10 The Bidder may provide a description of one (1) project that meets the desirable Bidder qualification requirements using Exhibit V.5 – Bidder Qualifications and References.

L. Proposed Staff Qualification Requirements (Mandatory)

The Bidder must meet the requirement A11 in the Draft Proposal and Final Proposal as was done in the Pre-qualification package.

Requirement A11 Each proposed resource must meet the minimum requirements following the role description, respectively, as documented in Exhibit V.6 – Staffing Experience Matrix with supplemental

information provided in Exhibit V.7 – Bidder Staff Resume:

- a) **Project Manager (PM)** - The PM will be responsible for managing all Bidder resources and activities relating to the completion of the deliverables outlined in the contract. The PM must have:
- 60 months experience with managing complex IT system implementation projects that have one-time total costs of \$20 million or more and that include many stakeholders and multiple external system interfaces. (PM.1)
 - 60 months experience managing projects utilizing Project Management Institute (PMI®) methodologies or similar professional project management methodologies. (PM.2)
 - 36 months experience planning complete life-cycles of phased IT system implementation projects. (PM.3)
 - Project Management Professional (PMP) or higher-level certification from the PMI®, or equivalent project management credential that is accredited under ISO/IEC 17024.(PM.4)
- b) **Business Lead (BL)** - The BL will be responsible for serving as an expert in the voter registration functional areas of the Bidder's proposed solution. This resource will be responsible for leading and gathering information in all voter registration discussions and sessions. This resource should assist with compiling responses for the Bidder's deliverables for this area. The BL must have:
- 36 months Experience performing voter registration business process analysis on complex IT system implementation projects that include many stakeholders with multiple external system interfaces. (BL.1)
 - 36 months Experience with collaborative business process assessment, analysis, writing, and re-engineering methods and strategies including business flow diagramming. (BL.2)
 - 24 months Experience communicating, both verbally and written, business process information including presenting ideas/recommendations to stakeholders. (BL.3)
- c) **Technical Lead (TL)** - The TL will be responsible for defining and designing all necessary physical and logical technical architectures for the Bidder's proposed system. This resource will be responsible for participating and gathering information in all technical architecture discussions and sessions. This resource should assist with compiling responses for the Bidder's deliverables for this area. The TL must have:
- 60 months Experience architecting complex integrated IT systems that include multiple business disciplines with multiple external system interfaces and process at least 5 million transactions annually. (TL.1)
 - 60 months Experience implementing roles-based security. (TL.2)
 - 36 months Experience architecting a system(s) that uses a Wide Area Network (WAN). (TL.3)
 - 60 months Experience facilitating knowledge transfer and transition management regarding technical architectures. (TL.4)

- d) **Data Integration Lead (DIL)** - The DIL will be responsible to ensure the proposed system data structure supports the proposed solution to meet the RFP requirements. This resource will be responsible for participating and gathering information in all data architecture and data integration related discussions and sessions. This resource should lead development of Bidder's deliverables related to Data Integration. The DIL must have:
- 60 months Experience setting data policy and recommending technical solutions for the management, storage, access, navigation, movement, and transformation of data on projects from five or more geographically distinct sources. (DIL.1)
 - 60 months Experience specifying DBMS and ETL tools and technologies for structured and unstructured content. (DIL.2)
 - 24 months Experience creating and maintaining metadata repositories. (DIL.3)
 - 36 months Experience creating and maintaining enterprise schema. (DIL.4)
 - 60 months Experience enforcing principles of good canonical (normalized) data design. (DIL.5)
- e) **Development Lead (DL)** – The Development Lead (DL) will be responsible for all development activities for the Bidder's proposed system. The DL will be responsible for leading and completing development and ensuring that the application supports the Section VI – Project Management, Business and Technical Requirements. The DL must have:
- 60 months Experience managing the development effort of complex IT system implementation projects that have one-time total costs of \$25 million or more. (DL.1)
 - 60 months Experience in completing development activities in the specific technologies included in the Bidder's proposed system. (DL.2)
 - 24 months Experience in defining and managing software configuration management processes. (DL.3)
- f) **Testing Lead (TestL)** - The TestL will be responsible for all testing activities for the Bidder's proposed system. This resource will be responsible for leading and managing all aspects of testing and ensuring that the application support the Section VI – Project Management, Business and Technical Requirements.
- 60 months Experience managing the testing effort of a complex IT system implementation effort. (TestL.1)
 - 60 months Experience defining and implementing testing approaches and processes in multiple testing phases (TestL.2)
 - 24 months Experience in test planning and execution activities. (TestL.3)
 - 36 months Experience in implementing a defect management process. (TestL.4)

M. Proposed Staff Experience Requirements (Desirable)

The Bidder may provide additional information to meet the same requirement as A12 in the Draft Proposal and Final Proposal as was met in the pre-qualification package.

Requirement A12 Describe the staff member's experience using Exhibit V.6 – Staffing Experience and Exhibit V.7 – Bidder Staff Resume for any or all of the four (4) key team members identified below:

- a) **Project Manager (PM)**
 - Experience with managing complex IT system implementation projects for the State of California. (PM.5)
 - Experience managing IT implementation projects that involve both local government and state government entities as stakeholders. (PM.6)
- b) **Business Lead (BL)**
 - Experience with the implementation of business processes for voter registration systems. (BL.4)
- c) **Technical Lead (TL)**
 - Experience with architecting complex integrated IT systems for the State of California. (TL.5)
- d) **Data Integration Lead (DIL)**
 - More than 36 months experience mapping the structure and organization of customer data from as-is state to future state for voter registration systems. (DIL.6)
 - Experience with managing complex data integration efforts for the State of California. (DA.7)

N. Project Organization (Mandatory)

In this section the Bidder must include a discussion that identifies staffing proposed for the project. The State's ultimate project goal is to develop a strong team that will be able to support the new system implementation effort as well as provide post-implementation system support.

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

Bidders must state whether or not any additional staffing is to be used in addition to the six key staff roles. If additional staff are proposed, Bidders should include in their narrative a description of the additional staffing that the Bidder anticipates will be needed to perform tasks to implement the proposed solution. The additional staffing description must include roles/responsibilities, functional activities, and reporting structure. If no additional staff are proposed, Bidders must include a description of why no additional staffing is needed.

SOS requires the Bidder to maintain continuity of staffing. If and when a contract is awarded, the winning Bidder will be expected to provide the individuals proposed in key staff roles (Project Manager, Business Lead, Technical Lead, Development Lead, Testing Lead and Data Integration Lead) if those individuals are still in the employ of the Bidder.

Once committed to the project, all proposed staff are expected to remain for the duration of the project in that role. SOS recognizes that a resignation or other events may cause Bidder project team members to be unavailable. SOS must approve or deny any of Bidder's proposed replacement project team members. The proposed replacement staff must have at least the same skills and experience as required in the RFP. SOS will validate the proposed replacement staff references prior to approving their participation on the project. The request to replace staff must be made in writing to SOS Project Director along with the reason for the need to replace staff. When replacing staff the vendor shall submit the experience of the proposed replacement staff on Exhibit V.6 – Staffing Experience Matrix and Exhibit V.7 - Bidder Staff Resume form for review by SOS.

Requirement A20 The Bidder's discussion of proposed project staffing above must include:

- **Identification of all proposed bidder staff from Exhibit V.6 – Staffing Experience Matrix,**
- **Identification of additional essential Bidder project personnel, including subcontractor staff, with a summary of skill sets for additional positions and of anticipated responsibilities for those positions,**
- **Detailed description of the methodology used to estimate the resource efforts applied to the work plan.**
- **Identification and description of teaming relationships with State personnel. (Details regarding the State's existing project staff have been provided in Section III of this RFP),**
- **A diagram of the proposed project staffing structure and reporting/governance structure. The diagram should show the key Bidder, subcontractor (if applicable), and corresponding State staffing. Refer to RFP Section III for existing project structure, and**
- **Narrative description of distribution of roles and responsibilities for the lifecycle of the project, for at least the following areas:**
 - **Management and maintenance of the integrated project schedule**
 - **Management of risks, issues, and scope (change control)**
 - **Design documentation preparation**
 - **Software configuration management and version control**
 - **Quality assurance for deliverables**
 - **Deployment and cutover management**
 - **Requirements management**
 - **Training for end users and SOS Elections and IT staff**
 - **Communications with SOS and other stakeholders**
 - **All other office and administrative support required to perform project activities.**

Note: The State will not provide clerical support to Contractor staff.

EXHIBIT V.1 CONFIDENTIALITY STATEMENT

As an authorized representative and/or corporate officer of the company named below, I warrant my company and its employees will not disclose any documents, diagrams, information, voter registration data, and information storage media made available to us by the State for the purpose of responding to RFP SOS 0890-46 or in conjunction with any contract arising therefrom. I warrant that only those employees who are authorized and required to use such materials will have access to them.

I further warrant that all voter registration data will be encrypted while stored and when transmitted. Additionally, materials provided by the State will be returned promptly after use and that all copies or derivations of the materials will be physically and/or electronically destroyed. I will include with the returned materials, a letter attesting to the complete return of materials, and documenting the destruction of copies and derivations. Failure to so comply will subject this company to liability, both criminal and civil, including all damages to the State and third parties. I authorize the State to inspect and verify the above.

I warrant that if my company is awarded the contract, it will not enter into any agreements or discussions with a third party concerning such materials prior to receiving written confirmation from the State that such third party has an agreement with the State similar in nature to this one.

(Signature of representative)

(Date)

(Typed name of representative)

(Typed name of company)

EXHIBIT V.2 SUBCONTRACTOR LIST

Each subcontractor included in the contract must be identified in Exhibit V.2.

Exhibit V.2: Subcontractor List		
A – Subcontractor Information		
Company Name:		
Primary Contact Name	Primary Contact Title	Phone
Address	City, State	Zip
Subcontractor's proposed implementation work effort by total staff resource hours applied (check only one box):		
<input type="checkbox"/> 25% or more	<input type="checkbox"/> Between 25% and 10%	<input type="checkbox"/> 10% or less
B - Description of Commercially Useful Function the subcontractor will provide: <i>(Only for Small Businesses and Disabled Veterans Business Enterprises)</i>		
As described in Military & Veterans Code § 999(b)(5)(B)(i):		
Is this subcontractor responsible for the execution of a distinct element of the work of the contract? ___Yes ___No		
Does this subcontractor carry out the obligation by actually performing, managing, or supervising the work involved? ___Yes ___No		
Is this subcontractor being proposed to perform work that is normal for its business services and functions? ___Yes ___No		
Is this subcontractor NOT further subcontracting a portion of the work that is greater than that expected to be subcontracted by normal industry practices? ___Yes ___No		
Description of the commercially useful function to be performed by this subcontractor:		
(attach additional pages if necessary)		
C – Proposal Amount (Yes response required for one of C1, C2, or C3)		

Exhibit V.2: Subcontractor List

C1	This subcontractor will represent 25% or more of the proposal "Contract Grand Total": <input type="checkbox"/> YES <input type="checkbox"/> NO
	This subcontractor satisfies the Small Business Preference Requirements: <input type="checkbox"/> YES <input type="checkbox"/> NO
C2	This subcontractor will represent between 10% and 25% of the proposal "Contract Grand Total": <input type="checkbox"/> YES <input type="checkbox"/> NO
C3	This subcontractor will represent less than 10% of the proposal "Contract Grand Total": <input type="checkbox"/> YES <input type="checkbox"/> NO
D – Subcontractor Signature:	
I, the official named above, as an authorized representative of the company named above, warrant my company has been advised of, and agrees to, its participation in the contract, if awarded.	
Signature:	Date:

EXHIBIT V.3 WORKERS' COMPENSATION INSURANCE CERTIFICATION

The undersigned in submitting this document hereby certifies the following:

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

Signature

Date

Name and Title (Print or Type)

Street Address

Firm Name

City, State, and ZIP

Exhibit V.4 Small Business Preference

ALL BIDDERS – PLEASE CHECK THE APPROPRIATE BOX, SIGN AND DATE THIS FORM, AND SUBMIT IT WITH YOUR PROPOSAL. ALSO HAVE ANY CERTIFIED SMALL BUSINESS SUBCONTRACTORS SIGN AND SUBMIT ALONG WITH THEIR SMALL BUSINESS CERTIFICATION, WHERE APPLICABLE.

- I am a certified small business and **Small Business Preference** is applicable to this proposal. A copy of my certification from the Office of Small Business and DVBE Certification is attached.
- I have recently filed for Small Business Preference but have not yet received certification. *(Note: It is the Bidder's responsibility to ensure that applicable Small Business Certifications are completed by Notice of Intent to Award.)*
- I have read the section on Small Business Preference, and declare that I am **Not** a certified Small Business and am **Not** claiming the **Small Business Preference**.
- I am **Not** a certified Small Business but I am using a small and/or micro-business as a subcontractor.

Bidder's Authorized Signature _____ Date _____

Printed Name and Title _____

Name of Bidder's Firm _____

Exhibit V.5 Bidder Qualifications & References

Exhibit V.5: Bidder Qualifications & References	
Firm Name:	Firm Contact Name:
Firm Contact's Email:	Firm Contact's Phone #:

Client:	Client Contact Name:
Address:	Phone #:
Email:	Fax #:
Reference is submitted to meet the following Bidder Qualifications (check <u>at least one</u>):	
<input type="checkbox"/> Mandatory Bidder Qualifications	<input type="checkbox"/> Desirable Bidder Qualifications

Project Name:	
Project Description:	
Nature of Firm's Involvement:	
Date System Went into Production as System of Record, or date of completion of Pilot:	Number of Records Integrated:
Did this project implement a statewide system? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Did this project implement a voter registration system? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Did this project implement a "bottom-up" voter registration system (in which local elections staff retain use of their existing election management systems)? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Number of <i>concurrent</i> users supported _____	
Did the project required interfaces with at least 3 independent systems not under the direct control or management of the vendor or the customer? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Was the Firm the Prime Contractor for this project? <input type="checkbox"/> Yes <input type="checkbox"/> No	
If this reference is for the Bidder's Subcontractor, was the Subcontractor the Prime Contractor for this project? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, Enter Subcontractor Name: _____	
Reference's Signature: I, the client contact official named above, as an authorized representative of the client agency named above, state that the above project description is true and correct.	
Signature:	Date:
Printed name:	

Exhibit V.6 Staffing Experience Matrix and Instructions

Complete the Experience Staffing Matrix per the instructions provided in this Exhibit. If a proposed team member has gained experience from various efforts or contract engagements, provide information for each engagement on a separate line. Add additional pages as needed. **A separate form/table must be completed for each of the six key proposed team members.**

Project Details: Provide the project name, client name, contact person, contact phone number, and years worked.

Role and Type of Experience: Please mark the experience attained during the referenced project by placing an 'X' in the respective check box.

Duration: Enter the duration, in months, that the staff person was involved in the project. A "month" shall be defined as any period in which a minimum of 20 work days of at least 7 hours in duration were worked, and are applicable to the claimed experience.

A sample is provided below:

Contractor Name: <i>XYZ Technology Professionals</i>		
Staff Name: <i>Robin Roberts, PMP</i>		
Proposed Role: <i>Project Manager</i>		
Project Name Client Name, Contact, & Number	Role and Type of Experience	Duration (in months)
<i>[PRODUCT] Implementation State of Virginia Jane Doe (804- 555-1212) (1999-2001)</i>	<input checked="" type="checkbox"/> <i>Experience with managing complex IT system implementation projects that have one-time costs of \$20 million or more and that include many stakeholders with multiple external system interfaces. (PM.1)- Mandatory</i> <input checked="" type="checkbox"/> <i>Experience managing projects utilizing PMI® methodologies or similar professional project management methodologies. (PM.2)- Mandatory</i> <input checked="" type="checkbox"/> <i>Experience planning complete life-cycles of phased IT system implementation projects. (PM.3)-Mandatory</i> <input type="checkbox"/> <i>Experience managing complex IT system implementation projects for the State of California. (PM.5)-Desirable</i> <input type="checkbox"/> <i>Experience managing IT implementation projects that involve both local government and state government entities as stakeholders. (PM.6)-Desirable</i>	<i>20</i>
<i>Copy and paste additional rows as necessary.</i>		

Exhibit V.6 Staffing Experience Matrix

(A separate form/table must be completed for each of the six proposed Key Personnel.)

Contractor Name:		
Staff Name:		
Proposed Role: Project Manager (PM) *Note: Copy of PMP or equivalent certificate (PM.4) must be provided along with Exhibit V.6 for the proposed PM.		
Project Name Client Name, Contact, & Number	Role and Type of Experience	Duration (in months)
	<input type="checkbox"/> Experience with managing complex IT system implementation projects that have one-time costs of \$20 million or more and that include many stakeholders and multiple external system interfaces. (PM.1)-Mandatory <input type="checkbox"/> Experience managing projects utilizing Project Management Institute (PMI®) methodologies or similar professional project management methodologies. (PM.2)-Mandatory <input type="checkbox"/> Experience planning complete life-cycles of phased IT system implementation projects. (PM.3)-Mandatory <input type="checkbox"/> Experience managing complex IT system implementation projects for the State of California. (PM.5)-Desirable <input type="checkbox"/> Experience managing IT implementation projects that involve both local government and state government entities as stakeholders. (PM.6)-Desirable	
	Copy and paste additional rows as necessary.	

Exhibit V.6 Staffing Experience Matrix

Contractor Name:		
Staff Name:		
Proposed Role: <i>Business Lead (BL)</i>		
Project Name Client Name, Contact, & Number	Role and Type of Experience	Duration (in months)
	<input type="checkbox"/> <i>Experience performing voter registration business process analysis on complex IT system implementation projects that include many stakeholders with multiple external system interfaces. (BL.1)-Mandatory</i> <input type="checkbox"/> <i>Experience with collaborative business process assessment, analysis, writing, and re-engineering methods and strategies including business flow diagramming. (BL.2)-Mandatory</i> <input type="checkbox"/> <i>Experience communicating, both verbally and written, business process information including presenting ideas/recommendations to stakeholders. (BL.3)-Mandatory</i> <input type="checkbox"/> <i>Experience with the implementation of business processes for voter registration systems. (BL.4)-Desirable</i>	
	<i>Copy and paste additional rows as necessary.</i>	

Exhibit V.6 Staffing Experience Matrix

Contractor Name:		
Staff Name:		
Proposed Role: <i>Technical Lead (TL)</i>		
Project Name Client Name, Contact, & Number	Role and Type of Experience	Duration (in months)
	<input type="checkbox"/> <i>Experience architecting complex integrated IT systems that include many stakeholders with multiple external system interfaces and process at least 5 million transactions annually.(TL.1)-Mandatory</i> <input type="checkbox"/> <i>Experience implementing roles-based security.(TL.2)-Mandatory</i> <input type="checkbox"/> <i>Experience architecting a system(s) that uses a Wide Area Network (WAN).(TL.3)-Mandatory</i> <input type="checkbox"/> <i>Experience facilitating knowledge transfer and transition management regarding technical architectures.(TL.4)-Mandatory</i> <input type="checkbox"/> <i>Experience with architecting complex integrated IT systems for the State of California.(TL.5)-Desirable</i>	
	<i>Copy and paste additional rows as necessary.</i>	

Exhibit V.6 Staffing Experience Matrix

Contractor Name:		
Staff Name:		
Proposed Role: <i>Data Integration Lead (DIL)</i>		
Project Name Client Name, Contact, & Number	Role and Type of Experience	Duration (in months)
	<input type="checkbox"/> <i>Experience setting data policy and recommending technical solutions for the management, storage, access, navigation, movement, and transformation of data on projects involving five or more geographically distinct sources.(DIL.1)-Mandatory</i> <input type="checkbox"/> <i>Experience specifying DBMS and ETL tools and technologies for structured and unstructured content.(DIL.2) -Mandatory</i> <input type="checkbox"/> <i>Experience creating and maintaining metadata repositories. (DIL.3) -Mandatory</i> <input type="checkbox"/> <i>Experience creating and maintaining enterprise schema. (DIL.4) -Mandatory</i> <input type="checkbox"/> <i>Experience enforcing principles of good canonical (normalized) data design.(DIL.5) -Mandatory</i> <input type="checkbox"/> <i>Experience mapping the structure and organization of customer data from as-is state to future state for implementation of voter registration systems.(DIL.6)-Desirable</i> <input type="checkbox"/> <i>Experience with managing complex data integration efforts for the State of California. (DIL.7)-Desirable</i>	
	<i>Copy and paste additional rows as necessary.</i>	

Exhibit V.6 Staffing Experience Matrix

Contractor Name:		
Staff Name:		
Proposed Role: <i>Development Lead (DL)</i>		
Project Name Client Name, Contact, & Number	Role and Type of Experience	Duration (in months)
	<input type="checkbox"/> <i>Experience managing the development effort of a complex IT system implementation project that has one-time costs of \$25 million or more. (DL.1)-Mandatory</i>	
	<input type="checkbox"/> <i>Experience in completing development activities in the specific technologies included in the Bidder's proposed system. (DL.2) - Mandatory</i>	
	<input type="checkbox"/> <i>Experience in defining and managing software configuration management processes. (DL.3) -Mandatory</i>	
	<i>Copy and paste additional rows as necessary.</i>	

Exhibit V.6 Staffing Experience Matrix

Contractor Name:		
Staff Name:		
Proposed Role: <i>Testing Lead (TestL)</i>		
Project Name Client Name, Contact, & Number	Role and Type of Experience	Duration (in months)
	<input type="checkbox"/> <i>Experience managing the testing effort of a complex IT system implementation effort. (TestL.1)-Mandatory</i>	
	<input type="checkbox"/> <i>Experience defining and implementing testing approaches and processes in multiple testing phases, (TestL.2) -Mandatory</i>	
	<input type="checkbox"/> <i>Experience in test planning and execution activities. (TestL.3) -Mandatory</i>	
	<input type="checkbox"/> <i>Experience in implementing a defect management process. (TestL.4) -Mandatory</i>	
	<i>Copy and paste additional rows as necessary.</i>	

Exhibit V.7 Bidder Staff Resume

Use one form for each of Bidder's six Proposed Key Project Team members; employment history should start with the most recent employment. Add additional pages as necessary.

