
SECTION IV - PROPOSED SYSTEM AND BUSINESS PROCESSES

A. INTRODUCTION

Traditionally, this section of the Request for Proposal (RFP) document includes a description of the proposed VoteCal System. The State has chosen not to describe the type of system to be proposed, but instead has elected to provide a description of the business processes (and associated activities) and business requirements that the system will support. Each Bidder should review the business processes and develop its own system solution to satisfy the stated business processes and requirements.

The business functional requirements are documented in Section VI - Project Management, Business, and Technical Requirements while the business processes are defined in this section as the Business Model. The Bidder's proposed solution will support all of the processes described in this Business Model and meet the business requirements contained in Section VI – Project Management, Business, and Technical Requirements. Consideration should also be given to the information provided in Section III – Current Systems and Opportunities when developing a solution.

B. VOTECAL PROJECT SCOPE

At minimum, the State requires a voter registration database that is fully compliant with all applicable federal and state laws and regulations. The Secretary of State (SOS) will not limit proposals to a particular architecture, nor to specific component products, except to the extent that the capabilities and limitations of certain architectures or products affect the ability to meet the legal requirements.

However, it is critically important that government maintain complete and transparent control over the election process, including voter registration. As set forth in Attachment 1 - Statement of Work, SOS requires that, upon VoteCal System Acceptance by SOS, the SOS obtains: (i) all right, title and interest in and to the VoteCal System Software; and, (ii) the specific licensing rights described for any Contractor Commercial Proprietary Software, and other Pre-Existing Materials included within the VoteCal System.

The major factors driving the Help America Vote Act (HAVA) solution are the specific compliance requirements, as understood by the State of California. In particular, the requirements for a uniform and centralized database to serve as the official list preclude solutions where information in county systems are simply exported to a central database subsequent to data entry. Likewise, the desire to minimize disruption to county business processes discounts an approach that requires initially replacing all existing election management systems (EMS').

The VoteCal System will incorporate three major functional components as described in Table IV.1 below:

Table IV.1 – Major Functional Components of the VoteCal System

Component	Description
1	Central VoteCal System
2	Interface to External State Agencies
3	VoteCal Integration with Election Management Systems

- **Central VoteCal System** – This functional component represents the primary voter registration- and database-related functionality and processing that will operate centrally at the State and will serve as the single, official statewide database of voter registration information. Additions or changes to voter registration (VR) records will be captured as they are entered by county election workers. This functional component will include assigning unique identifiers, detecting duplicate VR records and detecting other types of validation errors. This component will also include a user interface to enable SOS team to configure and manage the VoteCal System. The central VoteCal System functional component will be architected and implemented for security appropriate to the sensitivity and privacy of the data. The VoteCal System’s database will provide complete logging and auditing capabilities, so that all changes to database content are recorded and traceable to the user or function that made the change;

- **Interface to External State Agencies** – This functional component of the VoteCal System includes interfaces to external State organizations, including California Department of Motor Vehicles (DMV), California Department of Public Health (CDPH), California Department of Corrections and Rehabilitation (CDCR), and Employment Development Department (EDD) for National Change of Address (NCOA) for voter registration identification and list maintenance purposes. These will be on-line or batch interfaces depending on the business function. SOS has previously established an interface with DMV (and through DMV, the Social Security Administration [SSA]) for identification verification using XML/SOAP; SOS expects the Contractor to use the existing DMV interface;

The SOS has established the CDPH, CDCR, DMV, National Voter Registration Act (NVRA), and NCOA interfaces to receive batch files provided by these external agencies. These existing interfaces may be replaced with interactive solutions if the Contractor assumes responsibility for all required changes at SOS as well as the external agency sides of the interface; and

- **VoteCal Integration with EMS** – After the VoteCal System is implemented, county workers will continue to perform most routine data entry and update functions for the processing of voter registration. The existing EMS will either be remediated or replaced to ensure that county users interact directly with VoteCal for all additions and updates to VR information. (The SOS will enter into separate contracts with EMS vendors to remediate their systems but the Contractor must work with the EMS vendors to ensure a successful interface with VoteCal.) VR information may make use of the remediated screens in the EMS’, but record updates will be applied directly to the VoteCal database. This will create an information flow wherein any change (i.e., add, change, or deletion) to VR information will be applied directly to the VoteCal System’s database.

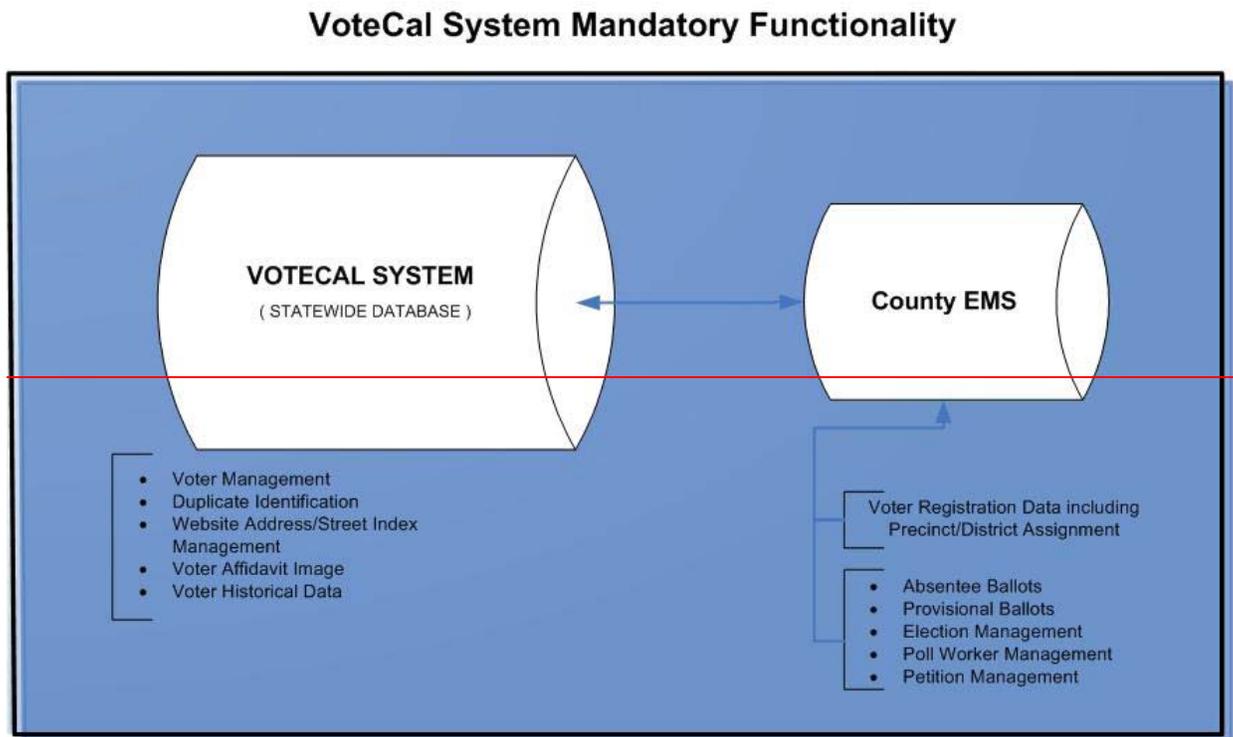
The EMS will obtain VR information from the VoteCal System as the exclusive source. Election management systems that require VR information to be stored locally to operate will be remediated to ensure that all VR information is derived from the VoteCal System. The functional component of the VoteCal System related to integration with the remediated EMS in counties includes delivering updated VR and related information to the EMS and receiving all VR updates made via EMS and applying those to the VoteCal System’s database.

Middleware or other suitable technology may be used to facilitate connectivity between EMS' and VoteCal and to support distribution over a wide area network.

~~Figure IV.1 below illustrates the SOS VoteCal System scope.~~ The complete system will be designed and implemented to ensure a high level of availability, and the ability to handle anticipated workloads during periods of peak system usage. County users will need to adapt business processes to use common data definitions and code tables established by the State for VR information. County business processes will also be adapted to deal with exceptions that result from changes to VR information that are initiated within the VoteCal database (e.g., assignment of unique number, detection of ineligible voter).

Business processes at the SOS can be adapted to accommodate the new VoteCal System and database as well as additional data and business process analysis and oversight. The State will eventually support the new integration technologies introduced as a result of this project.

Figure IV.1 – ~~Diagram of VoteCal Project Mandatory Functions~~ has been removed



C. VOTECAL PROJECT GOALS AND OBJECTIVES

The target goals and objectives for the project's business solution are to ensure that the State's business needs are met and that the HAVA statutory and operational responsibilities and requirements are achieved. The solution must include the following characteristics:

- Serve as the single system for storing and managing the official list of registered voters throughout the State;
- Contain the name and registration information of every legally registered voter in the State;
- Contain a unique identifier for each legally registered voter in the State;
- Coordinate with other agency databases within the State (DMV, CDPH, EDD, and CDCR);
- Allow any election official in the State, including any local election official, immediate electronic access to information in the statewide voter registration system;
- Store in the VoteCal System on an expedited basis at the time the information is input all voter registration information input by any local election official's staff; and
- Serve as the source for the official voter registration list for the conduct of all elections for federal office in the State conducted under the California Elections Code.

The new VoteCal System will comply with HAVA general system requirements. In addition, vendors will be required to modify their EMS and county elections officials will modify their business processes in order to support this new system and maintain compliance with federal HAVA mandates.

The new VoteCal System will require immediate update of voter registration data in the central system as it is entered in by the county elections officials' staff, which will improve the currency of data in the statewide database. List maintenance activities will be standardized to improve data

accuracy as well. As new voter registration information is received by the VoteCal system, the system will automatically detect duplicate voters, and update existing records and combine duplicate records as appropriate, reducing the percentage of duplicate/inaccurate records and preserving a voter's historical record in the database as a voter moves from county to county.

The new VoteCal System will automate the duplicate check function, using the unique identifier assigned every voter to detect duplicate records within the database whenever new data is entered. This functionality will standardize the reduction of duplicate records from the system and improve data integrity.

D. BUSINESS BENEFITS

SOS has identified strategic benefits that can potentially be achieved through implementation of the VoteCal Solution. They are:

- Provide flexibility to implement legal and business improvements; and
- Improve timeliness, accuracy, and availability of data.

The new business solution will support the business process as discussed in this section as well as meet the technical and business requirements in Section VI – Project Management, Business and Technical Requirements.

Section III.B – Business Program, Functions and Background contains a description of the business processes and functions that the proposed solution will address. Additionally, the proposed solution must meet all of the HAVA requirements. (Refer to the Bidder's Library for a complete list of HAVA requirements. These are also included in Section VI – Project Management, Business, and Technical Requirements.) In summary, the VoteCal Solution will:

- Implement a Single, Uniform, Official, Centralized, Interactive, Computerized List — HAVA Section 303(a)(1)(A) requires that the State (through SOS) implement a computerized statewide voter registration list that is: single, uniform, official, centralized, interactive, defined, maintained and administered at the State level, and contains the name and registration information of every legally registered voter in the State (Legally registered includes inactive registrants);
- Provide for Data Accuracy and Timeliness — HAVA Sections 303(a)(2)(A) and 303(a)(4) requires the system to include provisions to ensure voter registration records are accurate and updated regularly. List maintenance shall be performed by “the appropriate State or local election official,” in accordance with National Voter Registration Act (NVRA) provisions;
- Facilitate Removing of Ineligible Voters from the List — HAVA Sections 303(a)(4)(A) and 303(a)(2)(A)(ii) require reasonable effort be made to remove ineligible voters from the voter registration list. For removing ineligible voters from the list, the State shall coordinate with DMV for address changes, CDPH for death notification and CDCR for felony status;
- Eliminate Duplicate Records and Ensure Data Integrity — HAVA Section 303(a)(2)(B) requires that list maintenance be conducted in a manner that insures all legally registered voters are in the computerized list; only voters not legally registered or not eligible to vote are removed from the list; and duplicate names are eliminated from the list. In addition, HAVA Section 303(a)(4) requires the State to employ safeguards to ensure legally qualified voters are not removed in error. List maintenance activities are to be conducted in accordance with HAVA provisions; and
- Assign a Unique Identifier — HAVA Sections 303(a)(5)(A)(i) through (iii) require all new (and renewing) registrants to provide their California driver's license number (CDL). If they have no CDL, they will provide the last four digits of their Social Security Number (SSN) (SSN4). If they have neither CDL nor SSN, the system will assign them a unique identifier to use as a

voter registration ID number. No registration is valid unless/until the State verifies or assigns these ID numbers.

E. PROPOSED VOTECAL SYSTEM FUNCTIONALITY AND CONSTRAINTS

The SOS vision for voter registration functionality is described in this section.

1. Background

The SOS is interested in meeting the HAVA Voter Registration Database (VRDB) requirement with an approach that features a functional centralized voter registration system. Counties will participate using a modified (remediated) version of their EMS. As this is a solution-based procurement, the SOS requires proposals to achieve business outcomes and not define the technical solution. However, the SOS will indicate when it prefers conformance to certain technical standards, protocols and architectures that it believes will help the system to work with other State environments.

2. Role of Election Management Systems

HAVA requires that SOS establish and maintain a single, statewide automated voter registration database that serves as the statewide voter registration list. However, most voter registration activities are and will remain the responsibility of county elections officials. The county elections officials currently maintain voter registration databases that are usually part of a more comprehensive EMS. In addition to voter registration, these systems provide functions that are inherently local including managing all aspects of an election. These functions (e.g., managing and verifying the eligibility of polling place workers) will not be included in VoteCal. These EMS' vary in functionality, complexity and overall robustness as the county voting populations vary from less than one thousand to several million.

Since January 2006, SOS has achieved interim compliance with the HAVA voter registration requirement using a central database that accepts periodic uploads of data from each county system.

SOS will require that the interface between the new centralized database and the EMS be extended beyond the current interim system by requiring the new VoteCal System to upload new data such as voter registration card (VRC) images. Furthermore, the system must synchronize updates on an individual-record basis so that updates are not completed until a positive response has been received from the central database specifying the unique identification number (UID) to be used for the new registration. Any potential duplicate records for the same voter in the VoteCal System must be identified for resolution as part of the process.

3. EMS Support

The VoteCal System's central database will provide support for data transfer and synchronization so that all records in the central database are fully standardized. The system will accept individual record add and update transactions from each EMS, and provide near-real-time response to the EMS that the record was either accepted and loaded to the database, rejected for failure to meet data standards or verification requirements, or accepted with the requirement that the county address certain deficiencies in the record.

Any fatal or informational deficiencies found in the transactions will be clearly indicated to the county in the response sent to the EMS. Additionally, the system will be able to apply voter registration changes that do not originate within the county (e.g., re-registrations in another county) and notify the EMS of such changes for automatic update in the EMS or for county review and confirmation or denial as appropriate, based on the confidence of the source transaction.

County elections officials' staff will access VoteCal through their EMS. The user interface to the VoteCal System will be implemented in a manner to automatically ensure that users are always accessing the most current approved version of software code.

The VoteCal System will be used to extract registration data for polling place rosters and supplemental rosters. The VoteCal System will accept and apply to voting participation histories relevant data received from the EMS' after each election.

The EMS' will be required to upload VRC and signature images for each registration record added or updated, in the format in which they are currently stored at the county; the system will convert those images as necessary.

Currently, three (3) different EMS products are in use by the fifty-eight (58) counties; however, over ninety-eight percent (98%) of the State's registered voters reside in counties supported by an EMS from either DIMS or DFM. The System Integration Contractor will be required to develop a standard interface for communication with the EMS' and to develop or modify all relevant data standards and specifications for use with the new central database. County elections officials will be required to adopt and maintain an EMS that is compliant with these standards and specifications. The Contractor will not be responsible for the compliance of the EMS', but will be responsible for ensuring that its system and interfaces conform to the published specifications and documentation accepted by SOS and for acceptance testing of the interface with the county elections officials' staff and EMS contractors.

4. VoteCal System Processing and Functionality

(a) Unique Identifier (UID)

The VoteCal System will assign a UID for each new registered voter, and verify and assign a corrected UID for each re-registered voter if the existing UID does not comply with specified rules. The UID will normally be the California Drivers License (CDL) or the California Identification Card (ID) number, known collectively as the CDL/ID. Under specified circumstances, the UID may be instead derived from name, date of birth (DOB), and SSN4.

Before either a CDL/ID or SSN4 may be used in the UID, those numbers will be checked against the DMV and/or the SSA identity validation system. This is an existing system, providing a real-time interactive interface based upon XML. All business rules for matching against the DMV and SSA records are implemented in the DMV/SSA identity validation system. The VoteCal System will generate a properly formatted query to the DMV/SSA identity validation system for each new or updated voter registration. The VoteCal System will accept and appropriately assign the UID based upon the response from DMV/SSA, which will indicate whether a voter-provided or found CDL/ID or voter-provided SSN4 is to be used in the UID or that the VoteCal System must generate a UID if neither the CDL/ID nor SSN4 is available.

The algorithm for generation of a UID that is not based on the CDL/ID will be such that the registered voter can be identified as the same person when the voter re-registers, without requiring that the voter knows or provides that UID. The SOS will confer with the Contractor in the creation of this algorithm before implementation begins.

Only one valid voter registration record may be assigned any UID. During registration update or when a new registration appears to require the assignment of an existing UID to a new voter registration record, the VoteCal System will recognize only one such record as valid, and will provide appropriate notifications to help county elections officials and SOS ensure that all such duplicates are resolved in a timely manner.

(b) Voter Identity Matching

The VoteCal System will receive information from a variety of sources, including new or updated voter registration data transmitted by counties based on data it receives; DMV address updates and new registrations; EDD NCOA files; CDPH death notifications; and CDCR felon files. Each of these sources will contain different combinations of voter identification information (e.g., name, address, DOB, CDL/ID, gender, SSN4) and each source will vary in the reliability of the information.

The VoteCal System will provide a highly accurate method of determining when the person described by the external information source matches an existing registered voter. The VoteCal System will also provide the ability to identify existing voter registration records that may be for the same person even though they have been assigned different UIDs.

Bidder proposals must address this functionality, but anticipates that the process may operate in the following manner:

- For each data value (e.g., first name, DOB, address), SOS administrators will have the ability to specify one or more matching criteria (e.g., first four characters match, all characters match exactly, all characters match exactly with one pair of characters transposed, etc.); and
- SOS will assign a confidence level to groups of matching criteria (e.g., first name, last name and date of birth). SOS will then assign a threshold confidence level required for automatic and manual match processing for each identity matching function, (e.g., searching for an existing registration records when processing a new VRC, matching death notices against existing registration records; and searching for potential duplicate registrations within the system). Matches that meet the automatic confidence threshold will be processed without further operator action (although a method will be provided to review and reverse such automatic actions). Matches that do not meet the automatic threshold but meet the manual threshold will be presented to the appropriate authorized county user for evaluation before application or rejection.

(c) County Registration Processing

When a new voter registration or re-registration is processed by the county, the record will be sent to the VoteCal System as an interactive transaction record from an EMS.

For all registration processing, VoteCal will send required notifications and confirmations to counties in the form of electronic notices to EMS.

The VoteCal System will provide the ability to compare information from a potential new registration to existing records, and present county elections officials' staff with a single high-confidence match (based on rules for the matching function as described in this Section IV.E.4.(b) – Voter Identity Matching), if available, list, in order of match confidence, so that the authorized county user may accept data from an-the existing record to pre-populate a data entry screen. If the re is not a single high-confidence "match" or if the user does not select a the "match," the user will type in all required data fields for a new record. Note that the user does not update an existing record in VoteCal.

For all new registrations and re-registration transactions, the CDL/ID or SSN4 will be verified with DMV/SSA and VoteCal will check for a-matchingan -existing record with the same UID in the database, applying the data to an existing record if a high-confidence match is achieved and creating a new record if no high-confidence match is found. If VoteCal finds no high-confidence match that meets the automatic threshold but yields potential matches that exceed the manual threshold, it will create a new registration record for the transaction but

also send electronic notice to the county(ies) for a determination of the validity of the match(es).

If an existing record is selected for update that causes the registration county to change, the prior county will be notified to either cancel the record within its EMS, or reject the update and work with the other county to resolve whether it is a new registrant or not.

The VoteCal System will attempt to match the new registration data to records in the cumulative data on felons who are ineligible to register to vote and cumulative data on deceased individuals. If a record match meeting the automatic (high-confidence) match threshold is found, the registration status will be cancelled in VoteCal System and notice sent to the new county and county with existing record, if any, that the registration is cancelled. Both counties will have the ability to review and request reversal of cancellation. If a record match meeting the manual match threshold is found, notice will be sent to the new and county with existing registration, if any, to review the record and either confirm or reject the match. If a confirmed match, the record(s) will be cancelled in VoteCal; if rejected, the new and existing records will be processed as if no match had been found. ~~Any rejected match will be noted on the record to prevent the same match from being automatically applied again.~~

The VoteCal System will also conduct a full search for records that are potential duplicates of each new registration record (in this search, potential matches can include records that differ from the new record in UID but match on other identity-relevant fields, such as name and date of birth). If a record match meeting the automatic (high-confidence) match threshold is found, VoteCal will merge the new record with the matching record and send a notice to the new county and county with existing record, if any, that the records were determined to represent the same individual. Both counties will have the ability to review and request reversal of the merge. If a record match meeting the manual match threshold is found, notice will be sent to the new and county with existing registration, if any, to review the record and either confirm or reject the match. If a confirmed match, the records will be merged in VoteCal; if rejected, the new and existing records will be processed as if no match had been found.

Any potential match or automatically applied match that is rejected by counties will be noted in the VoteCal system in order to prevent the same match from being proposed to counties or automatically applied again.

The VoteCal System will support receipt of new or updated registrations from DMV in either a file or interactive format. Processing will proceed as above, with all notifications sent to the appropriate counties and not to DMV.

(d) Confidential Records

The statewide database will house information for voters who have a right to have all of their personally identifiable data kept in confidence per law. (For example, law enforcement and victims of domestic violence.) The VoteCal system must provide secure support for confidential voter records, where portions of the voter's record, such as address and telephone number are confidential. SOS requires that confidentiality be implemented so that programs and users may access confidential data only with specific authority and with explicit direction. It is not acceptable to implement record confidentiality solely by applying a confidentiality attribute to the record; users and programs that are developed incorrectly or in ignorance of the confidentiality of a record should not be able to access or report confidential data.

(e) External Interfaces

The SOS requires that all custom interfaces be open and implemented using XML and Service Oriented Architecture principles, unless the interface partner (i.e., DMV, CDPH, CDCR and EDD) is unable to support XML.

The interface to DMV for CDL verification, and through DMV to the SSA for SSN4 verification, has already been developed and implemented using XML. DMV requires that only a single, SOS source use this interface. SOS currently provides, and the Bidder will replace, a service to accept verification transactions from the EMS' and to route those transactions to DMV and correctly process the responses. This service will be implemented using secured communications with each EMS. The service will also maintain detailed logs of each verification attempted and the result received, with the ability to search and view specific transaction records.

The CDCR currently provides a monthly file of persons who have become ineligible to vote because they are incarcerated or paroled felons, and of those persons who have regained their eligibility at the completion of their sentence. The VoteCal System will accept and apply this information, and store cumulative felon data.

The CDPH currently provides a periodic electronic list of California residents who have died since the last report. The VoteCal System will accept and accumulate this information for processing, maintaining cumulative data on deaths of California residents for list maintenance purposes.

The system will include a service to compare the mailing addresses of registered voters to United States Postal Service (USPS) NCOA data currently received from EDD. All registered voters will be checked against NCOA updates at least once each month. Depending on the confidence level established by SOS for such matching, the system will automatically apply the match and notify the appropriate county, or shall generate a notice to the county of the potential match for review and resolution by county officials.

The central database system will also provide a mechanism for State administrators to monitor any unresolved felon, death and NCOA transactions sent to the counties for review and resolution.

(f) The VoteCal System List Maintenance

The VoteCal System will provide the ability for SOS administrators to initiate a process to compare new or all CDCR felon records and CDPH deceased records against all existing voter registration records. The VoteCal System will automatically cancel records, and send notice to the county when the automatic match threshold has been met. The VoteCal System will send a list of registrations in each county that meet the manual match threshold to the county so that the county may view the match and match confidence level. The county will have the ability to process the list so that each match is either accepted or rejected. If a match is accepted, the voter status will be changed in the VoteCal System and notice sent to the county; if the match is rejected, the record will be updated in the VoteCal System so that the match on those same criteria can be bypassed in future checks.

The VoteCal System will provide the ability to search for duplicate voter registration records within the system's database. The process will allow the SOS administrator to trigger the process, set the match threshold for that process, and select whether to include or exclude records with validated UIDs. The VoteCal System will send a list of registrations in each county that meet the match threshold to the county with the earlier registration date for each match so that the county may view the match and match confidence level. The county will have the ability to process the list so that each match is either accepted or rejected. If a match is accepted, the records will be merged into the record with the latest registration date (although if the record with the earlier registration data contains voting activity after the later

registration date, the match will be suspended and an electronic notice sent to both counties' EMS').

(g) Department of Motor Vehicles

The VoteCal System will be designed to accept voter registration data from DMV using an XML service-point-based interface. This interface will be designed to include all voter registration data as entered on a standard VRC, plus an image of the VRC and a digitized signature. The system will attempt to match registration data against existing voter registration records and to attempt to apply such registration changes based on the general established business rules for processing new registrations and re-registrations. Based on SOS established confidence levels for such matching, the system shall either automatically apply such registration transactions and send notices to the appropriate counties of the registration update, or the system shall send notice of the potential registration transaction for county review and resolution.

(h) Public Website

The VoteCal System will provide a public website that allows voters to register online, and verify the status of their voter registration, including political party affiliation and whether they are a permanent vote-by-mail voter. The system will be configured to establish a secure session with the user, request identifying information, and to report the registration status and county for that voter. The VoteCal System will also provide election-related information that is of interest and use to the voter such as status of a submitted vote-by-mail ballot or provisional ballot. The system will not respond with any private or identifying information.

The public website shall be designed for full accessibility, and will comply at minimum with W3C Level 2 and relevant Americans with Disabilities Act (ADA) guidelines, as well as VRA language requirements.

(i) Images

SOS requires that the system be able to capture and store VRC images and support search and immediate retrieval all such VRC images. VoteCal will import, converting as necessary, all existing VRC images at all counties.

In addition to existing images, county elections officials' staff will upload the VRC image for all VRCs received on an on-going basis after system implementation.

5. VoteCal Implementation Services and Technical and Support Considerations

(a) Availability

The SOS requires that the complete system, including all services provided to counties through the secure delivery of application and system data to the county demarcation, be designed to be available to county and state staff for periods of time as specified in the requirements.

(b) Security

Data will be encrypted whenever stored in non-volatile memory and whenever in transit between system components or through facilities not contracted directly to SOS. Direct user access to the system will require single sign on authentication.

All access will be controlled so that users and administrators are assigned roles, and that the roles are associated with the rights and access privileges necessary for that role, with sufficient granularity that no user is assigned rights that the user does not need.

All backup copies of data, including images, will be encrypted. SOS requires that backups be taken to spinning hard disk storage, and not to media intended to be portable.

All server components will be configured to the minimum level necessary for their function, with all unnecessary programs and services removed. All servers will otherwise be hardened to industry best practices and government standards, and delivered with procedures for server hardening after system upgrade or replacement.

(c) Usability

The voter registration system will be able to support periods of very high workload as during the close of registration before a major election. During those periods, many counties rely on temporary workers or workers redirected from other tasks thereby increasing the number of concurrent users.

(d) Implementation and Training

The SOS prefers that pilot testing of the system be conducted with selected counties throughout a live election. However, full implementation of the system must be completed by the contracted implementation date and thus if pilot testing cannot occur during a live election to meet the implementation date, then Bidder does not have to propose that in the Integrated Project Schedule.

The SOS requires that the Contractor train all SOS users of VoteCal (e.g., program staff, IT support staff, and help desk staff) and provide them with all necessary materials for use and support of the VoteCal System. Additionally, the Contractor will train county elections officials' staff on the business processes required of them to process voter registrations using VoteCal. The Contractor will provide training to SOS on the revised business rules and processes invoked by the VoteCal System. Additionally, the Contractor will train key SOS staff to provide ongoing user training during implementation and post system implementation. (The EMS vendors will also provide appropriate training to their county users on the actual modifications they make to their systems that enable those systems to interface with the VoteCal System.)

The Contractor will develop and provide support documentation to SOS team to provide help desk and remote technical support to county users on an ongoing basis.

(e) Maintenance and Operations

The completed VoteCal System ultimately will be operated and maintained by State personnel. To that end, upon VoteCal System Acceptance by SOS, the following shall transfer to SOS:

- All right, title and interest in and to the VoteCal System Software, including but not limited to the Source Code and Object Code (as described in Attachment 1 – Statement of Work, Section 12(b)2 - Transfer of Ownership); and,
- The license and rights specified in Attachment 1 – Statement of Work, Section 12(a)3 – License Grant for any Contractor Commercial Proprietary Software included in the VoteCal System (as described in Attachment 1 – Statement of Work, Section 12(a)5 - Transfer of Title and Licenses).