Bidder Proposed Staff Name:		
Proposed Role:		
Individual educational achievements		
Institution Name:	Degree:	Year Graduated:
Certifications Achieved:		
Areas of Professional Expertise:		
Employment History		
Organization Name:	Title and Role:	
Reference Contact Name & Title:	Contact Telephone #:	
Years of Employment:	From:	To:

Bidder Proposed Staff Name: Proposed Role:		
Employment History		
Organization Name:		Title and Role:
Reference Contact Name & Title:		Contact Telephone #:
Years of Employment:	From:	To:
Brief description of Job Duties:		

SECTION VI – PROJECT MANAGEMENT, BUSINESS, AND TECHNICAL REQUIREMENTS

A. INTRODUCTION

The purpose of this section is to present the mandatory pass/fail business and technical requirements that must be addressed by the proposed solution as described in Section IV – Proposed System and Business Processes. This section also contains P1-11 requirements that are mandatory and scorable. See Section V - Administrative Requirements; Section VIII - Proposal Format; and Section II - Rules Governing Competition, for other requirements that must be met in order to be considered responsive to this RFP.

The California Office of the Secretary of State (SOS) is seeking a Bidder to develop or provide an application to meet the mandatory Help America Vote Act of 2002 (HAVA) requirements. This is a solution-based procurement. It is important to understand that these requirements are intentionally written at a summary level of detail to facilitate an alternative procurement process. The underlying intent of this process is to focus business requirements on the business need (“what must be done”), not on current methods or constraints (“how it is currently done”). SOS has identified the resultant performance criteria but the method of delivery or achievement is optional. SOS recognizes there may be more than one means of meeting the requirements and wants to evaluate alternatives. Requirements for the VoteCal System have been broken out into separate sections for ease of responding to this RFP.

To facilitate the Evaluation process, Bidders must complete Exhibit VI.1 – Project Management, ~~Business, and Technical~~ Requirements Response Matrix (a list of requirement numbers and the page number in Bidder’s Proposal where the response can be found). Bidders will complete comparable information for the business functional and technical requirements by completing Table VI.1 (Mandatory VoteCal System Requirements, Functionality Reference, and Requirement Response Form) and Table VI.2 (VoteCal Technical Requirements and Response Form) included later in this section.

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B. PROJECT MANAGEMENT ACTIVITIES AND PLANS

It is SOS’s intent to evaluate the Bidder’s past level of effort and performance as well as their capability to execute certain tasks successfully. Tasks include:

- System preparation (project planning, tracking, and control);
- System requirements and gap analysis;
- System design, programming, configuration/modification, integration, and testing;
- Data integration;
- System implementation;
- Training;
- System maintenance and management, and
- System operation, maintenance, and support.

SOS requires the Bidder to prepare and submit the Bidder’s draft Project Management Plan and a number of additional descriptions of approaches to various project activities. SOS requires that Bidders outline these approaches so that SOS can evaluate the Bidder’s ability, application of best business practices, and competence in managing a project of this size and complexity. Such information must be submitted along with the Bidder’s response to the other Business and Technical Requirements. Bidders must note that when the project is initiated, for each deliverable that is

prepared for the project, a Deliverable Expectations Document (DED) will be prepared jointly by SOS and the Bidder and approved by the VoteCal Project Manager. Refer to Attachment 1 - Statement of Work, Exhibit 2 – VoteCal System Tasks and Deliverables and Exhibit 3 – Sample Deliverable Expectation Document (DED), for further details on the DED.

In drafting the various plans and discussions to satisfy Project Management requirements, Bidder should clearly identify the proposed role of SOS staff. Bidder should be guided by the following principles:

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

Current staff and contracted personnel assigned to VoteCal include: VoteCal Project Manager, two (2) Elections Program Leads, two (2) Information Technology Leads, Quality Assurance Manager, Technical Architect, and Programmer-Analyst. No additional SOS VoteCal staff is anticipated.

In addition to the SOS and contracted personnel listed above, both the IV&V and IPOC Contractors will review deliverables. This review process is mandatory for the VoteCal project and the Bidder should ensure that Project Management plans and the schedule incorporate time, responsibilities and steps for review by the oversight contractors. In addition, SOS has contracted with the IV&V firm to perform independent testing of the delivered applications. Bidder must resolve any discrepancies identified by the IV&V contractor before testing is considered accepted and signed-off by SOS. Bidders must factor this activity into the Test plan and draft project schedule.

Requirements P1 through P11 are mandatory and scorable. The description of each requirement in this section indicates the elements of that requirement that will be evaluated. Failure to address all elements of each requirement will result in a lower score for that response.

Bidders are reminded that narrative responses to requirements P1 through P11 must be complete and in sufficient detail for the Evaluation Team to evaluate the Bidder's described approach against criteria described for each requirement in this section.

1. Project Management

The SOS has prepared a Project Management Plan and numerous subsidiary plans to govern VoteCal project management processes. The SOS is currently reviewing and revising these plans. Current versions are provided in the Bidder's Library. When revisions are approved, the revised versions will be published in the Bidder's Library.

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

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

Requirements in this section are all governed by the State Information Management Manual (SIMM). The VoteCal project is using SIMM 200 – the OCIO's prior project management methodology with regard to risk and issue management. SIMM 17 is used for all other project management activities.

In developing responses to Project Management Activities and Plans requirements, Bidders should assume and accommodate the following constraints:

- Limited availability of SOS staff for the fourteen (14) business days prior to and the seven (7) business days following a statewide election.
- Unavailability of county staff and a freeze on changes to or testing with county systems during the period beginning 60 days prior to and ending 30 days following a statewide or UDEL election.
- The SOS requires one-hundred and twenty (120) working days, at a minimum, following approval of the production environment, to setup the required production environment hardware.
- For interfaces with election management systems, each EMS vendor will be allowed six (6) calendar months for the design, development, and testing of an interface prior to integration testing with VoteCal. The time period begins when the specification is delivered to the EMS vendors by the SOS and the Contractor.

SOS staff will design, develop, and test VoteCal reports concurrent with Contractor activities. Relevant plans submitted in response to the requirements listed below must anticipate and accommodate this concurrent activity, and ensure that SOS report developers and subject matter experts have the necessary knowledge and associated documentation to design, develop, and complete testing of reports before the Pilot phase begins.

Requirement P1 The Bidder's Proposal must provide a draft Project Management Plan (PMP) that, when finalized, will become the controlling document for managing Bidder's work on VoteCal Statewide Voter Registration System (VoteCal) and must include activities related to this project for SOS staff as well as Bidder staff resources. The Bidder must use its PMP to define the technical and managerial project functions, processes, activities, tasks, and schedules necessary to satisfy the project requirements. If Bidder is awarded the contract, he updated PMP shall be submitted as a deliverable for SOS review and approval within thirty (30) calendar days of contract award and will provide the "baseline" for the change control process.

The PMP must describe the Bidder's planned approach to all appropriate and relevant project management processes for the Bidder team's performance of the scope of work as described in Attachment 1 – Statement of Work, except for those plans that are cited as separate Project Management requirements (e.g., P2-Quality Management Plan). The PMP include discussion of participation of and interaction with other VoteCal team members (SOS staff and other contractors) in those processes, and discussion of how each process will integrate with SOS's defined project management processes.

The Bidder's approach to risk management, issue management, schedule management and scope management, and their integration points with corresponding VoteCal plans must also be described.

The PMP must also address deliverable definition (Deliverable Expectation Document – DED), review and approval processes, as well as definition of criteria and approach for project phase entry and exit and for system acceptance.

The PMP must conform to relevant SIMM 17, SIMM 200 and PMBOK standards.

Requirement P2 The Bidder's Proposal must describe their approach to schedule management as a draft Schedule Management Plan, which includes resource updates, tracking of resource activities, milestone progress and reporting, critical path monitoring,

schedule issues, status reporting based on work breakdown structure, and contingency activities. The PMP's narrative description of schedule management must describe how the Bidder will integrate the schedule with the VoteCal master integrated schedule, which will be maintained by the VoteCal Project Management Office (PMO), and ensure consistency of content between those schedules as they are tracked and updated. The updated Schedule Management Plan shall be submitted as part of the Project Management Plan deliverable for SOS review and approval within thirty (30) calendar days of contract award.

Along with narrative description of the schedule management approach, the Bidder must include a draft integrated project schedule that contains the tasks/activities of Bidder, SOS staff, EMSs and other SOS contractors that must occur in order to meet the requirements of the Statement of Work. The schedule must contain a list of planned tasks, milestones, estimated completion dates, resource assignments, and dependencies between tasks. The schedule must also include tasks' dependencies on other VoteCal team members' (staff, other contractors) activities, including but not limited to deliverable planning (Deliverable Expectation Document development and approval), SOS review of deliverables (no less than five working days), and Bidder correction of deficiencies. The submitted schedule must include a preliminary GANTT chart. The updated integrated project schedule shall be submitted for SOS review and approval within ninety (90) calendar days of contract award.

Bidder's response to this requirement must conform to PMBOK and SIMM 200 standards.

NOTE: This is a fixed-price contract and the primary assumption is that there will be no change orders. Change orders will only be considered under the terms identified under Attachment 1 Statement of Work #8 - Unanticipated Tasks or for tasks that are the result of State or Federal legislative mandates, or law or regulation changes.

Requirement P3 The Bidder's Proposal must provide a draft Quality Management Plan, which includes definition of quality standards, policies, and procedures the Bidder will use; approach for quality assurance review of all work products and activities during the project; quality control approach for work products; process for continuous quality improvement; roles and responsibilities for quality management activities; description of how quality will be monitored and measured; and a summary of proposed criteria for system and deliverable acceptance. The Quality Management Plan should also include discussion of integration with the SOS Quality Plan. The updated Quality Management Plan shall be submitted for SOS review and approval within thirty (30) calendar days of contract award.

The draft Quality Assurance Plan must conform to IEEE 730-2002 (Standard for Software Quality Assurance) or, alternatively, an equivalent methodology for which the Bidder describes successful application in previous projects as part of the response.

Requirement P4 The Bidder's Proposal must describe their Software Version Control and System Configuration Management methods to be employed during this project. The Bidder must include a discussion of the methods and tools that will be used for version control and configuration management along with how new modifications and/or modules will be integrated and implemented when software upgrades are

required during the warranty/ maintenance period. A formal Software Version Control and System Configuration Management Plan shall be submitted to SOS for review and approval within thirty (30) calendar days of contract award.

Bidder's Proposal must include a summary approach to document management, which addresses how documents will be controlled and how deliverable versions will be tracked, including method and tools for document management (if appropriate).

The draft Software Version Control and System Configuration Management approach must conform to standards required by IEEE 828-2005 or, alternatively, an equivalent methodology for which the Bidder describes successful application in previous projects as part of the response.

Requirement P5 The Bidder's Proposal must include a discussion of the content and approach to developing a Requirements Traceability Matrix, and a discussion of how this will be used and updated to track requirements, programming, and test scenarios during all phases of the project. All business functional and technical requirements in this RFP must be traceable to the Test Plan (Requirement P9) and the Bidder must provide SOS with a Requirements Traceability Matrix, which will provide a link from each test case back to each of the business functional and technical requirements in the RFP for testing purposes. The discussion must include description of intended approach to ensuring forward and backward traceability, including but not limited to traceability between the following:

- Requirements from the Request for Proposal (RFP) and more detailed sources such as the System Requirements Specification (Deliverable II.1 in the Attachment 1 SOW Exhibit 2 – VoteCal System Tasks and Deliverables);
- Requirements in the System Requirements Specification (Deliverable II.1) to design elements in the Detailed System Design Specifications (Deliverable II.3)
- Design elements documented in the Detailed System Design Specifications (Deliverable II.3) and Unit Test Cases
- System Requirements Specification (Deliverable II.1) and System Test Cases

An updated Requirements Traceability Matrix shall be submitted to SOS for review and approval within thirty (30) calendar days of contract award.

The draft Requirements Traceability approach must conform to standards required by IEEE 1233-1998 and 830-1998, or CMMI V 1.2, or, an equivalent methodology for which the Bidder describes successful application in previous projects.

Requirement P6 The Bidder's Proposal must include a draft Implementation and Deployment Plan, which describes the Bidder's planned approach for implementation, links to the PMP and includes a discussion of strategy for a pilot testing, data conversion, and phased cutover (if applicable). The response to this requirement must include explanation of the best practices or standards on which the approach is based. This plan will be finalized in Phase 3, in accordance with the DED for this deliverable and with the project schedule.

Requirement P7 The Bidder must provide a draft Organizational Change Management Plan, which outlines their business change communication strategy. The Bidder's approach must address how the project will convey to all users and customers the new

methods of doing business, roles and responsibilities, and common issues to be anticipated and mitigation scenarios in a project of this size and complexity. It is expected this strategy will address securing support and buy-in from the county users as well as SOS staff

The draft Organizational Change Management Plan shall conform to ISO 9001:2008 or equivalent industry standards.

The Bidder's Library includes an Organizational Change Management Plan that was developed for this project and formally accepted by the Secretary of State's Office. Bidder may adopt any or all concepts from that plan as part of their response to this requirement.

2. Training

Requirement P8

SOS requires the Bidder to propose training for the SOS Elections Division and IT Division staff as well as county elections officials. Bidders must provide a draft Training Plan, which includes outlines course descriptions, prerequisites, content, and length of class for these user groups. SOS will provide one (1) training room in Sacramento for proposed solution training. If the Bidder intends to train outside the Sacramento area, it is responsible for those facility expenses.

SOS expects the Bidder to provide training initially to all 19 SOS elections program staff and 10 IT staff assigned to the VoteCal Project. SOS does not anticipate that any single SOS training class will exceed 20 participants. Any SOS staff training identified by the Bidder and not proposed to be conducted at the SOS Sacramento training facility must include, as part of the bid amount, all costs associated with travel to the training site for all SOS staff attending.

- Bidder must specify the approach for training for SOS Elections Division staff, trainers, investigators, and Help Desk staff as well as training of SOS technical support staff. Note that the Help Desk shall be established and training provided before the pilot counties receive the application.
- Bidders must provide orientation and training for county staff integrating VoteCal with their existing EMS. The SOS anticipates that training for county elections officials and their staff will focus on policy and business process changes – not system changes as county elections officials' staff will not input directly to VoteCal.
- Bidders must provide training for SOS staff who will provide on-going training post implementation.
- Bidders must describe their technical knowledge transfer method with SOS IT staff and training as part of the Draft Training Plan.
- Bidders must identify system requirements for the training room, which will support up to 20 workstations (e.g., minimum configuration of workstations, connectivity requirements, etc.).
- Bidders must identify system requirements for a fully functional Training Environment to support the training room that is separate from the Development, Test and Production environments.
- Training aids, manuals, quick reference guides and other training materials must be provided as part of the solution, and also be delivered to SOS in electronic format.

3. Testing

Requirement P9 The Bidder must provide a draft Test Plan that includes a discussion of the proposed Test Methodology and a sample Test Defect Log. The actual detailed Test Plan and Test Defect Log must be finalized and approved by SOS no later than fifteen (15) State working days prior to the commencement of testing activities.

Bidder must include a discussion of all levels of testing that will be performed, including stress testing, performance and load testing, and backup and recovery, and the training to be provided for the SOS testing staff. SOS intends to perform a test with pilot counties (counties to be determined – Bidders should assume a total of 1.5 million voter registration records for the pilot counties). This must be factored into the Bidder's activities, PMP, and Integrated Project Schedule.

If a Bidder proposes a Commercial off-the-Shelf (COTS) application or a Modified-off-the-Shelf (MOTS) application, out of the box testing must be included to validate the base product is functioning properly. Negative testing scenarios must be included. Bidder must address all levels of testing to be performed, including stress testing and how they will manage these activities including managing of the test environments.

The Test Plan must include testing for all configured and programmed items, all programs and reports, and a complete "end-to-end" test including testing from a county workstation through to VoteCal and on to DMV and back to VoteCal. Testing will include testing of interfaces to the county systems. It will be the decision of the VoteCal Project Manager when acceptance testing has been successfully completed. The final detailed Test Plan will become the basis for verifying that the system operates as documented and intended. The Test Plan and Integrated Project Schedule must accommodate the need to make enhancements to VoteCal between Pilot and Deployment Phases and provide sufficient methodology and time to perform end-to-end testing after enhancements were made and before Deployment commences, and at least twice during Deployment at times mutually agreed upon by SOS and the Contractor.

NOTE: SOS has contracted with a vendor to provide User Acceptance Testing. Bidder shall resolve issues with UAT Manager before testing is considered accepted and signed-off by SOS. SOS has also contracted with an Independent Verification and Validation (IV&V) contractor to perform independent testing of the delivered applications. Bidder must resolve any discrepancies identified by the IV&V contractor before testing is considered accepted and signed-off by SOS. Bidders must factor this activity and working with the IV&V contractor into their work plan.

4. Data Integration

Requirement P10 The Bidder's Proposal shall provide a draft Data Integration Plan which describes the Bidder's approach, method and roles and responsibilities for:

- Conformance of all county data to VoteCal standards;
- Integration of existing county voter registration data from multiple counties into a single record for each voter (e.g., one record, one voter);

- Integration and standardization of county-specific or EMS-specific data definitions, including but not limited to static values for various codes (e.g., voter registration status codes, cancellation reason codes, etc.)
- The process of testing and validating data conversions prior to full data integration, including approach for addressing and resolving data errors;
 - Conducting the integration process, including a strategy of “cut-over,” “pilot,” or “phased”;
 - Transitioning existing data into the new VoteCal;
 - Maintenance of Calvoter and VoteCal systems in parallel during the “pilot” phase and how the integrity of the data will be ensured as the official list of voters while implementation is occurring; and
 - Detailed transition schedule of activities that clearly defines key milestones, deliverables, tasks, and responsibilities and which are integrated with the PMP.

A test of data integration shall be performed and all data validated and approved by SOS prior to the start of the pilot. Refer to RFP Section III – Current Systems and Opportunities or the Bidder’s Library for a discussion of the existing databases, Calvoter file structures, county upload file formats, and data volumes.

5. *VoteCal Architecture*

Requirement P11: Bidders shall provide their proposed VoteCal Architecture, including a detailed description of the technical architecture/infrastructure solution for the VoteCal system, addressing performance, availability, security, scalability, maintainability, accessibility, deployment, and extensibility.

Bidders should utilize their knowledge gained during the Confidential Sessions to ensure complete and appropriate responses.

The technical architecture/infrastructure response shall include a narrative discussion of the hardware, software, and network elements associated with the Development, Test, Training, and Production VoteCal environments (additional environments should be proposed as necessary to meet VoteCal requirements and deliverables as specified in this RFP).

The technical architecture/infrastructure response shall describe the structure and behavior of the technology infrastructure of the proposed solution. This discussion should include, and map to, high-level diagrams showing major system components, the application tier(s) and system environments they serve, their interrelationships, dependencies, and resident solution components in order to provide the SOS with a visual, as well as narrative, enterprise-wide representation of the VoteCal environments to be deployed for the period of the project and for ongoing maintenance and support.