In addition, title for all Hardware and Equipment and licenses for all Third-Party Software comprising the VoteCal System are to be the property of the State and transferred into the State's name upon VoteCal System Acceptance by SOS, without the need for the State to buy new licenses, provided SOS has not exceeded its license capacity.

The initial one year Warranty Period and Maintenance and Operations Services will commence immediately after the Contractor has fully implemented and deployed the VoteCal System ~~is fully deployed to, implemented in, and certified infor~~ all counties, and the SOS Project Director gives approval to proceed based on decision criteria that include SOS

Acceptance of Deliverable VI.5 – VoteCal System Final Deployment Report (and not at the time of pilot). The Contractor may not be awarded a contract for further maintenance and operations of the VoteCal System unless all required documentation has been updated and delivered.

(f) Ongoing Software Support

Upon the conclusion of the initial one-year Warranty Period within Phase VII – First Year Operations and Close-out, the SOS, at its option, may choose to contract with the Contractor for one (1) five (5)-year contract of ongoing maintenance of the VoteCal System Application Software to include correction of software defects, as well as necessary modifications to accommodate updates to the code to accommodate version upgrades to Platform Software and Third-Party Software included as part of the bid.

(g) Data Center

The SOS intends to place primary server equipment at the SOS facility. If the current facility is insufficient (e.g., power, air conditioning supply), the Bidder must include those upgrades in its bid. (Please see Bidder's Library for current facility description.)

(h) VoteCal System Software Ownership

Because of the importance and sensitivity of the voter registration process, SOS requires that it obtain full ownership, use, access, and modification rights to all VoteCal System Software provided in response to this bid. All right, title and interest in and to the VoteCal System Software (including but not limited to the Source Code and Object Code) will transfer to the State upon VoteCal System Acceptance (see Attachment 1 – Statement of Work, paragraph 12(b)2 - Transfer of Ownership).

(i) Hardware Ownership

The SOS will own all hardware as set forth in Attachment 1, Exhibit 2 –Tasks and Deliverables upon VoteCal System Acceptance by SOS. The Bidder will identify in its Proposal all hardware components required for the system. The Bidder will be responsible for providing all hardware support to the level of service required in the Contract and attached statement of work (Attachment 1 – Statement of Work) through the end of Phase VII – First Year Operations and Close-out.

(j) Ongoing Hardware Support

Upon the conclusion of the initial one-year Warranty Period within Phase VII – First Year Operations and Close-out, the SOS, at its option, may choose to contract with the Contractor for up to five (5) one-year contracts for ongoing Hardware Maintenance.

(k) Software Licenses

Upon VoteCal System Acceptance by SOS, the Contractor will transfer to SOS all Software licenses provided for the VoteCal System, including Third Party Software and Contractor Commercial Proprietary Software, but excluding the VoteCal System Software since SOS will own this Software without SOS having to purchase new licenses, re-purchase any current licenses, or pay any transfer fees. The Bidder will identify in its proposal all Software components required for the VoteCal System.

(l) Third-Party Software and Hardware Currency and Maintenance

The operating system, database, security, networking, backup, scheduling, utility and other Third-Party Software and all Hardware proposed for the VoteCal System must be fully supported by the manufacturer at the time it is delivered and receives Acceptance. Further, the Contractor is responsible for maintaining manufacturer support from the time the Contract is awarded throughout the contracted Maintenance and Operations period. Any Software or

Hardware upgrades or other changes necessary to maintain manufacturer support will be made by the Contractor without additional cost to SOS.

(m) Network Environment

The SOS currently intends to use a private network for connectivity between the server facilities and the counties. However, all network traffic will be encrypted so that Internet facilities may be used at some point in the future.

No changes may be made to the SOS network during the period beginning sixty (60) calendar days prior to and ending thirty (30) calendar days after an election. (Refer to the document "Future Election Dates" in the Bidder's Library for information on future statewide, Uniform District Election Law (UDEL) and local elections.)

(n) Backup/Recovery

The SOS currently backs up production data and software to a dedicated disk library device located at its headquarters, with a duplicate copy on an identical disk library located at the State's data center known as Office of Technology Services (OTech). The SOS uses enterprise backup software for this purpose. The SOS uses the local copy for recovery from routine data or program corruption, and for recovery from system failures. The remote copy would be used to recover following an SOS headquarters disaster.

The SOS intends to avoid the use of removable, portable media such as tape cartridges or DVD-ROM for data backup because of the risk of loss of data containing sensitive and private information, the costs of maintaining the media, the performance of backup/restore operations, and the reliability of the physical systems.

All data and software will be backed up using a combination of periodic full and daily incremental copies so that no system event can result in the loss of more than two (2) hours of committed data. The proposal will identify all network requirements, and will include all components necessary to connect all new systems to standard Ethernet LANs.

(o) Retention of Historical Voter Data

The VoteCal System will include mechanisms to support retention, search and display of all historical data, including images, for every voter registration record.

(p) Audit Logs

Every action that changes the contents of the database in any way will be logged so that the date/time, unique user and program function that made the modification can be identified. Audit logs will be maintained in perpetuity, so a mechanism will be provided to periodically purge the audit log and archive the purged logs to offline storage.

(q) Access Control

All access to the system, for either administrators or end users, will be controlled by user ID and strong password authentication. Access control for users in the central environment shall be through a lightweight directory access protocol (LDAP) compatible directory.

6. County Support

Existing voter registration data in the EMS' will be formatted as required by the EMS vendors for the VoteCal System integration, and then uploaded into the system during the initial integration, pilot testing, and deployment of the VoteCal System. After initial integration, all further registration data additions and updates will occur on an individual transaction basis. Each EMS vendor will be allowed six (6) calendar months from their receipt of VoteCal specifications for the design, development and testing of an interface prior to integration testing with VoteCal.

If necessary, EMS will be required to enhance their audit functionality so that every change to every voter registration record, including when the change occurred, the exact change made, and the person or EMS component that made the change, is captured in a VoteCal audit record. The VoteCal System will provide a mechanism to consolidate, store, review, archive and purge these audit files.

County elections officials' staff will not be available for testing, development or other VoteCal deployment or support activities during the period beginning sixty (60) days prior to and ending thirty (30) days following a an election. Also, changes to EMS' and testing of EMS integration will not be conducted during these same periods. (Refer to the document "Future Election Dates" in the Bidder's Library for information on future statewide, Uniform District Election Law (UDEL) and local elections.)

7. Public Voter Registration Data Requests

Certain users, such as political parties and campaigns, researchers and journalists are authorized by statute to obtain lists of registered voters. The VoteCal System will produce voter registration data extracts in fulfillment of those requests.

In order to allow SOS to enforce the restrictions on use of voter registration data, the VoteCal System will include the ability to "salt" each data extract with unique, fictitious registration records, and to record which identifying data is in each data extract for use by SOS team.

SECTION V - ADMINISTRATIVE REQUIREMENTS

In addition to meeting all Requirements in Section VI – Project Management, Business and Technical Requirements of this Request for Proposal (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 Tables; 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 the requirements that Bidders are required to address in their Draft Proposal and must provide in their Final Proposal must also be addressed during the pre-qualification phase. Please see Section V.B – Bidder Pre-qualification for specific directions regarding the pre-qualification phase.

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 possesses 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 – Bidder Staff Resume for each staff proposed to fill the six (6) Key Staff 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. 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 Secretary of State (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 VoteCal System Acceptance by SOS.

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.

2. 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.

3. Notice to Subcontractors (If applicable)

Upon award to a Contractor, notice shall be given by Department of General Services (DGS) to the certified Disabled Veterans Business Enterprise (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.

4. Contractor Owned Software

As set forth in Attachment I - Statement of Work, SOS requires that, upon VoteCal System Acceptance by SOS, the SOS obtains: (i) all right, title and interest in and to the VoteCal System Software; and, (ii) the specific licensing rights described for any Contractor Commercial Proprietary Software, and other Pre-Existing Materials included within the VoteCal System.

5. 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, which can be found at:

<http://www.documents.dgs.ca.gov/pd/TAS/SICOTSSWGP071508.pdf>.

Contractor agrees to provide to the State this written acceptance and copies of the software licensing agreement(s) no later than SOS Acceptance of Deliverables VI.5 - VoteCal System Final Deployment Report and VI.7 - VoteCal Final Report for Phase VI (described in Attachment 1, Exhibit 2 – Tasks and Deliverables). Upon receipt, DGS will review the documents for approval. Software licensing terms and conditions provided by the Contractor which are not in conflict with any California Law or 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 VoteCal System Acceptance by SOS. Upon VoteCal System Acceptance and approval by DGS of licenses, the licenses shall transfer to the State, at no additional cost (provided SOS has not exceeded its license capacity for Third-Party Software), 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 transfer 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.

6. Confidentiality Statement (Mandatory) – 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.

The Bidder must submit a Confidentiality Statement (Exhibit V.1) 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. 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, upon Contract award, to submit a signed confidentiality statement from all employees and subcontractor staff assigned to the SOS project.

Requirement A1 The 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, upon Contract award, signed Confidentiality Statements for all employees and subcontractor staff assigned to the SOS Project.

7. General Liability Insurance Certificate (Mandatory) – 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 insurance shall be in effect for the duration of the Contract.

The certification of insurance must include the following provision:

- 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 the Pre-qualification Package, the Draft Proposal and the Final Proposal agreeing to provide the specified general liability insurance.

Requirement A2 For the Pre-qualification Package, the Draft Proposal and the Final Proposal, the 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 insurance shall be in effect for the duration of the Contract. The certification of insurance must include the following provisions:

- **The State of California, Department of General Services, and Secretary of State, their officers, agents and employees are**

included as additional insured.

8. Workers Compensation Liability Insurance Certificate (Mandatory) – 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 insurance shall be in effect for the duration of the Contract.

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 – Workers' Compensation Insurance Certification in the Pre-qualification Package, the Draft Proposal, and the Final Proposal.

Requirement A3 For the Pre-qualification Package, the Draft Proposal and the Final Proposal, the Bidder will submit a completed Exhibit V.3 – Workers' Compensation Insurance Certification. Bidder also agrees to provide proof of a valid Worker's Compensation Insurance Policy within thirty (30) days of Contract signing, and at any time the State may request. The insurance shall be in effect for the duration of the Contract.

9. Liability/Errors & Omissions Insurance requirement, #A4, is deleted effective Addendum #2

10. Commercial Automobile Liability Insurance requirement, #A5, is deleted effective Addendum #2

11. Subcontractor List (Mandatory) – Pass/Fail

Each participating Bidder shall submit a completed Exhibit V.2 - Subcontractor List, for each proposed subcontractor, with the Pre-qualification Package, Draft Proposal 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; and
- 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 – Subcontractor List 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.

Requirement A6 For 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.

12. Letter of Credit Intent (Mandatory) – Pass/Fail

The State requires the Bidder to demonstrate financial resources necessary to perform under the Contract by securing an agreement from a financial institution to issue a Letter of Credit valued at twenty-five percent (25%) of contract. Bidders are required to submit with the Pre-qualification package, the Draft Proposal 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 Chief Deputy 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 Pre-qualification Package, the Draft Proposal and the Final Proposal, Bidder must submit a letter on letterhead from an FDIC-insured financial institution licensed to do business in the State of California 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.

13. 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 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 Section II.C.5.b - Request to Change the Requirements in this RFP.

B. BIDDER PRE-QUALIFICATION (MANDATORY)

This procurement will include 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 System 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 – Department Official 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 Bidders 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 are:

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) Letter of Credit Intent (Mandatory) (Requirement A7)

TAB – 2

- 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 Qualifications (Mandatory) (Requirement A11)
 - A11 is demonstrated by completing Exhibit V.6 - Staffing Experience Matrix and Exhibit V.7 – Bidder Staff Resume for the following six (6) Key Staff Roles:
 1. Project Manager
 2. Business Lead
 3. Technical Lead
 4. Development Lead

5. Testing Lead
 6. Data Integration Lead
- f) Proposed Staff Qualifications (Desirable) (Requirement A12)
- A12 is demonstrated by completing Exhibit V.6 - Staffing Experience Matrix and Exhibit V.7 – Bidder 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

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 evaluation of the above materials is necessary to ensure Bidders selected during 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. 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) 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

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
Proposed Staff Qualification Requirements (Mandatory) See Section IX.E.9 for scoring criteria	V.B.3.D	Pass/Fail
Proposed 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 follow 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 \$50,000,000 or more for each of the company's last three fiscal years; and
- ii. A signed statement affirming the Bidder firm's financial capacity to sustain expenses incurred while performing six (6) months of VoteCal project work without receiving payment from SOS (Exhibit V.8 - Bidder Affirmation of Financial Capacity).

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, as 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.

In addition to responding to this requirement in their Pre-qualification Packages, Bidders must also respond to requirement A8 in their Final Proposal submissions and, in doing so, must assure that the audited financial statements or SEC 10K filings submitted with their Final Proposals are

updated to reflect the last three (3) fiscal years (if the Bidder has completed an additional fiscal year since the Pre-qualification Package was submitted).

The State reserves the right to carry the Pre-Qualification Package evaluation scoring forward to the Final Proposal evaluation for this requirement.

Requirement A8 Bidder shall submit:

- o Audited financial statements or SEC 10K filings (including a balance sheet) that support average annual gross revenue of \$50,000,000 or more for each of the company's last three fiscal years; and
- o A completed Exhibit V.8 - Bidder Affirmation of Financial Capacity signed by someone in the Bidder firm with the authority to bind the firm and which affirms the Bidder firm's financial capacity to sustain expenses incurred while performing six (6) months of VoteCal project work without receiving payment from SOS.

B. Bidder Qualifications and References Requirements (Mandatory) – 2300 Points

The Bidder must describe three (3) projects that meet the following requirements using Exhibit V.5.a - Bidder Qualifications & References (Mandatory). 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 completed³ 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 a scope similar to that described in Section VI - Project Management, Business and Technical Requirements;
- 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 users⁴ was 200 or greater; and

³ "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) has completed a successful pilot."

⁴ "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.

- 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.a - Bidder Qualifications & References (Mandatory) forms submitted in response to this requirement 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.E.8 - Bidder Qualifications and References. Exhibit IX.2 - Bidder Reference Form – Client Telephone Reference Questionnaire details the questions that are to be asked of each of the references. This Exhibit will also be used to document the reference's responses.

Failure to provide verifiable references may cause the Pre-qualification Package or Final 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.a - Bidder Qualifications & References (Mandatory).

As part of the Final Proposal submission, Bidders may elect to submit new Bidder qualifications and references that differ from those submitted in the Pre-Qualification Package. Bidders are cautioned to review Section IX.E.8 – Bidder Qualifications and References for evaluation and scoring considerations and to ensure that, if the Final Proposal includes changes to proposed Bidder (or qualifying subcontractor) qualifications and references, the new Bidder qualifications and references still meet the applicable requirements herein.

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

C. Bidder Qualifications and References Requirements (Desirable) – 700 Points

Additional points may be awarded for the desirable corporate qualification requirements described in this section. Bidders may use one of the three (3) corporate references designated in their response to the related, mandatory requirement (A9, above) if that reference meets the desirable requirements as well as the mandatory requirements. If the Bidder elects to use the same reference in responses to both the mandatory and desirable Bidder qualification and references requirements, a completed Exhibit V.5.b – Bidder Qualifications & References (Desirable) form for the reference must be submitted in Bidder's response to the desirable requirements (A10) in addition to the completed Exhibit V.5.a – Bidders Qualifications & References (Mandatory) form for that reference that is submitted in response to the Mandatory requirement A9). Alternatively, the Bidder may submit an additional, fourth (4th) reference to satisfy this desirable requirement. In all cases, the Bidder may designate only a single reference to respond to this desirable requirement.

The Bidder must submit a complete description of the referenced project using Exhibit V.5.b - Bidder Qualifications & References (Desirable). This form must be signed by the referenced organization or company individual or designee. The Bidder or qualifying subcontractor must have been identified as 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 (based on 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;
- b. Reference must be for a successfully completed voter registration system implementation with a scope similar to that described 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); and
- c. Reference must be for an implementation where the total records integrated was at least 10,000,000.

As part of the Final Proposal submission, Bidders may elect to submit new Bidder qualifications and references that differ from those submitted in the Pre-Qualification Package. Bidders are cautioned to review Section IX.E.8 – Bidder Qualifications and References for evaluation and scoring considerations and to ensure that, if the Final Proposal includes changes to proposed Bidder (or qualifying subcontractor) qualifications and references, the new Bidder qualifications and references still meet the applicable requirements herein.

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

The Exhibit V.5.b Bidder Qualifications and References (Desirable) form submitted in response to this requirement 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.E.8. Exhibit IX.2 – Bidder Reference Form – Client Telephone Reference Questionnaire 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 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 identify the names of the six (6) key staff for each of the proposed role(s) using 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 - Staffing 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 – Staffing Experience Matrix to validate experience documented in Exhibit V.6 and Exhibit V.7 – Bidder Staff Resume.

The purpose of the Proposed Staff Qualification requirements is 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 – Staffing Experience Matrix for instructions.

As part of the Final Proposal submission, Bidders may elect to submit new proposed staff that differ from those submitted in the Pre-qualification Package. Bidders are cautioned to review Section IX.E.9.b – Proposed Staff Qualifications for evaluation and scoring considerations and to ensure that, if the Final Proposal includes changes to proposed staff, the new proposed staff still meets the applicable requirements herein.

PLEASE NOTE: Administrative requirements A11 and A12 express Staff work experience requirements in months; however, the State recognizes that Bidders may wish to report work experience for projects on which Key Staff worked part-time as well as a full-time. To assure Bidders use a consistent method to calculate and report the number of Full-time Month Equivalents work experience for Key Staff, Exhibit V.6 - Staffing Experience Matrix and Instructions describes the method Bidders must use to calculate and report Full-time Month Equivalents' work experience for Key Staff.

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 Contractor 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); and

- 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); and
 - 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); and
 - 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); and
 - 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); and
 - 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. The TestL must have:
- 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); and
 - 36 months experience in implementing a defect management process (TestL.4).

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

For Bidder resources assigned to a subset of the required roles described above, additional points may be awarded for the following desirable proposed staff experience requirements. From zero (0) to 800 points may be awarded based on calculations that include the cumulative number of months of desirable experience reported across the Bidder's designated Key Staff (i.e., the sum of the months of experience specified for the experience requirements specified below). The complete calculation is described in Section IX.E.9.b.2 – Evaluation Process (for the desirable Proposed Staff Qualifications requirement, A12).

As part of the Final Proposal submission, Bidders may elect to submit new proposed staff that differ from those submitted in the Pre-qualification Package. Bidders are cautioned to review Section IX.E.9.b – Proposed Staff Qualifications for evaluation and scoring considerations and to ensure that, if the Final Proposal includes changes to proposed staff, the new proposed staff still meets the applicable requirements herein.

PLEASE NOTE: Administrative requirements A11 and A12 express Staff work experience requirements in months; however, the State recognizes that Bidders may wish to report work experience for projects on which Key Staff worked part-time as well as a full-time. To assure Bidders use a consistent method to calculate and report the number of Full-time Month Equivalents work experience for Key Staff, Exhibit V.6 - Staffing Experience Matrix and Instructions describes the method Bidders must use to calculate and report Full-time Month Equivalents' work experience for Key Staff.

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); and
- 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); and
- Experience with managing complex data integration efforts for the State of California (DIL.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; and
- 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 include 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 calendar days from final bid submission scheduled date of 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; and**
- **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 STD Form 204 – Payee Data Record. The Payee Data Record may be found at: <http://www.documents.dgs.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 fully supported by their licensors in accordance with maintenance agreement terms of such licensors at the time this Agreement completes at the end of Phase VII – First Year Operations and Close-out.

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 form(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 offer 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. Deleted in its entirety (see Section IX.G.3) Disabled Veteran Business Enterprise (DVBE) Incentive

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 2:00 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 after the Intent to Award is issued. 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 VoteCal System Acceptance (see Attachment 1 section 10(e)).

J. Financial Capacity/Responsibility (Mandatory)

The Bidder must meet the same requirement as A8 in the Final Proposal as was met in the Pre-qualification Package. See Section V.B.3.A - Financial Capacity/Responsibility (Mandatory) for additional information on this requirement. As noted previously, the Bidder must assure that the audited financial statements or SEC 10K filings submitted with their Final Proposals are updated to reflect the last three (3) fiscal years (if the Bidder has completed an additional fiscal year since the Pre-qualification Package was submitted).

As also noted earlier in this section of the RFP, the State reserves the right to carry the Pre-Qualification Package evaluation scoring forward to the Final Proposal evaluation for this requirement.

J.K. 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. See Section V.B.3.B - Bidder Qualifications and References Requirements (Mandatory) for additional information on this requirement.

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

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K.L. 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. See Section V.B.3.C - Bidder Qualifications and References Requirements (Desirable) for additional information on this requirement.

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

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L.M. Proposed Staff Qualification Requirements (Mandatory)

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The Bidder must meet the requirement A11 in the Draft Proposal and Final Proposal as was done in the Pre-qualification Package. See Section V.B.3.D – Proposed Staff Qualification (Mandatory) for additional information on this requirement.

As noted previously, SOS reserves the right during Pre-qualification Package evaluation to contact proposed Key Staff references, as documented in Bidders' submitted Exhibit V.6 – Staffing Experience Matrix, for purposes of validating the months of experience reported. During evaluation of Final Proposals, proposed staff references will be contacted in order to obtain references' ratings of satisfaction with the Bidder's proposed Key Staff members' performance. The number of references checked for specific Key Staff roles proposed in the Bidder's Final Proposal and the State's evaluation of these references is described in Section IX.D.10 - Proposed Staff References – A11 and A12 for Final Proposals Only.

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); and
 - 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); and

- 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); and
 - 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); and
 - 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); and

- 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 the Section VI – Project Management, Business and Technical Requirements. The TestL must have:
- 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); and
 - 36 months Experience in implementing a defect management process (TestL.4).

M.N. Proposed Staff Qualifications Requirements (Desirable)

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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. See Section V.B.3.E – Proposed Staff Qualification (Desirable) for additional information on this requirement.

During evaluation of Final Proposals, proposed staff references will be contacted in order to obtain references' ratings of satisfaction with the Bidder's proposed Key Staff members' performance. The number of references checked for specific Key Staff roles proposed in the Bidder's Final Proposal and the State's evaluation of these references is described in Section IX.D.10 - Proposed Staff References – A11 and A12 for Final Proposals Only.

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); and
- 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); and
- Experience with managing complex data integration efforts for the State of California (DIL.7).

N.O. Project Organization (Mandatory)

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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. 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.

Except in the case of a leave of absence, sickness, death, termination or resignation of employment or association, or other circumstances outside the reasonable control of Contractor, the individuals assigned as Key Staff in Contractor's Final Proposal shall not be removed by Contractor from performing their assigned tasks during the period of performance for each such individual as described in Contractor's Final Proposal without the prior written approval of State.

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; and**
 - **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 Proposal 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 2524.9 2524.9% and 10%	<input type="checkbox"/> 409.9 409.9% 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)		

Exhibit V.2: Subcontractor List

C – Proposal Amount (Yes response required for one of C1, C2, or C3)

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 <u>24.9</u> % 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:
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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 claiming 25 percent (25%) California certified SB subcontractor participation. The Bidder must identify applicable subcontractor information in their bid response to support the subcontracting claim.

Bidder's Authorized Signature _____ Date _____

Printed Name and Title _____

Name of Bidder's Firm _____

Exhibit V.5.a Bidder Qualifications & References (Mandatory)

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

Client:	Client Contact Name:
Address:	Phone #:
Email:	Fax #:
Project Name:	
Project Description:	
Nature of Firm's Involvement:	
Date System Went into Production as System of Record, or date of completion of Pilot:	
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	
Number of <i>concurrent</i> users supported _____	
Did the project require 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.5.b Bidder Qualifications & References (Desirable)

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

Client:	Client Contact Name:
Address:	Phone #:
Email:	Fax #:
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 "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	
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 Staffing Experience Matrix per the instructions provided in this Exhibit. If a proposed team member has gained relevant experience from various efforts or contract engagements, provide information for each engagement in a separate Project block. Add additional pages as needed. **A Staffing Experience Matrix template for each of the six (6) Key Staff is provided in the pages that follow. One Staffing Experience Matrix must be completed for each of the six (6) Key Staff proposed for the Bidder's project team.**

Project Details: Provide the project name, client name, contact person, contact phone number, and the approximate dates (calendar period) the Key Staff member worked on the project (*in any project role*). Add additional Project rows for each project.

Role and Type of Experience: Please mark an "x" in each box corresponding to an experience requirement that the Bidder proposes is met by the work the Key Staff performed on the referenced project (a project in which the Key Staff filled a role similar to what he/she is proposed to fill on the VoteCal project).

Number of Full-time Month Equivalents: For each experience requirement (marked by "x") that the Bidder reports is met by the Key Staff person's work on the referenced project, specify the number of **Full-time Month Equivalents experience** that the Key Staff person accrued on the referenced project. For each period in which the Key Staff person performed work applicable to the claimed experience for a *minimum* of 20 work days of at least 7 hours (the minimum required to represent working full-time), the Key Staff accrues one (1) Full-time Month Equivalent experience. To calculate and report the Full-time Month Equivalents experience for Key Staff who worked part-time on a referenced project, use the following calculation:

- If the Key Staff worked half ($\frac{1}{2}$) time on a referenced project, experience should be pro-rated to one-half ($\frac{1}{2}$) or 0.5 month Full-time Month Equivalent experience for each period in which the staff person worked a minimum of 70 hours over 20 business days in a month,

For each experience requirement that the Key Staff's work on a referenced project addresses, report the total number of Full-time Month Equivalents' experience the Key Staff's work represents using the calculations described above, which depend upon the time period (calendar period) during which the Key Staff worked on the referenced project and whether he/she worked on a full-or half -time basis.

A sample Staffing Experience Matrix for the Project Manager within a Bidder's proposed Key Staff is provided on the next page. In this example, the Project Manager worked full-time for a total of twenty (20) calendar months on the designated project and the work he/she performed for the entire twenty (20) months met the criteria for experience requirements PM.1 and PM.3 (the Key Staff accrued twenty (20) Full-time Month Equivalents experience on this project for the PM.1 and PM.3 experience requirements). In this sample, the project only began using PMI methodologies (or any similar project management methodologies) during the last 10 months of the project and, so, the Key Staff person accrued only ten (10) Full-time Month Equivalents experience for that requirement.

Sample Staffing Experience Matrix for Key Staff PM Working Full-Time on a Project

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	Number of Full-time Month Equivalents
<i>[PRODUCT] Implementation State of Virginia Jane Doe (804- 555-1212) (Oct 1999- Aug 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>	20
	<input checked="" type="checkbox"/> <i>Experience managing projects utilizing PMI® methodologies or similar professional project management methodologies. (PM.2)- Mandatory</i>	10
	<input checked="" type="checkbox"/> <i>Experience planning complete life-cycles of phased IT system implementation projects. (PM.3)-Mandatory</i>	20
	<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>Copy and paste additional rows as necessary.</i>		

A sample showing a Staffing Experience Matrix reporting work experience for a Project Manager within a Bidder's proposed Key Staff on different hypothetical project follows on the next page. In this example, the Project Manager worked **half-time** for twenty (20) calendar months on the designated project and the work he/she performed for the entire twenty (20) months met the criteria for experience requirements PM.1 and PM.2. Using the calculations provided above, the Bidder designates that the Project Manager accrued ten (10) Full-time Month Equivalents experience on this project (1/2 of 20 months = 10 Full-time Month Equivalents) for both of these work experience requirements.

Sample Staffing Experience Matrix for Key Staff PM Working Half-Time on a Project

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	Number of Full-time Month Equivalents
<i>[PRODUCT] Implementation State of New York John Smith (804- 555-1212) (Sept 2001 – July 2003)</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>	10
	<input checked="" type="checkbox"/> <i>Experience managing projects utilizing PMI® methodologies or similar professional project management methodologies. (PM.2)- Mandatory</i>	10
	<input 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>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 (Check each box for which months of experience is reported for the specified experience requirement)	Number of Full- time Month Equivalents
	<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 (Check each box for which months of experience is reported for the specified experience requirement)	Number of Full-time Month Equivalents
	<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 (Check each box for which months of experience is reported for the specified experience requirement)	Number of Full-time Month Equivalents
	<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 (Check each box for which months of experience is reported for the specified experience requirement)	Number of Full-time Month Equivalents
	<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 (Check each box for which months of experience is reported for the specified experience requirement)	Number of Full-time Month Equivalents
	<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 (Check each box for which months of experience is reported for the specified experience requirement)	Number of Full-time Month Equivalents
	<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 (6) 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:		

EXHIBIT V.8 Bidder Affirmation of Financial Capacity

_____ (Bidder), by authorized representative's signature below, affirms that Bidder's firm has the financial capacity to sustain expenses incurred while performing six months of VoteCal project work without receiving payment from the Secretary of State.