The amount and level of detail of documentation plus supporting product literature provided must demonstrate that the architecture(s) will support the development, testing, implementation, and maintenance of the VoteCal system solution, and must provide evidence that the proposed architecture will meet if not exceed all VoteCal business and technical requirements described in this RFP. Such evidence should be a referenced project, completed within the past four (4) years, in which the Bidder used the described approach. If a referenced project is not

available as demonstration of the viability of the approach, then Bidder must cite relevant industry standards or best practices.

The Bidder's response to this requirement must address the following factors:

- **Performance:** The degree to and manner in which the proposed architecture meets all performance requirements of the RFP and represents industry-accepted best practices related to ensuring high performance. At minimum the Bidder's response must address these key areas but should not be limited to them:
 - Network capacity
 - Server memory and processing capacity
 - Application-processing constraints
 - Load testing
- **Availability:** The degree to and manner in which the proposed architecture meets all availability requirements of the RFP and ensures maximum availability in accordance with industry-accepted best practices. At minimum the Bidder's response must address these key areas but should not be limited to them:
 - How and when routine maintenance will be performed
 - How component failures will be handled
 - How backup and recovery, other than disaster (e.g. flood, fire earthquake, etc.) will be addressed
- **Scalability:** The degree to and manner in which the proposed architecture presents a scalable solution consistent with industry-accepted best practices. At minimum the Bidder's response must address these key areas but should not be limited to them:
 - Which new hardware and software will be added
 - How VoteCal will be reconfigured to utilize the new hardware and software
- **Security:** The degree to and manner in which the proposed architecture presents a secure solution which at a minimum meets all security requirements of the RFP. The Bidder's response must address these key areas but should not be limited to them:
 - How authentication will take place
 - How authorization will take place
 - How data will be protected--both at rest and in transit
 - How the system will protect against identity spoofing
 - How the system will protect data from tampering
 - How the system will log system and user activity
 - How the system will protect against Denial of Service attacks
- **Maintainability:** The ability of the system to be maintained at an operational level after it is put into production. The Bidder's response must address these key areas but should not be limited to them:

- Specific maintenance expectations
- Maintenance costs and activities for any components added to VoteCal network and/or SOS infrastructure
- How any third party components will be maintained, including routine updates as well as bug fixes.
- The necessary skills for staff who will be maintaining the system
- Approach for forward compatibility
- **Accessibility:** The degree to and manner in which the proposed architecture meets all accessibility requirements of the RFP and supports industry-accepted accessibility standards. At minimum the Bidder's response must address these key areas:
 - Web page and desktop accessibility-related requirements.
 - Compatibility with the diverse local system installations and diverse desktop configurations
- **Deployment:** Where and how the system will be deployed. At minimum the Bidder's response must address these key areas but should not be limited to them:
 - Mitigation of common deployment risks
 - Physical locations where systems components will be deployed
 - The method of distribution for system components
- **Extensibility:** The degree to and manner in which the proposed architecture provides an extensible solution that meets the requirements of this RFP. At minimum the Bidder's response must address these key areas but should not be limited to them:
 - The steps necessary to add new functionality to the system
 - How extensibility will affect the complexity of the system
 - How extensibility will affect testing and debugging

The Bidder's response to this requirement should also provide supporting detail, including a list of all hardware, software, and middleware components required for the design, development, training, implementation, and operation of the VoteCal solution.

The response to the VoteCal Architecture requirement must specify all enhancements to the existing VoteCal network and/or SOS infrastructure that would be required for the proposed Architecture to meet business and technical requirements of this RFP and the general performance, availability, scalability, security, maintainability, accessibility, deployment and extensibility factors described above. The description of the architecture must also include physical environment requirements for the SOS (e.g., physical space, HVAC, etc.).

C. THE SOS MANAGEMENT ROLE

The successful Bidder will be required to work with the Independent Project Oversight Consultant (IPOC) and IV&V contractors under contract with SOS.

SOS will provide the following:

1. Full-time VoteCal Project Management Office (PMO) team, including one Senior Project Manager and two Project Managers, responsible for overseeing the project.
2. On-site workstations (including desk, telephone, desktop computer with access to printers, copiers, and the SOS IT staff) at the SOS Sacramento Office with space for up to six (6) Contractor staff. Additional space can be provided during project activities, which require Contractor on-site presence that exceeds the number of workstations listed above.
3. SOS will provide Contractor staff access to the SOS voter registration program staff and the SOS IT staff that supports the existing applications as required during implementation. SOS staff and the PMO team will participate in design sessions, review deliverables, and participate in testing and training as necessary to fulfill their responsibilities of acceptance of the new solution. However, SOS staff will not perform programming, develop Contractor deliverables, or configure the system. These are tasks expected to be performed by the Contractor's implementation team. ~~SOS will provide the full-time-equivalent (FTE) of up to two IT staff and of three (3) voter FTE voter registration/election business program staff~~SOS will provide up to two (2) IT staff full time and three (3) voter registration/election business program staff half time.
4. An IPOC has been retained to support the VoteCal Project Manager in terms of monitoring SOS and the Contractor's performance, responsibilities, and deliverables. The IPOC may perform the following activities on behalf of SOS:
 - (a) Validation of deliverables and selected Contractor activity and performance in accordance with standards as defined in the approved Deliverable Expectations Document for the specific deliverable, the Contractor's Proposal, Project Plan, schedule, and Contractor's progress report accuracy; and
 - (b) Support Risk and Issue Management and reporting on behalf of SOS to the Department of Finance on timely issue resolution.
5. An IV&V consultant has been retained to support the VoteCal Project Manager in terms of monitoring and validating project activities, including the software deliverables, requirements traceability, and verifying test results in accordance with the Proposal, Project Plan, schedule, and Contractor's progress report.

D. BUSINESS FUNCTIONAL REQUIREMENTS

Bidders must propose a solution for the VoteCal System for which functionality is as outlined below:

All identified requirements for the core system and the interfaces with county EMSs are mandatory requirements and must be addressed in all bid responses. Final Proposals will be evaluated on the quality of the response and solution for each requirement.

Table VI.1 contains the VoteCal System business functional requirements. This section contains the detailed business functional requirements that SOS requires of a proposed business solution to address the business processes described in Section IV. References to government code and California Code of Regulations (CCR) can be found in the Bidder's Library.

Bidders should remember that the SOS is expecting Bidders to develop a solution to meet all of the business needs. The Bidder is required to respond to each business requirement listed in this section using the table provided in this section. Bidders shall not retype the requirements. If there is a discrepancy between the electronic copy and the hardcopy of the stated requirement in the RFP, the RFP Master Hardcopy takes precedence.

Bidders are reminded that in order to receive a “Pass” for these requirements, their response to each requirement must be complete and in sufficient detail for the Evaluation Team to understand how each requirement is to be met.

The response shall comprise a narrative response for each requirement, consisting of:

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

Table VI.1 – Mandatory VoteCal System Requirements, Functionality Reference, and Requirement Response Form

All Bidders must respond to all requirements stated in the following table for the VoteCal System. Failure to respond to or meet one of these business requirements may be deemed a material deviation.

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S1	GENERAL REQUIREMENTS & FEATURES	S1 requirements are general features of the VoteCal System pertaining to data accessibility, functional application administration, extensibility, system access, and transactions between VoteCal and county EMSs.	
S1.1	VoteCal must provide authorized users with read-only access to the data for registered voters within other counties, including historic voter activity data, historic voting participation data, historic affidavit images and historic signature images for registrants.		
S1.2	VoteCal must provide authorized county users the ability to update the voter registration data for voters within their county.		
S1.3	VoteCal must prohibit county users from changing data for voters in other counties except to move a matched voter from another county into their county.		
S1.4	VoteCal must automatically send electronic notice to the appropriate county whenever a voter record is updated through VoteCal's automatic processes.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S1.5	<p>VoteCal must support all VoteCal-related county user functions through interfaces with the county election management systems. The interface must be interactive where functions are so identified in the business requirements, such as voter registration look up and entry.</p> <p>Otherwise, the interface may be interactive, or batch or both as appropriate to the vendor's proposed solution.</p>		
S1.6	All authorized county users shall access VoteCal only through their EMS.		
S1.7	VoteCal must provide the capability for authorized SOS administrators to track electronic notices that have been sent to counties. Sort, filter and grouping criteria must include county or jurisdiction, notice type, status (resolved or unresolved) and date or date range for notice.		
S1.8	VoteCal must allow authorized SOS administrators the ability to maintain all "Smart names".		
S1.9	VoteCal must be able to process voter registration data from new sources with only the addition of a pluggable interface.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2	VOTER REGISTRATION: Registration Data	S2 requirements list the voter registration data elements that must be maintained in VoteCal in order to comply with HAVA 303 requiring that each state implement a “single, uniform, official, centralized, interactive computerized statewide voter registration list.”	
S2.1	VoteCal must provide functionality that enables authorized county users to add new registered voters and to update data associated with existing registered voters.		
S2.2	VoteCal must be able to capture, store, and display all historical data on every record, including images.		
S2.3	VoteCal must allow for capture and storage of voter names including the following discrete data fields: <ul style="list-style-type: none"> • First name (full or initial); • Middle name (full name or initial); • Full last name (can include hyphenated last name); • Suffix (Sr., Jr., other generations); and • Previous name(s) 		
S2.4	VoteCal must store a unique identifier (UID) for each registrant in accordance with the rules described in requirements listed under S5: ID Verification		
S2.5	VoteCal must capture and store historic data on voter residence, mailing address and domicile county, including beginning and ending effective dates of those addresses.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.6	VoteCal must capture and store the following discrete data fields related to a registered voter's residence address: <ul style="list-style-type: none"> • House number; • House fraction number; • House number suffix (alphanumeric); • Two-character pre-directional code (e.g. S., SW) *; • Street name (alphanumeric); • "Alias" street name (alphanumeric); • Type (e.g. Street, Road, Lane) *; • Two-character post-directional code *; • Apartment or space number (alphanumeric); • Unit Type *; • City; • Zip *; • Zip plus four* (optional with respect to each voter); • County; and • EMS voter ID NOTE: * indicates code must conform to USPS standards		
S2.7	VoteCal must capture and store an address in a free-form format as a registered voter's official residence (e.g., the voter's address might be "THREE MILES NORTH OF ACME GROCERY STORE, Alturas, CA" or "Mile Marker 29.5, Hwy 85").		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.8	VoteCal must capture and store multiple mailing addresses for a voter, including permanent mailing addresses, seasonal mailing addresses (with beginning and ending effective dates), temporary mailing addresses (with beginning and ending effective dates), permanent vote-by-mail addresses, and one-time vote-by-mail addresses.		
S2.9	For each mailing address, VoteCal must determine whether or not the address is within California.		
S2.10	VoteCal must be able to capture and store a voter's "Mailing" and "Vote-by-Mail" address using the following fields that can be used with mailing software: <ul style="list-style-type: none"> • Free-form data entry; • Fields long enough to meet US postal, foreign and military mail regulations; • Postal codes; and • Country code. 		
S2.11	VoteCal must capture and store a voter's date of birth.		
S2.12	VoteCal must capture and store the following voter registration data: <ul style="list-style-type: none"> • Telephone number (up to four different numbers, including type and extension, as separate fields or records); • Citizenship status; and • Email address. 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.13	VoteCal must capture and store voter registration information that is optional on the California affidavit, including: <ul style="list-style-type: none"> • Name prefix; • Whether the voter wishes to exercise the permanent vote by mail option; and • Ethnicity/race (Refer to Bidder's Library for current codes for these fields.)		
S2.14	VoteCal must capture and store the voter's place of birth, both as free-form text and as user-defined codes. (Refer to Bidder's Library for current codes.)		
S2.15	VoteCal must capture and store a voter's language preference, based on codes that can be defined and modified by authorized SOS administrators. (Refer to Bidder's Library for current codes.)		
S2.16	VoteCal must capture, store and display the status of any voter's registration, effective dates for such changes and reasons for the change. The status options must include: <ul style="list-style-type: none"> • Active; • Inactive; • Cancelled; and • Pending. 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S2.17	VoteCal must store a voter's political party affiliation, if any, based on codes that can be defined and modified by authorized SOS administrators. (Documentation of currently used political party codes is available in the Bidder's Library.)		
S2.18	VoteCal must capture, store and display the following identification information for each voter record: <ul style="list-style-type: none"> • The voter's California issued Driver's License or State Identification Card (DL/ID) number if known or provided; • The DMV verification status of that number (e.g., verified, not-verified, or pending verification); and • If verified, the date verified. 		
S2.19	VoteCal must capture, store and display the following identification information for each voter record: <ul style="list-style-type: none"> • The last 4 digits of the voter's Social Security Number (SSN4), if known or provided, which must be accessible for input, query and reporting; • The Social Security Administration verification status of that number (e.g., verified, not-verified, or pending verification); and • If verified, the date verified. 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.20	VoteCal must capture and store the voter's current and historical methods of registration (e.g., "by mail," "walk-in," "registration drive," "DMV," etc.), based on codes that can be defined and modified by authorized SOS administrators.		
S2.21	VoteCal must capture, store and display for voters who register by mail: <ul style="list-style-type: none"> • Whether or not the voter is a first-time voter, subject to the HAVA ID requirement (HAVA Section 303[b]); • Whether or not the voter has satisfied the ID requirement and, if so, how; and • If exempt from this requirement, the reason for that exemption. 		
S2.22	VoteCal must capture, store and display voter registration affidavits for each voter. For each such affidavit, VoteCal must capture the following discrete data: <ul style="list-style-type: none"> • Affidavit number; • Execution date (from the affidavit); • Date the affidavit was received; and • Effective date of registration of the affidavit. 		
S2.23	VoteCal must store and display the current and historic images of the full registration affidavit in ANSI/AIIM compatible format.		
S2.24	VoteCal must provide ability to display the current and historic images of the voter's signature independently from the affidavit.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.25	VoteCal must provide the ability to zoom into affidavit and signature images.		
S2.26	VoteCal must provide ability to attach and store other images to a voter's record in GIF, TIF, JPG, and PDF formats, such as letters received from the voter.		
S2.27	VoteCal must capture, store and view unlimited comment records and/or notes to a voter record using free-form text with a minimum of 1,024 characters per comment or note. During the entry and editing of such notes, VoteCal must display a prominent warning that any such notes are a matter of public record.		
S2.28	VoteCal must allow multiple comments and notes to be stored for a single registered voter. Each note must have a creation date, County ID and User ID associated with it.		
S2.29	VoteCal must retain all voter records and associated data, including images for each voter record, such that processes and reports that are generated with an "as of" date correctly reflect the data applicable on the "as of" date.		
S2.30	VoteCal must capture and store data for confidential voters under the California Elections Code (EC) §2166, EC §2166.5 and EC §2166.7 such that the following criteria are met: (see 2.30a through 2.30f below)		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S2.30a	All such voters must have a mailing address different from the residence address or domicile.		
S2.30b	Such voters must be automatically designated as permanent vote-by-mail voters.		
S2.30c	All restricted information (residence address, phone number and email address) about such voters must not be displayed unless the user has appropriate and sufficient permissions.		
S2.30d	By default, any restricted information about such voters must not be automatically included in any reports, queries or data extracts, and must only be included in reports or data extracts by special action of users with appropriate and sufficient permissions.		
S2.30e	Elections officials who create lists, rosters and data extracts from VoteCal must be able to optionally choose whether to exclude the voter, or to include the voter but print the mailing address or the word "confidential" for the residence address of such voters.		
S2.30f	The counts of such voters must be either included in or excluded from statistical abstracts such as the Report of Registration, based on user selection report options.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.31	VoteCal must capture and store the legal basis for which a voter qualifies as confidential (e.g., “court ordered,” “victim of domestic violence,” and “public safety officer”) based on user-defined codes that can be defined and modified by SOS authorized administrators.		
S2.32	VoteCal must capture and store the date of application for confidential status under EC §2166.7 (public safety officer).		
S2.33	VoteCal must capture, store and report the status of uniformed services and overseas voters that have been identified and fall under the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) with the following information: <ul style="list-style-type: none"> • Category of qualification (e.g., uniformed services voter – domestic, uniformed services – overseas, non-military/civilian overseas voters); and • Date and method of registration (e.g., state VRC, federal VRC, Federal UOCAVA Registration/Vote-By-Mail application postcard). 		
S2.34	VoteCal must capture and store in the voter registration record list maintenance notices sent to a voter (e.g., RCP, ARCP, 8(d)(2) notices, CAN, etc.).		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.35	VoteCal must provide a user interface for authorized SOS administrators to add and maintain values for all fields where data are limited to a constrained set of acceptable values.		
S3	VOTER REGISTRATION: Registrant Search	S3 requirements cover voter registrant searches that will be executed by authorized SOS users directly via a VoteCal interface, by authorized county users through the county EMS, in order to research and resolve voter registration issues and list maintenance questions.	
S3.1	VoteCal must allow an authorized user to query and locate an existing record in the system for update using a variety or combination of criteria, including: <ul style="list-style-type: none"> • Full or partial first name; • "Smart name" variances on first name; • Full or partial middle name; • Full or partial last name; • Soundex variations on last name; • Full or partial residence address; • Full or partial mailing address; • Full or partial telephone number; • Full or partial VoteCal assigned UID; • Full or partial DL/ID #; • Full or partial Registration affidavit number; • Full or partial SSN4; and 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	<ul style="list-style-type: none"> Full or partial date of birth (DOB). 		
S3.2	VoteCal must include all historical data in executed searches.		
S3.3	If VoteCal finds more than one person during the search, VoteCal must provide voter records that meet the search criteria and allow the user to select a person from the list to display applicable detail.		
S3.4	<p>If a registrant search is likely to take longer than X time to complete, where X is configurable by authorized SOS administrators, VoteCal must refuse execution and provide notice to the user.</p> <p>If a registrant search is likely to take longer than Y time to complete, where Y is configurable by authorized SOS administrators, VoteCal must provide a warning to the user that includes an estimate of the time for execution and then hold execution until confirmed by the user.</p>		
S3.5	If a registrant search is estimated to return more than X number of records, where X is configurable by authorized SOS administrators, VoteCal must refuse execution and provide notice to the user.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	<p>If a registrant search is estimated to return more than Y number of records, where Y is configurable by authorized SOS administrators, VoteCal must provide a warning to the user that includes an estimate of the number of records estimated to be returned and then hold execution until confirmed by the user.</p>		
S4	<p>VOTER REGISTRATION: Registration Processing</p>	<p>All voter registration additions and updates from the county elections officials will be submitted via the county EMS to VoteCal. Online voter registration transactions from registrants/voters will come from the Secretary of State online voter registration website to VoteCal without streaming through the EMS.</p> <p>For voter registration transactions from the county EMS, the EMS will present options (retrieved from a search of VoteCal data) in response to a user-initiated search as described in S3: Registrant Search, enable the county user to optionally select a “match” solely for the purpose of pre-populating the data in the new record. The county user will then make additions and changes to the data through the EMS, but the data will be submitted to VoteCal as a transaction for which a determination must be made, not an update to an existing record. If the user does not select a “match,” the user will populate all required data fields for a new record.</p> <p>The process described in these requirements refers to the ID Verification process, which is described in more detail in S5: ID Verification. All records submitted to VoteCal will be submitted to the ID Verification process and a check for existing matching VoteCal records with the same UID.</p> <p>The requirements do not include actions the county user would perform within in the county EMS.</p>	

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S4.1	<p>In response to the search described in S3: Registrant Search, VoteCal must provide at least the following data for any high-confidence match and all potential matches that exceed the minimum matching threshold (see S9: Record Matching and Merging):</p> <ul style="list-style-type: none"> • Full voter name; • UID; • Date of birth; • DL/ID (if available); • SSN4 (if available); and • Residence address 		
S4.2	<p>VoteCal must evaluate all submitted registration records against configurable data validation rules, and reject any records that have one or more errors configured as critical severity, and provide notice of the rejection to the appropriate county. (See Bidder's Library for currently known validation rules.)</p>		
S4.3	<p>VoteCal must check all accepted registration records using enabled validation rules. (See Bidder's Library for currently known validation rules.)</p>		
S4.4	<p>VoteCal must provide the capability for authorized users to configure data validations, including adding, modifying, enabling/disabling, and setting severity level.</p>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
	(See Bidder's Library for currently known validation rules.)		
S4.5	VoteCal must submit all registration records that were not rejected for critical severity data validation errors to the ID verification (IDV) process described in S5: ID Verification.		
S4.6	VoteCal must search for an existing voter record that contains the validated CDL/ID/SSN4 for all submitted registration records in accordance with record matching requirements described in S9: Record Matching and Merging and S5: ID Verification.		
S4.7	If VoteCal finds a single, high-confidence match of an existing voter record with the submitted record, VoteCal must merge the submitted record with the existing voter record. (See S9: Record Matching and Merging concerning merge and match requirements)		
S4.8	If VoteCal cannot find a single, high-confidence match based solely on UID of an existing voter record with the submitted registration record, VoteCal must create a new record for the voter.		
S4.9	For all new and updated voter records where the voter registered by mail, VoteCal must determine and indicate whether the voter is		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	required to provide ID when voting in accordance with HAVA Section 303(b) and 42 U.S.C. Section 15483(b)(1). (See Bidder's Library for documentation of currently known business rules.)		
S4.10	Once a UID is assigned to a voter record, VoteCal must record: <ul style="list-style-type: none"> • The basis for the assigned UID (CDL/ID, SSN4, auto generated); and, • Voter status, according to configurable business rules as shown in documentation available in the Bidder's Library. 		
S4.11	For all voters receiving 'active' status by 11:59:59 pm in a given day, VoteCal must complete matching against known death records (as described in requirements in S10: CDPH Death Records, including all electronic notices), by no later than the beginning of the following business day.		
S4.12	For all voters receiving 'active' status by 11:59:59 pm in a given day, VoteCal must complete matching against known felon records (as described in S11: CDCR Felon Data, including all electronic notices) by no later than the beginning of the following business day.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S4.13	For all voters receiving 'active' status by 11:59:59 in a given day, VoteCal must complete matching against existing VoteCal records for possible duplicates (as described in S12: Duplicate Identification, including all electronic notices) by no later than the beginning of the following business day.		
S5	VOTER REGISTRATION: ID Verification	S5 requirements describe the ID verification that is to occur for every voter registration or re-registration record submitted by a county EMS to VoteCal. The process validates either a CA driver's license number, identification card number or SSN4 through an interface involving data maintained by California's Department of Motor Vehicles.	
S5.1	VoteCal must support the existing DMV ID verification (IDV) interface, which operates on a transactional basis. (Refer to the Bidders Library for more detailed specification of that interface.)		
S5.2	For new voter registrations, re-registrations, and for updates with a change of name, date of birth or voter ID, VoteCal must automatically submit the voter data for validation from the DMV or the Social Security Administration through the IDV interface.		
S5.3	VoteCal must automatically assign the voter a unique ID (UID) based on the DL/ID if: <ul style="list-style-type: none"> • IDV verifies the provided DL/ID as an 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	exact match, or <ul style="list-style-type: none"> IDV identifies a DL/ID as a single exact match when no DL/ID was provided, or when a different DL/ID was provided. 		
S5.4	If the UID that VoteCal would assign based on verified DL/ID has already been assigned to a different voter, VoteCal must generate a UID based on the SOS-approved algorithm as described in requirement S5.9.		
S5.5	When VoteCal generates a UID based on the SOS-approved algorithm because the UID that would be based on CDL or SSN4 is already assigned to another record, VoteCal must send electronic notice to the affected county(ies) to resolve the issue.		
S5.6	In cases where VoteCal generated a notice to 2 or more counties to resolve a duplicate CDL or SSN4-based ID, and one of the involved counties changes a CDL or SSN4 (e.g., to correct a data entry error), then VoteCal must change all affected voter UIDs to conform to UID assignment rules described in this section (e.g., assign a CDL- or SSN4-based UID where it previously could not because the UID had already been in use) and send electronic notice of UID change to all affected county EMSs.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S5.7	VoteCal must notify SOS authorized administrators if both counties have verified that two voter registration records with the same verified DL/ID are not the same voter.		
S5.8	<p>VoteCal must automatically generate a unique ID (UID) for the voter based upon the SOS-approved algorithm (which is based on the SSN4) if:</p> <ul style="list-style-type: none"> • The IDV verifies the SSN4 as a single exact match or multiple exact match, and • The IDV does not identify a DL/ID as a single exact match when no DL/ID was provided. 		
S5.9	VoteCal must automatically generate a unique ID (UID) for the voter based upon an SOS-approved algorithm, if the IDV is unable to either match the provided DL/ID or SSN4 or identify a single exact match to a DL/ID. (Refer to the Bidders Library for more detailed information on the SOS-approved algorithm.)		
S5.10	When VoteCal generates a UID that is not based on the DL/ID, the SOS-approved algorithm must ensure that if the voter reregisters at a later time with the same information, the system will generate the same UID or base number for the UID.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S5.11	<p>When VoteCal validation cannot be completed at time of entry due to DMV/SSA verification system unavailability, the record must be saved with a generated UID. VoteCal must automatically retry an incomplete ID verification, and if a DL/ID or SSN4 is verified for the voter, VoteCal must:</p> <ul style="list-style-type: none">• Reassign an appropriate UID to the voter; and• Identify any potential pre-existing records for that voter and provide electronic notice of the potential match to the county of the pre-existing record(s).		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S6	VOTER REGISTRATION: Change of Address (DMV)	<p>California's current implementation of the National Voter Registration Act (NVRA, or 'motor voter') only allows for electronic processing of address changes for existing registered voters in-county moves. All other registration activity (e.g., new registrations and the remaining cross-county address changes) are currently completed on paper affidavits, which are mailed directly to the county for electronic processing.</p> <p>SOS expects VoteCal to support the existing DMV Change-of-Address (DMV COA) interface and processes, namely:</p> <ul style="list-style-type: none"> Attempt to match the notices received from DMV against existing voter registration records; Provide such matches to counties for appropriate processing; and Provide unmatched DMV COA transactions to the county for further research and possible match to a voter. <p>The existing DMV COA interface will need to be modified to accept digitized signature images as well.</p> <p>Although current law and processes do not permit electronic processing on new registrations or automatic re-registration across county lines, the VoteCal system must be extensible and easily adapted to provide such capability in the future.</p>	
S6.1	VoteCal must be able to receive voter registration address change data, including digitized signature images, from the DMV in accordance with the National Voter Registration Act (NVRA), EC §2102, EC §2107 and Vehicle Code §12950.5.		
S6.2	VoteCal must attempt to match DMV voter registration change of address (COA)		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
	<p>transactions against existing voter registration records using matching criteria established by the SOS. (See S9: Record Matching and Merging for requirements specific to matching criteria.)</p>		
S6.3	<p>For matches of DMV COA transactions against existing voter registration records that meet or exceed the established confidence threshold and represent within-county address changes, VoteCal must automatically:</p> <ul style="list-style-type: none"> • Update the existing voter registration record with the new voter registration data received from DMV; • Update the voter activity history with the basis for registration changes. 		
S6.4	<p>For matches of DMV COA transactions that do not meet the established confidence threshold for automatic matching but that meet the established minimum confidence threshold of that match function, VoteCal must automatically send a notice to the county that it must make a determination of whether the records match.</p>		
S6.5	<p>When a county verifies that a pre-existing voter registration record matches the DMV COA transaction, VoteCal must:</p> <ul style="list-style-type: none"> • Record that information, including the 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	<p>basis for determination, in the voter activity history of the matched voter; and</p> <ul style="list-style-type: none"> If the COA represents a within-county move, update the voter's registration record with the new address from the DMV COA transaction. 		
S6.6	<p>If a county determines that the potential match of DMV COA transaction against a pre-existing voter registration record is not valid, VoteCal must update the voter activity history accordingly to indicate the determination that the DMV COA transaction was not associated with the voter and the basis for that determination.</p>		
S6.7	<p>VoteCal must provide authorized users the capability to un-match previously matched DMV COA transactions at any time after such matches have been applied. In such instances, VoteCal must correct any changes that were applied to the record as a result of the prior match and handle the transaction as a confirmed non-match for that process.</p>		
S6.8	<p>When a DMV COA transaction cannot be matched against any existing voter registration records, VoteCal must send unmatched DMV COA data to the appropriate county to send a voter registration card. (Note that VoteCal shall not retain the information as a record.)</p>		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S7	VOTER REGISTRATION: Voter Notification Cards (VNC)	In accordance with California law (EC §2155), county elections officials must mail voters voter notification card (VNC) following voter registration, re-registration, or updates to the voter record based on voter’s notification of an address change. As a potential cost saving measure, VoteCal must provide the capability for SOS to alternately generate an extract for some or all counties to mail VNCs through a third party such as the California Office of State Publishing (OSP).	
S7.1	VoteCal must have the capability to generate a data extract, based on the applicable mailing address for each voter of all required information across the State so that VNCs can be printed by the State through a third-party mailing house.		
S7.2	VoteCal must indicate in the voter record the date that the record was included in a data extract for VNC mailing.		
S8	VOTER REGISTRATION: EMS-VoteCal Synchrony Verification	S8 requirements pertain to capability for either an authorized county user or an authorized SOS user to conduct a “synchronization” audit to identify inconsistencies between EMS data and VoteCal data. The process supported by these requirements is for the purpose of ensuring accuracy of VoteCal data.	
S8.1	VoteCal must provide authorized users the ability to identify differences between VoteCal and EMS data. Differences would include data in VoteCal that is not in an EMS, as well as data in an EMS that is not in VoteCal. For purposes of this requirement data would be limited to:		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	<ul style="list-style-type: none"> • Voter registration data; • Voter participation history data; and • Precinct and political district data. 		
S8. 2	VoteCal must provide authorized users the capability to omit or separately identify differences between EMS and VoteCal records that are due to pending notifications and transactions.		
S9	LIST MAINTENANCE: Record Matching and Merging	<p>S9 requirements focus on the configuration of criteria for determining matches between records (either duplicate voter records, or matches of voter records with death, felon, or third party address change records) and on requirements associated with merging records that are determined to be a “match.”</p> <p>Though this section is called upon in Section 4: Registration Processing and matching is referenced in S6: Motor Voter and other List Maintenance requirements sets, the focus in S10 is distinctly the specification of the matching process and the merge and unmerge processes.</p>	
S9.1	<p>VoteCal must include a user-configurable method for authorized SOS administrators to:</p> <ul style="list-style-type: none"> • Establish sets of registration record matching criteria; • Configure which criteria apply to each type of matching function (e.g., new registration matching, death record matching, NCOA matching, etc.); • Assign “confidence” levels to each criteria set as it applies to each matching 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	function; and <ul style="list-style-type: none"> • Establish threshold confidence levels required for manual or automatic application of matches for each matching function. 		
S9.2	VoteCal must allow SOS authorized administrators to establish one or more basis for matching data in a registration record field, including (where applicable): <ul style="list-style-type: none"> • Exact character match; • First "X" characters of the field (where "X" is user configurable); • Same characters and order in string, but with spaces and punctuation removed; • Soundex match (or alternative method based on phonetic pronunciation); • "Smartnames" match based on common variations of First Name established by authorized SOS administrators (e.g., Robert = Bob, Bobby, Rob); • "X" matching characters within string; and • Same month and year. 		
S9.3	VoteCal must allow SOS authorized administrators to identify a set of matching criteria based on combinations of individual field match settings, such as:		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	<ul style="list-style-type: none"> • First Name- with "Smartnames"; Last Name- first 4 characters; and Date of Birth- same day and month; or • DL/ID#- exact match; First Name- with "Smartnames"; Last Name- with Soundex. 		
S9.4	<p>VoteCal must allow SOS authorized administrators to configure and update whether or not an established matching criteria set is applied to each matching function, including:</p> <ul style="list-style-type: none"> • New & updated voter registration; • Duplicate registration checks; • DMV Motor Voter processing; • Death record matching; and • Felon record matching. 		
S9.5	<p>VoteCal must allow SOS authorized administrators to individually establish "confidence" values to each established matching criteria set as it applies to each potential matching function.</p>		
S9.6	<p>VoteCal must allow SOS authorized administrators to establish and modify confidence thresholds for each matching function so that matches found that meet or exceed that confidence threshold are automatically applied by the system. For matches that do not meet that threshold, but</p>		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	meet a lower "manual" minimum matching threshold, VoteCal must generate electronic notices to the appropriate county for match review and resolution.		
S9.7	<p>When evaluating voter records to identify potential matches (for death, felon, DMV COA, duplicate records), VoteCal must exclude the following from matching and reporting results when same match criteria was used:</p> <ul style="list-style-type: none"> • Previously verified matches; • Previously verified non-matches; and <p>Previously identified potential matches pending determination</p>		
S9.8	VoteCal must provide the ability for authorized SOS administrators to batch clear, by date range and/or by the county user ID, match determinations made inappropriately.		
S9.9	VoteCal must merge voter registration data into a single registration record when duplicate registrations are confirmed. The voter registration data must include voter activity history and voting participation history and be merged into the record with the most recent date of registration or voter registration update activity.		
S9.10	VoteCal must provide authorized users with the ability to un-merge a single voter		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	<p>registration record into separate registration records in the event that registration records were incorrectly merged. The separated voter registration data must include voter activity history and voting participation history and the separate registration records must contain the appropriate registration data.</p>		
S10	LIST MAINTENANCE: CDPH Death Records	<p>In accordance with Elections Code §2206 and California Administrative Code Title 2, Division 7, Chapter 1, Article 1, §20108.55, the Secretary of State receives death records from the California Department of Public Health (CDPH) and must provide this information to county elections officials for list maintenance purposes. The Secretary of State will also be responsible for ensuring any confirmed matches of death records with registered voters result in a cancellation of voter registration of the deceased persons.</p>	
S10.1	<p>VoteCal must receive and store new death records from CDPH.</p>		
S10.2	<p>VoteCal must match all new death records received from CDPH against existing voter registration records to identify existing voters that may have died.</p>		
S10.3	<p>For matches with new death records that meet or exceed the established confidence threshold, VoteCal must automatically:</p> <ul style="list-style-type: none"> • Cancel the voter's registration; • Record the basis for that cancellation in the voter's activity record; and • Send an electronic notice to the 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	appropriate county of the cancellation and its basis.		
S10.4	<p>For matches of new death record transactions that do not meet the established confidence threshold for automatic matching but that meet the established minimum confidence threshold of that match function, VoteCal must automatically:</p> <ul style="list-style-type: none"> • Note the potential match in the voter's record; and • Send electronic notice to the appropriate county of the potential match for investigation and resolution. 		
S10.5	VoteCal must allow an authorized county user to enter its determination that the potential match is valid or invalid into the voter's record.		
S10.6	VoteCal must apply authorized county users' determinations of validity of potential matches and change voter status, if appropriate, according to configurable business rules (documentation of current business rules is available in the Bidder's Library).		
S10.7	VoteCal must compare newly received CDPH death records against stored death records that were received from other sources, and when a match to an existing death record is		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
	identified, merge the duplicate records.		
S10.8	When counties cancel a voter's registration by reason of death from information received locally within the county, VoteCal must automatically add that information to the historic death records stored within VoteCal.		
S10.9	VoteCal must provide authorized users the capability to un-match previously matched death records at any time after such matches have been applied. In such instances, VoteCal must correct any changes that were applied to the record as a result of the prior match and handle the transaction as a confirmed non-match for that process.		
S10.10	VoteCal must allow authorized SOS administrators to exclude from death record matching processes any death record determined to be incorrect or invalid.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S11	LIST MAINTENANCE: CDCR Felon Data	In order to comply with EC § 20108.55, VoteCal must have the capability to receive felon records from the California Department of Corrections and Rehabilitation (CDCR); to store such records on an ongoing basis; match records to voter registration records, and send electronic notices to counties to confirm potential matches; and, for confirmed matches, update voter status in accordance with business rules provided in the Bidder's Library. When CDCR indicate that an individual is no longer under CDCR jurisdiction (i.e., no longer incarcerated or on parole), VoteCal must ensure that the CDCR record is no longer included in checks for matches with voter registration records.	
S11.1	VoteCal must be capable of receiving and storing the California Department of Corrections and Rehabilitation (CDCR) felon records file.		
S11.2	VoteCal must match all new felon records received from CDCR against existing voter registration records to identify existing voters that may have become ineligible due to felon status, or may have become eligible to vote due to no longer being under CDCR jurisdiction (i.e., no longer incarcerated or on parole).		
S11.3	For matches with new CDCR records that meet or exceed the established confidence threshold, VoteCal must automatically: <ul style="list-style-type: none"> Change the status of the voter's registration in accordance with configurable business rules (documentation of current business rules is available in the Bidder's Library); and 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
	<ul style="list-style-type: none"> Record the basis for that change in the voter's activity record. 		
S11.4	For matches of CDCR records that do not meet the established confidence threshold for automatic matching but that meet the established minimum confidence threshold of that match function, VoteCal must automatically note the potential match in the voter's record.		
S11.5	VoteCal must provide the ability for an authorized county user to enter its determination that the potential match is valid into the voter's record.		
S11.6	VoteCal must provide the ability for an authorized county user that has investigated and determined that the potential match was invalid to note that determination in the voter's record.		
S11.7	When counties send data to indicate a voter's felony conviction and sentencing (based on information received locally within the county), VoteCal must automatically add that information to the current felon records stored within VoteCal.		
S11.8	VoteCal must compare newly received CDCR felon records against stored felon records that were received from other sources, and when a match to an existing		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
	felon record is identified, merge the duplicate records.		
S11.9	VoteCal must provide authorized users the capability to un-match previously matched felon records at any time after such matches have been applied. In such instances, VoteCal must correct any changes that were applied to the record as a result of the prior match and handle the transaction as a confirmed non-match for that process.		
S11.10	VoteCal must allow authorized SOS Administrators to exclude from felon matching processes any felon record determined to be incorrect or invalid.		
S12	LIST MAINTENANCE: Duplicate Identification	In accordance with Elections Code § 2193 and to be in compliance with HAVA 303 (a)(2)(B), VoteCal must have the capability to identify duplicate voter records and merge when appropriate to ensure there is only one voter record for every eligible voter in California in the official list of voters.	
S12.1	VoteCal must provide the ability for authorized SOS administrators to schedule and run duplicate checks across all voters in the database to identify potential duplicate registration records for the same voter using the criteria established for such matching.		
S12.2	VoteCal must automatically merge voter registration records and assign the voter to the appropriate county when duplicate records are identified based on match criteria		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	sets that meet or exceed the established confidence threshold. VoteCal must then automatically send an electronic notice to the county(s) whose voter records have been reassigned or merged with the newest registration record.		
S12.3	VoteCal must, before automatically applying potential duplicate records, check voting participation history for the older registration record. If the older record indicates voting activity in an election after the date of registration in the newer record, the match must not be applied automatically and, instead, VoteCal must send electronic notice of potential match to the appropriate county(s) as indicated in requirement S12.4.		
S12.4	For matches of potential duplicate records that do not meet the established confidence threshold for automatic matching but that meet the established minimum confidence threshold of that match function, VoteCal must automatically note the potential match in both records.		
S12.5	For those records where a potential duplicate was identified with a record in another county, and an authorized county user makes a determination of match validity, VoteCal must update the other record with the determination.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S12.6	VoteCal must flag potential duplicate records that have been verified as not being duplicates so they are no longer reported as unresolved potential duplicates and are omitted as potential duplicates in subsequent duplicate checks.		
S12.7	VoteCal must provide authorized users the capability to un-match previously confirmed duplicate records at any time after such matches have been applied. In such instances, VoteCal must correct any changes that were applied to the record(s) as a result of the prior match and store the determination that the records were confirmed non-duplicates.		
S13	LIST MAINTENANCE: NCOA	VoteCal must provide the capability to process all registered voter records against an external USPS National Change of Address (NCOA) service on a monthly basis. Currently, SOS contracts with the California Employment Development Department (EDD) for this service. VoteCal must update the voter record with the potential NCOA match (no change in status) and provide an electronic notice to the county for evaluation and resolution. SOS Administrators must have the capability to monitor all such pending NCOA updates until resolved by the county.	
S13.1	VoteCal must be capable of creating extracts of voter addresses for one or more counties for processing by an external service.		
S13.2	VoteCal must provide authorized SOS administrators the capability to configure a		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	value 'X', such that the extracts created for NCOA processing are broken into multiple files, each containing a maximum of X records.		
S13.3	VoteCal must evaluate the results from NCOA processing and reject invalid results - such as address changes previously received and address changes that are older than most recent changes received for a voter - according to configurable business rules.		
S13.4	VoteCal must note a potential address change in the voter record and send electronic notice to the appropriate county of the potential address change for determination of validity.		
S13.5	<p>When an NCOA address update has been determined to be valid where a voter has a forwarding address in the same county, VoteCal must automatically:</p> <ul style="list-style-type: none"> • Update the (residence or mailing) address of the registrant; • Note in the activity history for that registrant that the record was updated because of NCOA match; and • Flag the record for automatic generation and mailing of a CAN in accordance with EC §2225. 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S13.6	When a NCOA address update has been determined to be valid where the voter has a forwarding address in a different California county or outside the State, VoteCal must automatically: <ul style="list-style-type: none"> • Determine the status of the registrant in accordance with configurable business rules (documentation of current business rules is available in the Bidder's Library); • Note in the activity history for that registrant that the record was updated because of NCOA match; and • Flag the record for automatic generation and mailing of a CAN in accordance with EC §2225. 		
S13.7	When a NCOA address update has been determined to be valid where the voter has no forwarding address, VoteCal must automatically: <ul style="list-style-type: none"> • Determine the status of the registrant in accordance with configurable business rules (documentation of current business rules is available in the Bidder's Library); • Note in the activity history for that registrant that the record was updated because of NCOA match; and • Flag the record for automatic generation and mailing of a CAN in accordance with 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
	EC §2225.		
S14	LIST MAINTENANCE: Pre-Election Residency Confirmation Postcards (RCPs)	VoteCal must allow for data extracts to be generated for residency confirmation postcard mailings in accordance with EC §§ 2220 thru 2224. The Secretary of State would then be in compliance with HAVA to ensure uniform list maintenance practices in addition to providing the state potential cost savings.	
S14.1	VoteCal must provide the ability to automatically generate a data extract of all required information in any or all counties on a batch basis so that RCPs and ARCPs can be printed by the State through a third-party mailing house. VoteCal must exclude records for voters who have voted within the previous X months where X is configurable.		
S15	LIST MAINTENANCE: Change of Address Notification (CAN)	When VoteCal receives third-party notice of a change of address, elections officials are required by law to follow up with postcard to the voter alerting them to the actions being taken. For uniformity and list maintenance practices, this section describes VoteCal capability to support mailing change of address notices to voters on behalf of counties, if counties choose to have SOS conduct mailings for them.	
S15.1	VoteCal must provide the ability for authorized SOS administrators to generate a data extract, based on the applicable mailing address for each voter, of all required information for one or more counties across the State so that CANs may be printed by the State through a third-party mailing house.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S15.2	In accordance with EC §2225, subsections (b), (c) and (d), VoteCal must determine for each voter record the appropriate CAN notice.		
S16	VOTER ELECTION DATA: Official List of Voters	As the HAVA mandated official list of eligible voters, VoteCal must provide capability for extracting the official list of voters with respect to any election so that this data can be used to generate and print the polling place rosters. Once this data is exported to the EMS, the county retains the capability to: print rosters directly from their EMS; to provide a data extract to a third party for processing and mailing; or to import that data into an electronic poll book system. VoteCal must also provide the capability to extract voter data for generation of supplemental rosters.	
S16.1	VoteCal must provide authorized county users the ability to extract the official list of eligible registered voters with respect to any given election.		
S17	VOTER ELECTION DATA: Voter Participation History	VoteCal must maintain voter participation history data that are necessary for to make determination of whether a voter who registers by mail must show ID the first time he/she votes (42 U.S.C. Section 15483(b)(1)(B)).	
S17.1	VoteCal must maintain historic voting participation for all voters, regardless of the number of elections in which voters might have participated. The history captured and maintained for each voting event must include: <ul style="list-style-type: none"> State defined code for the election; 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	<ul style="list-style-type: none"> • Election date; • Voting precinct; • How voted (vote-by-mail, early, polling place, or provisional); and • Partisan ballot voted (for primary elections). 		
S18	PRECINCTS AND DISTRICTS: Precinct – District Mapping	So that VoteCal can correctly determine the Official List of Registered Voters with respect to political districts, and so that VoteCal can correctly compile and produce the Statement of Registration required by EC §2187, VoteCal must maintain precinct-to-district cross reference information. These data are provided from county EMSs. The information is required for derivation of residence in political district, based on the voter’s home precinct assignment.	
S18.1	VoteCal must be able to identify, from the voter’s home precinct, the voter’s voting district for US Congress, State Senate, State Assembly, Board of Equalization and County Supervisory Districts, the municipality of residence if a voter is entitled to vote in that municipality, or if not, that the voter resides in the county’s unincorporated area.		
S18.2	VoteCal must validate updates to precinct-district mapping against configurable data validation standards (documentation of current data validation standards is available in the Bidder’s Library).		
S18.3	VoteCal must notify the county EMS and SOS administrators of “orphan” precincts or		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	political districts (e.g., home precincts without required political district assignments).		
S19	SOS PROCESSES: Political Party Tracking	VoteCal must have the capability to track voters' political party data in order to (a) determine voter eligibility with respect to a primary election; (b) maintain uniformity of voter records and data; and (c) support the ROR, which is a statistical abstract of party registration by political district.	
S19.1	<p>VoteCal must allow authorized SOS administrators to define political parties. For each such party, the system must track and report the following information:</p> <ul style="list-style-type: none"> • SOS assigned party code (refer to the Bidder's Library for codes for currently recognized parties); • Whether or not the party is Qualified, Attempting to Qualify, or Non-Qualified; • Date of all changes in party status (Qualified/Non-Qualified/Attempting to Qualify); • Reason for such changes (if applicable); and • Current state party contact information. 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S20	SOS PROCESSES: Report of Registration (ROR)	<p>The Report of Registration (ROR), a statistical abstract of voter registration by political district and partisan affiliation, is published by the Secretary of State at prescribed times in accordance with EC §2187. Currently, counties extract their registration counts as of the specified date from their EMS, and then submit these statistics to the Secretary of State for compilation and publication as the official Report. Because VoteCal will contain the Official List of Registered Voters, in the future system the Report of Registration will be extracted and compiled directly from the data within VoteCal.</p> <p>VoteCal will need the capability for each county to report, via the remediated EMS, when all voter registration activity as of the effective ROR date has been input into the system so that SOS administrators will know when that county's statistics can be captured. The ROR statistics will need to be captured and separately stored within the system to protect the official published data from alteration due to subsequent changes in the underlying voter registration data. VoteCal will need an interface for SOS users to input the estimated counts of each county's eligible citizens, which are derived manually from a variety of data sources, and which becomes an integral part of one ROR component report. Each of the ROR component reports must be produced by VoteCal for duplication and publication in substantially the same format as they are currently produced. Finally, VoteCal must provide an interface for each county's EMS to extract the 'official' ROR statistics reported for that county so that those statistics can be used in the configuration of voting and election management systems.</p>	
S20.1	VoteCal must provide authorized SOS Administrators the ability to view ROR completion status ('entry not completed', 'entry completed,' 'data extracted') for any county.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S20.2	VoteCal must provide authorized SOS Administrators the ability to capture and store ROR statistics of active registered voters by district and party within a county as of the established ROR date. Authorized SOS Administrators must have the capability to capture these statistics county-by-county, or for the entire state at one time.		
S20.3	VoteCal must provide authorized SOS Administrators the ability to input the manually-calculated estimate for the number of persons 'eligible to register to vote' for each county as of the ROR date.		
S20.4	Once an ROR has been deemed final and ready for publication, VoteCal must provide authorized SOS Administrators the ability to 'finalize' the ROR such that its component statistical data cannot be modified.		
S20.5	Prior to 'finalization', VoteCal must permit authorized SOS Administrators the capability to delete ROR statistics for any or all counties and to recapture those statistics.		
S20.6	VoteCal must support calculation and production of the following summary statistics for ROR component reports (examples of the ROR components are provided in the Bidder's Library):		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	<ul style="list-style-type: none"> • Registration By County • Registration By Political Bodies Attempting To Qualify • Registration By Congressional District • Registration By Senate District • Registration By Assembly District • Registration By Board of Equalization District • Registration By County Supervisorial District • Registration By Political Subdivision By County 		
S20.7	Once ROR data has been captured for a county, VoteCal must allow an EMS to import from VoteCal the ROR statistics captured for that county, as well as whether or not the ROR has been 'finalized'.		
S21	SOS PROCESSES: State Voter Information Guide (VIG)	The requirements below pertain to the need for VoteCal administrators to have the capability to extract voter information based on specific data details (such as registrants within certain date ranges) and transmit that data extract to a third party for mailing of the State Voter Information Guide.	
S21.1	VoteCal must generate State "ballot pamphlet" or Voter Information Guide (VIG) mailing lists of registered voters eligible to vote in an upcoming election that meets the established specifications for this mailing list.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
	(Refer to the Bidder's Library for current mailing list specification.)		
S21.2	VoteCal must capture and store a voter's request to not be mailed the VIG. VoteCal must automatically exclude all voters who have so "opted out" from any VIG mailing lists generated.		
S21.3	VoteCal must update the voter activity record for each voter for whom a VIG address label (individual or household) was generated, indicating the date of the extract and whether SOS or the County EMS generated the extract.		
S21.4	VoteCal must provide the ability for authorized SOS administrators and authorized county users to generate mailing lists (or extracts of data for mailing lists) for all eligible registered voters that were not included in the State VIG mailing.		
S22	SOS PROCESSES: Public Voter Registration Data Requests (PVRDR)	Requirements below pertain to the need for VoteCal to support workflow and associated data related to investigation, evaluation and fulfillment of PVRDRs.	
S22.1	VoteCal must allow authorized SOS administrators and authorized county users to input, track and review Public Voter Registration Data Requests (PVRDRs), including:		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
	<ul style="list-style-type: none"> • Requestor name; • Requestor ID number and type; • Requestor organization; • Requestor residence and business addresses; • Requestor contact information (phone, fax, email addresses); • If Requestor is acting as an authorized agent for a qualified party, the name, address and contact information for the party legally qualified to purchase the data; • Requestor's stated purpose/use for the data; • Date of application; • Date application received; • Basis for qualification (election, party, academic, journalist, etc.); • Date of application fulfillment or denial; • Status of application; • Criteria used to select/exclude records for the extract; and • Filename(s) and number of records provided in the extract. 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S22.2	<p>VoteCal must allow authorized users to log the following items related to processing and fulfillment of a PVRDR:</p> <ul style="list-style-type: none"> • Date the event occurred • Time the event occurred • Free form notes of activities and events 		
S22.3	<p>VoteCal must provide authorized users with a method to select voter registration records for inclusion or exclusion in a PVRDR extract based on multiple criteria, with the ability to specify a range or list where applicable, including:</p> <ul style="list-style-type: none"> • County of residence; • City of residence; • Zip code(s); • Home precinct; • Political party affiliation; • Date of registration; • Age (before or after a specified date of birth, or within a specified range of dates of birth); • Gender; • Language preference; 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
	<ul style="list-style-type: none"> • Voting participation history; and • Political district (such as Congressional District, State Assembly District, County Supervisorial District, etc.). 		
S22.4	<p>In fulfillment of a PVRDR, VoteCal must be able to produce an extract as a standard tab-delimited text file that includes the following data fields for each voter:</p> <ul style="list-style-type: none"> • County of residence; • Full name; • Residence address; • Mailing address; • Party affiliation; • Phone numbers; • Email address; • Language preference; • Gender; • Home precinct; • Date of registration; • Date of birth; • Place of Birth; • Registration status; and • Registration method. 		
S22.5	In fulfillment of a PVRDR that requests inclusion of voter participation history for		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
	<p>each voter, VoteCal must be able to produce an extract in multiple related tab-delimited text files that includes the following files/data:</p> <ul style="list-style-type: none"> • Voter registration data (all fields identified in S22.4); and • Voting participation history, including each relevant election in which each selected voter has voted and the method of voting (i.e., vote-by-mail, early or in-person). <p>The extracted files must include key data fields to appropriately relate/join the data in each file, so that the extracts can be imported into a relational database.</p>		
S22.6	<p>In fulfillment of a PVRDR that requests inclusion of voter political district assignment for each voter, VoteCal must be able to produce a extract in multiple related tab-delimited text files that includes the following files/data:</p> <ul style="list-style-type: none"> • Voter registration data (all fields identified in S22.4); and • Political districts to which each voter is assigned. <p>The extracted files must include key data fields to appropriately relate/join the data in each file, so that the extracts can be imported into a relational database.</p>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S22.7	VoteCal must include the ability for authorized SOS administrators to insert one or more fictional registration records into each PVRDR extract to “salt” the data extract so that improper use of the data can be traced to the particular PVRDR data release.		
S22.8	VoteCal must provide the ability to record the salted record(s) associated with each PVRDR.		
S23	SOS PROCESSES: Jury Wheel Extracts	Requirements listed below pertain to the need for VoteCal to support activities and associated data related to the evaluation and fulfillment of jury wheel requests.	
S23.1	VoteCal must provide authorized SOS administrators and authorized county users with a method to select voter registration records for inclusion or exclusion in a Jury Wheel extract based on multiple filtering criteria, with the ability to specify a range or list where applicable, including: <ul style="list-style-type: none"> • County of residence; • City of residence; • Political district (such as Congressional District, State Assembly District; County Supervisory District, etc.). 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S23.2	VoteCal must be able to further select records based on a formula that starts with the Nth record and selects every Mth record thereafter, where “N” and “M” are variables provided by the applicant (e.g., select every 39 th record after record #17).		
S23.3	VoteCal must provide the ability for authorized SOS administrators to track requests for Jury Wheel Extracts (JWEs), including: <ul style="list-style-type: none"> • Requestor name and contact information; • Requestor address; • Requestor specifications for the extract; • Date of request; • Date request received; • Date request fulfilled (or denied); and • Filename and number of records in the extract. 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S24	SOS PROCESSES: Public Access Website	Requirements listed below pertain to the need for VoteCal support online voter registration and self-service lookup of registration status for elections for state or federal office.	
S24.1	For privacy purposes, the VoteCal public website must require an individual accessing the website to provide sufficient personal identification information to authenticate the individual, and to prevent others from accessing that voter's data and must not provide or confirm any additional private information. The personal identification information must be configurable by an authorized administrator, such as: first name, date of birth, house number and zip code.		
S24.1 2	The VoteCal public website must allow a voter to determine: <ul style="list-style-type: none"> • Whether he or she is registered to vote; • Whether or not voter is registered as a permanent vote-by-mail or mail ballot voter; • Political party affiliation; and • His or her eligibility to vote in an upcoming election for state or federal office. 		
S24.3	The VoteCal public website must support on-line voter registration pursuant to EC §2196.		