(Signature of representative authorized to bind firm)

(Date)

Printed Name and Title of Representative Signing this Statement

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 Request for Proposals (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 (HAVA) requirements. This is a solution-based procurement. It is important to understand that these requirements are intentionally written at a summary level to facilitate the 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"). The SOS has identified the resultant performance criteria but the method of delivery or achievement is optional. The 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 Requirements Response Matrix (a list of requirement numbers and the page number in Bidder's Proposal where the response can be found). Bidders must complete 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 in this section.

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.

The 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 VoteCal Project is initiated, for each deliverable that is prepared for the project, a Deliverable Expectations Document (DED) will be prepared by the Contractor and approved by the VoteCal Project Director or designee. Refer to Attachment 1–

Statement of Work and Attachment 1, 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 must clearly identify the proposed role of SOS staff, and consider 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 Senior Project Manager, two (2) Project Managers, ~~two-three (23)~~ Elections Program Leads, ~~two-three (23)~~ Information Technology Leads, Project Assistant, ~~Training Specialist~~, Quality Assurance Manager ~~and~~, Technical Architect, ~~and Programmer-Analyst~~. No additional SOS VoteCal staff is anticipated.

In addition to the SOS and contracted personnel listed above, both the Independent Verification and Validation (IV&V) and Independent Project Oversight Consultant (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 integrated project schedule (IPS).

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).

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

- ~~Limited availability of SOS staff for the fourteen (14) business days prior to and the seven (7) statewide election.~~
- Unavailability of county elections officials' staff and a freeze on changes to or testing with county systems (including EMS') during the period beginning 60 days prior to and ending 30

days following a statewide or Uniform District Election Law (UDEL) election. (Refer to the document "Future Election Dates" in the Bidder's Library for information on future statewide, UDEL and local elections.)

- No changes may be made to the SOS network during the period beginning sixty (60) calendar days prior to and ending thirty (30) calendar days after an election.
- The SOS requires one hundred twenty (120) working days, at a minimum, following approval of the production environment, to set up the required production environment hardware.
- For interfaces with election management systems, each Election Management System (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 Phase V - Pilot Deployment and Testing begins (see Attachment 1, Exhibit 2 – Tasks and Deliverables, for description of Project Phases).

Requirement P1 The Bidder's Draft Proposal and Final Proposal must provide a draft Project Management Plan (PMP) that, when finalized, will become the controlling document for managing Bidder's work on the VoteCal Project and must include Project activities to be conducted by Bidder staff and subcontractor resources as well as SOS tasks required to support creation of Contract deliverables. 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 as documented in this RFP. If Bidder is awarded the Contract, the updated PMP shall be submitted as a deliverable for SOS review and approval within thirty (30) calendar days of Contract award, in accordance with Attachment 1, Exhibit 2.E.Deliverable I.1 – Project Management Plan, 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 must 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, review and approval processes (see Attachment 1, Section 10 – Inspection, Acceptance and Rejection of Contractor Deliverables and Attachment 1, Exhibit 3 – Sample Deliverable Expectation Document), as well as definition of criteria and approach for Project Phase entry and exit (see Attachment 1, Exhibit 2 – Tasks and Deliverables, for description of Project Phases). ~~The updated PMP shall be submitted for SOS~~

~~review and approval within ninety (90) calendar days of Contract award, in accordance with Attachment 1, Exhibit 2.E.Deliverable 1.1 – Project Management Plan.~~

The PMP must conform to relevant PMBOK standards.

Requirement P2 The Draft Proposal and Final Proposal must describe the Bidder's approach to schedule management in 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 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. If the Bidder is awarded the Contract, the updated Schedule Management Plan shall be submitted as part of the updated Project Management Plan for SOS review and approval within thirty (30) calendar days of Contract award, as described in Attachment 1, Exhibit 2.E.Deliverable 1.1 – Project Management Plan.

Along with narrative description of the schedule management approach, the Bidder's response to this requirement must include a draft integrated project schedule (IPS) that contains the tasks/activities of Bidder, SOS staff and other SOS contractors, county elections officials' staff, and EMS vendors that must occur in order to meet the requirements of this RFP. The IPS must contain a list of planned tasks, milestones, estimated completion dates, resource assignments, and dependencies between tasks. The IPS 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 and SOS review of submitted deliverables, each as described in Attachment 1 - Statement of Work), and Bidder correction of deficiencies. The submitted IPS must include a preliminary GANTT chart. The updated IPS shall be submitted for SOS review and approval within ninety (90) calendar days of contract award and will be updated weekly in accordance with Attachment 1, Exhibit 2.E.Deliverable 1.2 – Integrated Project Schedule.

Bidder's response to this requirement must conform to PMBOK 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, Section 7 - 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 Draft Proposal and Final 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 must also include discussion of integration with the SOS Quality Plan. If the Bidder is awarded the Contract, the

updated Quality Management Plan shall be submitted for SOS review and approval within ninety (90) calendar days of Contract award, in accordance with Attachment 1, Exhibit 2.E.Deliverable I.3 – Quality Management Plan.

The Quality Management 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 Draft Proposal and Final Proposal must describe the Bidder's Software Version Control and System Configuration Management Plan to be employed during the VoteCal 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. If the Bidder is awarded the Contract, an updated 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, as described in Attachment 1, Exhibit 2.E., Deliverable I.4 – VoteCal Software Version Control and System Configuration Management Plan.

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

The 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 Draft Proposal and Final Proposal must include a Requirements Traceability Matrix Plan: 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 VoteCal Project (see Attachment 1, Exhibit 2 – Tasks and Deliverables, for description of Project Phases). All business functional and technical requirements in this RFP must be traceable to the Test Plan (Deliverable III.2 – Test Plan in Attachment 1, Exhibit 2 – Tasks and Deliverables) and if awarded the Contract, 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 (see Attachment 1, Exhibit 2.E.Deliverable II.5 – VoteCal System Detailed Requirements Traceability Matrix).

The Plan must include description of intended approach to ensuring forward and backward traceability, including but not limited to traceability between the following:

- Requirements from the RFP and more detailed sources such as the System Requirements Specifications (Attachment 1, Exhibit 2.E.Deliverable II.1 – System Requirements Specifications);
- Requirements in the System Requirements Specifications (Deliverable II.1) to design elements in the Detailed System Design Specifications (Attachment 1, Exhibit 2.E.Deliverable II.3)

- Design elements documented in the Detailed System Design Specifications (Attachment 1, Exhibit 2.E.Deliverable II.3) and Unit Test Cases
- System Requirements Specifications (Attachment 1, Exhibit 2.E.Deliverable II.1) and System Test Cases

If Bidder is awarded the Contract, an updated Requirements Traceability Matrix Plan shall be submitted to SOS for review and approval within thirty (30) calendar days of Contract award in accordance with Attachment 1, Exhibit 2.E.Deliverable I.6 – Requirements Traceability Matrix Plan.

The Requirements Traceability Matrix Plan must conform to standards required by IEEE 1233-1998 and IEEE 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 Draft Proposal and Final 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 deployment to SOS business users, county elections officials' staff, and other users. The Implementation and Deployment Plan must also include a description of how the approach will ensure that the integrity and completeness of the existing Calvoter system and its data are maintained through the end of Phase VI – Deployment and Cutover.

The response to this requirement must include explanation of the best practices or standards on which the approach is based. If the Bidder is awarded the Contract, the updated Plan will be submitted for SOS approval in Phase III – Development (see Attachment 1, Exhibit 2.E.Deliverable III.56 – VoteCal System Implementation and Deployment Plan) and in Phase V – Pilot Deployment and Testing (Attachment 1, Exhibit 2.3.Deliverable V.4 – Revised/Updated System Implementation and Deployment Plan) and also updated at other times during the Project as appropriate.

Requirement P7

The Bidder's Draft Proposal and Final Proposal must provide a draft Organizational Change Management Plan, which outlines the Bidder's 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. The Plan must also address securing support and buy-in from the county elections officials' staff as well as SOS staff. If Bidder is awarded the Contract, an updated Organizational Change Management Plan shall be submitted to SOS for review and approval-acceptance (1) within ninety (90) calendar days of Contract award in accordance with Attachment 1, Exhibit 2.E.Deliverable I.5 – VoteCal System Organizational Change Management Plan; and (2) in Phase III – Development in accordance with (Attachment 1, Exhibit 2.E.Deliverable III.4 – VoteCal System Organizational Change Management Plan Updated).

The 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 the VoteCal Project and accepted by SOS. Bidder may adopt any or all concepts from that plan as part of their response to this requirement.

2. Training

Requirement P8

The SOS requires the Bidder to propose training for the SOS Elections Division and IT Division staff as well as county elections officials as part of Bidder's Draft Proposal and Final Proposal. 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 at a facility other than the SOS-provided training room, Bidder must include, as part of the bid amount, any costs associated with the facility.

The SOS requires the Bidder to provide initial training to nineteen (19) SOS elections program staff and ten (10) IT staff assigned to the VoteCal Project. SOS anticipates that each single SOS training class will not 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 SOS help desk and Contractor 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 access VoteCal through their EMS.
- 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 twenty (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 in hard copies for all participants as part of the solution, and also be delivered to SOS in electronic format.

If Bidder is awarded the Contract, an updated and comprehensive VoteCal System Training Plan shall be submitted to SOS for review and acceptance in Phase II – Design in accordance with Attachment 1, Exhibit 2.E.Deliverable II.9 – VoteCal System Training Plan.

3. Testing

Requirement P9

The Bidder's Draft Proposal and Final Proposal must include a draft Test Plan that includes a discussion of the proposed test methodology and a sample Test Defect

Log. If Bidder is awarded the Contract, a detailed Test Plan and Test Defect Log must be finalized and and submitted to SOS with sufficient lead time to achieve SOS Acceptance approved by SOS no later than fifteen (15) State working days prior to the commencement of testing activities in Phase IV – Testing (see Attachment 1, Exhibit 2.E.Deliverable III.2 – VoteCal System Test Plan).

Bidder's Test Plan must include a discussion of all levels of testing that will be performed, including stress testing, performance and load testing, and backup and recovery testing, and the training to be provided for the SOS testing staff.

In addition, the proposed Test Plan must include discussion of approach for testing EMS remediation in preparation for the integration of EMS data that will occur in Phase V – Pilot Deployment and Testing and Phase VI – Deployment and Cutover. If Bidder is awarded the Contract, an updated and detailed description of the approach for testing EMS remediation shall be submitted for SOS review and approval in Phase III – Development. (See Attachment 1, Exhibit 2.E.Deliverable II.3 – Acceptance Test Plan for Certification of EMS System Data Integration and Compliance.)

The Test Plan must include discussion of testing to be conducted during Phase V – Pilot Deployment and Testing (Bidders should assume a total of one million five hundred thousand (1,500,000) voter registration records across the counties that participate in the pilot).

If a Bidder proposes a Commercial off-the-Shelf (COTS) application, a Modified-off-the-Shelf (MOTS) application, or any Contractor Commercial Proprietary Software product, 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 all Contractor-developed reports, queries and extracts, as well as 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 Director or designee when user acceptance testing has been successfully completed. The final detailed Test Plan, delivered in Phase III – Development, will become the basis for verifying that the system operates as documented and intended.

The Test Plan and Integrated Project Schedule the IPS must accommodate the need to make enhancements to correct VoteCal Deficiencies and make changes during and between Phase IV – Testing, between Phase V - Pilot Deployment and Testing and Phase VI - Deployment and Cutover, The Test Plan and IPS must, and provide sufficient methodology and time to perform end-to-end testing after enhancements were corrections and changes are made applied and before Phase VI - Deployment and Cutover commences, and at least twice during Phase VI – Deployment and Cutover at times mutually agreed upon by SOS and the Contractor.

The Contractor shall resolve issues encountered during testing before testing is considered accepted and signed-off by SOS. SOS has also contracted with an 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.

Refer to Attachment 1, Exhibit 2 – Tasks and Deliverables, Phase III – Development and Phase IV - Testing for additional information on SOS and Contractor testing-related responsibilities and activities.

4. Data Integration

Requirement P10 The Bidder's Draft Proposal and Final 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-integration prior to full data-integrationthe start of Phase V- Pilot Deployment and Testing (see Attachment 1, Exhibit 2 – Tasks and Deliverables, descriptions of Phase III – Development and Phase IV – Testing for details about required predecessor-successor relationships between Contractors' and SOS' testing), including the approach for:
 - ~~a~~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 from Phase V – Pilot Deployment and Testing through Phase VI – Deployment and Cutover, 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 and the Bidder's Library for descriptions of the existing databases, Calvoter file structures, county upload file formats, and data volumes.

If Bidder is awarded the Contract, an updated Data Integration Plan shall be submitted as a deliverable for SOS review and ~~approval-acceptance~~ in Phase II – Design of the VoteCal Project. (See Attachment 1, Exhibit 2.E.Deliverable II.8 – VoteCal System Data Integration Plan.)

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/deployability, and extensibility. The proposed VoteCal Architecture shall include a high-level mapping of the functionality required in the VoteCal RFP onto the proposed hardware and software components. The proposed VoteCal Architecture shall also address internal interfaces among the system's components, and the interfaces between the system and its external environment, including users, county EMS systems, the public access website, and external interfaces described in the VoteCal RFP.

Bidders should utilize their knowledge gained during the confidential discussions (See Section II.C.4 – Confidential Discussions for Pre-qualified Bidders) 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 must 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 must 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 must be either (1) a referenced project, completed within the past four (4) years, in which the Bidder used the described approach; or, (2) if a referenced project is not available as demonstration of the viability of the approach, detailed description of 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; and
 - Performance testing and 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; ~~and~~
 - ~~How backup and recovery will be addressed from the start of Phase I – Project Initiation and Planning until the start of Phase V- Pilot Deployment and Testing; and.~~
 - ~~How backup and restoration, other than from disaster (e.g. flood, fire earthquake, etc.) will be addressed (e.g., consistent with Bidder's response to requirements presented in T.3 – System Availability and Backup/Recovery).~~
- **Scalability:** ~~The capability of the system to increase its capacity by upgrading system hardware and software. The proposed VoteCal Architecture shall present a scalable solution consistent with industry-accepted best practices, e.g. scaling up and/or scaling out. Scaling up is the process of achieving scalability through the use of more or faster/better hardware. Scaling out is the process of using many machines to work as one machine.~~
~~The degree to and manner in which the proposed architecture presents a scalable solution consistent with industry-accepted best practices. At a~~ minimum the Bidder's response must address these key areas but should not be limited to them:
 - ~~Which How~~ new hardware and software will be added; and
 - ~~What reconfiguration would be necessary 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; and
 - 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 expectations for maintenance (by Bidder through Phase VII – First Year Operations and Close-out and for up to five (5) additional years

- if SOS exercises a contract extension option for application and hardware maintenance, and by SOS thereafter);
- Maintenance costs and activities for any components added to [the](#) VoteCal network and/or SOS infrastructure;
- How any third party components will be maintained, including routine updates as well as corrections of deficiencies;
- [The necessary skills for staff who will be maintaining the system; and](#)
- [How the Bidder will ensure software and hardware currency and availability; and](#)
- 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:
 - [Compliance with Web page and desktop accessibility-related requirements provisions of California Government Code Section 11135 and United States Rehabilitation Act Section 508; and](#)
 - [Compatibility with the diverse local system installations and diverse desktop configurations. Conformance to Web Content Accessibility Guidelines 2.0, W3C World Wide Web Consortium Recommendation WCAG 2.0 12/2008, Level A and Level AA Success Criteria.](#)
- **Deployment/Deployability:** 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; and
 - The method of distribution for system components.
- **Extensibility:** [The degree to and manner in which the proposed architecture enables enhancements through addition of new functionality and modification of functionality. The adaptability of the architected system and the degree to which that system can be enhanced in the future. Reducing the average time and cost to make functionality updates in different areas of the architecture is a key component of extensibility.](#) At a 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 [improving](#) extensibility will affect the complexity of the system; and
 - How [improving](#) extensibility will affect testing and debugging.

The Bidder's response to this requirement must 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 this 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~~-~~deployability~~ and extensibility factors described above. If Bidder proposes any changes to network hardware, software or configuration management components as part of the solution and is awarded the Contract, these changes shall be supplied at Contractor expense, and Contractor must support the additions at its own expense through Phase VII – First Year Operations and Close-out and up to five (5) years thereafter if SOS exercises the five (5) one-(1) year contract extension options. See requirements T6.2 and T6.3 in Table VI.2 - VoteCal Technical Requirements and Response Form for additional information.

The description of the architecture must also include physical environment requirements for the SOS (e.g., physical space, HVAC, etc.). Any required augmentation to existing facilities must be included in the proposal, and provided at the Contractor's expense and in compliance with appropriate State policies and procedures. See Requirement T3.6 in Table VI.2 - VoteCal Technical Requirements and Response Form for additional information.

If Bidder is awarded the Contract, a comprehensive and updated Technical Architecture Documentation Deliverable in Phase II – Design of the VoteCal Project (see Attachment 1, Exhibit 2.E.Deliverable II.6 – VoteCal System Technical Architecture Documentation), in accordance with the PMP and the IPS for which the SOS has provided Acceptance.

C. THE SOS MANAGEMENT ROLE

If Bidder is awarded the Contract, it will be required to work with the 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 that 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. The 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. The SOS will provide the full-time-equivalent (FTE) of up to two IT staff FTEs and three (3) voter registration/election business program FTEs.
4. An IPOC has been retained to support the SOS' VoteCal Senior 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 Management 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 awarded Contract, the PMP, the IPS, and Contractor's progress reports.

D. BUSINESS FUNCTIONAL REQUIREMENTS

Bidders must propose a solution for the VoteCal System for which functionality is as outlined in this subsection.

All identified requirements are Mandatory requirements and must be addressed in Draft Proposals and Final Proposals. 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 that SOS requires of a proposed business solution to address the business processes described in Section IV – Proposed System and Business Processes. References to government code and California Code of Regulations (CCR) can be found in the Bidder's Library.

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

Bidders shall provide a narrative response for each requirement individually, consisting of, for each requirement:

- 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.

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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 EMS'.	
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 submit a transaction that moves a matched voter from another county into their county.		
S1.4	VoteCal must automatically send electronic notice to each appropriate county whenever a voter record is added or updated through VoteCal's automatic processes.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S1.5	<p>VoteCal must support all VoteCal-related county user functions <u>as described in this RFP</u> through interfaces with each election management system (EMS). The <u>EMS</u> interfaces must be interactive <u>and operate on a transactional basis</u> where functions are so identified in the <u>business-RFP</u> requirements, such as <u>registrant search</u>, voter registration <u>look-up and record entry and update, and county determinations on potential matches</u>.</p> <p>Otherwise, the interfaces may be interactive, or batch or both as appropriate to the Bidder's proposed solution.</p>		
S1.6	<p>All authorized county users shall access VoteCal only through their EMS.</p>		
S1.7	<p>VoteCal must provide the capability for authorized SOS administrators to <u>search, query and</u> track electronic notices that have been sent to counties. <u>Search, S</u>ort, filter and grouping criteria must include county or jurisdiction, notice type, status (resolved or unresolved) and date or date range for notice.</p>		
S1.8	<p>VoteCal must allow authorized SOS administrators the ability to maintain <u>all provide for update and addition of</u> "Smart names"."</p>		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S1.9	VoteCal must be able to process voter registration data originating from new sources of voter registration data both internal and external to SOS, with only the addition of a pluggable interface.		
S1.10	VoteCal must be capable of creating provide extracts of voter names and addresses for voters in one or more counties for processing by an external service.		
S2	VOTER REGISTRATION: Registration Data	<p>S2 requirements list voter registration data elements that must be maintained in VoteCal to comply with HAVA Section 303 requiring that each state implement a “single, uniform, official, centralized, interactive computerized statewide voter registration list.” Data elements described under S2 include data provided by county elections officials’ staff through the EMS as well as data provided by citizens through online registration via the VoteCal public access website.</p> <p>The data elements listed here do not constitute an exhaustive list of required data. SOS expects that during Project Phase II – Design, the Contractor will work with SOS staff, county elections staff and EMS vendors to determine all specific data elements necessary to meet all - VoteCal requirements stated in this RFP. For examples of other data elements, beyond those listed here, see the Calvoter and Calvalidator Data Standards document in the Bidder’s Library.</p>	
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.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.2	VoteCal must be able to capture, store, and display all historical data on every record, including images.		
S2.2.1	VoteCal must capture and display all data elements required to support the VoteCal functions and requirements defined in this RFP. (Refer to the Calvoter and Calvalidator Data Standards in the Bidder's Library for examples of additional data elements to be captured and stored in VoteCal. Contractor will work with SOS staff, county elections staff and EMS vendors to determine all specific data requirements for VoteCal.)		
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.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.4.1	VoteCal must capture and store the EMS voter ID for each voter.		
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.		
S2.6	<p>VoteCal must provide for capture and storage of the following discrete data fields related to a registered_voter's residence address:</p> <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); and • County. <p>NOTE: * indicates code must conform to USPS standards</p>		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.7	VoteCal must be able to 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").		
S2.8	VoteCal must provide for capture and storage of 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. <u>(See Glossary for definitions of these types of mailing addresses.)</u>		
S2.9	For each mailing address, VoteCal must determine whether or not the address is within California.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S2.10	<p>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:</p> <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	<p>VoteCal must provide the ability to capture and store a voter's date of birth. NOTE: Because a voter may have currently effective registrations that predate the requirement to provide date of birth, VoteCal must be capable of handling voters without a date of birth.</p>		
S2.11.1	VoteCal must capture affirmation of citizenship status.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.12	<p>VoteCal must be capable of capturing and storing the following voter registration data <u>that is optional for completion of voter registration</u>:</p> <ul style="list-style-type: none"> • Telephone number (up to four different numbers, including type and extension, as separate fields or records); • Gender; <u>and</u> • Citizenship status; <u>and</u> • Email address. 		
S2.13	<p>VoteCal must be capable of capturing and storing voter registration information that is optional on the California affidavit, including:</p> <ul style="list-style-type: none"> • Name prefix; • Whether the voter wishes to exercise the permanent vote by mail option; and • Ethnicity/race <p>(Refer to Bidder's Library, Calvoter and Calvalidator Data Standards, for current codes for these fields.)</p>		
S2.14	<p>VoteCal must be capable of capturing and storing the voter's place of birth, both as free-form text and as user-defined codes. (Refer to Bidder's Library, Calvoter and Calvalidator Data Standards and Data Standards Tables (supplement to Calvoter and Calvalidator Data Standards) for current data standards.)</p>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S2.15	VoteCal must be capable of capturing and storing a voter's language preference, based on codes that can be defined and modified by authorized SOS administrators. (Refer to Bidder's Library, Calvoter and Calvalidator Data Standards, for current codes.)		
S2.15.1	VoteCal must be capable of capturing and storing multiple accessibility/assistance needs for a voter, based on codes that can be defined and modified by authorized SOS Administrators.		
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. 		
S2.17	VoteCal must store a voter's political party preference, 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 Data Standards Tables (supplement to Calvoter and Calvalidator Data Standards) document in the Bidder's Library.)		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.18	<p>VoteCal must capture, store and display the following identification information for each voter record:</p> <ul style="list-style-type: none"> • The voter's California issued Driver's License or State Identification Card (CDL/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	<p>VoteCal must capture <u>and</u>, store <u>and display</u> the following identification information for each voter record:</p> <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. 		
S2.20	<p>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.</p>		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.21	<p>VoteCal must capture, store and display for voters who register by mail:</p> <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	<p>For each voter registration affidavit received, VoteCal must capture <u>and store</u> the following discrete data:</p> <ul style="list-style-type: none"> • Affidavit number; • Execution date (from the affidavit); • Date the affidavit was received; and • Effective date of registration for the affidavit; and • The voter registration record that was created or updated based on data in the affidavit. 		
S2.23	<p>VoteCal must store and display the current and historic images of the full registration affidavit in <u>a format consistent with either ANSI/AIIM standards or a Bidder-proposed standard, compatible format.</u></p>		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.23.1	VoteCal must store and display the current and historic images of the full registration affidavit with a minimum resolution of two hundred (200) dots per inch (dpi) and maximum resolution of three hundred (300) dpi.		
S2.24	VoteCal must provide ability to display the current and historic images of the voter's signature independently from the affidavit with a minimum resolution of two hundred (200) dpi and maximum resolution of three hundred (300) dpi.		
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, PNG and PDF formats, such as letters received from the voter.		
S2.27	VoteCal must capture, store and view-display unlimited comment records and/or notes to a voter record using free-form text with a minimum of one thousand twenty-four (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.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
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 and other applicable state and federal law such that the following criteria are met: (see 2.30a through 2.30f below)		
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.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
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.		
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 and other applicable state and federal law.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S2.32.1	VoteCal must provide the capability to automatically remove confidential status at the conclusion of a time period that is configurable by an authorized administrator, based on business rules. (See Bidder's Library, Current Business Rules, for currently known business rules.)		
S2.32.2	VoteCal must provide the ability to automatically generate notices to confidential voters that their confidential status will expire unless renewed.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S2.33	<p>VoteCal must capture and, 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), including the following information:</p> <ul style="list-style-type: none"> • Category of qualification (e.g., uniformed services voter – domestic, uniformed services – overseas, non-military/civilian overseas voters); • Date and method of registration (e.g., state VRC, federal VRC, Federal UOCAVA Registration/Vote-By-Mail application postcard); • Date and method of application for vote-by-mail status (e.g. Federal UOCAVA Registration/Vote-By-Mail application postcard, County vote-by-mail application, etc.); and • If application was rejected, the reason for rejection and the date notice of rejection was sent to voter. 		
S2.34	<p>VoteCal must capture and store a record of list maintenance notices sent to a voter (e.g., RCP, ARCP, 8(d)(2) notices, CAN, etc.), including the date the extract for mailing label was created or the actual date sent.</p>		

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 allowable data values for all fields where the set of possible data values are-is constrained limited to a constrained set of acceptable values.		
S2.36	VoteCal must capture, and store and report vote-by-mail voting status of each voter, including: <ul style="list-style-type: none"> • Type of vote-by-mail voter: one-time, special absentee (e.g., military and overseas – see EC §300), permanent vote-by-mail (EC §3201), and all-mail precinct; • Type of application (e.g., State defined such as on-line, federal form, sample ballot return application, Federal UOCAVA Vote-By-Mail postcard, County vote-by-mail application, etc.); • Date application received; • Source of the application (how received); • Whether or not the application was accepted or denied; and • If denied, the reason for the denial. 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S3	VOTER REGISTRATION: Registrant Search	<p>S3 requirements cover voter registrant searches that will be executed by authorized SOS users or by authorized county elections officials' staff. County elections officials' staff and SOS users may execute searches to research voter registration issues. County elections officials' staff may also execute searches of VoteCal records to resolve list maintenance questions or address other issues that VoteCal transmits through electronic notices, as well as to pre-populate and modify data to submit to VoteCal.</p> <p>Requirements listed in S3 include those that are specific to searches that are executed for list maintenance or research purposes, as well as those that are applicable to any search. Requirements specific to searches that are executed for the purpose of pre-populating data for eventual submission to VoteCal (as a candidate update to a record) are described in S4: Registration Processing.</p>	

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S3.1	<p>VoteCal must allow an authorized user to query and locate an existing record in the system <u>interactively</u>, using any one or a combination of the following criteria:</p> <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 CDL/ID; • Full or partial Registration affidavit number; • Full or partial SSN4; • Full or partial date of birth (DOB) • Place of birth; • Political party preference; • Precinct; and • Political district. 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S3.2	VoteCal must provide ability to include all up to ten (10) years of historical values for <u>name, address, UID, affidavit number, precinct and/or political district data fields</u> in a search, if the user chooses to include historical values <u>such data</u> .		
S3.2.1	In response to a search executed for research or list maintenance purposes, VoteCal must return all high-confidence matches and all potential matches that exceed the minimum matching threshold (See S9: Record Matching and Merging).		
S3.2.2	For any executed search, VoteCal must display the following information, at a minimum, for each match: <ul style="list-style-type: none"> • Full voter name; • UID; • Date of birth; • CDL/ID (if available); • SSN4 (if available); and • Residence address 		