E. TECHNICAL REQUIREMENTS

This section contains the detailed technical requirements and response form (Table VI.2) that SOS requires of a proposed business solution to address the business processes described in Section IV. Bidders should remember that this is a “solution-based procurement,” and that SOS is expecting Bidders to develop an appropriate solution to meet the business needs and these technical requirements.

The Bidder is required to respond to each business requirement listed in this section using the table provided in this section. Bidders must not retype the requirements. If there is a discrepancy between the electronic copy and the hardcopy of the stated requirement in the RFP, the RFP Master Hardcopy takes precedence.

Bidders are reminded that in order to receive a “Pass” for these requirements, their responses must be complete and in sufficient detail for the Evaluation Team to understand how the each requirement is to be met.

The response must comprise a narrative response for each requirement, consisting of:

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

Table VI.2 – VoteCal Technical Requirements and Response Form

All Bidders must respond to all requirements stated in the following table for the VoteCal System. Failure to respond to or meet one of these business requirements may be deemed a material deviation.

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T1	SECURITY AND PASSWORDS		
T1.1	VoteCal user authentication must use single sign on based upon existing SOS security systems and domain accounts.		
T1.2	VoteCal access must provide a security function that allows the establishment of user roles and allows authorized SOS administrators to define the specific functions that can be performed by users assigned to each role.		
T1.3	VoteCal must be designed such that voter data is not cached on user systems.		
T1.4	VoteCal systems and environment must conform to recognized United States federal and/or California state government security standards and practices including system hardening, security in-depth and utilize diversity of design.		
T1.5	VoteCal must encrypt all data in transit between system components. Encryption must be at least 128-bit and based on recognized industry standards.		
T1.6	VoteCal must encrypt all voter registration data whenever stored in non-volatile memory.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T1.7	VoteCal must be designed and implemented to ensure that no VoteCal system component or combination of components will allow or facilitate access from one county environment to another or from non-VoteCal portions of the SOS environment to any county.		
T2	INTERFACES		
T2.1	All VoteCal interfaces with external systems other than EMSs must be implemented as service points except where that architecture is not compatible with the external system.		
T2.2	All VoteCal interfaces with external systems other than EMSs must be implemented using XML; a removable converter must be used to communicate with non-XML partners.		
T3	AVAILABILITY AND OPERATIONAL RECOVERYSystem Availability and Backup/Recovery		
T3.1	VoteCal must provide interfaces for the backup of data, operating systems, application code and configuration of all components.		
T3.2	The interface must support the export to the SOS-approved backup facility on an SOS-defined periodic basis in full, incremental, differential or item basis.		
T3.3	VoteCal must provide the ability to restore data, systems, code, and/or configurations of all or any specific or selected component(s) from the SOS approved backup facility.		
T3.4	VoteCal must be designed so that no more than 2 hours of data is		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
	lost in the event of a system failure.		
T3.5	VoteCal must allow for routine maintenance to be performed while the system is online and meeting all performance requirements.		
T3.6	VoteCal systems must be supportable by the existing physical facilities at the Secretary of State office. Any required augmentation to existing facilities must be included in the proposal, and provided at the vendor's expense and in compliance with appropriate state policies and procedures. Existing load on UPS is at 68%. If addition of VoteCal increases load beyond 70%, Bidder must propose augmentation to UPS. (See the Bidder Library for general information on physical facilities and operating parameters.)		
T4	PERFORMANCE AND CAPACITY		
T4.1	VoteCal must support and maintain two thousand (2000) concurrent end users (either through EMS or VoteCal), and must support two hundred (200) routine transactions (e.g., EMS data transmittal, VoteCal electronic notices, IDV process, VoteCal internal duplicate matching, and search and query transactions) per second while meeting all other performance requirements stated in this document.		
T4.2	VoteCal must support and maintain up to 60 concurrent report executions and/or extract requests, concurrent with the number of end users and transactions cited in the previous requirement, while meeting all other performance requirements stated in this document.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T4.3	VoteCal must support forty (40) million voter records as implemented under this contract.		
T4.4	VoteCal must be able to scale to one hundred (100) million voter records, while maintaining system performance as specified in these requirements, with the addition of hardware, operating system and platform software licenses only.		
T4.5	VoteCal must provide the capacity for up to the most recent fifty (50) years of voter activity history and voter participation history for each voter.		
T4.6	VoteCal must provide the capacity to store an average of ten (10) affidavit images and ten (10) signature images for each voter.		
T4.7	VoteCal must provide the capacity to store an average of ten (10) pages of attached documents per voter.		
T4.8	VoteCal must be able to meet the performance requirement for returning query results.		
T4.9	VoteCal must be able to perform List Maintenance Record Matching, automatic cancellation of voter records, as well as, sending electronic notices to counties as appropriate for DHS <u>CDPH</u> Death Data and CDCR Felon Data within 24 hours of availability of external data files.		
T4.10	VoteCal must be able to perform List Maintenance Record Matching, automatic merging of voter records, as well as, sending electronic notices as appropriate to counties as appropriate for statewide Duplicate Identification within 24 hours from the start of		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
	scheduled processing.		
T4.11	VoteCal must be able to add and update to voter registration records including completing the IDV process (including verification against DMV data and check for existing record with same ID in VoteCal) and sending electronic notices as appropriate to counties within ten seconds.		
T4.12	VoteCal must be able to complete execution and return all results for queries needed to generate VoteCal reports within five minutes (see Bidder's Library for description of VoteCal reports).		
T4.13	VoteCal must be able to complete execution and return all results from a synchronization check between VoteCal and county EMS within five minutes for each one million records checked.		
T4.14	VoteCal must be able to process DMV COA data including automatic updates to voter records and sending electronic notices to counties as appropriate within 24 hours of the availability of DMV COA data.		
T4.15	VoteCal must be able to import data for NCOA processing and send required electronic notices to counties as appropriate within five minutes for each one million records.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T4.16	VoteCal must be able to extract data for NCOA processing within five minutes for each one million records.		
T4.17	For searches utilizing the UID field, VoteCal must be able to complete execution and return all results within five seconds.		
T4.18	For searches not utilizing the UID field, VoteCal must be able to complete execution and return results for the first one thousand records within 10 seconds.		
T4.19	VoteCal must be designed and tested so that network transit time for the average affidavit image is less than five seconds to any site. VoteCal must support this performance level for at least ten (10) image transactions per second from the ten (10) largest counties and from the SOS, and at least 0.5 image transactions per second for the remaining counties.		
T5	PUBLIC INTERNET ACCESS		
T5.1	VoteCal public web pages must adhere to SOS web publishing standards (current web publishing standards document is provided in the Bidder's Library).		
T5.2	<u>VoteCal</u> public web pages must conform to the California Accessibility standards. These standards comply with California Government Code 11135 including Section 508 and the Priority 1 and 2 level checkpoints of the Web Content Accessibility Guidelines 2.0 (WCAG 2.0 "AA" Conformance Level) <u>and User Agent Accessibility Guidelines (current version at the start of the design phase)</u> development by the World Wide Web Consortium		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
	(W3C).		
T5.3	All web pages must accept application of the SOS Web Governance Style Guide a cascading style sheet (CSS) file without modifications to the web pages. This includes any web pages presented as a user interface to SOS VoteCal users.		
T6	NETWORK		
T6.1	No VoteCal function except the public access website may be accessible over the Internet.		
T6.2	VoteCal must utilize the existing SOS network wide-area-network for connectivity between the central site, county nodes, and other interfaces. Bidder must propose and supply, at Bidder's own expense, any changes, hardware, software or configuration management components as part of the solution, and must support the additions at its own expense for the Maintenance and Operations period of the SOS VoteCal contract. (WAN and LAN network summaries can be found in the Bidder's Library.)		
T6.3	VoteCal must utilize the existing SOS local-area-network for connectivity between VoteCal components and the existing SOS infrastructure. Bidders must propose and supply any changes, hardware, software or configuration management components as part of the solution. (WAN and LAN network summaries can be found in the Bidder's Library.)		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T7	AUDITING REQUIREMENTS		
T7.1	VoteCal must log all system activity as defined in the project glossary. Such system logs must contain sufficient information for authorized administrators to reliably reconstruct the chain of events and track them back to a specific user.		
T7.2	VoteCal must capture and store for all changes of data, the following information for audit and review, including: <ul style="list-style-type: none"> • Data that was changed; • Prior value of the data before the change; • Date and time of the change; • Source of the change (including jurisdiction, originating user account, where known to the system); and • For changes from automated matching processes, the basis and confidence value of the match. 		
T7.3	VoteCal must provide a mechanism for authorized SOS administrators to search, view, and print VoteCal audit log data that can be filtered and sorted by any field or combination of fields. Filtering must support wild card searches and range of data where applicable.		
T7.4	VoteCal must provide authorized SOS administrators the capability to archive audit log entries prior to a given date of change.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T8	CODING AND ERROR HANDLING REQUIREMENTS		
T8.1	All software must adhere to an SOS-acceptable industry standard for code development and error handling that is appropriate for the development and implementation environment.		
T8.2	VoteCal must log all system processing errors, which must capture all relevant information for each error, including: <ul style="list-style-type: none"> • Date/time; • User name; • Stack trace information; • Module/source; and • Error description. 		
T8.3	VoteCal must provide a mechanism for authorized SOS users to search, view, and print error log data that can be filtered and sorted by any field or combination of fields. Filtering must support wildcard searches and ranges of data values where applicable.		
T8.4	VoteCal user interfaces must provide user error messages that clearly communicate the following to the user: <ul style="list-style-type: none"> • Simple, clear explanation of the error; • Identification of the source/location of the error (e.g., module, line number, error code, etc.) for troubleshooting by SOS and vendor support staff (VoteCal must allow this information to be suppressed in production environments); and • What the user can do to correct the error (if applicable). 		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T8.5	VoteCal must provide a mechanism for real-time alerts (e.g., email, pager alert, etc.) to authorized SOS administrators and support staff upon occurrence of configurable system events.		
T9	REPORTING/QUERYING REQUIREMENTS		
T9.1	VoteCal must allow authorized SOS Administrators to query VoteCal data with a third party query tool. For purposes of this requirement the data must not be more that 24 hours old. For purposes of this requirement the data must not change during query execution.		
T10	GENERAL TECHNICAL REQUIREMENTS		
T10.1	VoteCal must be instrumented to provide monitoring, alerts, notices and information to existing SOS monitoring systems. Additional tools for those areas that require more robust, extensive, and/or interactive monitoring must be included in the Bidder's proposal (Existing SOS monitoring tools can be found in the Bidder Library).		
T10.2	VoteCal must provide functionality to allow authorized users to print screen information including application name and screen or function name.		
T10.3	VoteCal must provide a comprehensive electronic context-sensitive help function that can be accessed both from the function in question and independently from a menu.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T10.4	VoteCal must provide a Help table of contents, multiple (up to 15) index levels, and full text search.		