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<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S3.3	<p>For any executed search, VoteCal must, upon user choice, display applicable detail for a presented match, including:</p> <ul style="list-style-type: none"> • historic voter activity data; • historic voting participation data; • historic affidavit images and • historic signature images. 		
S3.4	<p>If a registrant search is estimated 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>		
S3.4.1	<p>If a registrant search is estimated 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>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S3.5	If a registrant search that is executed for list maintenance or research purposes 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.		
S3.5.1	If a registrant search that is executed for list maintenance or research purposes 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.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S4	VOTER REGISTRATION: Registration Processing	<p>All voter registration additions and updates from the county elections officials' staff will be submitted via the 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 EMS, the county elections official's staff may optionally begin with a search of VoteCal records. If the county elections official's staff executes a search of the VoteCal database as an initial step, VoteCal will present a single matched record, if available, that meets or exceeds the high-confidence threshold for that search function. The county elections official's staff may optionally select that matched record for the purpose of pre-populating the data in a new transaction to submit to VoteCal, and then make additions and changes to the data through the EMS. If the county elections official's staff does not search for a match, or if VoteCal does not return a single high-confidence match in response to a search, the county elections official's staff will enter all required data fields for a new transaction.</p> <p>The process described in these requirements refers to the ID Verification process (which is described in more detail in S5: ID Verification), and includes a check for existing records with the same UID as that of the submitted record (as described in S9: Record Matching).</p> <p>The requirements do not include actions the county elections officials' staff would perform within the EMS.</p>	
S4.1	In response to a search that a user executes for purpose of submitting changes to an existing voter registration record, VoteCal must display a "match" result only if there is a single match that exceeds the high-confidence threshold.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S4.2	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, Current Data Validation Rules, for currently known validation rules.)		
S4.3	-Records presented to VoteCal that do not have critical severity data validation errors but have other non-fatal deficiencies must be accepted into the system, with the need for correction of deficiencies recorded. (See Bidder's Library, Current Data Validation Rules, for currently known validation rules.)		
S4.4	VoteCal must provide the capability for authorized users to configure data validations, including adding, modifying, enabling/disabling, and setting severity level. (See Bidder's Library for currently known validation rules.)		
S4.5	VoteCal must submit registration records that were not rejected for critical severity data validation errors to the ID verification (IDV) and UID creation process as described in S5: ID Verification.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S4.6	VoteCal must search for an existing voter record that contains the same validated CDL/ID or SSN/UID as the submitted registration record 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 update the existing voter registration record <u>with information from the submitted record</u> . (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 registration record with the submitted registration record, VoteCal must create a new record for the voter.		
S4.9	VoteCal must determine and indicate whether the voter is required to provide ID when voting in accordance with HAVA Section 303(b) and 42 U.S.C. Section 15483(b)(1), and any other applicable state or federal law. (See Bidder's Library, Current Business Rules, for documentation of currently known business rules.)		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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. (See Bidder's Library, Current Business Rules, for currently known business rules.)		
S4.10.1	When a county submits a change in status of a voter's registration to "cancelled" or "inactive" based on information received locally within the county, VoteCal must automatically accept the change in status and the county-supplied reason for the change. (See Bidder's Library, Current Business Rules, for currently known rules pertaining to cancellation or inactivation of voter registration.)		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S4.11	<u>Within twenty-four (24) hours of completing processing of any new registration, re-registration, or update of name, date of birth, CDL/ID or SSN4 with the resultant new or updated record in "active" status, VoteCal must compare that record against available death records for possible matches, in accordance with the requirements listed in S10: CDPH Death Records. For all voter registration records receiving 'active' status by 11:59:59 p.m. Pacific Time (PT) in a given day, VoteCal must complete matching against known death records and transmit all required electronic notices (as described in requirements in S10: CDPH Death Records) by no later than 7:30:00 a.m. PT the following business day.</u>		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S4.12	<u>Within twenty-four (24) hours of completing processing of any new registration, re-registration, or update of name, date of birth, CDL/ID or SSN4 with the resultant new or updated record in "active" status, VoteCal must compare that record against available felon records for possible matches, in accordance with the requirements listed in S11: CDCR Felon Data. For all voter registration records receiving 'active' status by 11:59:59 p.m. PT in a given day, VoteCal must complete matching against known felon records and transmit all required electronic notices (as described in requirements in S11: CDCR Felon Data) by no later than 7:30:00 a.m. PT the following business day.</u>		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S4.13	<p>Within twenty-four (24) hours of completing processing of any new registration, re-registration, or update of name, date of birth, CDL/ID or SSN4 with the resultant new or updated record in "active" status, VoteCal must compare that record against all other existing VoteCal records for possible duplicates, in accordance with the requirements listed in S12: Duplicate Identification. For all voter registration records receiving 'active' status by 11:59:59 p.m. PT in a given day, VoteCal must complete matching against existing VoteCal records for possible duplicates and transmit all required electronic notices (as described in requirements in S12: Duplicate Identification) by no later than 7:30:00 a.m. PT the following business day.</p>		
S4.14	<p>For all voter registration transactions that do not have fatal data validation errors and are received by 11:59:59 p.m. PT in a given day, VoteCal must receive and store all new images associated with that voter record and not already contained within the database by 7:30:00 a.m. PT of the following business day.</p>		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S5	VOTER REGISTRATION: ID Verification	S5 requirements describe the ID verification that is to occur for every voter registration or re-registration transaction that an EMS submits to VoteCal. The process validates a CA driver's license number, an identification card number or an SSN4 through an interface involving data maintained by California's Department of Motor Vehicles (DMV).	
S5.1	VoteCal must support the existing DMV ID verification (IDV) interface, which operates on a transactional basis. (Refer to the Bidder's Library, ID Verification Interface Specifications, 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, CDL/ID or SSN4, VoteCal must automatically submit the data for validation from the DMV or the Social Security Administration through the IDV interface.		
S5.3	VoteCal must automatically assign the record a unique ID (UID) based on the CDL/ID provided by the DMV if: <ul style="list-style-type: none"> • IDV verifies the provided CDL/ID as an exact match, or • IDV identifies a CDL/ID as a single exact match when no CDL/ID was provided, or when a different CDL/ID was provided. 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S5.4	If the UID that VoteCal would assign based on verified CDL/ID has already been assigned to a different record, VoteCal must generate a UID based on an SOS-approved algorithm. (Refer to the Bidder's Library, Calvoter and Calvalidator Data Standards, for more detailed information on the current version of the SOS-approved algorithm.)		
S5.5	When VoteCal generates a UID based on the SOS-approved algorithm because the UID that would be based on CDL/ID 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/ID- or SSN4-based ID, and one of the involved counties changes a CDL/ID 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/ID- 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 counties.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S5.7	<p><u>When the UID that would be based on CDL/ID or SSN4 is already assigned to another record and both counties verify that the voter registration records with the same CDL/ID or SSN4-based ID information are not the same voter,</u> VoteCal must notify SOS authorized administrators if both counties have verified that two voter registration records with the same verified CDL/ID are not the same voter.</p>		
S5.8	<p>VoteCal must automatically generate a unique ID (UID) for the record based upon an SOS-approved algorithm for SSN4-based UIDs 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 CDL/ID as a single exact match when no CDL/ID was provided. <p>(Refer to the Bidder's Library, Calvoter and Calvalidator Data Standards, for more detailed information on the current SOS-approved algorithm.)</p>		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S5.9	VoteCal must automatically generate a unique ID (UID) for the record based upon an SOS-approved algorithm, if the IDV is unable to either match the provided CDL/ID or SSN4 or identify a single exact match to a CDL/ID. (Refer to the Bidder's Library, Calvoter and Calvalidator Data Standards, for more detailed information on the current SOS-approved algorithm.)		
S5.10	When VoteCal generates a UID that is not based on the CDL/ID, the SOS-approved algorithm for generating that UID 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.		
S5.11	<p>When VoteCal validationID verification cannot be completed at time of VoteCal receipt of the transaction entry, the record must be saved with a generated UID. VoteCal must automatically retry an incomplete ID verification, and if a CDL/ID or SSN4 is verified for the record, VoteCal must:</p> <ul style="list-style-type: none"> • Reassign an appropriate UID to the voter registration record; 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: DMV Transactions	<p>California's current implementation of the National Voter Registration Act (NVRA, or 'motor voter') allows for electronic processing of address changes for existing registered voters. VoteCal will support the existing DMV Change-of-Address (DMV COA) interface and processes, and also to be able to process new registrations from DMV, namely:</p> <ul style="list-style-type: none"> • Attempt to match the records 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 interface with DMV will need to be modified or supplemented to accept digitized signature images as well.</p>	
S6.1	VoteCal must receive voter registration address change data from the DMV in accordance with the National Voter Registration Act (NVRA), EC §2102, EC §2107 and Vehicle Code §12950.5.		
S6.1.1	VoteCal must be able to receive new registrations from the DMV in accordance with the National Voter Registration Act (NVRA), EC §2102, EC §2107 and Vehicle Code §12950.5.		
S6.1.2	VoteCal must receive digitized signature images from the DMV for individuals represented in DMV's transmitted new registration and address change data.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S6.2	VoteCal must attempt to match DMV voter registration change of address (COA) 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.)		
S6.3	<p>For matches of DMV COA transactions against existing voter registration records that meet or exceed the established confidence threshold, 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; and • Update the voter activity history with the basis for registration changes. 		
S6.4	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.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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 basis for determination, in the voter activity history of the matched voter; and Update the existing voter registration record with the new voter registration data received from DMV. 		
S6.6	<p>If a county determines that the potential match of DMV COA transaction to 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 record 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>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S6.8	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.		
S6.9	VoteCal must allow SOS authorized Administrators to record whether or not a county wants the SOS to mail voter registration cards for that county, for DMV COA transactions determined not to match an existing VoteCal record.		
S6.10	VoteCal must have the capability to generate a data extract of addresses for unmatched DMV COA transactions so that voter registration cards can be printed by the State through a third-party mailing house.		
S6.11	VoteCal must attempt to match DMV new voter registrations against existing voter registration records using matching criteria established by the SOS. (See S9: Record Matching and Merging for requirements specific to matching criteria.)		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S6.12	For matches of DMV new registrations against existing voter registration records that meet or exceed the established confidence threshold, VoteCal must automatically: <ul style="list-style-type: none"> • Update the existing voter registration record with the new voter registration data received from DMV; and • Update the voter activity history with the basis for registration changes. 		
S6.13	For matches of DMV new registrations 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.		
S6.14	When a county verifies that a pre-existing voter registration record matches the DMV new registration or COA transaction , VoteCal must: <ul style="list-style-type: none"> • Record that information, including the basis for determination, in the voter activity history of the matched voter; and • Update the existing voter registration record with the new voter registration data received from DMV. 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S6.15	If a county determines that the potential match of a DMV new registration to a pre-existing voter registration record is not valid, VoteCal must update the voter activity history accordingly to indicate the determination that the DMV transaction was not associated with the record and the basis for that determination.		
S6.16	VoteCal must provide authorized users the capability to un-match previously matched DMV new registrations 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.		
S6.17	When a DMV new registration does not match any existing voter registration records, VoteCal must process the registration in accordance with the processes and requirements of S4:		

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 a variety of data points (e.g., voter’s notification of an address change). VoteCal must provide the capability for SOS to 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 VNC 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.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S8	VOTER REGISTRATION: EMS-VoteCal Synchrony Verification	S8 requirements pertain to capability for either authorized county elections officials staff or authorized SOS users 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 and currency of VoteCal and EMS data.	
S8.1	VoteCal must provide authorized <u>users administrators</u> the ability to <u>execute a process that</u> identifies 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 <u>would be</u> limited to: <ul style="list-style-type: none"> • Voter registration data; • Voter participation history data; and • Precinct and political district data. 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S8.2	<p>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. VoteCal must filter, sort and group identified differences between EMS and VoteCal records according to values or ranges of values of one or a combination of the following:</p> <ul style="list-style-type: none">• Date of transaction for the differing data• Registration date on the record• CDL/ID• UID• Date of birth• Registration status• Transaction error code• Electronic notice type• Electronic notice date• Electronic notice status		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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, matches returned in response to a user-initiated search, 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: DMV Transactions and other List Maintenance requirements sets, the focus in S9 is the specification of the matching processes and the merge and unmerge processes.</p>	

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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., user-initiated registrant search for list maintenance/research purposes, user-initiated search for purpose of submitting data additions or updates to VoteCal, VoteCal search for existing record upon receipt of a registration transaction, death record matching, felon record matching, duplicate record checks, NCOA matching, etc.);• Assign “confidence” levels to each criteria set as it applies to each matching function; and• Establish threshold confidence levels required for manual or automatic application of matches for each matching function.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S9.2	<p>VoteCal must allow SOS authorized administrators to establish one or more bases for matching data in a registration record field, including (where applicable):</p> <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.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S9.3	<p>VoteCal must allow SOS authorized administrators to identify a set of matching criteria based on combinations of individual field match settings, such as:</p> <ul style="list-style-type: none"> • First Name- with "Smartnames"; Last Name- first 4 characters; and Date of Birth- same day and month; or • CDL/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"> • Registrant searches for purposes of pre-populating a voter record; • Registrant searches for list maintenance and research purposes; • New registrations and re-registrations Searches for an existing record based on the UID; • Duplicate registration checks; • DMV Motor Voter transaction processing; • • Death record matching; and • Felon record matching. 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S9.5	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.		
S9.6	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 meet a lower "manual" minimum matching threshold, VoteCal must generate electronic notices to the appropriate county for match review and resolution.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S9.7	<p>When evaluating voter records to identify potential matches with other voter records (match within VoteCal), DMV transactions, death records and felon records (e.g., for death, felon, DMV COA, duplicate records), VoteCal must exclude the following from matching and reporting results and notices to counties when same match criteria were used:</p> <ul style="list-style-type: none"> • Previously verified matches; • Previously verified non-matches; and • Previously identified potential matches pending determination. 		
S9.8	<p>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.</p>		
S9.9	<p>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.</p>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S9.10	VoteCal must provide authorized users with the ability to un-merge a single voter 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.		
S10	LIST MAINTENANCE: CDPH Death Records	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.	
S10.1	VoteCal must receive and store new death records from CDPH.		
S10.2	VoteCal must match all new death records received from CDPH against existing voter registration records to identify existing voters that may have died.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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 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	<p>VoteCal must allow an authorized county user to enter its determination that the potential match is valid or invalid into the voter's record.</p>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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 currently known business rules is available in the Bidder's Library, Current Business Rules.)		
		Requirement S10.7 has been deleted.	
		Requirement S10.8 has been deleted.	
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.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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 registration status in accordance with business rules provided in the Bidder's Library. When CDCR data 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 of CDCR records 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).		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S11.3	<p>For matches with new CDCR records that meet or exceed the established confidence threshold, VoteCal must automatically:</p> <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 • Record the basis for that change in the voter's activity record. 		
S11.4	<p>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.</p>		
S11.5	<p>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.</p>		
S11.6	<p>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.</p>		
		Requirement S11.7 has been deleted.	

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
		Requirement S11.8 has been deleted.	
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 HAVA 303 (a)(2)(B), VoteCal must have the capability to identify duplicate voter records and take action 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.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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 sets that meet or exceed the established confidence threshold.		
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
		Requirement S12.6 has been deleted.	
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 regularly scheduled basis. Currently, SOS contracts to receive this service monthly from the California Employment Development Department (EDD). 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.	
		Requirement S13.1 has been deleted.	
S13.2	VoteCal must provide authorized SOS administrators the capability to configure a value 'X', such that the extracts created for NCOA processing are broken into multiple files, each containing a maximum of X records.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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 Change of Address Notice (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	<p>When an 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:</p> <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.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S13.7	<p>When an NCOA -address update has been determined to be valid where the voter has no forwarding address, VoteCal must automatically:</p> <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. 		
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.	
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.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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.		
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.	
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.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S17	VOTER ELECTION DATA	<p>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)).</p> <p>Throughout the Election Cycle period, VoteCal must capture ongoing data changes related to vote-by-mail and provisional voting, to support the voter lookup capabilities on the public website.</p>	
S17.1	<p>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:</p> <ul style="list-style-type: none"> • State defined code for the election; • Election date; • Voting precinct; • How voted (vote-by-mail, early, polling place, or provisional); and • Partisan ballot voted (for primary elections). 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S17.2	<p>Prior to an election, VoteCal must import <u>receive</u> data from the EMS that enables a user to determine the following data for each registered voter:</p> <ul style="list-style-type: none"> • Voting precinct assignment for the election; and • Polling place assignment for the election 		
S17.3	<p>VoteCal must capture and store the following vote-by-mail data <u>for registered voters</u> for every election:</p> <ul style="list-style-type: none"> • Date that a voter was mailed a vote-by-mail ballot; • Manner in which the vote-by mail ballot was transmitted to the voter; • When the vote-by-mail ballot was received by the elections official; • Method of return of vote-by-mail ballot (e.g., mail, fax, etc.); • Form of voting (e.g., county issued vote-by-mail ballot or federal write-in vote-by-mail ballot); • Whether the ballot was accepted or rejected; and • If rejected, the reason for that rejection. 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S17.4	For registered voters who vote a provisional ballot in an election, VoteCal must capture and store whether or not the provisional ballot was counted and, if not, the reason it was not counted.		
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 by the EMS. 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.		
S18.1.1	VoteCal must capture and store county-defined local districts (e.g., school districts, water boards) and must be able to identify, from the voter’s home precinct, the voter’s membership in such districts.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S18.2	VoteCal must validate updates to precinct-district mapping against configurable data validation standards. (See Bidder's Library, Calvoter and Calvalidator Data Standards, for information on current data validation standards.)		
S18.3	VoteCal must notify county and SOS administrators of "orphan" precincts or political districts (e.g., home precincts without required political district assignments), and of "orphan" voter registration records (lacking a valid home precinct assignment).		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
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 Report of Registration (ROR), which is a statistical abstract of party registration by political district.	
S19.1	<p>VoteCal must allow authorized SOS administrators to define <u>and document changes to</u> political parties. For each such party, the systemVoteCal must <u>track and report-capture and store</u> 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. 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S20	SOS PROCESSES: Report of Registration (ROR)	<p>The 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 ROR will be extracted and compiled based on VoteCal data.</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 must enable 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.</p>	
S20.1	VoteCal must provide authorized SOS Administrators the ability to view ROR completion status ('county entry of voter registrations not completed', 'county entry completed,' 'data extracted') for any county.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
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 VoteCal 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.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S20.6	<p>VoteCal must support calculation and production of the following summary statistics for ROR component reports:</p> <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 <p>(See Bidder's Library, Example Report of Registration, for examples of ROR components.)</p>		
S20.7	<p>Once ROR data has been captured for a county, VoteCal must allow an authorized county user to request and receive EMS to import from VoteCal the ROR statistics captured for that county, as well as information on whether or not the ROR has been 'finalized'.</p>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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. (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 extract was generated, indicating the date of the extract and whether SOS or the county 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.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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	<p>VoteCal must allow authorized SOS administrators and authorized county users to input, track and review Public Voter Registration Data Requests (PVRDRs), including:</p> <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; 		

<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">Criteria used to select/exclude records for the extract; andFilename(s) and number of records provided in the extract.		
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 occurredTime the event occurredFree form notes of activities and events		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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;• Current or historic date of registration;• Age (before or after a specified date of birth, or within a specified range of dates of birth);• Gender;• Language preference;• Voting participation history; and• Political district (such as Congressional District, State Assembly District, County Supervisorial District, etc.).		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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;• Effective date of registration;• Date of birth;• Place of Birth;• Registration status; and• Registration method.		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S22.5	<p>In fulfillment of a PVRDR that requests inclusion of voter participation history for 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>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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 an extract in multiple related tab-delimited text files that includes the following fields/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>		
S22.7	<p>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.</p>		
S22.8	<p>VoteCal must provide the ability to record the salted record(s) associated with each PVRDR.</p>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
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	<p>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:</p> <ul style="list-style-type: none"> • County of residence; • City of residence; • Political district (such as Congressional District, State Assembly District; County Supervisorial District, local school district, etc.). <p>(See Bidder's Library, Calvoter and Calvalidator Data Standards, for current state and federal districts and associated codes.)</p>		
S23.2	<p>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 an authorized administrator (e.g., select every 39th record after record #17).</p>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S23.3	<p>VoteCal must provide the ability for authorized SOS administrators to track requests for Jury Wheel Extracts (JWEs), including:</p> <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 to provide online voter registration and self-service lookup of registration status and ballot status.	
S24.1	For privacy purposes, the VoteCal public website must require an individual accessing the website to provide sufficient personally identifiable 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 personally identifiable information must be configurable by an authorized administrator, such as: first name, date of birth, house number and zip code.		
S24.2	<p>The VoteCal public website must allow a voter to determine:</p> <ul style="list-style-type: none"> • Whether he or she is registered to vote; • Whether he or she has requested not to be mailed the Voter Information Guide; • Whether or not voter is registered as a permanent vote-by-mail or one-time mail ballot voter; and • Political party preference. 		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S24.3	The VoteCal public website must support on-line voter registration pursuant to EC §2196 and other applicable state and federal law, including new registration and updates to an existing registration.		
S24.3.1	The VoteCal public website must allow a voter to determine: <ul style="list-style-type: none"> • His or her eligibility to vote in an upcoming election; • His or her voting precinct for an election; and • His or her polling place for an election. 		
S24.3.2	The VoteCal public website must allow a voter to request not to be mailed (“opt out” of receiving) a Voter Information Guide, and allow a voter to undo a prior “opt out” request.		
S24.4	The VoteCal public website must allow voters who have voted a provisional ballot to determine if their ballot was counted and, if not, the reason it was not counted.		
S24.5	The VoteCal public website must allow voters who have voted a vote-by-mail ballot to determine if their ballot was accepted and, if it was rejected, the reason it was rejected.		

Req. #	Mandatory VoteCal System Business Requirement	Proposed Solution Description	Supporting Documentation Reference
S24.6	The data on voters' registration status and ballot status that VoteCal displays on the public website (Requirements S24.3.1, S24.4, S24.5) must be current as of a point in time that is no more than twenty-four (24) hours prior to the time of the user's query.		
S24.7	The voter registration status and ballot status data that are accessible and queried through the VoteCal public access website data must not change during a user's execution of a query.		
S24.8	<p>All VoteCal web pages and functions provided to meet these requirements must be available in English as well as other languages required by the Voting Rights Act, EC §2300(a)(8) or that are deemed necessary by the Secretary of State for language minority groups. These languages currently include Spanish, Chinese, Japanese, Korean, Tagalog, and Vietnamese.</p> <p>(SOS will be responsible for providing the required translations.)</p>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S25	AFFIDAVIT ISSUANCE TRACKING	For fraud detection and prevention purposes, VoteCal must capture data related to the issuance of voter registration cards to individuals and organizations who conduct registration drives, relating the identifiers of issued affidavits to voter registration records.	
S25.1	<p>VoteCal must capture and store information related to SOS issuance of blank voter registration affidavits to an individual or organization and returns of blank affidavits to SOS, including:</p> <ul style="list-style-type: none"> • The name and contact information for the person who requested the affidavits; • The name of the requesting organization if any; • The date of issuance of blank affidavits; • The date of edit or correction to a record of issuance of blank affidavits; • The date of return of blank affidavits from a prior issuance; and • The number range of affidavits issued or returned. 		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S25.2	<p>VoteCal must capture and store data from the EMS regarding county issuance of blank voter registration affidavits to an individual or organization and return of blank affidavits to the county, including:</p> <ul style="list-style-type: none">• The name and contact information for the person who requested the affidavits;• The name of the requesting organization if any;• The date of issuance of blank affidavits;• The date of edit or correction to a record of issuance of blank affidavits;• The date of return of blank affidavits from a prior issuance; and• The number range of affidavits issued or returned.		
S25.3	<p>VoteCal must enable an authorized user to input a specific affidavit number or a range of affidavit numbers and retrieve the individual(s) or organization(s) to which the affidavit(s) was/were issued.</p>		

<i>Req. #</i>	<i>Mandatory VoteCal System Business Requirement</i>	<i>Proposed Solution Description</i>	<i>Supporting Documentation Reference</i>
S25.4	VoteCal must, upon authorized user's input of a specific affidavit number or a range of affidavit numbers, display all voter registration records that were created or updated based on each affidavit, including the data described in requirement S3.2.2 for each voter registration record.		

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 – Proposed System and Business Processes as well as Table VI.1 - Mandatory VoteCal System Requirements, Functionality Reference, and Requirement Response Form.

All identified requirements are Mandatory requirements and are required in Draft Proposals and must be addressed in Final Proposals. Proposals will be evaluated on the quality of the response and solution for each requirement.

This is a "solution-based procurement," and SOS is expecting Bidders to develop an appropriate solution to meet the business requirements listed in Section VI.D – Business Functional Requirements and the technical requirements described in this subsection.

The Bidder is required to respond to each technical requirement listed Table VI.2 using the table provided. 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.

Bidders shall provide a narrative response for each requirement individually, consisting of, for each requirement:

- 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 for 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 EMS' 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 EMS' must be implemented using XML; a removable converter must be used to communicate with non-XML partners.		
T3	SYSTEM AVAILABILITY AND BACKUP/RECOVERY		
T3.1	VoteCal must provide interfaces for the backup of data, operating systems, application code and configuration of all components.	Requirement T3.21 has been deleted.	
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 VoteCal must back up data, operating systems, application code and configuration of all components to an SOS-designated Backup and Restore site on an SOS-defined periodic basis in full and on an incremental, differential or item basis.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
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 two (2) hours of <u>committed data (i.e., data added to the database)</u> is lost in the event of <u>any</u> system failure or system component failure <u>regardless of the cause of failure.</u>		
T3.5	VoteCal must allow for routine maintenance to be performed while the system is online and meeting all performance <u>and availability</u> requirements <u>described in this RFP (see T3: System Availability and Backup/Recovery and T4: Performance and Capacity in Table VI.2 – VoteCal Technical Requirements and Response Form).</u>		
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 Contractor's expense and in compliance with appropriate State policies and procedures. Existing load on the facility's uninterruptible power supply (UPS) is at 68%. If addition of VoteCal to the facility increases load beyond 70%, Bidder must propose augmentation of the UPS. (See the Bidder Library for general information on physical facilities and operating parameters.)		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T4	PERFORMANCE AND CAPACITY		
T4.1	VoteCal must <u>be capable of supporting</u> and <u>maintaining</u> , concurrently, two thousand (2,000) county and SOS end users, <u>plus four thousand six hundred fifty (4,650) users of online registration (creation or update of voter registration records) through the public access website,</u> while meeting all other requirements stated in this RFP.		
<u>T4.1.1</u>	<u>VoteCal must support and maintain, concurrently, five thousand (5,000) users of online registration (creation or update of voter registration records) through the public access website, while meeting all other requirements stated in this RFP.</u>		
<u>T4.1.24</u>	The VoteCal public access website functions for retrieval of voter registration status and related data (e.g., assigned polling place, vote-by-mail ballot status, provisional ballot status) must support and maintain <u>ten thousand five hundred twelve thousand (40,500,12,000)</u> concurrent users while meeting all other requirements stated in this RFP.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T4.1.23	<p>VoteCal must support the following peak transaction volumes concurrently in <u>any</u> ten (10) second period <u>of SOS choosing</u>, while meeting all other requirements stated in this RFP:</p> <ul style="list-style-type: none">• Three thousand (3,000) county- and SOS-initiated transactions (e.g., EMS data transmittal of new and updated voter registration data, search for existing records, data retrieval for a record)• Fifteen (15) ongoing processes involving sequential updates of multiple records (e.g., roster generation, extracts for mailing that require update to the voter record, updates of voter participation history, updates on voter vote-by-mail status, voter precinct reassignments)• <u>Eight-Six</u> hundred (8600) online registrations (creating and updating voter registration data through the public access website)		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T4.1.34	<p>VoteCal must support the following sustained transaction volumes concurrently over <u>any</u> period of three (3) continuous hours <u>of SOS' choosing</u>, while meeting all other requirements stated in this RFP:</p> <ul style="list-style-type: none"> • Twenty-four hundred (2400) county- and SOS-initiated transactions (e.g., EMS data transmittal of new and updated voter registration data, search for existing records, data retrieval for a record) every ten (10) seconds • Eight-Twelve (812) ongoing processes involving sequential updates of multiple records (e.g., roster generation, extracts for mailing that require update to the voter record, updates of voter participation history, updates on voter vote-by-mail status, voter precinct reassignments) • Six hundred twenty five <u>Five hundred (625500)</u> online registrations (creating and updating voter registration data through the public access website) every ten (10) seconds 		
T4.2	<p>VoteCal must support the following peak transaction volumes during <u>any</u> ten (10) second period <u>of SOS' choosing</u>, while meeting all other requirements stated in this RFP:</p> <ul style="list-style-type: none"> • Two thousand six hundred (2600) online retrievals of voter registration status and related data (e.g., vote-by-mail ballot status, provisional ballot status, and assigned polling place) • A combination of S <u>sixty (60)</u> report executions, extract requests, and county synchronization processes 		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T4.2.1	<p>VoteCal must support the following sustained transaction volumes concurrently over <u>any</u> period of three (3) continuous hours <u>of SOS choosing</u>, while meeting all other requirements stated in this RFP:</p> <ul style="list-style-type: none"> • Two thousand fifty (2050) online retrievals of voter registration status and related data (e.g., vote-by-mail ballot status, provisional ballot status, and assigned polling place) every ten (10) seconds • Twenty-Fifty(2050) report executions, extract requests, and county synchronization processes ongoing per each ten (10) second period over the three (3) continuous hours 		
T4.3	VoteCal must support forty million (40,000,000) voter records as implemented under this contract.		
T4.4	VoteCal must be able to scale to one hundred million (100,000,000) voter records, while maintaining system performance as specified in these requirements, with the addition of hardware, operating system and Third-Party 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.	Requirement T4.5 has been deleted.	
T4.6	VoteCal must provide the capacity to store an average of ten (10) affidavit images and ten (10) signature images for each voter registration record.		
T4.7	VoteCal must provide the capacity to store an average of ten (10) pages of attached documents per voter registration record.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
		Requirement T4.8 has been deleted.	
T4.9	VoteCal must complete List Maintenance Record Matching, automatic cancellation of voter records, and sending electronic notices to counties for CDPH Death Data and CDCR Felon Data within twenty-four (24) hours of availability of external CDPH or CDCR data files, as measured at the SOS LAN/WAN boundary located at the SOS Sacramento office.		
T4.10	VoteCal must complete List Maintenance Record Matching, automatic merging of voter records, and sending electronic notices to counties for statewide Duplicate Identification within twenty-four (24) hours from the start of scheduled processing, as measured at the SOS LAN/WAN boundary located at the SOS Sacramento office.		
T4.11	VoteCal must complete each county-initiated addition of or update to a voter registration record – including completing the ID verification process described in S4: Registration Processing and S5: ID Verification, checking for existing record with same ID in VoteCal, applying all data validation rules and business rules, and sending electronic notice to the county - within ten (10) seconds of receipt of the initiating county transaction, as measured at the SOS LAN/WAN boundary located at the SOS Sacramento office.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T4.11.1	VoteCal must complete each addition of or update to a voter registration record initiated through the public access website the voter identify verification through IDV prior to voter entry of the affidavit data, and the post-entry processing of the affidavit for online voter registration – including <u>ID verification</u> , checking for existing registration record with the same ID in VoteCal, applying all validation rules and business rules, and sending electronic notice to the county – <u>within no more than</u> ten (10) seconds aggregated time <u>after receipt of the website user's information</u> , as measured at the SOS WAN/LAN boundary located at the SOS Sacramento office.		
T4.11.2	VoteCal must complete processing and response to all voter inquiry transactions against the VoteCal public website for voter registration status and related data (e.g., vote-by-mail ballot status, provisional ballot status, and assigned polling place <u>and whether voter has opted out of receiving a VIG</u>) within ten five <u>(405)</u> seconds, as measured at the SOS WAN/LAN boundary located at the SOS Sacramento office.		
T4.12	VoteCal must complete execution and return all results for queries needed to generate <u>pre-defined</u> VoteCal reports within five (5) minutes, as measured at the SOS LAN/WAN boundary at the SOS Sacramento office (see Bidder's Library, VoteCal Reports Description, for description of <u>pre-defined</u> VoteCal reports).		
T4.13	VoteCal must complete execution and return all results from a synchronization check between VoteCal and EMS within five (5) minutes for each one million (1,000,000) records checked, as measured at the SOS LAN/WAN boundary located at the SOS Sacramento office.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T4.14	VoteCal must complete processing of DMV COA data, including automatic updates to voter records and sending data to counties, within twenty-four (24) hours of the availability of DMV COA data, as measured at the SOS LAN/WAN boundary located at the SOS Sacramento office.		
T4.15	VoteCal must complete processing of NCOA matching results – including import of NCOA data, evaluation of NCOA results, and transmittal of required electronic notices to counties – within five (5) minutes of NCOA data availability for each one million (1,000,000) records available, as measured at the SOS LAN/WAN boundary located at the SOS Sacramento office.		
T4.16	VoteCal must extract VoteCal data for submittal to the NCOA matching process <u>at a rate of at least within five (5) minutes for each</u> one million (1,000,000) records <u>extracted every five (5) minutes</u> .		
T4.17	For searches utilizing the UID field <u>or the CDL/ID field</u> , VoteCal must complete execution and return all results within <u>five-two (52)</u> seconds, as measured at the SOS LAN/WAN boundary located at the SOS Sacramento office.		
T4.18	For searches not utilizing the UID field <u>or the CDL/ID field</u> , VoteCal must complete execution and return results for the first one thousand (1,000) records within ten (10) seconds, as measured at the SOS LAN/WAN boundary located at the SOS Sacramento office.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T4.19		Requirement T4.19 has been deleted.	
T4.20	VoteCal must provide the capability to retrieve archived audit log data within 48 hrs.		
T5	PUBLIC INTERNET ACCESS		
T5.1	VoteCal public web pages must adhere to SOS web publishing standards. (Refer to the Bidder's Library, Web publishing standards, for current web publishing standards.)		
T5.2	VoteCal 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) and User Agent Accessibility Guidelines (current version as of the start of the Phase II Design) developed by the World Wide Web Consortium (W3C).	Requirement T5.2 has been deleted. See requirement T10.6.	
T5.3	All web pages must accept application of an SOS-provided 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.		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
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 (WAN) for connectivity between the central site, county nodes, and other interfaces. Bidder must propose any changes to WAN hardware, software or configuration management components as part of the solution. If awarded the Contract, Bidder -must supply any changes to the WAN at its own expense, and must support <u>provide for the maintenance of the additions-changes</u> at its own expense – <u>excluding one-time and monthly telecommunications costs and administrative support for WAN hardware, software and configuration management components</u> – through Phase VII – First Year Operations and Close-out and up to five (5) years thereafter if SOS exercises the five (5) one-(1-) year contract extension options. (WAN and LAN network summaries can be found in the Bidder's Library, Network summary.)		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T6.3	<p>VoteCal must utilize the existing SOS local-area-network (LAN) for connectivity between VoteCal components and the existing SOS infrastructure. Bidder must propose (any changes to; hardware, software or configuration management components as part of the solution. If awarded the Contract, Bidder must supply any changes to SOS LAN components at its own expense, and must support the additions at its own expense – excluding administrative support for LAN hardware, software and configuration management components – through Phase VII – First Year Operations and Close-out and up to five (5) years thereafter if SOS exercises the five (5) one-(1-) year contract extension options. (WAN and LAN network summaries can be found in the Bidder's Library, Network summary.)</p>		
T7	AUDITING REQUIREMENTS		
T7.1	<p>VoteCal must log all attempts by authenticated intranet users to access voter registration data. 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.</p>		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T7.2	<p>VoteCal must capture and store for all changes of data, the following information for audit and review, including:</p> <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	<p>VoteCal must provide a mechanism-graphical user interface for authorized SOS administrators to search, view, and print VoteCal audit log data that can include be filtered-filtering and sorted sorting by any field or combination of fields. Filtering must support wild card searches and range of data where applicable.</p>		
T7.4	<p>VoteCal must provide authorized SOS administrators the capability to archive audit log entries prior to a given date of change and to retrieve archived data according to configurable criteria.</p>		
T8	CODING AND ERROR HANDLING REQUIREMENTS		
T8.1	<p>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.</p>		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T8.2	<p>VoteCal must log all system processing errors, which must capture all relevant information for each error, including:</p> <ul style="list-style-type: none"> • Date/time; • User name; • Stack trace information; • Module/source; and • Error description. 		
T8.3	<p>VoteCal must provide a mechanism graphical user interface 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.</p>		
T8.4	<p>VoteCal user interfaces must provide user error messages that clearly communicate the following to the user:</p> <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 Contractor support staff (VoteCal must allow this information to be suppressed in production environments); and • What Action that the user can do should take in order to that will most directly and immediately correct the error (if applicable). 		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T8.5	VoteCal must provide a mechanism for a real-time alerts (e.g., email, pager alert, etc.) to authorized SOS administrators and support staff upon each occurrence of configurable system one of a set of pre-defined application events.		
<u>T8.6</u>	<u>VoteCal must provide a user interface for authorized SOS administrators to configure</u> <ul style="list-style-type: none"><u>the specific events for which alerts will be provided;</u><u>for each event, the administrator(s) and/or staff who will receive an alert; and</u><u>for each combination of event and administrator(s) or staff, the method of transmittal of the alert (e.g., email, phone or pager alert, etc.).</u>		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T9	REPORTING/QUERYING REQUIREMENTS		
T9.1	<p>VoteCal must allow authorized SOS Administrators to query VoteCal data with a leading third party querying or reporting (business intelligence) tool, such as Crystal Reports, Windward, I-net Clear Reports, SQL Report Builder, Web Reports, Cognos, Business Objects, etc. (Note that examples cited in this requirement are for illustration only and do not imply a preference for any particular database or report writer solution.)</p> <ul style="list-style-type: none"> • For purposes of this requirement the data VoteCal displays in response to an executed report query must be current as of a point in time that is not more than twenty-four (24) hours prior to the time of query execution. • For purposes of this requirement the data must not change during query execution. 		
T9.2	<p>VoteCal must provide views (virtual tables) to support creation and execution of each report that SOS will develop (see Bidder's Library, VoteCal Reports Description, for description of VoteCal reports to be developed by SOS).</p>		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
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. (Refer to the Bidder's Library, SOS Infrastructure Overview, for information on existing SOS monitoring tools.)		
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 <u>and context-sensitive</u> electronic context-sensitive help function that can be accessed both from the <u>relevant application</u> function in question and independently from a <u>help</u> menu.		
<u>T10.3.1</u>	<u>VoteCal must allow an authorized user to access and view help information from an application function without having to exit or close the application function.</u>		
<u>T10.3.2</u>	<u>The information that VoteCal provides through either the electronic help function menu or in a context-sensitive manner must include field-specific information on required data content and data format as well as general information about each application function and application screen or page.</u>		

Req. #	Technical Requirement Text	Proposed Solution Description	Supporting Documentation Reference
T10.3.3	VoteCal's electronic help function content must be cross-referenced, allowing an authorized user to view and access content on help topics and subtopics that are related to the help topic or subtopic that the user is currently viewing.		
T10.4	VoteCal must provide a Help table of contents, multiple (up to 15) index levels, and full text search.		
T10.5	The VoteCal help index levels, index values, help content and hierarchy of index values and associated help content must be configurable by an authorized SOS administrator for all general, function-specific and field-specific help topics and subtopics.		
T10.6	VoteCal functions and features must conform to accessibility standards cited in <ul style="list-style-type: none"> • California Government Code Section 11135: • Section 508 of the United States Rehabilitation Act: and • Web Content Accessibility Guidelines 2.0 (W3C World Wide Web Consortium Recommendation WCAG 2.0 12/2008, Level A & Level AA Success Criteria). 		

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Exhibit VI.1 – Project Management 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 IX – EVALUATION AND SELECTION

A. INTRODUCTION

The procurement process is a multi-step process to determine the most responsible and responsive Proposal that offers “best value” business solution to the California Office of the Secretary of State (SOS). A “best value” evaluation does not emphasize least cost at the exclusion of other factors. It is a balanced assessment consisting of cost and perceived risk matched to the business needs.

This section discusses the process the SOS will follow in evaluating Proposals submitted by Bidders in response to the Request for Proposal (RFP) and the criteria to be used in evaluating Proposals. For purposes of this Section, when the term “Proposal” is used without further specification (e.g., without stating “Draft Proposal”) it is intended to refer to any of the three Bidder Proposal submissions (i.e., Pre-qualification Package, Draft Proposal, and Final Proposal). The selection process includes a pre-qualification phase, which includes submission and SOS evaluation of Bidder Pre-qualification Packages. This RFP section provides information about some elements of the evaluation and selection of Pre-qualification Packages. Additional information about the pre-qualification phase is provided in Section V.B – Bidder Pre-qualification. The selection process also includes review of the Draft Proposals, with confidential discussions where SOS provides feedback to each Bidder, followed by a scored evaluation of Final Proposals.

Bidders are required to thoroughly review all RFP requirements to ensure that the Proposal and the proposed approaches and plans are fully compliant with RFP requirements and thereby avoid the possibility of being ruled non-responsive. If the Evaluation Team finds that a Final Proposal has a material deviation from specified requirements, the Proposal may be considered non-responsive and may not be considered for award.

If the Evaluation Team determines that an acceptable, responsive and responsible Proposal has been submitted, contract award will be made to the Bidder that is considered to provide the best value business solution, which balances business functionality, service delivery and risks, and ultimately reduces SOS's costs to provide the VoteCal functions.

B. VOTECAL EVALUATION TEAM

This procurement is being conducted under the guidance of a Department Official from the Department of General Services (DGS). (Refer to RFP Section I.D – Department Official.)

SOS has established an Evaluation Team of voter registration and information technology staff along with the Project Manager. The Department Official will serve as a contact point with the Bidder for questions and clarification, and identifies the rules governing the procurement. SOS may engage additional qualified individuals or subject matter experts during the evaluation process to assist the team in gaining a better understanding of technical, financial, legal, contractual, or program issues. These other individuals do not have voting privileges or responsibility for the evaluation process, but they will serve in an advisory capacity.

C. REVIEW OF DRAFT PROPOSALS

Once SOS has selected pre-qualified Bidders (see Section II – Rules Governing Competition and Section V.B – Bidder Pre-Qualification), the SOS requires Bidders to submit Draft Proposals that will be used as the basis for the second set of Confidential Discussions. Draft Proposals must describe the Bidder's proposed solution, **without costs**. Draft Proposals will be deemed non-responsive if submitted with costs.

D. EVALUATION AND SCORING OF PROPOSALS

Each Pre-Qualification, Draft Proposal and Final Proposal received by the corresponding date and time specified in the RFP Section I.F - Key Action Dates will be date and time marked as it is received by the SOS Department Official listed in RFP Section I.D – Department Official and verified that all responses are submitted under an appropriate cover, sealed and properly identified. Proposal Cost Volumes (Volume III) in the Final Proposal will remain sealed until the designated time for opening (after scoring has been finalized for all other Proposal evaluation areas).

The purpose of this Section of the RFP is to outline how the points will be awarded and how a winning Final Proposal will be selected in an impartial manner that preserves the integrity of the competitive procurement process. During Proposal Evaluation, failure to respond to a mandatory requirement is considered to be non-responsive and may be considered a material deviation. A material deviation is considered a fatal error and may result in Bidder disqualification.

An overview of the evaluation and selection process is described in the six (6) steps that follow immediately below. The first three (3) of these steps describe the evaluation of Pre-qualification Packages as well as Draft and Final Proposals. Later steps pertain to the evaluation of the Draft Proposals and to the evaluation and selection of Final Proposals only.

1. **Preliminary Review and Validation (Pass/Fail)**

All Proposals received by the time and date specified in Section I.F - Key Action Dates, will be acknowledged as having been received at that time. For Final Proposals, Volume III - Cost Data shall remain sealed and in the possession of the SOS Department Official listed in RFP Section I.D – Department Official until the evaluations of Volume I have been completed for all Bidders. The Final Proposals will be checked by the Department Official for the presence of proper identification and the presence of required information, in conformance with the bid submittal requirements of this RFP, Section VIII – Proposal Format. Absence of required information may deem the Proposal non-responsive and may be cause for rejection.

2. **Administrative Requirements Review (Pass/Fail)**

With the exception of the two designated as desirable, all Administrative Requirements in RFP Section V – Administrative Requirements are mandatory. Review of the detailed Proposals will begin with ensuring that the Bidder has responded to all Administrative Requirements (in RFP Section V – Administrative Requirements) that are indicated as mandatory for the appropriate Proposal (Pre-Qualification, Draft Proposal, or Final Proposal).

All Proposals passing the Administrative Requirements Review will proceed to the Bid Evaluation and Scoring described in Section IX.E – Response Evaluation Process and Determination of Score, below. All Proposals that fail to submit responses to the mandatory Administrative Requirements will be rejected. (NOTE: At this step, the evaluation of the response is to determine that the Bidder has provided the information (e.g., references). The qualitative evaluation will occur when requirements are evaluated against the scoring criteria summarized in Section IX.D.3 below and described in detail in Section IX.E – Response Evaluation Process and Determination of Score.

3. **Response Evaluation Categories and Scoring (Maximum Score = 14,000)**

The VoteCal Evaluation Team will review and evaluate the Bidder's response to requirements described in Section V – Administrative Requirements and Section VI – Project Management, Business and Technical Requirements. The evaluation of Draft and Final Proposals will address all requirements listed below; evaluation of Pre-Qualification submissions will address a subset of these requirements as described and listed in Section V.B – Bidder Pre-Qualification.

All Project Management, Business and Technical Requirements are mandatory, and are described in Section VI. Bidder and Staff Qualifications include mandatory and desirable requirements, and are described in Section V – Administrative Requirements. For each category, points will be awarded based on the Bidder's response or references. The points awarded for a category will be

translated into the Bidder's score for that category based on the percentage of the points actually awarded compared to the total points possible for that category. The maximum score possible for the evaluation of the Proposal response to the various requirements is 14,000 for Draft Proposals and Final Proposals. Table IX.1 summarizes the breakdown of maximum score for each category to be evaluated. Note that Pre-Qualification packages will contain only a subset of the categories listed below in Section V.B – Bidder Pre-Qualification (Mandatory).

Table IX.1 Bid Evaluation Categories & Scoring

Evaluation Category	Maximum Score	Requirement Number(s)	RFP Section Reference(s)
Project Management Activities and Plans	3100	P1-P7	VI.B.1
Training	300	P8	VI.B.2
Testing plan	800	P9	VI. B.3
Data Integration Plan	1000	P10	VI.B.4
VoteCal Architecture	3000	P11	VI.B.5
VoteCal System Business Requirements	Pass/Fail	S1.1 – S24.3	VI.D, Table VI.1
VoteCal Technical Requirements	Pass/Fail	T1.1 – T10.4	VI.E, Table VI.2
Bidder Firm Qualifications & References			
<ul style="list-style-type: none"> Bidder Qualifications and References (Mandatory) 	2300	A9	V.B.3.B and V.C.3. JK , Exhibit V.5.a
<ul style="list-style-type: none"> Bidder Qualifications and References (Desirable) 	700	A10	V.B.3.C and V.C.3. KL , Exhibit V.5.b
Proposed Staff Qualifications			
Mandatory Staff Qualifications	Pass/Fail	A11	V.B.3.D and V.C.3. LM , Exhibits V.6, V.7
Desirable Staff Qualifications	800	A12	V.B.3.E and V.C.3. MN , Exhibits V.6, V.7
Key Project Staff References	1000	A11 and A12	V.B.3.D-E and V.C.3. KM- LN , Exhibits V.6, V.7 and IX.E.10
Project Organization	1000	A20	V.C.3. MO
TOTAL POSSIBLE SCORE:	14,000		

4. Minimum Score Threshold to Proceed to Cost Opening

All Final Proposal Submissions with a combined score for Project Management, Business and Technical Requirements of 9,800 or higher (70% of the Maximum Total Score) for these evaluation sections) will proceed to the cost opening. Bidders that do not meet this minimum level score will be eliminated from further consideration due to their solution being of insufficient quality, completeness, clarity, or thoroughness, as reflected in the scores.

5. Cost Opening and Cost Assessment (Maximum Score = 6,000)

The opening of Proposal costs will be conducted in public for all Proposals that meet or exceed the threshold score for Requirements responses. After opening, all bids will be validated to verify that they are complete and free of math errors. If appropriate, errors will be corrected in accordance with Section II.D.8.d – Errors in the Final Proposal.

After applying all preference points, the lowest cost Proposal will receive the maximum score of 6,000. All other Proposals will receive a portion of that score based on the formula identified in Section IX.F – Cost Assessment below.

6. Determination of Winning Proposal

The total score (Requirements and Costs) will be calculated for each Proposal. As appropriate, all necessary adjustments for Small Business Preferences and Disabled Veteran Business Enterprise (DVBE) incentive points will be calculated and applied to determine the Final Score for each Proposal.

E. Response Evaluation Process and Determination of Score

Section IX.E – Response Evaluation Process and Determination of Score explains the evaluation approach and scoring methodology for each requirement of this RFP. For each requirement (or set of requirements), the evaluation process and the scoring is explained. In cases where the scoring is complex (e.g., because the maximum total raw “points” that a Bidder may earn does not map directly to the maximum score), an example is provided to illustrate. When a score is calculated by applying a percentage or other weight against “raw” points, the resulting score will be rounded to two decimal places (e.g., a result of 86.666667 would be rounded to 86.67).

1. Project Management Activities and Plans – P1 through P7 (Maximum Score 3100)

a. Introduction

RFP Section VI.B.1 - Project Management Activities and Plans describe requirements P1 through P7. Bidders must provide narrative responses to all requirements P1 through P7, as described in Section VI.B.1.

Scoring of the Project Management Activities and Plans requirements will be based on the Evaluation Team’s assessment of the probability that a Bidder’s proposed approach will result in successful implementation at an acceptable risk level. The Bidder’s project plans, implementation methodologies, and schedule will be evaluated to determine points awarded for responses to requirements P1 through P7.

Requirements in this section are all governed by the State Information Management Manual (SIMM). The project is using Project Management Body of Knowledge (PMBOK) methodology to address risk and issue management.

Table IX.2 below summarizes the maximum score for each of the seven requirements in this area:

**Table IX.2 Project Management Activities and Plans:
Maximum Score per Requirement**

Requirement	Maximum Score
P1: Project Management Plan	400
P2: Schedule Management and Project Schedule	500
P3: Quality Management Plan	300
P4: Software Version Control, System Configuration Management, and Document Management	500
P5: Requirements Traceability Matrix	400

Requirement	Maximum Score
P6: Implementation and Deployment Plan	600
P7: Organizational Change Management Plan	400
Total: Project Management Activities and Plans	3100

b. EVALUATION PROCESS

For each requirement, the Evaluation Team will award points using the criteria detailed in Table IX.3 below.

Table IX.3 Criteria for Award of Points for Project Management Activities and Plans (P1 through P7)

Percent of Points	Criteria
100%	Response meets or exceeds all elements of the requirement and clearly demonstrates a thorough understanding of project management to the extent that a timely and high quality project management performance is anticipated. Bidder's on-site time, plans, and timeline are based on industry standards as well as relevant State standards and level of Bidder's resource commitment is high.
75%	Response meets at least seventy-five percent (75%) of the elements of the requirement and demonstrates project management processes that conform to industry standards, but with weaknesses that are considered minimal and can be mitigated. For example, Bidder's on-site time, plans, timeline, and level of resource commitment are adequate but may require additional State resources.
50%	Response meets at least fifty percent (50%) of the elements of the requirement for project management with weaknesses that are considered moderate and resolvable but will require more involvement by SOS to mitigate potential risks. For example, Bidder's on-site time, plans, and timeline may be inadequate and will require additional SOS resources to reduce risk.
10%	Response meets at least ten percent (10%) of the elements of the requirement for industry-standard project management practices with identified weaknesses that will require significant resources from SOS to mitigate and ensure project success. For example, Bidder's plan does not demonstrate a strong knowledge of managing a complex project such as VoteCal and indicates high risk.
0%	Response meets less than ten percent (10%) of the elements of the requirement and does not demonstrate thorough knowledge of managing projects of this size, scope, and complexity.

Table IX.4, below, identifies the factors to be considered per requirement, and the maximum points possible for that requirement. Note each bullet is equally weighted within that requirement.

Table IX.4 Project Management Activities and Plans (P1 through P7) – Evaluation Factors and Maximum Points per Requirement

Reqmt. #	Requirement and Evaluation Factors	Max Points Possible
P1	<p>Project Management Plan (PMP)</p> <ul style="list-style-type: none"> • Does the Project Management Plan (PMP) incorporate activities for SOS team as well as Bidder staff resources in each of its component plans? • Does the PMP indicate conformity to relevant industry and State project management and software development standards (e.g., PMBOK, IEEE)? • Does the Bidder describe their approach to developing Deliverable Expectation Documents (DED) and managing the development of deliverables in compliance to the DED approach? • Does it define the technical and managerial project functions, and tasks necessary to satisfy the project requirements? • Does the PMP reflect good project management practices conveying a thorough understanding of the complexity in managing a project of this size and importance? • Does the PMP identify major deliverable milestones (e.g., work products and project deliverables and SOS approval points for signoffs)? • Does the PMP define the process for developing, managing and tracking phase entrance and exit criteria, system acceptance criteria, etc? • Do the descriptions of project management processes include recommended integration points with SOS VoteCal processes as described in the SOS VoteCal Project Management Plan and relevant subsidiary plans? • Does the PMP include overviews of the Bidder's approach to risk management, issue management, and scope management/change control that illustrate how the Bidder will integrate its internal processes for these areas with SOS established processes? • Does the PMP include examples of significant anticipated VoteCal risks and mitigation strategies that demonstrate understanding of the VoteCal project? 	400
P2	<p>Schedule Management and Project Schedule</p> <ul style="list-style-type: none"> • Is the schedule proposed by the Bidder consistent with tasks in the SOW with tasks broken down into manageable segments? • Does the proposed schedule reflect methodologies and timeframes consistent with those cited in Bidders' proposed plans that are submitted in response to this RFP? • Does the described approach to schedule management conform to industry standards (PMBOK) and relevant State standards (SIMM 17) concerning management of milestone progress and reporting, resource assignment, critical path monitoring, identification and escalation of schedule issues, status reporting, and contingency activities? • Does the proposed approach to schedule management include an approach for integration with the master VoteCal schedule? 	500

Reqmt. #	Requirement and Evaluation Factors	Max Points Possible
	<ul style="list-style-type: none"> Is the proposed schedule management approach realistic given the complexity and scope of VoteCal? Does the described approach to schedule management demonstrate familiarity with conducting schedule management activities that entail task-related interdependencies among multiple groups, stakeholders and resource types (e.g., State and Contractor staff)? Does the described approach to schedule management ensure schedule accuracy, including schedule reviews, quality assurance and report generation processes? Does the draft schedule (Gantt Chart) for the Bidder's activities demonstrate how Bidder tasks will be integrated with SOS and other VoteCal Contractor (e.g., election management system vendors, independent verification and validation vendor, security auditor, quality assurance, etc.) tasks? Does the draft schedule (Gantt Chart) for the Bidder's activities demonstrate adequate decomposition of the Bidder's tasks? 	
P3	<p>Quality Management Plan</p> <ul style="list-style-type: none"> Does the Bidder's Quality Management Plan meet the standards required by IEEE 730-2002, or did the Bidder demonstrate previous engagements where this methodology produced successful Quality Management Planning? Does the Bidder's Quality Management Plan identify quality policies and procedures throughout all project phases? Does the Bidder's Quality Management Plan describe activities to be conducted in providing a quality assurance review of all work products? Does the Bidder's Quality Management Plan describe activities to be conducted in controlling quality of all work products? Does the Bidder's Quality Management Plan describe roles and responsibilities for quality activities throughout the life cycle of the project? Does the Bidder's Quality Management Plan include a description of the quality improvement process(es) throughout the project? Does the Bidder's Quality Management Plan include a description of how quality will be monitored and measured by the Bidder and verified by the SOS team, including the SOS' Quality Assurance Manager? Does the Bidder's Quality Management Plan include a summary of proposed criteria for system acceptance and deliverable acceptance? Does the Bidder's Quality Management Plan describe integration with SOS quality management processes described in the SOS VoteCal Quality Management Plan? 	300
P4	<p>Software Version Control, System Configuration Management and Document Management</p> <ul style="list-style-type: none"> Does the Software Version Control, System Configuration Management and Document Management approach meet the standards required by IEEE 828-2005 or did the Bidder demonstrate previous engagements 	500

Reqmt. #	Requirement and Evaluation Factors	Max Points Possible
	<p>where this methodology produced successful Configuration Management?</p> <ul style="list-style-type: none"> • Does the Bidder's proposed Software Version Control, System Configuration Management and Document Management approach describe methods that will be used during this project to manage software version control and system configuration management? • Does the Bidder's proposed Software Version Control, System Configuration Management and Document Management approach describe the tools that will be used to manage version control and configuration management? • Does the Bidder's proposed Software Version Control, System Configuration Management and Document Management approach document how new modifications or modules will be tracked? • Does the Bidder's proposed Software Version Control, System Configuration Management and Document Management approach include a discussion of how new modifications and/or modules will be integrated and implemented? • Does the Bidder's proposed Software Version Control, System Configuration Management and Document Management approaches describe the process for updating documentation to ensure that system documentation keeps pace with the versioning of the products? • Does the Bidder's proposed Software Version Control, System Configuration Management and Document Management approach describe deliverable versioning methods and tools? • Does the Bidder's proposed Software Version Control, System Configuration Management and Document Management approach address how configuration management will be exercised during periods of frequent changes? • Does the Bidder's proposed Software Version Control, System Configuration Management and Document Management approaches discuss controls for migrating approved changes across development, test, and production environments? 	
P5	<p>Requirements Traceability Matrix</p> <ul style="list-style-type: none"> • Does the Bidder describe the content and development of a Requirements Traceability Matrix? • Did the Bidder describe how the Requirements Traceability Matrix will be used/updated to track requirements during the various phases of the project? • Does the Bidder provide a feasible and rigorous method for linking test scenarios to requirements during the Testing Phase? • Does the Bidder provide a feasible and rigorous method that ensures both forward and backward traceability analysis throughout the project lifecycle? • Does the Bidder describe the process and timing of sharing the matrix with SOS including the independent verification and validation vendor? • Does the Requirements Traceability Matrix meet the standards required by IEEE 1233-1998 and 830-1998, or CMMI V 1.2, or did the Bidder 	400

Reqmt. #	Requirement and Evaluation Factors	Max Points Possible
	demonstrate previous engagements where this methodology produced successful Requirements Traceability?	
P6	<p>Implementation and Deployment Plan</p> <ul style="list-style-type: none"> • Does the Implementation and Deployment Plan follow best business practices and industry-accepted standards and State standards for implementation of a large complex system similar to VoteCal? • Does the Implementation and Deployment Plan link to the PMP? • Does the Implementation and Deployment Plan address an implementation strategy of pilot testing, phase cutover, or other? • Is the deployment approach and schedule realistic and achievable in light of the VoteCal project organization, stakeholder populations, and project external calendars? • Does the Implementation and Deployment Plan allow for contingencies? • Does the Implementation and Deployment Plan address implementation issues during the Testing Phase and how they will be handled? 	600
P7	<p>Organizational Change Management Plan</p> <ul style="list-style-type: none"> • Does the draft Organizational Change Management Plan include how the new methods of business will be implemented for SOS staff and county users? • Does the communication strategy reflect knowledge of the types of issues commonly rising in a project of this scale and complexity and propose how to overcome the obstacles? • Does the Organizational Change Management Plan discuss how commonly occurring issues should be mitigated? • Does the Organizational Change Management Plan reflect understanding of key issues in the elections and voter registration environment? • Are the strategies for securing support and buy-in from the county users realistic and appropriate? • Does the Organizational Change Management Plan conform to ISO 9001:2008, or did the Bidder describe previous engagements where their methodology was successful? 	400
TOTAL POINTS POSSIBLE		3100

- c. CALCULATION OF THE SCORE FOR PROJECT MANAGEMENT ACTIVITIES AND PLANS
- The score for each of the Project Management Activities and Plans will be calculated and awarded based on the following procedures:
- 1) The Bidder's response to each requirement will be separately evaluated and will be awarded a percentage of the possible points for that requirement based on the evaluation criteria in Table IX.1 above.
 - 2) The points awarded for each requirement in this category will be added together to calculate the total points awarded.