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**Exhibit VI.1 – Project Management, ~~Business, and Technical~~ Requirements
Response Matrix**

Requirement Number	Proposal Volume and Page # Where Response Can Be Found
P1	
P2	
P3	
P4	
P5	
P6	
P7	
P8	
P9	
P10	
P11	

SECTION VIII - PROPOSAL FORMAT

A. INTRODUCTION

This section contains instructions and prescribes the Mandatory Proposal Format for the development and presentation of Bidder's RFP response. Format instructions must be adhered to, all requirements and questions in the RFP must be responded to, and all requested data must be supplied. There is no intent to limit the content of the bid. Additional information deemed appropriate by the Bidder and its proposed solution must be included. However, cluttering the proposal with irrelevant material only makes the evaluation more difficult. Do not include testimonials about products in the requirement responses. These may be included in Volume IV - Literature. It is the responsibility of the Bidder to respond in the prescribed format ensuring the California Office of the Secretary of State (SOS) Evaluation Team can locate all response information.

Proposals must address the requirements in Section V - Administrative Requirements and Section VI - Project Management, Business, and Technical Requirements in the order and format specified in these sections. The proposal must respond to all requirements. Each RFP requirement response in the proposal must reference the unique identifier for the requirement in the RFP (e.g. Requirement A1, Requirement S2.2, etc.).

Page numbers must be located in the same page position throughout the proposal. Figures, tables, charts, etc., must be assigned index numbers and must be referenced by these numbers in the proposal text. Figures, etc., must be placed as close to text references as possible. All pages in the proposal must be consecutively numbered, and must be standard 8.5x11" paper (except charts, diagrams, etc., which may be foldouts). If foldouts are used, the folded size must fit within the 8.5x11" format. Each volume of the various proposal submissions must be provided separately in an appropriate sized binder.

It is the Bidder's responsibility to ensure its proposal is submitted in a manner that enables the Evaluation Team to easily locate all response descriptions and exhibits for each requirement of this RFP.

The following must be shown on each page of the proposal:

- RFP SOS 0890-46
- Name of Bidder
- Proposal Volume Number and Page Number
- Proposal Part or Exhibit Number

The proposal package must be completely sealed. All proposal package submissions must be clearly labeled "RFP SOS 0890-46". Submissions must be identified as the proposal or Cost Data (cost data must be sealed and submitted separately from the proposal) and include the Bidder's name and return address.

Bidders should be sure that no pricing information of any type is shown in their Draft and Final Proposal, except in the sealed Volume III - Cost Data envelope for the final proposal only. The inclusion of pricing in any fashion or format (e.g. "provided at no additional cost..., etc.") in any other place in the proposal may result in immediate rejection of the bid. Any product supporting literature containing costs or rates (such as catalogs, maintenance service rates, etc.) submitted as part of the proposal must have all cost figures replaced with "XXXX."

B. FINAL PROPOSAL FORMAT AND CONTENT

Failure to clearly identify the proposal on the outside of the package may result in the rejection of the proposal. SOS and the Department of General Services (DGS) are not responsible for receipt of any Final Proposal which is improperly labeled and accepts no responsibility for lost and/or late delivery of Final Proposals. In this RFP, the following sections contain forms, required information to be provided by the Bidder, or requirements that must be responded to in order to be compliant:

- RFP Section V – Administrative Requirements;
- RFP Section VI – Project Management, Business, and Technical Requirements; and
- RFP Section VII – Cost Tables and unredacted Letter of Credit Intent.

The complete proposal must be submitted in the format and numbers of copies indicated, and include the following items:

1. **Volume I — Response to Requirements** 1 Master copy and 10 copies

This volume must contain all responses to the **ADMINISTRATIVE REQUIREMENTS** (RFP Section V), and **PROJECT MANAGEMENT, BUSINESS AND TECHNICAL REQUIREMENTS** (RFP Section VI) of the RFP. All forms and questionnaires, **EXCEPT for cost data**, must be completed and included in this volume. The organization is to be as follows:

Section 1 — Cover Letter (RFP Section V, Requirement A13)

Section 2 — Executive Summary (RFP Section V, Requirement A14)

Section 3 — Administrative Requirements Response (RFP Section V, Requirements A1 through A15, including Exhibits V.2, V.3, V.4.)

NOTE: The Letter of Credit Intent must have any reference to cost redacted.

Section 4 — Project Management, Business and Technical Response: RFP Section VI.B (Project Management Activities and Plans P1 through P11), RFP Section VI.D (Business Functional Requirements) and RFP Section VI.E (Technical Requirements)

Section 5 -- Project Team Experience (RFP Section V Requirements A9, 10, 11, 12, Requirements P9, P10, P11, P12 and A20, and completed Exhibits V.5, V.6, and V.7)

2. **Volume II — Completed Contract** 1 Master copy

This volume must contain the complete Contract Terms and Conditions and all Attachments, complete in every detail. The Standard Form 213IT must be signed.

3. **Volume III — Cost Data**

1 Master copy and 4 copies

This volume **must** be in a **separately sealed, marked envelope or container** containing all completed cost sheets and any other document with cost data identified as required in this RFP. The organization is to be:

Section 1— VoteCal System Summary Cost Table (Cost Tables VII.5)

Section 2 — VoteCal System Detail Cost Tables from RFP Section VII (Cost Tables VII.1, VII.2 and VII.3)

Section 3 — All Other Exhibits and Documents with Cost Data Identified (Cost Tables VII.4 and VII.6) and unredacted Letter of Credit Intent

4. **Volume IV — Literature**

Technical documentation for platform software & hardware:

1 Master copy and 1 copy

All other documentation:

1 Master copy and 4 copies

This volume must contain all technical and other reference literature the Bidder deems necessary to support the responses to the requirements of this RFP. **This volume must be tabulated so that the various reference materials can be located for evaluation purposes.**

5. **Electronic Response Requirements**

One (1) CD must be included with Volume I containing all of Volume I response data in searchable electronic (non-PDF) form, and one (1) CD must be included with Volume III containing all cost data (separately sealed with the Volume III hardcopy and not in PDF format).

C. DRAFT PROPOSAL FORMAT AND CONTENT

The Draft Proposal must contain all the material specified above for the Final Proposal **except cost figures**. The costs should all be indicated with "XXX". The completed contract (Appendix A), including Attachment 1 (Statement of Work) **must also be included with products and services identified, but no cost figures included**. The contract need **not** be signed at this point. It is **important that all cost tables with all entries except cost figures**, be included. The number of copies of the Draft Proposal to be submitted for validation is the same as the final proposal.

ATTACHMENT 1 - STATEMENT OF WORK

1. General

- (a) This Statement of Work (SOW) defines the tasks needed to implement and support the Secretary of State (SOS) VoteCal Statewide Voter Registration System Project (VoteCal); it also establishes responsibilities for completing these tasks.
- (b) For work that has been identified, the attached Task Schedules define and authorize such work on a Fixed Price basis, with a guarantee of task completion.
- (c) For additional work, not foreseen at the time this Agreement is executed, Work Authorizations (Exhibit I) will define and authorize such work.
- (d) The term of this contract is for implementation plus one (1) year warranty concurrent with one (1) year of maintenance and operations. Additionally, SOS may execute five (5) one-year options for hardware maintenance and operations and one (1) five-year option for software support.
- (e) The state may, at its sole option, choose to exercise the extensions to the maintenance and operations agreement at the contract price; however, if the state has not received and accepted all required updated documentation, the contractor may not be awarded a contract for further maintenance and operations of the system.
- (f) All VoteCal software components must be fully supported by their manufacturer with no published end of life for any product at the time of deployment.
- (g) All software development tools proposed for use in developing and implementing VoteCal must be fully supported by their manufacturer with no published end of life for any product at the time use of tools begins.
- (h) All VoteCal hardware components must be fully supported by their manufacturer with no published end of life for any product at the time of deployment.

2. Contractor's Responsibilities

- (a) Contractor shall make available personnel as listed on their Final Proposal Staffing Plan for the purpose of providing the services required to accomplish the tasks prescribed in the Task Schedules. Each task and deliverable will be considered complete only after formal review, approval, and acceptance in writing by the SOS Project Director that the deliverable has been delivered in accordance with the requirements set forth in the SOW. The Bidder may only invoice for the completion of each phase upon acceptance of all deliverables in that phase in accordance with Exhibit 2 (less the payment withhold of 20%).
- (b) Each Task Schedule contains at a minimum, a description of the task, a statement of Contractor's responsibilities and a list of deliverable items. All Tasks and Deliverables shall be provided for the fixed price listed in this Agreement.
- (c) Contractor agrees to perform the services for which it and all subcontractors are responsible, to accomplish this work in the manner and time stated in the Task Schedules, and to provide the deliverable items as required.
- (d) The State recognizes that changes to subcontractor(s) may be necessary and in the best interests of the State, however, advance notification of a contemplated change and the reasons for such change must be made to the State no less than seven (7) business days prior to the existing subcontractor's termination. If this should occur, the Contractor should be aware that the SOS Project Manager or designee must approve any changes to the subcontractor(s) prior to the termination of the existing subcontractor(s) and hire of the new subcontractor(s). This also includes any changes made between submittal of the

final proposal and actual start of the contract. All replacement subcontractor(s) are subject to a corporate reference check. The corporate reference check must produce a good reference and demonstrate a strong probability of successful performance by the subcontractor(s). The State will not compensate the Contractor for any of the Contractor's time or effort to educate or otherwise make the new subcontractor(s) ready to begin work on the contract.

- (e) The Contractor must designate one project representative to oversee the management and requirements of the contract. The Contractor's project representative will work directly with the SOS Project Manager.
- (f) The Contractor must provide staff to support required project roles, work activities, and management of their respective teams based on this Statement of Work.
- (g) The Contractor shall cooperate with any third-party contracted by the State to provide additional project support services.
- (h) The Contractor will package (final copies) and deliver all project documentation, deliverables, or other materials for deposit into the Project Library.
- (i) The Contractor will work directly with the State to determine changes that will be required to existing systems to support the project.
- (j) The Contractor must store all non-software project artifacts in the project's Microsoft SharePoint project library.
- (k) The services provided by Contractor to accomplish the SOW shall be under the control, management, and supervision of Contractor, including any subcontractors or off-site Contractor staff (if applicable).

3. Contractor Personnel

- (a) SOS requires that analysis, design, development, testing, and training development activities be performed exclusively at the SOS offices in Sacramento. The key Bidder staff consisting of Project Manager, Business Lead, Technical Lead, Development Lead, Testing Lead, and Data Integration Lead must work exclusively at the SOS office. No work shall be performed offshore. If Contractor identifies potential tasks that may be accomplished off-site without adversely affecting the project, the VoteCal Project Director or designee may grant exceptions based on Contractor's written request and justification, submitted in writing at least three business days prior to beginning work off-site. However, Contractor must make off-site staff available to work at SOS headquarters at SOS's request. If SOS so requests, all expenses (e.g., food, transportation, housing, etc.) to bring the off-site staff to the VoteCal office space will be Contractor's responsibility.
- (b) SOS reserves the right to disapprove the continuing assignment of Contractor key personnel provided under this Contract. Contractor will make every reasonable effort to provide appropriately qualified replacement personnel in a timely manner. The proposed replacement staff must have the same or higher-level skills and experience as that which is stated in the Request for Proposals. Contractor must request approval of replacement staff in writing at least three business days before they begin work on the project. SOS reserves the right to disapprove replacement or additional staff before they start on the project.
- (c) Contractor will provide the individuals proposed in key roles (Project Manager, Business Lead, Technical Lead, Development Lead, Testing Lead, and Data Integration Lead) for the duration of their role on the project if those individuals are still in the employ of the Contractor. SOS recognizes that a resignation or other events may cause Contractor project team members to be unavailable. VoteCal Project Director reserves the right to approve or deny all Contractors' proposed replacement project team members. The

proposed replacement staff must have the same or higher-level skills and experience as that which is stated in the Request for Proposal. Contractor must request approval from Project Director of replacement staff in writing at least three business days before they begin work on the project. SOS reserves the right to disapprove replacement or additional staff before they start on the project.

4. Work Standards

Contractor personnel shall adhere to the following work standards for the project:

- (a) Contractor will use Microsoft Office 2003 and Microsoft Project 2007. Contractor shall upgrade commercial software versions at no cost to the State to remain compatible.
- (b) Contractor will comply with SOS security restrictions related to the access of the SOS facilities. SOS must agree to any exceptions to the established practices in writing.
- (c) Contractor will maintain the Project Schedule in MS Project 2007 or an automated tool accepted in writing by SOS.
- (d) Contractor will manage all project documentation in automated tools acceptable to SOS.
- (e) All required project records and documentation must be maintained in the SOS project repository in electronic format (such as MS Word, MS Excel or editable PDF) or in hardcopy where soft copy is unavailable.
- (f) The Contractor must comply with project management industry standards (i.e. PMI, PMBOK) including the State Information Management Manual Project Oversight Framework and IEEE when designated by the SOS.

5. Responsibilities of SOS

- (a) The SOS Project Director will oversee and manage this contract. The Project Director will work with the Contractor to facilitate successful completion of Contractor's obligations, will review and accept deliverables in accordance with contract terms, will accept staffing changes, and will resolve contract issues in a timely manner.
- (b) The State will be responsible for the overall management of the project Governance Structure that includes an Executive Steering Committee and Project Management Office, and serves as the primary contact for each.
- (c) The State will maintain a comprehensive project office to support the project infrastructure to manage the day to day operations, including onboard of project staff, budget/fiscal controls, contract management, State reporting, recruitment.
- (d) The State will be responsible for the delivery of project communications.
- (e) The State will serve as the representative of the Project in meetings, presentations, etc.
- (f) The State will provide knowledge of all relevant State processes, policies, and regulations not related to voter registration.
- (g) The State will be responsible for administering and maintaining the project library for deposit of project deliverable documents. The project library will be comprised of both hard copy and electronic documents.
- (h) The State will continue to support existing legacy systems.
- (i) For work performed at SOS premises, SOS shall provide the following work environment, provided that all onsite contractor personnel agree in writing to SOS and State acceptable use policies:
 - (i) Up to 6 contractor workstations and work space for Contractor staff; and,

- (ii) Access to printers, copiers, telephone, and desktop computers with approved SOS applications.
- (j) SOS is responsible for providing required information, data, and documentation, in its current form, as specified in the Request for Proposal, the VoteCal Bidder's Library, and access to program staff to facilitate Contractor's performance of the work. VoteCal Project Director or designee shall provide additional assistance and services as specifically set forth in the Exhibit 2, Tasks.
- (k) VoteCal Project Director (or designee) shall ensure the performance and availability of SOS personnel under this SOW and is the sole individual to whom all official communications relative to this SOW will be addressed.
- (l) At the end of the warranty and maintenance period of this Agreement, SOS IT staff intends to assume primary responsibility for maintaining the implemented solution with Contractor maintenance and support unless the SOS awards the extension of the maintenance contract.

6. Full System Acceptance

Upon completion of Testing (Deliverable IV.2), the SOS Project Director will make a recommendation to the Executive Steering Committee (ESC), based on input from the Project Manager, on whether or not to accept the system.

The system acceptance criteria will include, but not be limited to, components such as:

- (a) Completion of all testing phases described in the Statement of Work, with no open incidents as defined in the Testing Plan.
- (b) Acceptance of all production deployment phases (i.e., all California counties are using VoteCal as the system of record).
- (c) Completion of Acceptance Testing (Deliverable IV.2).
- (d) Submission of an Action Plan stating how the Contractor will address any remaining errors or anomalies from the testing or roll-out phases.
- (e) Submission of all contract deliverables up through System Acceptance.
- (f) Satisfaction of all mandatory system requirements.
- (g) Satisfaction of all terms and conditions of the contract.

7. Warranty Period

The one year of warranty and maintenance and operations provided for in Phase VII shall commence immediately upon completion of Phase VII.

8. Unanticipated Tasks

The Contractor will include all hardware and software necessary to provide the functionality and performance specified in the solicitation and contractually obligated in the proposal. Any additional software and hardware not included in the proposal, but determined necessary or required to meet contract and proposed functionality and performance will be acquired at the sole expense of the contractor and will become the property of the SOS once delivered, installed and accepted. SOS will only reimburse the Contractor for hardware and software components specifically included and costed in the proposal, unless the additional components are required to implement an approved change order.