Table IX.5 below shows an example of calculation of a Bidder's score for Project Management Activities and Plans.

**Table IX.5 – Example
Calculation of Bidder Score for Project Management Activities and Plans
(P1 – P7)**

Reqmt. #	Requirement and Evaluation Factors	Max Points Possible	% Earned in Eval	Points Awarded
P1	Project Management Plan (PMP)	400	75%	300
P2	Schedule Management Plan	500	100%	500
P3	Quality Assurance Plan	300	75%	225
P4	Software Version Control, System Configuration Management and Document Management	500	50%	250
P5	Requirements Traceability Matrix	400	75%	300
P6	Implementation and Deployment Plan	600	10%	60
P7	Organizational Change Management Plan	400	50%	200
TOTAL POINTS		3100		1835

2. Training – P8 (Maximum Score 300)

a. INTRODUCTION

Section VI.B.2 – Training of the RFP identifies Requirement P8 – Training.

This Training requirement is mandatory and Bidders must provide a narrative response to the requirement, as described in Section VI.B.2 - Training.

The Evaluation Team will evaluate the Bidder's response to the Training requirement and determine a Score for this category based on the Evaluation Team's assessment of the probability that a Bidder's proposed approach will result in successful implementation at a perceived acceptable risk level.

b. Evaluation Process

For the response to the Training requirement (P8), the Evaluation Team will award points using the criteria detailed in Table IX.6 below.

Table IX.6 Criteria for Award of Points for Training Requirement (P8)

Percent of Points	Criteria
100%	Response meets or exceeds all elements of the requirement and clearly demonstrates a thorough understanding of training to the extent that a timely and high quality training performance is anticipated. Bidder's on-site time, plans, and timeline are sufficient to meet the requirements and level of Bidder's resource commitments is high.
75%	Response meets at least seventy-five percent (75%) of the elements of the requirement and demonstrates good training processes but with weaknesses that are considered minimal and can be mitigated. For example, Bidder's on-site time, plans, and timeline are sufficient to meet the requirements and level of resource commitment are adequate but may require additional State resources.
50%	Response meets at least fifty percent (50%) of the elements of the requirement for training with weaknesses that are considered moderate and resolvable but will require more involvement by SOS to mitigate potential risks. For example, Bidder's on-site time, plans, and timeline may be inadequate and will require additional SOS resources to reduce the risk potential.
10%	Response meets at least ten percent (10%) of the elements of the requirement for training practices with identified weaknesses that will require significant resources from SOS to mitigate and ensure project success. For example, Bidder's plan does not demonstrate a strong knowledge of training for a complex project such as VoteCal and indicates high risk.
0%	Response meets less than ten percent (10%) of the elements of the requirement and does not demonstrate thorough knowledge of training for a project of this size, scope, and complexity.

Table IX.7 below identifies each requirement to which these criteria will be applied, the factors to be considered in that evaluation and the maximum points possible for that requirement. Note each bullet is equally weighted within that requirement.

Table IX.7 Training Plan (P8) – Evaluation Factors and Maximum Points

Reqmt. #	Requirement and Evaluation Factors	Max Points Possible
P8	<p>Training Plan</p> <ul style="list-style-type: none"> • Is the draft Training Plan comprehensive, feasible, and reflect the knowledge required to train users on a system this critical and complex? • Did the Bidder propose on-site training for the SOS staff? • Does the Bidder discuss technical knowledge transfer as well as application knowledge transfer and specify the technical IT skill sets required to support the proposed solution? • Is the training proposed for IT technical support staff appropriate, and sufficient for the proposed technical platform and tool suite? • Is the proposed training plan for program and help desk staff appropriate, and sufficient to ensure a successful operation at the time the pilot is initiated? • Is the proposed training schedule and resource allocation appropriate and sufficient for the population to be trained? • Does the Proposal specify system requirements for the training room (e.g. number of workstations, minimum configuration of workstations, connectivity requirements, and etc.)? • Does the Bidder discuss providing the Training Environment separate from Test and Production and provide system specifications (and provide the training specifications of how to refresh the database)? • Does the Bidder agree to provide training aids, manuals, quick reference guides, and other training materials? • Does the training plan sufficiently and appropriately address the training required for county users? Is the proposed training schedule and resource allocation appropriate and sufficient? • Does the Bidder agree that the training shall reflect the solution as implemented, shall be provided for each trainee, and shall be delivered in electronic format? • Does the Bidder agree that training materials shall become the property of SOS upon completion of the training and may be modified or supplemented as needed, and agree to allow SOS to duplicate all materials and manuals? 	300

c. **CALCULATION OF THE SCORE FOR TRAINING PLAN**

The Bidder's Training Plan submitted in response to Requirement P8 will be awarded a percentage of possible points for that requirement based on the criteria in Table IX.6 above. For example, a Training Plan that earns seventy-five percent (75%) based on the evaluation criteria will earn a score of 225 (300 maximum possible points x 75%).

3. Test Plan – P9 (Maximum Score 800)

a. INTRODUCTION

Section VI.B.3 – Testing of the RFP identifies Requirement P9 – Test Plan. This Test Plan requirement is mandatory and Bidders must provide a narrative response to the requirement, as described in Section VI.B.3.

b. EVALUATION PROCESS

For the response to the Test Plan requirement (P9), the Evaluation Team will award points using the criteria detailed in Table IX.8 below.

Table IX.8 Criteria for Award of Points for Test Plan Requirement (P9)

Percent of Points	Criteria
100%	Response meets or exceeds all elements of the requirement and clearly demonstrates a thorough understanding of the test plan requirements to the extent that a timely and high quality tests are executed. Bidder's on-site time, plans, and timeline are sufficient to meet requirements and level of Bidder's resource commitments is high.
75%	Response meets at least seventy-five (75%) of the elements of the requirement and demonstrates good test plan processes but with weaknesses that are considered minimal and can be mitigated. For example, Bidder's on-site time, plans, and timeline are sufficient to meet requirements and level of resource commitment are adequate but may require additional State resources.
50%	Response meets at least fifty percent (50%) of the elements of the test plan requirements with weaknesses that are considered moderate and resolvable but will require more involvement by SOS to mitigate potential risks. For example, Bidder's on-site time, plans, and timeline may be inadequate and will require additional SOS resources to reduce the risk potential.
10%	Response meets at least ten percent (10%) of the elements of the requirement for industry-standard test management practices with identified weaknesses that will require significant resources from SOS to mitigate and ensure project success. For example, Bidder's plan does not demonstrate a strong knowledge of testing for a complex project such as VoteCal and indicates high risk.
0%	Response meets less than ten percent (10%) of the elements of the requirement and does not demonstrate thorough knowledge of test plan requirements for a project of this size, scope, and complexity.

Table IX.9 below identifies each requirement to which these criteria will be applied, the factors to be considered in that evaluation and the maximum points possible for that requirement. Note each bullet is equally weighted within that requirement.

Table IX.9 Test Plan (P9) – Requirement, Evaluation Factors and Maximum Points

Reqmt. #	Requirement and Evaluation Factors	Max Points Possible
P9	<p>Test Plan</p> <ul style="list-style-type: none"> • Does the Test Plan include a sample Test Defect Log? Does it contain sufficient detail and tracking? • Does the Test Plan discuss a proposed Test Methodology that encompasses industry-standard phases of testing? • Does the Test Plan address how the defects will be researched and resolved? • Does the Test Plan contain a retest function using a structured approach? • Does the Test Plan include negative testing scenarios? • Does the Test Plan include training for testers? • Does the Test Plan adequately address functional testing of each system component, end-to-end integration testing, performance and stress testing, backup and recovery testing, regression testing for system modifications, and acceptance testing? • Does the Test Plan describe the process and timeframes for applying and testing Deficiencies and changes during and between Phase IV – Testing, Phase V – Pilot Deployment and Testing, and Phase VI – Deployment and Cutover, and to perform end-to-end testing after corrections and changes are applied, as well as before Phase VI – Deployment and Cutover commences and during Phase VI – Deployment and Cutover? • Does the Test Plan describe the roles and participation of county elections officials' staff, Election Management System (EMS) vendors and SOS in all phases of testing? • Does the Test Plan address proper use of the dedicated test environments to protect the integrity of existing production environments and data? 	800

c. CALCULATION OF THE SCORE FOR TEST PLAN

The Bidder's Test Plan submitted in response to Requirement P9 will be awarded a percentage of possible points for that requirement based on the criteria in Table IX.8 above. For example, a Test Plan that earns 75% based on the evaluation criteria will earn a score of 600 (800 maximum possible points x 75%).

4. Data Integration Plan – P10 (Maximum Score 1000)

a. INTRODUCTION

Section VI.B.4 – Data Integration of the RFP identifies Requirement P10 – Data Integration Plan. This Data Integration Plan requirement is mandatory and Bidders must provide a narrative response to the requirement, as described in Section VI.B.4.

b. EVALUATION PROCESS

For the response to the Data Integration Plan requirement (P10), the Evaluation Team will award points using the criteria detailed in Table IX.10 below.

Table IX.10 Criteria for Award of Points for Data Integration Plan Requirement (P10)

Percent of Points	Criteria
100%	Response meets or exceeds all elements of the requirement and clearly demonstrates a thorough understanding of data integration to the extent that a timely and high quality performance is anticipated. Bidder's on-site time, plans, and timeline are sufficient to achieve requirements and level of Bidder's resource commitments is high.
75%	Response meets at least seventy-five percent (75%) of the elements of the data integration requirement but with weaknesses that are considered minimal and can be mitigated. For example, Bidder's draft plan, approach, and timeline are sufficient to achieve requirements and level of resource commitment are adequate but may require additional State resources.
50%	Response meets at least fifty percent (50%) of the elements of the data integration requirement with weaknesses that are considered moderate and resolvable but will require more involvement by SOS to mitigate potential risks. For example, Bidder's approach and processes may be inadequate and will require additional SOS resources to reduce the risk potential.
10%	Response meets at least ten percent (10%) of the elements of the requirement for data integration activities, with identified weaknesses that will require significant resources from SOS to mitigate and ensure project success. For example, Bidder's plan does not demonstrate a strong knowledge of performing data integration for a complex project such as VoteCal and indicates high risk.
0%	Response meets less than ten percent (10%) of the elements of the requirement and does not demonstrate thorough knowledge of data integration activities for a project of this size, scope, and complexity.

Table IX.11 below identifies each requirement to which these criteria will be applied, the factors to be considered in that evaluation and the maximum points possible for that requirement. Note each bullet is equally weighted within that requirement.

Table IX.11 Data Integration Plan (P10) – Requirement, Evaluation Factors and Maximum Points

Reqmt. #	Requirement and Evaluation Factors	Max Points Possible
P10	<p>Data Integration Plan</p> <ul style="list-style-type: none"> Does the Data Integration Plan narrative describe their Data Integration approach and method and are these discussions concise and illustrative of best business practices? Does the Data Integration Plan adequately and appropriately address the roles and responsibilities of bidder staff, SOS staff, and counties and their EMS vendors? Does the response include a discussion of integration strategy of "cut-over", "pilot", or "phased"? 	1000

Reqmt. #	Requirement and Evaluation Factors	Max Points Possible
	<ul style="list-style-type: none"> Is the proposed integration approach realistic and is it appropriately timed for the proposed testing and implementation schedule? Does the response include performing a test of data integration and to have all data validated and approved by SOS prior to the full integration occurring Phase V – Pilot Deployment and Testing (as per Deliverable II.8 defined in Attachment 1, Exhibit 2 – Tasks and Deliverables)? Does the response discuss how data integration issues and errors will be addressed and resolved? Does the Data Integration Plan realistically address the integration of data from all counties into a single statewide record for each voter, including integration of document images, voter activity history, and voter participation history? 	

c. CALCULATION OF THE SCORE FOR DATA INTEGRATION PLAN

The score for the Bidder’s Data Integration Plan submitted in response to Requirement P10 will be directly calculated based on the percentage of points earned. For example, a Data Integration Plan that earns seventy-five percent (75%) based on the evaluation criteria will earn a score of 750 (1000 maximum possible points x 75%).

5. VoteCal Architecture – P11 (Maximum Score 3000)

a. INTRODUCTION

Section VI.B.5 – VoteCal Architecture identifies Requirement P11: VoteCal Architecture. This Architecture requirement is mandatory and Bidders must provide a narrative response to the requirement that addresses the criteria described in Section VI.B.5.

Evaluation and scoring of the response to the VoteCal Architecture requirement will include evaluation of the Bidders’ narrative and pictorial discussion of the proposed VoteCal architecture (in response to Section VI.B.5 – VoteCal Architecture), as well as the Bidder’s responses requirements in Tables VI.1 and VI.2 (Business and Technical Requirements) and Bidder’s referenced projects. The State Evaluation Team will determine the depth, breadth, completeness, and clarity of the included response, and the degree to which the response demonstrates that the solution meets or exceeds objectives for performance, availability, scalability, security, maintainability, accessibility, deployment, and extensibility as described in Section VI.B.5 – Voter Architecture.

b. EVALUATION PROCESS

The Evaluation Team will use the criteria in Table IX.12 (below) to rate the Bidder’s proposed VoteCal Architecture for multiple factors and award a percentage of points for each factor.

Table IX.12 –Criteria for Assigning Points in Evaluation of VoteCal Architecture (P11)

Percent of Points	Criteria
100%	Meets All Requirements and Solution is Implemented - The Proposal addresses the factor and exceeds SOS expectations and objectives in the completeness and demonstrability of this factor in an existing system developed or provided by the bidder in at least one referenced project that was completed within the past four (4) years.
70%	Meets Requirements – The Proposal addresses the factor and contains sufficient detail to evaluate whether it meets requirements, and meets all aspects of the evaluation criterion, but the approach is not fully demonstrated in an existing, referenced system or project that was completed within the past (4) years. However, the approach is completely described and is clearly viable based upon standard or best business practices.
10%	Partially Meets Requirements - The factor is addressed in the Proposal, although the response either incompletely describes how the factor will be addressed; or the approach is logically argued but is not supported by industry standards, best practices, or a referenced project that was completed within the past four (4) years.
0%	Poor or Does Not Meet Requirements - The factor is not addressed in the response; the description lacks sufficient detail to evaluate the response; or the impact of the described approach on functionality or performance is unsupported or contraindicated by industry standards, best practices, or referenced projects.

The above criteria will be used to assign points for each of the eight (8) VoteCal Architecture evaluation factors. The factors and the maximum number of points per factor are presented in Table IX.13 below.

Table IX.13 – Evaluation Factors and Maximum Points for Bidder VoteCal Architecture (P11)

Evaluation Factor for the Proposed VoteCal Architecture	Maximum Points
<p>Performance. The degree to which the proposed architecture meets or exceeds performance requirements described in the RFP and the extent to which the approach to meeting performance requirements conforms to industry-accepted best practices and standards. Areas that will be evaluated for this factor include:</p> <ul style="list-style-type: none"> • Network capacity; • Server memory and processing capacity; • Application-processing constraints; and • Performance testing and Load testing. 	600

Evaluation Factor for the Proposed VoteCal Architecture	Maximum Points
<p>Availability. The degree to which the proposed architecture meets all availability requirements described in the RFP and the extent to which the approach to meeting availability requirements conforms to industry-accepted best practices and standards. Areas that will be evaluated for this factor include:</p> <ul style="list-style-type: none"> • How and when routine maintenance will be performed; and • How component failures will be handled; • How backup and recovery will be addressed from the start of Phase I – Project Initiation and Planning to the start of Phase V – Pilot Deployment and Testing; and, • How backup and restoration, other than from disaster (e.g., flood, fire, earthquake, etc.) will be addressed (consistent with the requirements stated in T3 - System Availability and Backup/Recovery described in RFP Section VI). 	450
<p>Scalability. The degree to which the proposed architecture meets all scalability requirements of the RFP, demonstrates capability of the system to increase its capacity by upgrading system hardware and software and the extent to which the approach to ensuring scalability reflects industry-accepted best practices and standards. Areas that will be evaluated for this factor include:</p> <ul style="list-style-type: none"> • Which How new hardware and software will be added; and • How VoteCal will be reconfigured What reconfiguration would be necessary to utilize the new hardware and software. 	450
<p>Security. The degree to which the proposed architecture meets all security requirements of the RFP and the extent to which the approach for meeting security requirements reflects industry-accepted best practices and standards. Areas that will be evaluated for this factor include:</p> <ul style="list-style-type: none"> • 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; and • How the system will protect against Denial of Service attacks. 	600
<p>Maintainability. The ability of and ease with which the system is to be maintained at an operational level after it is put into production, including the degree to which maintenance by SOS can be performed within SOS's projected VoteCal staffing and anticipated operating budget. Areas that will be evaluated for this factor include:</p> <ul style="list-style-type: none"> • Specific maintenance expectations; • Maintenance costs and activities for any components added to the VoteCal network and/or SOS infrastructure; • How any third-party components will be maintained - including routine updates and bug fixes; • The necessary staffing skills needed to maintain the system; • Degree to which Software software and hardware currency and availability are ensured; and • Approach for forward compatibility. 	300

Evaluation Factor for the Proposed VoteCal Architecture	Maximum Points
<p>Accessibility. The degree to which the proposed architecture meets all accessibility requirements of the RFP and the extent to which the approach to ensuring accessibility reflects industry-accepted best practices and standards. Areas that will be evaluated for this factor include:</p> <ul style="list-style-type: none"> Evidence of architecture's support for web page and desktop accessibility-related requirements compliance with provisions of California Government Code Section 11135 and United States Rehabilitation Act Section 508; and Evidence of compatibility with the diverse EMS installations and diverse desktop configurations conformance to Web Content Accessibility Guidelines 2.0, W3C World Wide Web Consortium Recommendation WCAG 2.0 12/2008, Level A and Level AA Success Criteria. 	150
<p>Deployment/Deployability. The extent to which the deployment approach minimizes risks. Areas that will be evaluated for this factor include:</p> <ul style="list-style-type: none"> Mitigation of common deployment risks; Physical locations where systems components will be deployed; and The method of distribution for system components and release processes. 	150
<p>Extensibility. The degree to which the proposed architecture meets all extensibility requirements of the RFP, the degree to which the system can be enhanced in the future, and the resource impact of the approach described for ensuring extensibility. Areas that will be evaluated for this factor include:</p> <ul style="list-style-type: none"> The steps necessary to add new functionality to the system; How improving extensibility will affect the complexity of the system; and How improving extensibility will affect testing and debugging. 	300

c. CALCULATION OF THE SCORE FOR THE VOTECAL ARCHITECTURE

- Calculation of Points Earned Per Evaluation Factor:** The total points awarded for each of the factors in the above Section will be calculated by multiplying the percentage of points earned by the total points for the evaluation factor.
- Calculation of the Total Score:** The Total Points Earned for the VoteCal Architecture will be calculated as the sum of points earned for each factor.

Example Calculation of Bidder Score for VoteCal Architecture:

- Assume Bidder's Proposal receives the following percentages and resultant scores for the evaluation factors:

Evaluation Factors	Max Points Possible	Percentage Awarded	Bidder's Score
Performance	600	100%	600
Availability	450	70%	315
Scalability	450	10%	45

Evaluation Factors	Max Points Possible	Percentage Awarded	Bidder's Score
Security	600	70%	420
Maintainability	300	10%	30
Accessibility	150	70%	105
Deployment	150	70%	105
Extensibility	300	10%	30
TOTAL	3000		1650

The Bidder's Total Score for VoteCal Architecture would be the sum of the calculated scores for the factors, or 1650.

6. VoteCal System Business Requirements – S1.1 through S24.3 (Pass/Fail)

a. INTRODUCTION

The VoteCal System business requirements are listed in Section VI.D – Business Functional Requirements, Table VI.1. The business requirements are all mandatory and are broken down by major business functional areas within the response form. Response to each business requirement will be evaluated for compliance with the evaluation criteria in order to obtain the best value solution. These business requirements are mandatory and Bidders must provide a complete response to each requirement, as described in Section VI.D – Business Functional Requirements.

The evaluation process will assess the Bidder's responses to the business requirements in Section VI.D – Business Functional Requirements to determine whether they fully address and satisfy each requirement.

Bidders are encouraged to provide references to technical literature in response to the specific requirements where the functionality is discussed in the product literature, user or system manuals, etc. Marketing literature is discouraged. This will assist the Evaluation Team in validating the Bidder's response to the requirement.

b. EVALUATION PROCESS

The Evaluation Team will evaluate the response to each business requirement, including any reference materials to which they are directed for additional information in the Bidder's Proposal response, to determine whether the response addresses the requirement, while demonstrating best business practices. If the response supplied by the Bidder cannot be validated through the supplied documentation or by demonstration, SOS will evaluate the requirement response as they understand it. SOS's determination will be final.

Based on the Team's evaluation, each requirement will be rated pass or fail based on the criteria identified in Table IX.14 below.

Table IX.14 Criteria for Pass/Fail Evaluation of Bidder's Response to VoteCal System Business Requirements (S1.1 – S24.3)

Rating	Criteria
PASS	Response meets or exceeds system business requirement.

Rating	Criteria
FAIL	Response does not meet the system business requirement.

7. VoteCal Technical Requirements – T1.1 through T10.4 (Pass/Fail)

a. INTRODUCTION

The VoteCal Technical requirements are listed in Section VI.E – Technical Requirements, Table VI.2. These technical requirements are mandatory and Bidders must provide a complete response to each requirement, as described in Section VI.E.

The evaluation process will assess the Bidder's responses to the technical requirements in Section VI.E – Technical Requirements of the RFP to determine whether they fully address and satisfy each requirement. If, by consensus of the Evaluation Team, it is found that the Bidder has submitted a failed response to any of the technical requirements, SOS has the option of requesting additional information from Bidder.

b. EVALUATION PROCESS

The Evaluation Team will evaluate the response to each technical requirement to consider whether the response addresses the requirement, while demonstrating best business practices. The evaluation for each technical requirement will include review of any reference materials to which the Evaluation Team is directed for additional information in the Bidder's Proposal response to the requirement. If the response supplied by the Bidder cannot be validated through the supplied documentation SOS will evaluate the requirement response as they understand it. SOS's determination will be final.

Based on the Team's evaluation, each requirement will be rated pass or fail based on the criteria identified in Table IX.15 below.

Table IX.15 Criteria for Pass/Fail Evaluation of Bidder Response to VoteCal Technical Requirements (T1.1 – T10.4)

Rating	Criteria
PASS	Response meets or exceeds technical requirement.
FAIL	Response does not meet the technical requirement.

8. Bidder Qualifications and References (Mandatory and Desirable) – A9 and A10 (Maximum Score 3000)

a. INTRODUCTION

Section V.B.3.B - Bidder Qualifications and References Requirements (Mandatory) and V.B.3.C – Bidder Qualifications and References Requirements (Desirable) of the RFP identify mandatory and desirable Bidder Qualifications. Evaluation of Bidder Qualifications and references will be based on similarity of the referenced projects to VoteCal in terms of scope and complexity, and on client references.

The State's determination of similarity of the projects included as references to the project specified in this RFP, for the purposes of this RFP, shall be final. The three (3) references submitted by the Bidder to address the mandatory Bidder Qualifications and References requirement (A9) must conform to the criteria described in Section V.B.3.B. **If submitted references for the mandatory Bidder Qualifications and References requirement are determined not to meet criteria described in Section V.B.3.B, this will be deemed a**

material deviation and may disqualify the Bidder from further consideration. The reference submitted by the Bidder to address the desirable Bidder Qualifications and References requirement (A10) must conform to the criteria described in Section V.B.3.C. **If the reference submitted for the desirable Bidder Qualifications and References requirement is determined not to meet the criteria set forth in Section V.B.3.C, the reference will not be scored.**

If a Bidder elects to submit the same qualifications and references in response to the Bidder Qualification and References requirements (A9 and A10) in the Final Proposal as were submitted for the Pre-Qualification Package, the State reserves the right to carry the Pre-Qualification Package evaluation scoring forward to the Final Proposal evaluation scoring for these two requirements. If a Bidder elects to respond to the mandatory Bidder Qualifications and References requirement (A9) with qualifications and references that are different from those submitted in the Pre-Qualification Package, the new qualifications and references must meet the mandatory Bidder Qualifications and References requirement. Similarly, if a new qualification and reference is submitted in the Final Proposal in response to the desirable Bidder Qualifications and References requirement (A10), the new qualification and reference must meet the desirable Bidder Qualifications and References requirement in order to be scored.

Bidders can earn a maximum score of 3000 for these requirements, 2300 for mandatory qualifications and references (A9), and 700 for desirable qualifications and references (A10). Scores are based on the results of the State's client reference checks for the Bidder's firm and for qualifying key subcontractors. (See Section V – Administrative Requirements for a definition of qualifying subcontractor.) The score awarded for Bidder Qualifications and References requirements will be based entirely upon the information provided by the references identified in the Bidder's Proposal. Three (3) references will be checked for the Bidder firm and/or qualifying subcontractor during evaluation of a Bidder's response to the mandatory Bidder Qualifications and References requirement (A9). A completed Exhibit V.5.a Bidder Qualifications & References (Mandatory) form for each of the three references must be submitted in Bidder's Proposal. An additional reference may also be checked to evaluate a Bidder's response to the desirable Bidder Qualifications and References requirement (A10). A completed Exhibit V.5.b – Bidder Qualifications & References (Desirable) form must be submitted with the Bidder's Proposal if the Bidder intends to respond to the desirable Bidder Qualifications and References requirement (this is true even if the Bidder intends to use one of the three references designated in response to the mandatory requirement to address the desirable requirement --- in all cases a completed Exhibit V.5.b must be submitted if the Bidder intends to respond to the desirable requirement).

b. EVALUATION PROCESS

At least three (3) members of the Evaluation Team and the DGS procurement official will participate in each reference call. During the call, the Evaluation Team members will:

- Confirm the information provided by the Bidder about the reference's implementation project as provided by the Bidder in Exhibit V.5.a – Bidder Qualifications References (Mandatory) and in Exhibit V.5.b – Bidder Qualifications & References (Desirable), if submitted;
- Ask the reference to provide a numeric rating of their satisfaction with the Bidder (or Key Subcontractor) with respect to the development and implementation process, the end product delivered, the service and support provided, and the end product's usability; and
- Ask the reference to evaluate the Bidder's (or Key Subcontractor's) overall success by choosing best answers to a number of questions pertaining to schedule, cost, fulfillment of requirements, system deployment, and system quality.

The Exhibit IX.2 - Bidder Reference Form - Client Telephone Reference Questionnaire includes the questions that are to be asked of each of the references. This form will also be used to document the reference's responses. The Evaluation Team will complete one of these forms for each client reference telephone call made.

Based on the reference responses, points will be awarded for the Bidder's references and a final score will be calculated in the following manner:

- 1) **References' Numeric Ratings on Indicators of Project Success (140 points Maximum for each reference):** Each reference will be asked to rate the Bidder or Key Subcontractor firm on a scale of 0 to 10 on a total of fourteen (14) questions related to customer satisfaction with the firm's performance pertaining to project management, expertise of Contractor personnel, system quality and performance, and the firm's support of the system as shown in Exhibit IX.2. – Bidder Reference Form – Client Telephone Reference Questionnaire. For each indicator, the reference will be asked to choose the number, between 0 and 10 inclusive, that best describes his/her level of satisfaction.

The rating provided by the reference to each question will be translated directly into points awarded for the question; for example, if the reference rates the firm 7 on a particular question, the Bidder will be awarded 7 points for that question.

Table IX.16 - This table has been removed (table number reserved)

- 2) **Reference's Evaluation of Overall Success (100 points maximum for each reference):** Each reference will be asked to choose best answers to questions that pertain to schedule performance, cost performance, achievement of requirements, system deployment, and system quality. A maximum of 100 points per reference will be awarded for this section of the Bidder Reference Form. The points awarded for each reference (out of a maximum of 100) will be based on the reference's responses as outlined in Table IX.17 – Criteria for Scoring Reference's Evaluation of Overall Success.

Table IX.17 Criteria for Scoring Reference's Evaluation of Overall Success (Bidder Reference Form - A9, A10)

Topic Area	Scoring		
1. Schedule Performance	Points Assigned	Condition	Responsibility for Deviation
	20	Completed early, on time, or late by less than 25%	N/A
	20	Completed late by at least 25% but less than 50%	Customer only
	20	Completed late by 50% or more	Customer only
	15	Completed late by at least 25% but less than 50%	Both Contractor Firm and Customer
	10	Completed late by at least 25% but less than 50%	Contractor Firm only
	2	Completed late by 50% or more	Both Contractor Firm and Customer
	1	Completed late by 50% or more	Contractor Firm only

Topic Area	Scoring		
2. Cost Performance	Points Assigned	Condition	Responsibility for Deviation
	20	Completed within or under budget, or over budget by less than 25%	N/A
	20	Completed over budget by at least 25% but less than 50%	Customer only
	20	Completed over budget by 50% or more	Customer only
	15	Completed over budget by at least 25% but less than 50%	Both Contractor Firm and Customer
	10	Completed over budget by at least 25% but less than 50%	Contractor Firm only
	2	Completed over budget by 50% or more	Both Contractor Firm and Customer
3. Achievement of Project Requirements	Points Assigned	Condition	Responsibility for Deviation
	20	Fully met or exceeded all business and technical requirements	N/A
	20	Met all <u>critical</u> business and technical requirements	Customer only
	15	Met all <u>critical</u> business and technical requirements	Both Contractor Firm and Customer
	15	Did not meet all <u>critical</u> business and technical requirements	Customer only
	10	Met all <u>critical</u> business and technical requirements	Contractor Firm only
	2	Did not meet all <u>critical</u> business and technical requirements	Both Contractor Firm and Customer
1	Did not meet all <u>critical</u> business and technical requirements	Contractor firm only	

Topic Area	Scoring		
4. System Deploy-ment	Points Assigned	Condition	Responsibility for Deviation
	20	Fully met or exceeded all expectations	N/A
	20	Met all <u>critical</u> expectations	Customer only
	15	Met all <u>critical</u> expectations	Both Contractor Firm and Customer
	15	Did not meet all <u>critical</u> expectations	Customer only
	10	Met all <u>critical</u> expectations	Contractor Firm only
	2	Did not meet all <u>critical</u> expectations	Both Contractor Firm and Customer
5. Deployed System Quality	Points Assigned	Response	
	20	There were only cosmetic deficiencies or minor deficiencies that did not impact system functionality, and each deficiency was corrected or could be corrected by a system fix.	
	15	There were minor deficiencies that did not impact the system's <u>critical</u> business or technical functionality, and each deficiency was corrected or could be corrected by a system fix.	
	10	There were significant deficiencies that impacted <u>critical</u> business and/or technical functionality, and each significant deficiency was corrected or could be corrected by a system fix.	
	2	There were significant deficiencies that impacted <u>critical</u> business and/or technical functionality, and at least one of these significant deficiencies was addressed or must be addressed by a workaround (a system fix was or would not be feasible).	
	1	There were significant deficiencies that impacted <u>critical</u> business and/or technical functionality, and at least one of these significant deficiencies could not be addressed by either a system fix or a workaround.	

- 3) **Comparability Factor (0- 4) Adjustment:** The sum of the points determined in #1 and #2 above will be multiplied by a project comparability factor to yield the total points for that reference. A project that closely mirrors the requirements, scope, and complexity of the VoteCal Project will receive a higher comparability factor. The comparability factor will be determined according to Table IX.18 – Calculation of Reference Comparability Factor.

Table IX.18 – Calculation of Reference Comparability Factor

Table IX.18 – Calculation of Reference Comparability Factor
1 point will be added to the comparability factor for submitting a valid reference that meets the minimum requirements specified for the mandatory Bidder Qualifications and References requirement (A9) or, if a the Bidder has submitted a completed form V.5.b – Bidder Qualifications and References (Desirable), for the desirable requirement (A10). In all cases, this single point represents the only possible comparability factor that a reference submitted to meet the desirable Bidder Qualifications and References requirement is eligible to receive.
1 point will be added to the comparability factor if the project was a completed voter registration system implementation with a scope similar to that described in Section VI - Project Management, Business and Technical Requirements, or, the project implemented a statewide system. Only references specified for the mandatory Staff Qualifications and References requirement (A9) are eligible for this comparability factor point.
1 point will be added to the comparability factor if the implemented system has 200 or more concurrent users. Only references specified for the mandatory Staff Qualifications and References requirement (A9) are eligible for this comparability factor point.
1 point will be added to the comparability factor if the project was completed within the past three (3) years. Only references specified for the mandatory Staff Qualifications and References requirement (A9) are eligible for this comparability factor point.

- 4) **Non-Responsive References:** The following procedures will be followed for references that are non-responsive:
- After 2 (two) attempts to contact the reference, DGS Procurement Official will notify the Bidder of the client's unresponsiveness;
 - DGS Procurement Official and the Evaluation Team will make a third (3rd) attempt to contact the reference. If the reference is still unresponsive after 2 (two) business days from the third (3rd) contact attempt, the Bidder will receive zero (0) points for that reference. If the nonresponsive reference was submitted for the Mandatory Bidder Qualifications and References requirement (A9), the 0 point will be factored into the average reference calculation and therefore the final score for the Mandatory Bidder Qualifications and References requirement. If the nonresponsive reference is the Bidder's reference submitted for the desirable Bidder Qualifications and References requirement (A10), then the Bidder will be given a score of 0 for that requirement.
- c. **CALCULATION OF THE SCORE FOR BIDDER QUALIFICATIONS AND REFERENCES REQUIREMENT (MANDATORY) – A9 (Maximum Proposal score = 2300)**
- 1) **Total Reference Points Calculation:** The points awarded to each of the three (3) references submitted in response to the mandatory Bidder Qualifications and References requirement (A9) are summed. The maximum total points possible when combining the points of all three (3) references submitted in response to the mandatory requirement is two thousand eight hundred eighty (2880) (two hundred forty (240) points per reference form x maximum comparability factor of 4 x 3 references).
 - 2) **Calculation of the Percentage of Maximum Points Earned:** The total reference points (#1 above) will be divided by the total possible points (2880) to determine the percentage of points earned for references submitted in response to the Mandatory Bidder Qualifications and References requirement.

$$\frac{\text{Total Reference Points}}{\text{Maximum Reference Points Possible (2880)}} = \% \text{ of Maximum Points Earned}$$

- 3) **Calculation of Score for the Mandatory Bidder Qualifications and References Requirement:** The actual Proposal score for the Mandatory Bidder Qualifications and References requirement will be calculated by multiplying the maximum possible score for the mandatory Bidder Qualification and References requirement (two thousand three hundred (2300)) by the percentage of earned points calculated in step 2 above.

(Maximum Possible Score) X (% of Maximum Points Earned) = RFP Score for Mandatory Bidder Qualifications and References Requirement (A9).

d. **CALCULATION OF THE SCORE FOR BIDDER QUALIFICATIONS AND REFERENCES REQUIREMENT (DESIRABLE) – A10** (Maximum Proposal score = seven hundred (700))

- 1) **Calculation of the Percentage of Points Earned:** The total reference points awarded the single reference submitted by a Bidder electing to respond to the desirable Bidder Qualifications and References requirement (A10) will be divided by the total possible points (two hundred forty (240) per reference) to determine the percentage of points earned for the reference the Bidder identified in response to the desirable Bidder Qualifications and References requirement. (A comparability factor of one (1) will be used for references for the desirable Bidder Qualifications and References requirement).

$$\frac{\text{Total Reference Points}}{\text{Maximum Points Possible}} = \% \text{ of points earned}$$

- 2) **Calculation of Score for Desirable Bidder Qualifications and References Requirement (A12):** The actual Proposal score for the desirable Bidder Qualifications and References requirement will be calculated by multiplying the maximum possible score of seven hundred (700) by the percentage of earned points calculated in step 1 above.

(Maximum Possible Score = 700) X (% of Points Earned) = RFP Score for Desirable Bidder Qualifications and References

Example of Calculation of Bidder Qualifications and References Score:

Refer to Table IX.19 - Example Calculation of Bidder Qualification and References Scores for an example of how the Bidder Qualifications and References scores are established for the mandatory (A9) and desirable (A10) requirements. In this example, the hypothetical Bidder has submitted three (3) completed Exhibit V.5.a forms in response to mandatory requirement A9, each specifying one of the three required references (shown in Table IX.19 as TDM, CA DHY, and DCM). The hypothetical Bidder has also submitted a completed Exhibit V.5.b Bidder Qualifications and References in response to desirable requirement A10. In this example, the reference designated in the completed Exhibit V.5.b form is the same as one of the three (3) references the Bidder designated in response to the mandatory Bidder Qualifications and References requirement (shown as DCM in Table IX.19).

Table IX.19 - Example Calculation of Bidder Qualifications and References' Scores (A9 and A10)

Reference Name	Mandatory or Desirable Requirement (Exhibit V.5.a or Exhibit V.5.b)?	(a) Ratings on Indicators of Project Success (max. 140)	(b) Evaluation of Overall Success (max. 100)	(c) Sub-Total (sum a+b)	(d) Comparability Factor (max = 4 for Mandatory req; max = 1 for Desirable req)	Total Points per Reference (c x d)
TDM	Mandatory (Exhibit V.5.a)	45	75	120	3	360
CA DHY	Mandatory (Exhibit V.5.a)	80	100	180	1	180
DCM	Mandatory (Exhibit V.5.a)	100	75	175	3	525
DCM	Desirable (Exhibit V.5.b)	100	75	175	1	175
Mandatory Bidder Qualifications & References Requirement (A9)						
		M1. Mandatory Total Points – Sum of Total Points for all 3 Mandatory references TDM, CA DHY, DCM			1065	
		M2. Maximum Points Possible for Mandatory Bidder References (= 3 x 240 maximum total points per reference x 4 comparability factor)			2880	
		M3. Percent of Points Earned [M1 divided by M2]			37.0%	
		M4. Maximum Possible Score			2300	
		M5. Mandatory Bidder Qualifications (A9) Score Awarded [M3 x M4]			850.5	
Desirable Bidder Qualifications & References (A10)						
		D1. Desirable Total Points (reference DCM)			175	
		D2. Maximum Points Possible for Desirable Reference (= 240 x comparability factor of 1)			240	
		D3. Percent of Points Earned (D1 divided by D2)			72.9%	
		D4. Maximum Possible Score			700	
		D5. Desirable Bidder Qualifications (A10) Score Awarded [D3 x D4]			510.4	
		TOTAL Bidder Qualifications & References' Score (M5 Mandatory + D5 Desirable)			1360.9	

9. Proposed Staff Qualifications – A11 and A12 (Pass/Fail, and Maximum Score 800)

a. INTRODUCTION

Sections V.B.3.D – Proposed Staff Qualifications Requirements (Mandatory) and V.B.3.E – Proposed Staff Qualifications Requirements (Desirable) of the RFP describe the mandatory

and desirable Proposed Staff Qualifications requirements that the State will evaluate in the Bidder's response included in both the Pre-qualification Package and the Final Proposal.

The six (6) Key Staff members are defined as the Bidder or subcontractor staff designated to fill the following roles: Project Manager (PM), Business Lead (BL), Technical Lead (TL), Data Integration Lead (DIL), Development Lead (DL), and Testing Lead (TestL). The Bidder's proposed Key Staff will be evaluated and scored on the following factors:

- Whether the proposed staff for the six (6) defined Key Staff roles (Project Manager, Business Lead, Technical Lead, Data Integration Lead, Development Lead, and Testing Lead) meet all Mandatory Proposed Staff Qualifications requirement, A11 (Pass/Fail); and
- The degree to which the proposed staff for a subset of the six (6) Key Staff roles meet Desirable Staff Qualifications requirement, A12 (eight hundred (800) maximum score).

b. EVALUATION PROCESS

- 1) **Satisfaction of mandatory Proposed Staff Qualifications requirement (Pass/Fail):** RFP Section V.B.3.D - Proposed Staff Qualifications Requirements (Mandatory) details the mandatory qualifications for the Key Staff proposed for the Bidder's proposed project team. The Bidder's response to these requirements, submitted in Exhibits V.6 – Staffing Experience Matrix and V.7 – Bidder Staff Resume, will be evaluated on a Pass/Fail basis.

The Evaluation Team may, during the State's Pre-Qualification Package evaluation, contact client contacts (references) listed in Exhibit V.6 - Staffing Experience Matrix for purposes of validating the period of time during which the Key Staff worked on the referenced project and the number of Full-time Month equivalents experience reported; however, those references will not be scored.

If the Evaluation Team elects to validate the number of reported Full-time Month Equivalents experience reported for a Bidder's Key Staff during the Pre-qualification Package evaluation phase, then:

- a. At least three (3) members of the Evaluation Team and the DGS procurement official will participate in each reference contact call. During the call, the Evaluation Team members will:
1. For each of designated ("x") experience requirements the Bidder specifies the Key Staff has met based on work on the referenced project, validate the number of Full-time Month Equivalents' experience the Key Staff accrued by asking the contact to confirm the (calendar) timeframe during which the Key Staff worked on the referenced project, whether the Key Staff worked full-time or part-time on the project, and the type of role filled/work performed.
 2. Using the calculations provided in the instructions accompanying the Exhibit V.6 – Staffing Experience Matrix and the reference contact's input, the Evaluation Team will calculate the number of Full-time Month Equivalents the Key Staff accrued for each designated work experience requirement for the referenced project (based on the reference contact check).
 3. If the Key Staff's Exhibit V.6 – Staffing Experience Matrix and/or Exhibit 7 – Bidder Staff resume reports a number of Full-time Month Equivalents' experience for the designated work experience requirement for the referenced project that is different than that calculated based on reference contact input, the Key Staff will be evaluated based only on the number of Full-time Month Equivalents calculated reform reference contact input.
- b. **Non-Responsive References during the Pre-qualification phase:** The following procedures will be followed for reference contacts that are non-responsive:

1. After 2 (two) attempts to contact the reference, DGS Procurement Official will notify the Bidder of the client's unresponsiveness;
2. DGS Procurement Official and the Evaluation Team will make a third (3rd) attempt to contact the reference. If the reference is still unresponsive after 2 (two) business days from the third (3rd) contact attempt, the Bidder will be evaluated based on the number of Full-time Month Equivalents specified in Exhibit V.6 – Staffing Experience Matrix for that reference for purposes of the Pre-qualification Package evaluation only.

If the Evaluation Team does not elect to validate the number of reported Full-time Month Equivalents experience' reported for a Bidder's Key Staff during the Pre-qualification Package evaluation phase, then the Key Staff is evaluated based on the number of Full-time Month Equivalents specified in Exhibit V.6 – Staffing Experience Matrix for each referenced project.

As part of evaluating the Bidder's response to this requirement in the Final Proposal, the Evaluation Team will contact at least two (2) references for the proposed Project Manager, and at least a total of three (3) references for the other Key Staff to confirm information provided by the Bidder in Exhibit V.6 – Staffing Experience Matrix and Exhibit V.7 - Bidder Staff Resume (The Evaluation Team will take the opportunity of these reference contacts to obtain client satisfaction ratings as described in item #10 that follows below.) In cases where the information submitted on Exhibit V.6 – Staffing Experience Matrix and Exhibit V.7- Bidder Staff Resume conflicts with information provided by a reference, the information provided by the reference will take precedence and will be used in determining whether the proposed staff meets mandatory requirements. A "Fail" on this requirement will be deemed a material deviation and may disqualify the Bidder from further consideration.

- 2) Satisfaction of desirable Proposed Staff Qualifications requirement** (Maximum Score = 800): Section V.B.3.E - Proposed Staff Qualifications Requirements (Desirable) details the desirable qualifications for the Key Staff on the Bidder's proposed project team. Using the Bidder's completed Exhibit V.6 – Staffing Experience Matrix, Exhibit V.7 – Bidder Staff Resume, and (if applicable) results of reference checks, the Evaluation Team will sum the total number of Full-time Month Equivalents of each proposed staff's desirable experience for his/her respective role. In cases where the information submitted on Exhibit V.6 - Staffing Experience Matrix and Exhibit V.7 – Bidder Staff Resume conflict with information provided by a reference, the information provided by the reference will take precedence and will be used in calculation of the total months of proposed staff's desirable experience.

To determine the desirable the number of Full-time Month Equivalents' experience, the Evaluation Team will first total the number Full-time Month Equivalents for the desirable qualifications that have been verified against submitted Exhibits V.6 - Staffing Experience Matrix and V.7 - Bidder Staff Resume and (if applicable) contacts with staff references. Then the Evaluation team will subtract minimum required number of Full-time Month Equivalents, if any, for that experience. Lastly, they will enter the remaining number of Full-time Month Equivalents as the net number of desirable Full-time Month Equivalents experience.

In the event a Bidder elects to re-submit the same staff qualifications and references in response to these proposed Staff Qualifications requirements (A11 and A12) for the Final Proposal as submitted for the Pre-Qualification phase, the State reserves the right to carry the Pre-Qualification scoring forward to the Final Proposal evaluation scoring. In the event a Bidder elects to submit proposed staff in response to the Proposed Staff Qualifications requirements (A11 and A12) in the Final Proposal that differ from those submitted in the Pre-Qualification Package or a Bidder elects to submit references for the same proposed staff in response to requirements A11 and A12 in the Final Proposal that differ from the references for that staff included in the Pre-qualification Package, the new proposed staff

qualifications and/or the new references and contacts must meet the respective mandatory and (if appropriate) desirable requirements.

The team will then apply a weighting formula as specified below to award points to each Bidder based upon the total amounts tabulated for each role.

$$\frac{\text{Bidder's Total Desirable Qualifications x 800 (weight)}}{\text{Highest Bidder's Total Desirable Experience}} = \text{Bidder's Proposed Staff Score}$$

Table IX.20 shows an example of scoring of Proposed Staff Desirable Experience.

Table IX.20 Sample Proposed Staff Desirable Experience (A12) Scoring

Bidder	Total Desirable Full-time Month Equivalents Experience	Calculation	Points Awarded
A	72	72×800 90 (Bidder C)	640
B	31	31×800 90 (Bidder C)	275.6
C	90	90×800 90 (Bidder C)	800
D	38	38×800 90 (Bidder C)	337.8

10. Proposed Staff References – A11 and A12 for Final Proposals Only (Maximum Score = 1000)

a. INTRODUCTION

Sections V.B.3.D - Proposed Staff Qualifications Requirements (Mandatory) and V.B.3.E – Proposed Staff Qualifications Requirements (Desirable) identify requirements A11 and A12, which require the Bidder to complete Exhibit V.6 – Staffing Experience Matrix, including contacts for referenced projects. During the evaluation of Final Proposals, the references documented in Bidder's submitted Exhibit V.6 - Staffing Experience Matrix will be contacted in order to obtain their ratings of satisfaction with the proposed Key Staff members' performance.

b. EVALUATION PROCESS

As was stated in the context of discussion of evaluation of mandatory and desirable Proposed Staff Qualifications above, a minimum of two (2) references will be checked for the proposed Project Manager and a total of at least three (3) references will be checked for the proposed Key Project Team Members other than the Project Manager. At least three (3) members of the Evaluation Team will participate in each reference call. During the call, the Evaluation Team will ask the reference to directly rate the proposed Staff member's performance on the reference's implementation project as described in Exhibit V.6 – Staffing Experience Matrix.

The Reference Check Questionnaires for a Bidder's proposed Project Manager (Exhibit IX.3 - Reference Check Questionnaire for Proposed Project Manager) and proposed Key Staff (Exhibit IX.4 - Reference Check Questionnaire for Proposed Staff) detail the questions that are to be asked of each reference. These forms will also be used to document the references'

responses. The Evaluation Team will fax the questions to each reference in advance to ensure they have the resources available to respond to the questions.

During the call, the reference will be asked to directly rate the proposed project team member from 0 to 5 on a series of standard questions. For the proposed Project Manager, there are twenty-six (26) questions that address functional performance, general performance in managing the project, and demonstrated personal management skills.

For each of the other five (5) proposed Key Project Team members, there are a total of eight (8) questions that address technical skills for the role for which the individual is proposed, and general professional skills.

The rating provided by the reference to each question will be translated directly into points, i.e., if the reference rates the Team Member “4” on a particular question, the Bidder will be awarded four (4) points for that question. After the conclusion of the call, the Evaluation Team members will discuss the reference’s responses to validate they all had heard the same score from the reference for each of the question ratings.

Non-responsive References: The following procedures will be followed for references that are non-responsive:

- After two (2) attempts to contact the reference, DGS Procurement Official will notify Bidder of client’s unresponsiveness;
- DGS Procurement Official and Evaluation Team will make one (1) more attempt to contact the reference. If the reference is still unresponsive two (2) business days after the third (3rd) attempt to contact, Bidder will receive zero (0) points for that reference, which may be factored into the average reference calculation and final score awarded.

c. CALCULATION OF RFP SCORE FOR PROPOSED STAFF REFERENCES

1) **Total Reference Points Calculation:** The total points from each reference for the Project Manager (one hundred thirty (130) points maximum for each reference) will be summed, then divided by the total number of Project Manager References checked to yield an average Project Manager Reference score. The maximum number of points for the Project Manager Reference Score is one hundred thirty (130).

The total points from each reference for Key Staff other than the Project Manager (forty (40) points maximum for each reference) will be summed, then divided by the total number of references checked for proposed staff, and multiplied by two (2). The maximum number of reference points for the proposed staff other than the PM is eighty (80) (2 x 40 maximum points per reference).

These two average scores will be summed to yield Total Reference Points.

2) **Calculation of the Percentage of Points Earned:** The total reference points (#1 above) will be divided by the total possible points two hundred ten (210), to determine the percentage of points earned Proposed Staff References.

$$\frac{\text{Total Reference Points}}{\text{Maximum Points Possible (210)}} = \% \text{ of points earned}$$

3) **Calculation of RFP Score for Project Staff References:** The actual RFP score for Project Staff References will be calculated by multiplying the maximum possible score for Project Staff References one thousand (1000) by the percentage of earned points calculated in step 2 above.

$$(\text{Maximum Possible Score}) \times (\% \text{ of Points Earned}) = \text{RFP Score Awarded}$$

11. Project Organization – A20 (Maximum Score = 1000)

a. INTRODUCTION

Section V.3.C.N - Project Organization (Mandatory) of the RFP identifies requirement A20 – Project Organization. This Project Organization requirement is mandatory and Bidders must provide a narrative response to the requirement that addresses the criteria described in Section V.3.C.N.

The Evaluation Team will evaluate Bidder’s response to the Project Organization requirement and determine a score for this category based on the depth and breadth of the Bidder’s narrative description of the Project Organization, and the Evaluation Team’s assessment of the probability that a Bidder’s proposed approach will result in successful implementation at a perceived acceptable risk level.

b. EVALUATION PROCESS

For the response to the Project Organization requirement (A20), the Evaluation Team will award points using the criteria detailed in Table IX.21 – Criteria for Assigning Points in Evaluation of Project Organization below.

Table IX.21 –Criteria for Assigning Points in Evaluation of Project Organization (A20)

Percent of Points	Criteria
100%	Meets all requirements - The response is understandable, contains sufficient detail to evaluate the response completely, and meets all aspects of the evaluation criteria cited in Section V.3.C.N - Project Organization. Assigned roles are consistent with skill sets documented for proposed staff members in Exhibit V.6 – Staffing Experience Matrix and Exhibit V.7 – Bidder Staff Resume, and roles are assigned and discussed for all functions cited for the requirement in Section V.3.C.N - Project Organization. On-site staffing meets or exceeds SOS project needs and is logically consistent with the staff roles/responsibilities. The response gives a complete picture of the Bidder’s proposed organization, with detailed staff role information.
70%	Meets most requirements – The response is understandable, contains sufficient detail to evaluate the response completely, and meets at least seventy percent 70% of the criteria described in Section V.3.C.N – Project Organization for the requirement. On-site staffing is consistent with the documented roles/responsibilities. Assigned roles are consistent with skill sets documented for proposed staff members in Exhibits V.6 – Staffing Experience Matrix and Exhibit V.7 – Bidder Staff Resume, and roles are assigned and discussed for all functions cited in for the requirement in Section V.3.C.N – Project Organization.

Percent of Points	Criteria
25%	Partially meets requirements – The response meets at least twenty-five percent (25%) of the criteria described for the requirement in Section V.3.C.N – Project Organization, but is not clearly understandable, lacks sufficient detail to evaluate, or demonstrates lack of understanding for up to seventy-five (75%) of the criteria. Or, the Bidder's description of organization and resource allocation is inconsistent with documented skill sets members in Exhibit V.6 – Staffing Experience Matrix or Exhibit V.7- Bidder Staff Resume for one (1) or two (2) proposed staff, or reflects on-site staffing insufficient to fulfill the team functions.
0%	Does not meet requirements – The response is not clearly understandable, lacks sufficient detail to evaluate the response, meets fewer than twenty-five percent (25%) of the evaluation criteria cited in Section V.3.C.N – Project Organization-for the requirement, or demonstrates a lack of understanding of the evaluation criteria, Or, the Bidder's description of organization and resource allocation is inconsistent with documented skill sets members in Exhibit V.6 – Staffing Experience Matrix or Exhibit V.7 – Staff Resume for three (3) or more proposed staff.

Calculation of RFP Score for Project Organization: The actual Proposal score for Project Organization will be calculated as the percentage score x one thousand (1000). For example, if a Bidder's response is evaluated at seventy percent (70%) (meets most requirements) the Bidder's RFP score awarded for this requirement will be seven hundred (700) points.

F. COST ASSESSMENT (Maximum Score = 6,000 points)

A maximum score of six thousand (6,000) is possible for the Cost Assessment portion of the evaluation. The Cost Proposals from all participating Bidders will not be opened until the Evaluation Team has completed the evaluation process for Project Management, Business and Technical Requirements. Only Bidders that are compliant in all previous evaluation areas and exceeding seventy percent (70%) of the maximum total score for those categories will continue in the evaluation process and have their Cost Proposals opened. Bidders may be awarded up to six thousand (6,000) points for their costs for the VoteCal System.

All participating Bidders and interested parties shall be notified as to the date and time when a public opening of Proposal costs will be conducted.

The cost assessment is a two-step process. In the first step the Cost Proposals will be opened and the Evaluation Team will validate all cost tables for accuracy (math errors) and to ensure all items identified in the Bidder's Proposal (i.e., deliverables) have been included in the Cost Tables.

Errors and inconsistencies will be dealt with according to procedures contained in Section II.D.8.d - Errors in the Final Proposal. Adjustments will be made for the purpose of evaluation in accordance with procedures described in RFP Section VII – Cost Tables and RFP Section II. Rules Governing Competition. Only those cost adjustments will be made for which a procedure is described in this RFP. When the cost table validation has been complete, the Cost Score for each Bidder's Final Proposal are determined by applying the math adjustments and calculating the final Total Cost for each Bidder.

In the second step of the cost assessment, the formula is applied to the adjusted total cost for a VoteCal System Final Cost Point total as follows.