If additional work must be performed that was wholly unanticipated and was not identified in either the RFP or Contractor's proposal in response, but which, in the opinion of the SOS, is

necessary to the accomplishment of the general scope of work outlined, the following procedures will be employed. At SOS sole option, and subject to SOS approvals and procedures as described in paragraphs 8(a) through 8(f) below, up to ten percent (10%) of the total contract amount may be added to the contract as funding for unanticipated tasks. Unanticipated tasks, if approved by SOS, will be authorized through work authorizations and amendment to this Contract, as described in paragraphs 8(a) through 8(f) below. **The Bidder's Proposal shall not include description of unanticipated tasks, and shall not include costs for unanticipated tasks.**

- (a) For each item of unanticipated work, the SOS Project Change Control Process will be used. When the Change Control Request from this process is approved, a Work Authorization will be prepared by the Contractor in accordance with the sample attached as SOW, Exhibit 1. All Contractor rates have been established by Contractor staff classification in Cost Table VII.6, Bidder Staff Hourly Rates. Unless otherwise agreed by both parties the contractor Work Authorization will be for a fixed price for the delivery of the change.
- (b) It is understood and agreed by both parties to this SOW that all of the Terms and Conditions of this SOW shall remain in force with the inclusion of any additional Work Authorization. Such Work Authorization shall in no way constitute an Agreement other than as provided pursuant to this SOW nor in any way amend any of the other provisions of this Agreement.
- (c) Each Work Authorization shall be prepared in accordance with Exhibit 1, Sample Work Authorization.
- (d) The State shall draft an amendment based on the Work Authorization that shall include:
 - 1. Complete description of the work to be performed
 - 2. Schedule for the work to be performed
 - 3. Contractor resource classifications that will be used to perform the work
 - 4. Deliverables to be produced
- (e) If, while performing the work, Contractor determines that a Work Authorization to be performed under this Agreement, which was accepted as an estimate rather than a fixed price for the deliverable, cannot be completed within the estimated labor hours, Contractor will immediately notify SOS in writing of Contractor's estimate of the labor hours and additional cost which will be required to complete the Work Authorization in full. Upon receipt of such notification, SOS may elect to:
 - 1. Authorize Contractor to expend the estimated additional labor hours in excess of the original estimate necessary to accomplish the Work Authorization (such an authorization not unreasonably to be withheld); or,
 - 2. Terminate the Work Authorization; or,
 - 3. Alter the scope of the Work Authorization in order to define tasks that can be accomplished within the remaining estimated labor hours.
- (f) Contractor shall not initiate work effort for Work Authorizations until authorized in writing by SOS, DGS and is in amendment to the Contract.

9. Change Control Procedures

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

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

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

10. Problem Escalation

Should the Contractor Project Manager and the SOS Project Manager not be able to agree on a resolution to any particular issue, the Contractor and the State agree to raise the issue to the SOS Project Director prior to the assertion of rights under the Contract's Dispute provisions (Attachment 2, IT General Provisions, paragraph 41). The Project Director will decide on a resolution within ten (10) State business days of being made aware of the issue. The Project Director will use whatever resources it deems necessary to seek a rapid and just resolution to an issue at the Project Director level. If resolution cannot be reached at the Project Director level within the time frame prescribed above, either party may assert its other rights and remedies as provided by the contract.

11. Deliverables

a) Acceptance

Acceptance of VoteCal will be governed by this Statement of Work. Acceptance is conditioned on compliance with all contract requirements.

The VoteCal team will be responsible for reviewing each deliverable. The State's review time will be as documented in the DED but will be at least five (5) business days, without concurrent review of deliverables. Should revisions to the document be required by the State, the Contractor will receive written notification of changes and reflect them in the document within five (5) business days of receiving the changes. The State may, at its discretion, allow a period longer than five (5) business days in consideration of the scope of the change. The Contractor must not change a deliverable that has been accepted by the State without the approval of the State.

State acceptance will be based upon the following:

1. The deliverable will address all components required by the contract and any areas agreed upon subsequently through meetings and planning sessions.
2. Deliverable documents will be comprehensive in level of detail and quality as defined in this SOW and the DED.
3. Deliverable documents will be organized in a structured manner and be professional in presentation.
4. Deliverable documents will be consistent in style and quality. This means if the document is the composite work of many people within the Contractor's organization, the document will be edited for style and consistency.

b) Deliverable Expectation Development (DED)

The DED for each deliverable will be drafted by the Contractor, using the template provided in SOW Exhibit 3, Sample Deliverable Expectation Document Template. This process will establish expectations on all sides regarding the appropriate standards, format, content, number of copies, and acceptance criteria for the deliverables. This process can start as early as the phase visioning sessions where the Contractor will present the vision for the subsequent phases and SOS will provide detailed and collaborative feedback during the visioning sessions. At a high level, the vision for the

phase deliverables will be identified and will serve as the input for the draft phase DEDs. Contractor will submit each DED to SOS according to the Project Management Plan and the Integrated Project Schedule. SOS will review the draft DED within 5 business days and if needed, will propose changes to improve the content relative to the particular deliverable. The Contractor will incorporate the feedback into the DED and resubmit the final DED to SOS for approval within five (5) business days. The DED will serve as the established acceptance criteria by which SOS will formally accept or reject deliverables.

Each DED will contain the following:

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

DED Revisions

Following established Change Control procedures, the Contractor may recommend changes to the approved DED as warranted to improve the submission of a particular deliverable, subject to approval by SOS. SOS may also propose changes to the approved DED to improve its content relative to a particular deliverable, subject to agreement by the Contractor.

c) Contractor Formal Transmittal of Deliverables

Contractor shall submit for review and approval a formal transmittal letter from Contractor's Project Manager addressed to VoteCal Project Director (or designee) for each deliverable for the purpose of acceptance. The deliverable must contain an Approval Page, which indicates the date submitted, to whom submitted, deliverable author, and title of the deliverable. The DED prepared for the specific deliverable approval must be attached to the transmittal.

Each Deliverable submitted to the VoteCal Project Manager for review and Acceptance shall have a cover letter from the Contractor. The cover letter shall contain the following Certification: "I certify that this Deliverable has been prepared in accordance with the relevant terms and conditions of the VoteCal Contract and conforms to and meets its applicable Acceptance Criteria." The cover letter shall also contain a Certification that the Contractor has performed an internal quality assurance review of the Deliverable. Deliverables shall be signed as complete by a Contractor representative who is authorized to sign legal documents for the company.

Unless otherwise permitted by the Project Management Plan, work on subsequent Deliverables may not proceed prior to the State's formal Acceptance of the preceding Deliverables. However, if Contractor proceeds with work on subsequent Deliverables prior to such Acceptance of preceding Deliverables, with or without the State's approval, Contractor shall proceed with such Work at Contractor's sole risk and understanding Contractor may need to repeat previously performed Work without payment therefor by the State.

d) SOS Approval of Deliverables

Detailed deliverable acceptance criteria will be developed in the DED based on the type of deliverable being reviewed in accordance with any applicable standards or SOS-approved equivalent for that deliverable.

Conformance with Acceptance Criteria

Contractor will provide all Deliverables in complete form no later than the dates indicated in the Schedule. Deliverables must be presented to the State consistent with the standards in the VoteCal contract. The Deliverables shall include, without limitation, plans, designs, other non-Software Deliverables, and Software with complete or partial functionality as described in Section VI – Project Management, Business, and Technical Requirements. Upon delivery of a Deliverable and receipt of Certification from Contractor that the Deliverable meets its Acceptance Criteria, State will, with Contractor's assistance, promptly review or perform Acceptance Tests on the Deliverable, as applicable, to determine whether the Deliverable conforms to its Acceptance Criteria. State will provide Acceptance for a Deliverable if it has no Deficiencies.

By submitting a Deliverable, Contractor represents that, to the best of its knowledge, it has performed the associated tasks in a manner which will, in concert with other tasks, meet the Specifications stated or referred to in the Contract. The parties acknowledge and agree that the State's Acceptance of a Deliverable indicates only that it has reviewed the Deliverable and detected no Deficiencies at that time and that the State's Acceptance of a Deliverable does not discharge any of Contractor's obligation to insure comprehensiveness, functionality, effectiveness or Certification of the VoteCal Solution as a whole.

e) SOS Review Time for Contractor Document Deliverables

SOS review time for document deliverables will be determined at the time the deliverable DED is developed and will be based on the type and complexity of said deliverable. At a minimum, SOS will require 5 State business days for review, comment and approval on a deliverable. Contractor should expect that deliverables that are more complex and/or over 100 pages will require a minimum of 10 State business days. Changes to these review times should be discussed during the DED review period and mutually agreed upon by both parties.

f) Rejection of Deliverables

1. **Deficiency Correction.** If a Deficiency is found, State will notify Contractor in an email or other document of the deficiencies used as grounds for State's decision not to give Acceptance. Contractor shall correct Deficiencies and resubmit a corrected Deliverable to State which will review or perform acceptance tests on the Deliverable to verify whether the Deliverable lacks Deficiencies and in writing shall either give its acceptance or reject it following such review or acceptance tests. Contractor's times for correcting Deficiencies and State's review of Deliverables shall be in accordance with the timeframes set therefore in the Integrated Project Schedule or other contract documents. If time periods for correcting deficiencies by Contractor, reviewing and retesting corrected Deliverables, and notifying Contractor of Deficiencies are unspecified, each such time period shall be ten (10) business days.
2. **Remedies for Deficiencies.** If Contractor is unable to correct all Deficiencies within the number of days indicated following the Deliverable's scheduled acceptance, or if no such date is specified, within sixty (60) calendar days from such scheduled acceptance, State may, at its option: (a) continue reviewing or performing acceptance tests on the deliverable and require Contractor to continue until deficiencies are corrected or eliminated; (b) request Contractor to provide, at its expense, a replacement deliverable for further review or

acceptance tests; (c) set-off from the purchase price to the extent State determines the deficiencies for the Deliverable have not been corrected and/or provide full or conditional acceptance for the applicable Deliverable; or (d) terminate this Contract, in whole or in part after providing notice of default to Contractor. In the event State terminates the contract as provided herein, Contractor shall return to State all amounts paid by State for Products.

g) Inspection of Work in Progress

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

12. Software Provisions

(a) Platform Software

These provisions apply to generally available Platform Software included in the completed VoteCal system. Platform software shall mean products that perform the following functions:

- operating system,
- database management,
- message switching,
- backup/restore,
- security,
- access control,
- encryption,
- intrusion prevention,
- performance monitoring,
- troubleshooting,
- source code compilation and run-time libraries,
- debugging,
- storage management tools, and
- any other system component which is commercially available through multiple resellers, that has not been modified for use in the VoteCal system, and for which configuration is within manufacturer's published, customer-configurable options.

These provisions do not apply to any portion of the VoteCal Application Software developed or otherwise provided to the State under this Contract.

1. License Grant

- (a) Contractor hereby grants to the State and the State accepts from Contractor, subject to the terms and conditions of this Contract, a non-exclusive, non-transferable license to use and copy Platform Software as outlined below. (hereinafter referred to as "Platform Software").
- (b) State may use the Platform Software in the conduct of its own business,

and any division thereof.

- (c) The license granted above authorizes the State to use the Platform Software in machine-readable form on the Commercial Computer System located at the site(s) specified in the Statement of Work. Said Computer System and its associated units (collectively referred to as CPU) are as designated in the Statement of Work. If the designated CPU is inoperative due to malfunction, the license herein granted shall be temporarily extended to authorize the State to use the Platform Software, in machine-readable form, on any other State CPU until the designated CPU is returned to operation. The license herein granted shall also be temporarily extended to authorize the State to use the Platform Software, in machine-readable form, on any other State CPU for up to 7 days per calendar year to allow the state to test the ability to operate in the event that the designated CPU is inoperative, and to facilitate system maintenance.
- (d) By prior written notice, the State may redesignate the CPU in which the Software is to be used. The redesignation will be effective upon the date specified in the notice of redesignation.

2. Encryption/CPU ID Authorization Codes

- (a) When Encryption/CPU Identification (ID) authorization codes are required to operate the Platform Software, the Contractor will provide all codes to the State with delivery of the Software.
- (b) In case of an inoperative CPU as defined in paragraph 1c above, Contractor will provide a temporary encryption/CPU ID authorization code to the State for use on a temporarily authorized CPU until the designated CPU is returned to operation, and to allow the State to test the alternate CPU or perform maintenance on the designated CPU, as described in 1 c above.

When changes in designated CPUs occur, the State will notify the Contractor via telephone and/or facsimile/e-mail of such change. Upon receipt of such notice, Contractor will issue via telephone and/or facsimile/e-mail to the State within 24 hours, a temporary encryption ID authorization code for use on the newly designated CPU until such time as a permanent code is assigned.

3. Fees and Charges

The State's assumption of ownership of Platform Software Product licenses will be effective upon payment of the invoice(s) for all deliverables through the end of Phase VII - First Year Operations and Closeout. Contractor will be responsible for payment of any recurring license charges until the completion of the warranty period as established in the Statement(s) of Work.

4. Maintenance

The maintenance and support of any Platform Software products delivered to the State shall be provided, through Phase VII – First year Operations and Closeout and any optional additional years of maintenance and operations.

- (a) The correction of any residual errors in any Platform Software that may be discovered by Contractor or by the State will be considered maintenance. Such maintenance will be performed by Contractor without additional charge for the duration of this contract. Suspected errors discovered by the State in

the Platform Software will be handled by the following procedures:

- 1) A listing of the output and a copy of the identical input data in machine-readable form will be submitted to Contractor along with a completed copy of the appropriate Contractor information form and, if appropriate, a listing of the contents of the memory of the CPU at the time the error condition was noted.
- 2) Errors in the Platform Software as verified by Contractor will be corrected by providing a new copy of said Platform Software (or of the affected portions) in machine-readable form.

The Contractor shall attempt to correct Platform Software errors within a maximum of ten (10) State business days.

- (b) Contractor will be responsible for isolating and correcting error conditions caused by the State's particular Hardware or Operating System unless the State has modified or substituted Hardware or Operating System for those components supplied under this contract. If the State has modified or substituted Hardware or Operating System for those components supplied under this contract, the Contractor will be available to assist the State in isolating and correcting error conditions caused by the State's particular Hardware or Operating System at rates in accordance with the Statement of Work.
- (c) If Contractor is called upon by State to correct an error caused by State's negligence, modification by State, State supplied data, Machine or operator failure, or due to any other cause not inherent in the original Platform Software, Contractor reserves the right to charge State for such service on a time and material basis, or rates in accordance with the Statement of Work.

5. Acceptance of Software

Any integrated Platform Software for the VoteCal system must be purchased by and licensed to the Contractor. All required licenses purchased by the Prime Contractor shall include written acceptance by the Platform Software provider of the Third Party COTS General Provisions dated July 15, 2008: (<http://www.documents.dgs.ca.gov/pd/TAS/SICOTSSWGP071508.pdf>).

Contractor agrees to provide to the SOS this written acceptance and copies of the software licensing agreement(s) no later than implementation acceptance. Implementation acceptance is conditioned upon receipt and approval of these documents. Software licensing terms and conditions provided by Contractor which are not in conflict with the Third Party COTS General Provisions dated July 15, 2008, and/or California law will be accepted by the SOS, provided however that any licensing clause, term or condition representing that the license is superior to or takes precedence over other articles, attachments, specifications, provisions, contracts, terms or conditions shall be stricken and shall have no legal effect.

Contractor shall hold all licenses until implementation acceptance. After Phase VII - First Year Operations and Closeout the licenses shall automatically pass to SOS. In the event that Contractor fails to perform on the contract, Contractor shall immediately grant all software licenses to SOS upon request by SOS.

SOS reserves the right to waive these requirements on a case-by-case basis, at the SOS's sole discretion, if it is in the best interest of the State.

(b) VoteCal System Application Software

The definition of application software includes any application software developed or otherwise provided by the Contractor to meet the requirements of this contract for the VoteCal Application. This provision does not apply to Platform Software, as described above to meet the business functional requirements in this contract for the VoteCal Application.

1. License Grant

- (a) Contractor hereby grants to the State and the State accepts from Contractor, subject to the terms and conditions of this Contract, a non-exclusive, perpetual license to use, modify and copy the VoteCal System Application Software listed in Statement of Work of this Contract (hereinafter referred to as "VoteCal Application").
- (b) State, and any other governmental entity within California, may use the VoteCal Application in the management and processing of voter registration and elections management. In no event shall the State or any division thereof resell, re-license, or use the VoteCal Application for purposes other than the management or processing of voter registration and elections management by governmental entities in California.
- (c) Except as limited above, the license granted above authorizes the State to use the VoteCal Application on any computer system for any government purpose in California, and to modify the software, or to adapt the software in whole or in part for any government purpose in California.

2. Encryption/CPU ID Authorization Codes

The Contractor shall not apply any encryption or CPU ID authorization code capability to the VoteCal Application that in any way restricts the ability of the State to install and use the VoteCal Application on any Hardware or Operating System, nor shall the Contractor apply any mechanism that limits the period of usability of the VoteCal Application.

3. Fees and Charges

Upon acceptance of the VoteCal Application by State, in accordance with the Statement of Work, State will pay the contracted fees for the development and use of the VoteCal Application. Upon payment of the onetime contracted fee, the license grant to the state will be perpetual without recurring use charges and is not dependent upon the State's continuing to contract for software maintenance of the VoteCal Application.

4. Maintenance

- (a) The correction of any residual errors in any VoteCal Application that may be discovered by Contractor or by the State during Phase VII (First Year Operations and Closeout) will be considered maintenance. Such maintenance will be performed by Contractor without additional charge for the duration of this contract.
- (b) During the period of contracted software maintenance, the Contractor will at no additional charge:
 - 1) Correct all errors affecting business functions identified by the State or Contractor in any VoteCal Application Software product.
 - 2) Restore the VoteCal Application Software to performance and functionality equivalent to that of the product when accepted

following the installation of any manufacturer-provided security-related maintenance for any other component of the system.

- (c) Suspected errors discovered by the State in the VoteCal Application Software will be handled by the following procedures:
 - 1) The State will provide the vendor with a clear description of the problem, including the activity performed when the error occurred, the expected outcome, and the unexpected or undesirable outcome obtained. The State will also identify the impact on business processes of the problem, and identify any workaround implemented to mitigate that impact. The State will report the problem using an automated trouble reporting system if provided by the Contractor.
 - 2) Errors in the VoteCal Application Software as verified by Contractor will be corrected by providing a new copy of both source and object code for said VoteCal Application Software (or of the affected portions) in machine-readable form, along with any instructions for implementing the correction.
 - 3) The Contractor shall attempt to correct VoteCal Application Software errors within a reasonable time. The Contractor will apply its best efforts to correct errors affecting business processes.
- (d) Contractor will be responsible for isolating and correcting error conditions caused by the State's particular Hardware or Operating System unless the State has modified or substituted Hardware or Operating System for those components supplied under this contract. If the state has modified or substituted Hardware or Operating System for those components supplied under this contract, the Contractor will be available to assist the State in isolating and correcting error conditions caused by the State's particular Hardware or Operating System at rates in accordance with the Statement of Work.
- (e) If Contractor is called upon by State to correct an error caused by State's negligence, modification by State, State supplied data, Machine or operator failure, or due to any other cause not inherent in the original system as proposed by the Contractor and delivered under this contract, Contractor reserves the right to charge State for such service on a time and material basis, or rates in accordance with the Statement of Work.

5. Acceptance of Software

Acceptance of the VoteCal Application will be governed by the Statement of Work.

6. Right To Copy or Modify

Upon acceptance and payment for project phase containing the VoteCal Application deliverable, there shall be no restriction on the state's ability and right to copy or modify the VoteCal Application, or on its ability to distribute and install the VoteCal Application for all the purposes allowed by this agreement.

7. Future Releases

Unless otherwise specifically provided in this Contract, or the Statement of Work, if improved versions of the VoteCal Application Software, or of any of Contractor's software products identified in the Contractor's Proposal as a basis

or component of the VoteCal Application, are developed by Contractor, and are made available to other licensees, they will be made available to the State at the State's option at a price no greater than the price offered to other government licensees to upgrade from the version provided to the State to the same version of the product provided to another government licensee. Where modifications or enhancements are made by the contractor to a different version of a product identified in the Contractor's proposal as a basis or component of the VoteCal Application and are directly applicable to the VoteCal Application, those modifications or enhancements shall be made available to the State at no more than the lowest cost any other entity was charged to incorporate that modification or enhancement in the other version of that product.

(viii) Source code

Once developed and tested, the Contractor shall deposit all code in an escrow account for the SOS. This source code must be updated with new version releases. The Contractor shall turn over the source code, the object code, the complete software release implementation directions, and any additional software that is required to prepare, modify, document, or operate the VoteCal Application Software to SOS within one week of system acceptance and again within one week of the end of Phase VII – First Year Operations and Closeout.

13. Payment

(a) Invoicing and Payment

The Bidder may only bill for the completion of each deliverable in accordance with Attachment 1, Exhibit 2 (less the holdback of 20%).

The Contractor cannot submit an invoice more frequently than once a month. All phases or work authorizations for which all deliverables have been accepted in writing during the month must be grouped into a single monthly invoice submitted for approval.

The State agrees to compensate the Contractor in accordance with the rates specified in the attached Cost Tables.

Prior to submitting the invoices to the address below, the HAVA Activity Sheet will be submitted to the Contract Manager for approval and signature of the VoteCal Project Director. The signed HAVA Activity Sheet must be submitted with the monthly invoice. Invoices shall include the Agreement Number and shall be submitted in triplicate not more frequently than monthly in arrears to:

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

(b) Twenty Percent 20% Withholding

In accordance with Public Contract Code, Section 12112, the State will withhold, from the invoiced payment amount to the Contractor, an amount equal to twenty percent (20%) of the payment. Such retained amount shall be held by the State and only released to the Contractor upon the State's Project Director's determination that the Contractor has satisfactorily completed all of the required services after system acceptance and Phase VII First Year Operations and Closeout.

(c) Liquidated Damages

It is agreed by the State and the Contractor that in the event of failure to meet the requirements which follow, damage shall be sustained by the State and that it is and will be impractical and extremely difficult to ascertain and determine the actual damages which the State will sustain in the event of and by reason of such failure; and it is therefore agreed that the Contractor will pay the State the amounts set forth below for such failures at the sole discretion of the State according to the following subsection. The purpose of liquidated damages is to ensure adherence to the requirements in the contract. No punitive intention is inherent.

Additionally, time is of the essence in the contract. It is the State's intent to meet the VoteCal Project Final Implementation Date as specified in the Integrated Project Schedule at the time of award. If for any reason the Contractor is delayed in meeting any of the Phase End Dates, Liquidated Damages in the amount of two thousand five hundred dollars (\$2500) per working day may be assessed for each working day the Phase End Date is delayed. The State will recover the monies from future payments that would otherwise be made to Contractor. Liquidated damages can be exercised concurrently while the State is pursuing other remedies. The State will notify the Contractor, in writing when Liquidated Damages are being invoked. The State will provide the Contractor a complete accounting for all Liquidated Damages.

Glossary of Terms

TERM/ACRONYM	DEFINITION
Accept and Apply	In VoteCal, the process of receiving and validating data, and incorporating the data into the VoteCal database.
ADA	Americans with Disabilities Act
Address Library	The stored data for a county that (a) identifies all potential standard addresses and whether the address is eligible as a residence address for voter registration and (b) the associated home precinct for that residence. This data is used to assign all new registered voters and re-registered voters with an address change within that county to a home precinct.
Antivirus	Antivirus software is a type of application that will protect VoteCal from viruses, worms and other malicious code. The antivirus programs should monitor traffic while you surf the Web, scan incoming email and file attachments and periodically check all local files for the existence of any known malicious code.
Application System Software	Software developed or adapted to work with platform software and hardware to solve a specified and unique set of business and technical requirements for a customer. See also Platform Software.
Application System Support	Includes performance, capacity and throughput monitoring of individual application subsystems and major application performance; change management and coordination; development of functional enhancements or corrective application code; patch and version installation, configuration and testing; problem investigation, and resolution or escalation; upkeep of change records and performance statistics; and end user support.
Archive	The process of retaining the system records forever – No purging
Archived Voter Records	'Archived voter records' includes all data associated with the voter whose record has been archived, including document and signature images. SOS intends that such records may be removed from the active database of voters for performance purposes, but that they must be retained <i>permanently</i> in such a manner that they can be included in searches, viewed and/or restored to the active database of voters.
ARCP	Alternate Residence Confirmation Postcard (Elections Code §2224)
Ballot Style	A unique combination of contests that define a particular ballot, making it unique from all other ballots within the jurisdiction. (A unique ballot style may be used by more than one precinct. Similarly, in a Primary Election there may be more than one ballot style associated with a particular precinct to accommodate the various partisan voters.)
Calvoter	Calvoter Statewide Voter Registration and Election Management System, the current SOS system and application used to collect and compile voter registration data from all 58 counties.
CAN	Change of Address Notification

TERM/ACRONYM	DEFINITION
Canvass	The public process of processing and tallying all ballots received in an election, including, but not limited to, provisional ballots and vote-by-mail ballots. The canvass also includes the process of reconciling ballots, attempting to prohibit duplicate voting by vote-by-mail and provisional voters, and performance of random auditing to verify the integrity of the vote results.
CASS	U.S. Postal Service Coding Accuracy Support System
CDCR	California Department of Corrections and Rehabilitation
CDPH	California Department of Public Health
COA	Change of Address
COEMS	DTS Gold Camp Campus co-location facility Customer-owned Equipment Managed Service
Confidence Level of Match	A value assigned to matching criteria for a particular matching process to approximate the likelihood that the match is valid.
Confidential Voters	Those voters who register under the provisions of EC §2166, 2166.5 & 2166.7, for whom parts of their voter registration data is confidential and may not be publicly released, and may only be displayed or printed for authorized VoteCal users with appropriate privileges.
COTS	Commercial-off-the-Shelf
CVRDB	The core database application for the Calvoter system. The CVRDB is a proprietary database application owned and licensed by Election Systems & Software (ES&S).
DBMS	Database Management System (e.g. Oracle, Sybase)
Defense in-depth	Also called in-depth security, the principle of using a layered approach to network security to provide even better protection for your computer or network. In-depth security uses layers of different types of protection from different vendors to provide substantially better protection. (See link article for additional information)
Deliverable Expectation Document	A Deliverable Expectation Document (DED) describes the contractor's proposed approach to preparing a deliverable, including the methodology, format, content and level of detail. This document is prepared by the contractor prior to beginning work on the deliverable and must be approved by the project.
Development Environment	A separate technical environment for use by multiple developers to write and develop code.
DFM Associates	Vendor that developed, licenses and supports EIMS, a county election management and voter registration system.
DGS	Department of General Services
DGSPD	Department of General Services Procurement Division

TERM/ACRONYM	DEFINITION
Disaster Recovery	Disaster recovery is the process, policies and procedures related to preparing for recovery or continuation of technology infrastructure critical to an organization after a natural or human-induced disaster. Disaster recovery is a subset of business continuity. While business continuity involves planning for keeping all aspects of a business functioning in the midst of disruptive events, disaster recovery focuses on the IT or technology systems that support business functions. The California CIO defines all recovery planning under the definition of Operational Recovery Planning in SAM section 4843.
DHCP	Dynamic Host Configuration Protocol software that automatically assigns IP addresses to client stations logging onto a TCP/IP network.
Diversity of design	Design Diversity is defined as the approach in which the hardware and software elements that constitute a system are not copied, but are independently designed to meet the system requirement. The ability of a system to continue the correct delivery of its service even in the case of error conditions or intrusions is of utmost importance for critical applications such as VoteCal.
DIMS	Vendor that developed, licenses and supports DIMS-NeT, a county election management and voter registration system.
DL/ID or DL#	DMV-issued California Identification Card number or California driver's license number.
DMV	Department of Motor Vehicles
DOB	Date of birth
Domicile County	The county in which a voter resides and is legally entitled to vote based on the voter's legal residence address.
E-60	60 th day prior to the scheduled election
EC	Election Code
EIMS	Election Information Management System – the proprietary county election management and voter registration system developed, licensed and supported by DFM Associates.
Election Certification	At the conclusion of the Official Canvass, each county certifies the vote results for that county's election and that the election was conducted in accordance with law. Once each county has certified its election, the Secretary of State certifies the election results for State and Federal offices.
Election Period	The time period that includes all calendar days that fall between 75 calendar days prior to an election for state or federal office and 40 calendar days after that same election, inclusive.
EMS	Election Management System
ES&S	Election Systems and Software - Vendor that developed, licenses and supports LEMS, a county election management and voter registration system.
Exact match	Matches where all data in each criteria field are identical between matching records.

TERM/ACRONYM	DEFINITION
Executive Steering Committee	The SOS governance organization that acts as the decision making body for VoteCal.
External Stakeholders	Legislature, judicial districts, other state and local governmental agencies interested in voter registration information
EZA	Enterprise Zone Act
GCDC	Department of Technology Services Gold Camp Campus (formerly known as Teale Data Center)
GUI	Graphical User Interface
HAVA	Help America Vote Act of 2002
Home Precinct	The base precinct to which a voter is assigned such that all voters within that precinct are resident within the same political districts.
Intrusion Detection System (IDS)	An IDS (Intrusion Detection System) is a device or application used to inspect all network traffic and alert the user or administrator when there has been unauthorized attempts or access. The two primary methods of monitoring are signature-based and anomaly-based. Depending on the device or application used, the IDS can either simply alert the user or administrator or it could be set up to block specific traffic or automatically respond in some way.
IDV	Verification process used by DMV.
IE	Internet Explorer
IFB	Invitation for Bid
Integrated Project Schedule	An integrated project schedule reflects project tasks, durations, dependencies, and resources assigned for project tasks involving the vendor and SOS team. It will also show milestones for deliverables expected from external entities (vendors, other state agencies, local registrars, etc.). It provides a comprehensive view of what will occur, when, who is expected to do it, and how tasks relate to one another.
Interactive	Allows user to view and modify data in the VoteCal database directly on a real time basis.
IPOC	Independent Project Oversight Consultant
ITD	Information Technology Division (of SOS)
IEEE	Institute of Electrical and Electronics Engineers
Issue	A situation, problem, or an activity that has happened or is happening at present which impacts upon the approved Project Plan.
IV&V	Independent Verification and Validation
Jury Wheel	An extract of selected voters within a district, based on a specified selection formula that is provided to the courts for selection of potential jurors.
JWE	Jury Wheel Extract
LAMBRA	Local Agency Military Base Recovery Area
LDAP	Lightweight directory access protocol

TERM/ACRONYM	DEFINITION
LEMS	Local Elections Management System - the proprietary county election management and voter registration system developed, licensed and supported by ES&S.
Level 1 Call	Initial problem report and intake. A solution problem of any severity reported to a Level One Help Desk, including those that may be immediately escalated to Level 2.
Level 1 Help Desk	Problem report intake; issue triage, initial analysis and intervention and/or escalation; solution navigation and customer care and end user support related to business functionality. May also include maintenance of ticket status, problem diagnostic information, reporting, and user change coordination.
Level 2	Advanced Application and Technical Support. Intake of problems escalated as irresolvable from Level 1; additional problem diagnostics and analysis; application of monitoring, probe and other technical investigatory techniques; problem triage, intervention and/or resolution; coordination of problem response across expertise types (e.g., network, systems, database, application); problem referral and escalation; and problem documentation, tracking and reporting. Once a problem is escalated, Level 2 is responsible for problem coordination among all levels and for reporting status to Level 1, and operational management.
Level 3 and above	Technical Support – Expert Engineering Level. Intake of problems escalated from Level 2; additional problem diagnostics, analysis and correction requiring specialized expertise or access.
List Maintenance	In VoteCal, the process of verifying data for registered voters so that (a) address and other data is current and accurate and (b) the registration rolls are cleared of persons who are no longer eligible to vote.
Logical Architecture	Defines the processes (the activities and functions) that are required to provide the required services, which can be implemented via software, hardware, or firmware. The Logical Architecture is independent of technologies and implementations.
Mail-ballot voters	Voters who reside in a precinct that has been designated “all mail ballot”, for which there is no polling place to vote on Election Day and who must cast their ballot by mail.
Maintenance and Operations (M&O)	Operational and technical support services required for information technology environments. Includes performance, capacity and throughput monitoring; firmware patch and version installation, configuration and testing; change control and coordination; troubleshooting; problem resolution and escalation; routine cleaning and adjustment; replacement of expendables; upkeep of maintenance and repair records; and upkeep of inventory status, aging and system health statistics.
Major Qualified Political Party	Democratic and Republican parties

TERM/ACRONYM	DEFINITION
Matching criteria	The designated set of fields and the designated rules for matching data within those fields to match and identify potential duplicate voter registration records and to match data from other sources (e.g., NCOA change of address data, DMV COA data, CDCR felon data, etc) against existing registration data.
Minor Qualified Political Party	Political parties that have qualified to participate in primary elections and appear on the ballot, in accordance with EC §5100.
MOTS	Modified-off-the-Shelf
MPSR	Monthly Project Status Report
NCOA	National Change of Address
NVRA	National Voter Registration Act
OCIO	The Office of the State Chief Information Officer
Operational Recovery Planning	The management approved document that defines the resources, actions, tasks and data required to manage the technology recovery effort. Usually refers to the technology recovery effort. This is a component of the Business Continuity Management Program.
Orphan Precinct	A precinct that is not assigned to the required political districts, including US Congressional, State Senate, State Assembly, Board of Equalization, county Supervisorial and municipality/unincorporated area districts.
OSDS	Office of Small Business and DVBE Services
OTech	Office of Technology Services
Parallel Environment	A separately managed environment that replicates the production application for the pilot counties as they are run in parallel with the old system prior to acceptance.
Parties Attempting to Qualify	Parties that have declared their intention to become a qualified political party by getting the required number registered members by the E-135 day close prior to a statewide primary election in accordance with the provisions of EC §5100
Partner Agencies	DMV, DHSCDPH , CDCR , EDD
Pending	Voters with a pending status are ineligible to vote and can only vote provisionally. A voter is assigned a pending status when there is insufficient registration information.
Platform Software	Commercially available software products (including operating system, database management, message switching, backup/restore, security, performance monitoring, troubleshooting, source code compilers, and run-time libraries, debuggers, and storage management tools utilities, and any other system component which is commercially available through multiple resellers and that has not been modified for use in the VoteCal system) for which user configuration is within manufacturer's available setting options. See also Application System Software.
Production Environment	The final host environment for the solution application and required platform software.
Program Team	Members of the SOS team and members of the county staff.

TERM/ACRONYM	DEFINITION
PMI	Project Management Institute
PMBOK	Project Management Institute Body of Knowledge
PMP ®	Project Management Professional certification
PMP	As defined in the <i>PMBOK Guide Third Edition</i> , the Project Management Plan (PMP) is a formal, approved document that defines how the project is executed, monitored and controlled. It may be summary or detailed and may be composed of one or more subsidiary management plans and other planning documents. The objective of a project management plan is to define the approach to be used by the Project team to deliver the intended project management scope of the project.
Political district	A specified geographical area, within which all residents are eligible to vote for elected offices and ballot measures for that political district
PRCP	Pre-election Residency Confirmation Postcard (EC §2220)
Provisional Ballot	Ballot cast by a voter at the Polling Place when the voter does not appear on the Roster.
PVBMV	Permanent Vote-by-Mail Voter
PVRDR	Public Voter Registration Data Requests – Requests by legally qualified parties for voter registration data.
Qualified Political Party	Political parties that have qualified to appear on the ballot and who have qualified to participate in primary elections, in accordance with the provisions of EC §5100
RCP	Residence Confirmation Postcard (EC §2224)
Report of Registration	The statistical report of voter registration in California broken down by political party affiliation and political districts on specific dates in accordance with EC §2187.
Re-registration	As used in the RFP, refers to all entry and processing of a voter registration affidavit that is submitted by a voter that is currently or has previously been registered to vote and for whom there is an existing record in VoteCal.
Risk	From the Master Issues List: Something that may happen and if it does, will have a positive or negative impact on the project.
Routine Transaction	
ROR	Report of Registration
SDD	Software Design Description
Sequoia Pacific	Vendor that developed, licenses, and supports Integrity, a county election management and voter registration system.
Severity One Problem	Problems that (a) prevent use of functionality required in the VoteCal RFP, Section VI, and for which no SOS-approved workaround has been identified that does not impact workflow unacceptably; and (b) security vulnerabilities identified by the State or SOS Information Security Officers or by the Platform product manufacturer.

TERM/ACRONYM	DEFINITION
Severity Two Problem	Any problem that prevents use of functionality required by the VoteCal RFP, Section VI, for which a SOS-approved manual or automated workaround has been identified.
Signatures in Lieu	Petition signatures gathered and submitted in support of a candidate as a substitute for all or part of the filing fees required as a candidate for that office. (EC §8061 and 8062)
Single exact match	An exact match of all fields in the matching criteria set to one and only one voter registration record.
Smart Names	A matching criteria for voter first names that recognizes common variants on that first name – e.g., Robert=Bob, Rob, Robby, Bobby, etc.
Software Support	See Application System Support.
SOS	California Office of the Secretary of State
Soundex	A phonetic algorithm for matching names based on phonetic pronunciation in English.
SRS	Software Requirements Specifications (document)
SSA	Social Security Administration
SSL	Secure Socket Layer
SSN	Social Security Number
SSN4	Last 4 digits of a person's social security number
System Administrator	An elections program employee of the California Secretary of State with appropriate administrative permissions to the VoteCal system to add or remove system users; reset access passwords; update elections records data; define and schedule reports; change the text associated with standard notices; set configuration parameters; and other appropriate administrative activities for the daily business operations of the VoteCal system.
Server Hardening	In a general sense, hardening is the process of securing a computer, system, network or application. More specifically, hardening is the removal or disabling of all components in a computer system that are not necessary to its principal function or functions. By reducing the purposes for which a system is used, the system is rendered less vulnerable to outside attack by hackers or other intruders. General hardening steps include limiting the number of users allowed to access a system tightening authentication and authorization and access control, and installing basic intrusion-detection/prevention software.
Staging Environment	A preproduction environment that replicates the production environment to stage new application releases prior to migration to the production environment.
Supplemental Roster	Polling place indices or rosters printed subsequent to the initial polling place roster to include voters whose registration was accepted after the printing of the initial roster.

TERM/ACRONYM	DEFINITION
System	For this contract, there are two “systems”: the VoteCal Statewide Voter Registration System. The constellation of configured and integrated hardware, platform and application system software that constitutes the full satisfaction of specified business and technical requirements.
TACPA	Target Area Contract Preference Act
TCP/IP	Transmission Control Protocol/Internet Protocol
Test Environment	A separately managed environment appropriate for unit, systems and stress testing of the developed solution and its interfaces.
Tier	A group of counties whose numbers of registered voters falls into a specified range.
Training Development Environment	A technical environment for the development of training modules relevant to end user and system administrator experience with the developed solution and solution technical environments.
Training Environment	An independent technical environment established to facilitate instruction in solution features and navigation.
Transactional Basis	As used in the RFP, is meant to indicate cases where the data processing interaction between VoteCal and an external system (e.g., an EMS, DMV system, etc.) is on a record-by-record basis, as opposed to a batch-based sharing of files.
UDEL	Uniform District Election Law – provides rules for the consolidating and conducting multiple local elections into a single election within a county. EC Division 10, Part 4)
UID	Unique Identifier
Unique Identifier	Unique number assigned by VoteCal to a registered voter as required by HAVA, based on the verified DL/ID, if available; or the verified SSN4 if available and the DL/ID is not verified; or a unique number assigned to the voter if neither a verified DL/ID nor SSN4 is available.
UOCAVA	Uniformed and Overseas Citizens Absentee Voting Act
USDOJ	United States Department of Justice
USPS	United States Postal Service
VIG	State Voter Information Guide (also known as the Statewide Ballot Pamphlet)
VNC	Voter notification card – sent to a registered voter upon acceptance of new or updated registration, in accordance with EC §2155.
Voter Activity History	The collection of data, with respect to a specific voter, of actions taken, modifications made to the voter registration data, notices sent to voter, voter contacts made, notices received from voter, etc.
Voter Participation History	With respect to a specific voter, the data of which elections in which the voter has participated and how the voter participated (e.g., vote-by-mail, precinct voting, provisional ballot, etc.)
Voting Precinct	The geographical based area to which voters are assigned to vote for a specific election.

TERM/ACRONYM	DEFINITION
Voter Registration Data	Includes all data in the voter's registration record, the voter's activity history, the voter's participation history, and all document images associated with the voter.
W3C	World Wide Web Consortium
WAN	Wide-area network
WCAG	Web Content Accessibility Guidelines