Example Calculation of Bidder Score for Proposal Cost for the VoteCal System:

The maximum cost score achievable is six thousand (6,000).

$$\frac{\text{Lowest Final Cost Proposal} \times 6,000}{\text{Bidder's Final Cost Proposal}} = \text{Bidder Final Cost Score}$$

Bidder Final Proposal Costs:

Bidder A	\$1,100,000
Bidder B	\$3,000,000
Bidder C	\$2,040,000

Bidder A	$(1,100,000 \times 6,000) / 1,100,000$	= 6,000 Cost Score
Bidder B	$(1,100,000 \times 6,000) / 3,000,000$	= 2,200 Cost Score
Bidder C	$(1,100,000 \times 6,000) / 2,040,000$	= 3,235 Cost Score

G. DETERMINATION OF WINNING PROPOSAL

1. Finalization of Final Proposal Points

All Bidder's points awarded for each area of the Evaluation are tallied to determine the total points awarded for each. The following Table IX.22 – Maximum Possible Score for Each Evaluation Area illustrates the maximum possible in each evaluation area.

Table IX.22 – Maximum Possible Score for Each Evaluation Area

Evaluation Area	Maximum Possible Score	
Preliminary Review (Pass/Fail)		
Administrative Requirements (Pass/Fail)		
Project Management, Business & Technical, and Bidder/Team Requirements		
Project Management Activities and Plans	3100	
Training	300	
Testing Plan	800	
Data Integration Plan	1000	
Technical Architecture	3000	
VoteCal System Business Requirements	Pass/Fail	
VoteCal Technical Requirements	Pass/Fail	
Bidder Qualifications and References		
Bidder Qualifications and References (Mandatory)	2300	
Bidder Qualifications and References (Desirable)	700	
Proposed Staff Qualifications for Key Staff		
Proposed Staff Qualifications (Mandatory)	Pass/Fail	
Proposed Staff Qualifications (Desirable)	800	
Proposed Staff References	1000	
Project Organization	1000	
TOTAL MAXIMUM SCORE: Project Mgmt., Business & Technical Requirements		14,000
Evaluation of Project Management, Business, Technical and Added Value Total Points (Numbers posted at Cost Opening)		
Cost Assessment		
VoteCal System Proposal Cost	6,000	
TOTAL POSSIBLE SCORE: Cost Assessment		6,000
TOTAL MAXIMUM SCORE:		20,000

2. Determination of the Small Business Preference

The Small Business participation preference will be applied after the scores for cost have been calculated. Per Government Code, Section 14835, et seq., Bidders who qualify as a California

certified small business and Bidders that commit to using small business subcontractors for twenty-five percent (25%) or more of the value of the contract will be given a five percent (5%) preference for contract evaluation purposes only.

The five percent (5%) preference is calculated on the total number of points awarded to the highest scoring non-small business that is responsible and responsive to the Proposal requirements. If after applying the small business preference a small business has the highest score, no further preferences would be applied as the small business cannot be displaced from the highest score position by application of any other preference.

The rules and regulations of this law, including the definition of a California-certified small business for the delivery of goods and services, are contained in the California Code of Regulations, Title 2, Section 1896, et seq. and can be viewed online at www.pd.dgs.ca.gov/smbus.

Table IX.23 Scoring Example with Small Business Preferences Applied illustrates how the Small Business preference would be applied. In the example, Bidder A initially has the most points. Bidder C is a California-certified small business. Bidder D is a non-small business that is using California-certified small businesses to perform work that amounts to twenty-five percent (25%) of the value of the contract. In this scenario, Bidder C earns the five percent (5%) small business preference, which is applied to the total "earned" points (accumulated technical, non-technical and cost points, prior to incentives and preferences). Bidder D earns the five percent (5%) small business preference, which is applied to the total "earned" points to yield the highest overall point total. In this example, Bidder C would be awarded the contract, because a small business cannot be displaced by any other preference, even though applying the small business preference to Bidder D would have given Bidder D the higher point total.

Table IX.23 - Scoring Example with Small Business Preferences Applied

	Bidder	A	B	C	D
1	Bidder Firm is a Small Business?	No	No	Yes	No
2	Proposal Meets Small Business Requirements?	No	No	Yes	Yes
3	Technical Requirement Points (Row 3)	268	255	245	248
4	Cost Points (row 4)	280	240	300	299
5	Non-Technical points (row 5)	0	0	0	0
6	The Bidder's Cost bid that has the total Combined Highest Cost and Non-Technical Points (Row 4 + Row 5) = Row 6 (300; in this case, Bidder C)	300	300	300	300
7	Total Points Score before any Incentives (Row 3 + Row 4 + Row 5) = Row 7	548	495	545	547
8	Small Business Preference - Highest points Bidder in Row 7 that is not a small business, times 5% = Row 8	0	0	(548 x .05) = 27.4	(548 x .05) = 27.4
9	Total Points with Small Business Preference Applied (Row 7 + Row 8) = Row 9	548	495	572.4	574.4
10	Subtraction of Preference Points from Non-Small Businesses	0	0	0	27.4

	Bidder	A	B	C	D
11	Total Final Points with Small Business Preference Applied	548	495	572.4	547

In this example, Bidder D would appear to receive the award, but the law states that a California certified small business cannot be displaced by a large business, which receives preference points. Therefore, when you remove the small business preference points from, Bidder D, Bidder C, has the most points and will receive the award.

3. Determination of the DVBE Incentives

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) is to provide an incentive for DVBE participation in State contracts. The incentive for this procurement provides additional points for those Bidders that achieve ~~more than 3% at least one percent (1%) more than the required participation percentage stated in Section V Administrative Requirements.~~ Bidders will receive incentive points in accordance with the table 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 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 IX.24 – DVBE Point Scale illustrates the point allocation.

Table IX.24 DVBE Point Scale

Confirmed DVBE participation of:	DVBE Incentive:
5% or more	5% of 1,000 = 50
4% up to 4.99%	4% of 1,000 = 40

The DVBE incentive percentage is applied to points earned by the Bidder. For this RFP, the total available is twenty thousand (20,000) DVBE incentive points.

Table IX.25 Example of Bidder Points with Small Business and DVBE Incentives and Preferences Applied illustrates how DVBE incentives and Small Business Preferences would be applied. In this example, Bidder B initially has the most points (16,530 total points). Bidder C is a California certified small business. Bidder D is a non-small business that is using California certified small businesses to perform work that amounts to twenty-five percent (25%) of the value of the contract. As a small business, Bidder C earns the five percent (5%) small business preference, which is applied to the total "earned" points (accumulated technical, non-technical and cost points, prior to incentives and preferences). As a large business using California certified small businesses to perform work that amounts to twenty-five percent (25%) of the value of the contract, Bidder D earns the five percent (5%) small business preference which is applied to the total "earned" points also. Bidder D earns one thousand (1000) DVBE incentive points.

In this example, Bidder D would appear to receive the award, but the law states that a California certified small business cannot be displaced by a large business, which receives preference points. Therefore, when you remove the small business preference points from, Bidder D, Bidder C, has the most points and will receive the award.

3. Determination of the DVBE Incentives

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) is 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 the table 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 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 IX.24 – DVBE Point Scale illustrates the point allocation.

Table IX.24 DVBE Point Scale

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

The DVBE incentive percentage is applied to points earned by the Bidder. For this RFP, the total available is twenty thousand (20,000) DVBE incentive points.

Table IX.2~~Table IX-25~~ - Example of Bidder Points with Small Business and DVBE Incentives and Preferences Applied illustrates how DVBE incentives and Small Business Preferences would be applied. In this example, Bidder B initially has the most points (16,530 total points). Bidder C is a California certified small business. Bidder D is a non-small business that is using California certified small businesses to perform work that amounts to twenty-five percent (25%) of the value of the contract. As a small business, Bidder C earns the five percent (5%) small business preference, which is applied to the total "earned" points (accumulated technical, non-technical and cost points, prior to incentives and preferences). As a large business using California certified small businesses to perform work that amounts to twenty-five percent (25%) of the value of the contract, Bidder D earns the five percent (5%) small business preference which is applied to the total "earned" points also. Bidder D earns one thousand (1000) DVBE incentive points.

Table IX.25 Example of Bidder Points with Small Business and DVBE Incentives and Preferences Applied

#	Scoring Step	Bidder A	Bidder B	Bidder C	Bidder D
	Meets Small Business Requirement?	No	No	Yes	Yes
1	Technical Requirements Score	0	11295	10055	11455
2	Cost Points	0	5235	3590	3555
3	Non-Technical Points (none for this procurement)	0	0	0	0
4	The Bid that has the Total Combined Highest Cost and Non-Technical Points (row 3 + row 4)		X		
5	Total Points Score before any Incentives (row 2 + row 3 + row 4)	0	16,530	13,645	15,010
6	Small Business Preference ((highest points from row 7 that is not a small business) * 5%)	0	0	(16,530* 0.05) = 826.5	(16,530* 0.05) = 826.5
7	Total Points with Small Business Preference (row 6 + row 7)	0	16,530	14,471.5	15,836.5
8	DVBE Incentive	0	0	0	5%
9	DVBE Incentive Points from Table IX.27	0	0	0	1000
10	Total Points for Evaluation Purposes Only (row 8 + row 10)	0	16,530	14,471.5	16,836.5

In the example, Bidder D would have the highest number of points (16,836.5) and would receive the award.

4. *Winning Proposal Summary*

The evaluation process will determine which responsive Bidder Proposal has the highest combined score for the technical and administrative scored requirement, the cost and the preferences.

G. CONTRACT AWARD

The Contract award, if any, will be made to the responsive and responsible Bidder that best meets the State's needs.

EXHIBIT IX.1 – PRELIMINARY REVIEW FORM

The response package includes the following:

EXHIBIT IX.1 – PRELIMINARY REVIEW FORM	
Bidder Name:	
Received ten (10) copies of Volumes I and IV	Yes <input type="checkbox"/> No <input type="checkbox"/>
Received ten (10) copies of Volumes II and III (Volume III validated at cost opening)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Received one (1) CD-ROM versions of Volumes I and III (Vol. III validated at cost opening)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Received by time and date specified in RFP	Yes <input type="checkbox"/> No <input type="checkbox"/>
One (1) complete set of all volumes containing original signatures marked " Master Copy "	Yes <input type="checkbox"/> No <input type="checkbox"/>
VOLUME I – RESPONSE TO REQUIREMENTS	
Section 1: Cover Letter	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> A statement to the effect that the Proposal is a firm's binding offer, good for 180 days from contract award date. 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> A statement that the Bidder commits to meeting all requirements of the RFP. 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> A statement indicating that the Bidder has available staff with the appropriate skills to complete performance under the Contract for all services and providing all deliverables as described in this RFP. 	Yes <input type="checkbox"/> No <input type="checkbox"/>
A statement accepting full Prime Contractor responsibility for coordinating, controlling, and delivering all aspects of the Contract and any subcontractors on their team.	Yes <input type="checkbox"/> No <input type="checkbox"/>
Section 2: Executive Summary	Yes <input type="checkbox"/> No <input type="checkbox"/>
Section 3: Response to the Administrative Requirements (Section V)	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Signed Confidentiality Statement for Bidder Firm (Mandatory)* (Requirement A1) *If not previously received as tracked by DGS Procurement Analyst, signed Exhibit V.1 (Confidentiality Statement for the Bidder Firm). 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> General Liability Insurance Certificate (Mandatory) (Requirement A2) Statement indicating Bidder agrees to provide the required general liability insurance 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Workers Compensation Liability Insurance Certificate (Mandatory) (Requirement A3) Completed Exhibit V.3 (Workers' Compensation Insurance Certification) 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Subcontractor List (Mandatory) (Requirement A6) Exhibit V.2- Subcontractor List Must be at least one, even if no subcontractors will be used (one form must so indicate) 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Letter of Credit Intent (Mandatory) (Requirement A7) 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 redacted 	Yes <input type="checkbox"/> No <input type="checkbox"/>

<ul style="list-style-type: none"> <u>Financial Capacity/Responsibility (Mandatory) (Requirement A8)</u> <u>Audited financial statements or SEC 10K filings (including a balance sheet) for each of the company's last three fiscal years</u> <u>Completed Exhibit V.8 - Bidder Affirmation of Financial Capacity signed by someone in the Bidder firm with the authority to bind the firm.</u> <u>(Required for Final Proposal submission, not Draft Proposal submission)</u> 	Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> California Certificate of Good Standing for Bidder and all qualifying Subcontractors (Requirement A15) 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Fully executed copy of the Standard Form 204 – Payee Data Record for Bidder and all qualifying Subcontractors (Requirement A16) 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Data to support that the solution proposed meets the Productive Use requirements (Requirement A17) 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> DBVE Participation (Mandatory) (Requirement A18) 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Small Business Preference Exhibit V.4 – Small Business Preference (Requirement A19) 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Optional Preference Claims (if applicable) <ul style="list-style-type: none"> TACPA Preference Claimed? Yes <input type="checkbox"/> No <input type="checkbox"/> EZA Preference Claimed? Yes <input type="checkbox"/> No <input type="checkbox"/> LAMBRA Preference Claimed? Yes <input type="checkbox"/> No <input type="checkbox"/> 	Yes <input type="checkbox"/> No <input type="checkbox"/>
Section 4: Response to the Business and Technical Requirements RFP Section VI	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Project Management Activities and Plans (Requirement P1 – P11) 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Business Functional Requirements 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Technical Requirements 	Yes <input type="checkbox"/> No <input type="checkbox"/>
Section 5: Response to the Project Team Experience Requirements RFP Section V	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Bidder Qualifications and References (Mandatory) (Requirement A9) Mandatory 3 completed & signed Exhibit V.5.a forms supplied 	Yes <input type="checkbox"/> No <input type="checkbox"/>
<ul style="list-style-type: none"> Bidder Qualifications and References (Desirable) (Requirement A10) Confirm a possible but not necessary 4th completed & signed Exhibit V.5.b form supplied) 	Yes <input type="checkbox"/> No <input type="checkbox"/>

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<ul style="list-style-type: none"> Proposed Staff Experience (Mandatory) (Requirement A11) Confirm six (6) completed Exhibit V.6 (Staffing Experience Matrix) and Exhibit V.7 (Bidder Staff Resume) forms received in response to this mandatory requirement. .One completed set for each of following six (6) Key Staff Roles: <ol style="list-style-type: none"> Project Manager Business Lead Technical Lead Development Lead Testing Lead Data Integration Lead 	Yes <input type="checkbox"/> No <input type="checkbox"/>
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VOLUME I – RESPONSE TO REQUIREMENTS (CONTINUED)

<ul style="list-style-type: none"> Proposed Staff Experience (Desirable) (Requirement A12) Confirm that the Exhibit V.6 (Staffing Experience Matrix) and Exhibit V.7 (Bidder Staff Resume) forms received (for requirement A11, above) for the following Key Staff roles specifying the requisite desirable requirements are met: Project Manager, Business Lead, Technical Lead and Development Lead. 	Yes <input type="checkbox"/> No <input type="checkbox"/>
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<ul style="list-style-type: none"> Proposed Project Organization (Mandatory) (Requirement A20) The Bidder’s Project Staffing Overview includes 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, the specific deliverables to which each key staff will contribute and other required information. 	Yes <input type="checkbox"/> No <input type="checkbox"/>
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VOLUME II – COMPLETED CONTRACT

This volume must contain a completed contract. Submission of a contract with SOS unapproved modifications may cause the Final Proposal to be deemed non-responsive.	Yes <input type="checkbox"/> No <input type="checkbox"/>
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VOLUME III – COST DATA

Cost Proposal is submitted in a separate and sealed envelope.	Yes <input type="checkbox"/> No <input type="checkbox"/>
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VOLUME IV – LITERATURE

This volume will contain all technical and other reference literature necessary to support the responses to the requirements of this RFP (i.e., product “glossy” brochures, equipment technical specification brochures, technical or user manuals that may be advertised in response to the requirements, and other advertising materials). Literature must be tabbed, page numbered, indexed, and properly annotated so SOS can readily verify compliance with the stated requirements. <u>Any references to cost figures in the literature must be replaced with “XXXX”.</u>	Yes <input type="checkbox"/> No <input type="checkbox"/>
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COMMENTS: _____

**Exhibit IX.2 – Bidder Reference Form –
Client Telephone Reference Questionnaire**

Bidder Reference Form (Requirements A9 and A10)		
Bidder Name:	Firm/Sub-Contractor Name:	
Scheduled date and time of attempted contact(s):	Contact #1 Contact #2 Contact #3	
Time of contact interview:	Start:	End Time:
Ratings on Indicators of Project Success		
<i>On a scale of 0 to 10 (where 10=Very Satisfied, 5 = Satisfied, 0 = Not Satisfied), select a number that best describes your level of satisfaction on the following topics. You may select any number between 0 and 10, inclusive.</i>		
	Points	Comments
1. How satisfied were you with the business subject matter expertise of the firm's implementation team?		
2. How satisfied were you with the technical expertise of the firm's implementation team?		
3. How satisfied were you with the firm's responsiveness to your organization's needs and concerns?		
4. How satisfied were you with the firm's management of project schedule and scope?		
5. How accurate and effective were the firm's processes for managing risks, issues, and changes?		
6. How effective was the firm's management of communications, both with internal stakeholders and external stakeholders?		
7. How effective was the firm's management of product quality; for example, management of product testing and quality assurance processes?		
8. How satisfied were you with the firm's overall implementation and deployment approach?		
9. How satisfied are you with overall system usability, including features and help functions?		
10. How well does the system meet your performance requirements; for example, requirements concerning responsiveness and batch processing windows?		
11. How satisfied are you with the reliability of the system; for example, system availability and frequency of unscheduled outages?		
12. How satisfied are you with the firm's systems and operations documentation?		

Bidder Reference Form (Requirements A9 and A10)

Bidder Name:	Firm/Sub-Contractor Name:	
13. How satisfied are you with the timeliness and effectiveness of product service and support provided by the firm; for example, responses to questions, problem resolution, and bug fixes?		
14. How satisfied are you with the ability to easily adapt the delivered system to changing business requirements?		

Evaluation of Overall Success

1. Schedule Performance

Choose the one option that best describes the actual completion of the Contractor's work on the project, relative to the scheduled completion date:

- Completed early, on time, or late by less than 25%
- Completed late by at least 25% but less than 50%
- Completed late by 50% or more

If the project was late by 25% or more, which of the following 3 options best describes who was responsible for late completion? (choose ONE)

- Contractor Firm only Customer only Both Contractor Firm and Customer

2. Cost Performance

Choose the one option that best describes the actual cost of the Contractor's work on the project, relative to the approved budget:

- Completed within or under budget, or over budget by less than 25%
- Completed over budget by at least 25% but less than 50%
- Completed over budget by 50% or more

If the project was over budget by 25% or more, which of the following 3 options best describes who was responsible for exceeding the budget? (choose ONE)

- Contractor Firm only Customer only Both Contractor Firm and Customer

3. Achievement of Project Requirements

Choose the ONE option that best describes the extent to which the delivered system met goals and requirements:

- System fully met or exceeded all business and technical requirements
- System met all critical business and technical requirements
- System did not meet all critical business and technical requirements

If the system did not fully meet or exceed all requirements, which of the following 3 options best who was responsible for deviations? (choose ONE)

- Contractor Firm only Customer only Both Contractor Firm and Customer

Bidder Reference Form (Requirements A9 and A10)

Bidder Name:

Firm/Sub-Contractor Name:

4. System Deployment

Choose the ONE option that best describes the extent to which actual system deployment met your organization's expectations:

- System deployment fully met or exceeded all expectations related to schedule, scope and resources
- System deployment met all critical expectations related to schedule, scope and resources
- System deployment did not meet all critical expectations related to schedule, scope and resources

If deployment did not fully meet all expectations, which of the following 3 options best describes who was responsible deviations from expectations? (choose ONE)

- Contractor Firm only
- Customer only
- Both Contractor Firm and Customer

5. Deployed System Quality

Check the ONE option that best describes the quality of the deployed system. For the purposes of this question, "deployed system" means the system in full production use or in a pilot phase in which at least some user communities are using it in a production mode. A "workaround" is defined as a policy, procedural and/or technical action that is external to the system and undertaken to address a system bug or error on either a temporary or a long-term basis.

- There were only cosmetic deficiencies or minor deficiencies that did not impact system functionality, and each deficiency was corrected or could be corrected by a system fix.
- There were minor deficiencies that did not impact the system's critical business or technical functionality, and each deficiency was corrected or could be corrected by a system fix.
- There were significant deficiencies that impacted critical business and/or technical functionality, and each significant deficiency was corrected or could be corrected by a system fix.
- There were significant deficiencies that impacted critical business and/or technical functionality, and at least one of these significant deficiencies was addressed or must be addressed by a workaround (a system fix was or would not be feasible).
- There were significant deficiencies that impacted critical business and/or technical functionality, and at least one of these significant deficiencies could not be addressed by either a system fix or a workaround.

Comments:

Exhibit IX.3 – Reference Check Questionnaire for Proposed Project Manager

Project Manager Reference Check Form	
Bidder Name:	Project Mgr Name:
General Project Profile of Reference	
Contact Name:	
Title:	
City, State, Zip:	
Phone:	
Scheduled date and time of attempted contact(s):	Contact #1 Contact #2 Contact #3
Time of contact interview:	Start: _____ End Time: _____
Was the total one-time cost for this project over \$20 million?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Was the Client for this project an agency of the State of California?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Project Role	
What was this person's role on the Project	
Indicate the Start and End dates of that role	Start Date: End Date:
Using the definitions included in Exhibit V.6 Staffing Experience Matrix and Instructions, indicate whether this person worked full-time or half-time on the Project.	<input type="checkbox"/> Full-time <input type="checkbox"/> Half-time
The VoteCal evaluation team will verify the specific experience qualifications and dates for each qualification on the submitted Exhibit V.6 Staffing Experience Matrix. In the right-hand cell, they will note any area in which reference's report of existence or duration of experience for this project differs from submitted Exhibit V.6 (keeping in mind the calculations required to determine Full-time Month Equivalents as defined in Exhibit V.6).	Differences from Exhibit V.6:
On a Scale of 0-5 (5 being the highest & 0 being the lowest score or "not applicable"), rate the following:	Rating Comments
Functional Performance	
• Project Management Plan preparation	
• Project Schedule Management	

Project Manager Reference Check Form		
Bidder Name:	Project Mgr Name:	
• Project Reporting		
• Project Budget and cost control		
• Risk & Issue Management		
• Deliverables Management		
• Quality Assurance		
• Change Control Process		
• System Documentation		
• Design Cycle		
• Development Cycle		
• Testing & Implementation Cycle		
• Product support and help desk functions		
• Training		
• Data conversion/integration		
<i>General Ability to Manage a Project</i>		
Rate the PM's success in managing and controlling project scope		
Rate the PM's success in controlling project costs		
Rate the PM's success in controlling the project schedule		
Rate the likelihood you would hire this person in this capacity for future projects		
<i>Personal Management Skills</i>		
Rate the extent to which the PM demonstrated personal management skills in the following areas:		
• Written Communications		

Project Manager Reference Check Form

Bidder Name:	Project Mgr Name:	
• Verbal communications		
• Meeting planning & facilitation		
• Organization		
• Customer service and responsiveness		
• Leadership & personnel management		
• Follow through		
Other comments/questions		
Total Points for PM Reference Check		

Exhibit IX.4 – Reference Check Questionnaire for Proposed Staff

Proposed Staff Reference Check Form		
Bidder Name:	Team Member Name:	
General Project Profile of Reference		
Contact Name:		
Title:		
City, State, Zip:		
Phone:		
Scheduled date and time of attempted contact(s):	Contact #1 Contact #2 Contact #3	
Time of contact interview:	Start:	End Time:
Project Role		
What was this person's role on the Project? (Function? In a lead position?)		
Was the one-time cost for this project greater than \$25 million?	___ Yes ___ No	
Indicate the Start and End dates of that role	Start:	End:
Using the definitions included in Exhibit V.6 Staffing Experience Matrix and Instructions, indicate whether this person worked full-time or half-time on the Project.	___ Full-time ___ Half-time	
The VoteCal evaluation team will verify the specific experience qualifications and dates for each qualification on the submitted Exhibit V.6 Staffing Experience Matrix. In the right-hand cell, they will note any area in which reference's report of existence or duration of experience for this project differs from submitted Exhibit V.6 (keeping in mind the calculations required to determine Full-time Month Equivalents as defined in Exhibit V.6).	Differences from Exhibit V.6:	
On a Scale of 1-5 (5 being the highest & 1 being the lowest score), rate the following:	Rating	Comments
Rate the extent to which the person demonstrated skills in the following areas:		
<ul style="list-style-type: none"> • Technical skills demonstrated for the role assigned 		

Proposed Staff Reference Check Form

• Performance (timeliness, quality, completeness) for the role assigned		
• Written & Verbal Communications		
• Organization		
• Customer service and responsiveness		
• Leadership & supervisory skills		
• Follow-through		
• The likelihood you would hire this person in this capacity for future projects		

Other comments/questions

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 or State) Statewide Voter Registration System Project (VoteCal); it also establishes responsibilities for completing these tasks. The Contractor is responsible for performing all tasks including without limitation producing all Deliverables, and providing all Services described in this SOW and its Exhibits in the manner and according to the Specifications and the schedules and dependencies stated in the Project Management Plan (PMP) and Integrated Project Schedule (IPS) (as defined below) that have received Acceptance from SOS. The SOS team is responsible for providing information, data, documentation, and test data to facilitate the Contractor's performing its tasks, including without limitation producing Deliverables and providing Services, and to provide such additional support as specifically put forth in this SOW.
- (b) The Contractor Deliverables identified for this fixed price Contract are described in Attachment 1, Exhibit 2 - Tasks and Deliverables.
- (c) For additional work, which is not foreseen at the time this Contract is executed, Work Authorizations (Exhibit I) will define and authorize such work pursuant to Section 7 of this SOW. A Work Authorization shall not result in a purchase order for purposes of Attachment 2, Provision 26 – Limitation of Liability (i.e., Work Authorizations result in contract amendments which are then included in the Purchase Price).
- (d) All Contractor Commercial Proprietary Software, other Pre-Existing Materials, and Third-Party Software components included in the VoteCal System must be fully supported by their licensors in accordance with maintenance agreement terms of such licensors at the time this Agreement completes at the end of Phase VII – First Year Operations and Close-Out (see the description of Deliverable VII.4, Complete Contract Implementation Close-out in Attachment 1, Exhibit 2, Section E – First Year Operations and Close-out). Further, the Contractor is responsible for ensuring that the licensor provides such support from the time the Contract is awarded to the Contractor throughout the term that the Contractor provides Maintenance and Operations Services. Any Software upgrades or other changes necessary to continue receiving the licensor's maintenance services for the Contractor Commercial Proprietary Software and Third-Party Software will be made by the Contractor without additional cost to SOS.
- (e) All Software development tools proposed for use in developing and implementing the VoteCal System must be fully supported by their manufacturer in accordance with the maintenance agreement terms of such manufacturer at the end of Phase VII – First Year Operations and Close-out. Further, the Contractor is responsible for ensuring that the manufacturer provides such support from the time the Contract is awarded to the Contractor throughout the term that the Contractor provides Maintenance and Operations Services. Any Software upgrades or other changes necessary to continue receiving the manufacturer's maintenance services for such Software development tools will be made by the Contractor without additional cost to SOS.
- (f) All VoteCal System Hardware components must be fully supported by their manufacturer at the end of Phase VII – First Year Operations and Close-out. Further, the Contractor is responsible for ensuring that the manufacturer provides such support from the time the Contract is awarded to the Contractor throughout Phase VII – First Year Operations and Close-out. Any Hardware maintenance or other changes necessary to continue receiving the manufacturer's maintenance services for such Hardware will be made by the Contractor without additional cost to SOS.

2. Term of Contract

The term of this Contract shall begin on the Effective Date and continue through Phase VII – First Year Operations and Close-out, which includes the Warranty Period that shall be concurrent with one (1) year of Maintenance and Operations Services, subject to earlier termination as provided in the Contract. Additionally, SOS may execute five (5) one-year options for Hardware Maintenance and Operations and one (1) five-year option for Software Maintenance and Operations. The State may, at its sole option, choose to exercise the extensions to the Maintenance and Operations Services for the Services described in Attachment 1, Exhibit 4 – Hardware, Maintenance and Operations and Help Desk Service Levels and Attachment 1, Exhibit 5 – Application Software Maintenance and Operations Services and Help Desk Service Levels and at the price identified in Cost Table VII.2 - VoteCal System 5-Year Optional Hardware Maintenance and Operations Costs and Cost Table VII.3 - VoteCal System Software Support Costs.

3. 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 Attachment 1, Exhibit 2 – Tasks and Deliverables and further defined Project Management Plan (PMP) and Integrated Project Schedule (IPS) (as defined below). Each Contractor Deliverable will be considered complete only after formal review 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 (see Section 10 - Inspection, Acceptance and Rejection of Contractor Deliverables). Each Contractor task, including but not limited to the Services will be considered complete only after formal review and confirmation in writing by the SOS Project Director that the task has been performed as required in the Contract.
- (b) The fixed price listed in this Contract shall provide for all Contractor tasks, including but not limited to the Deliverables, as defined in Attachment 1, Exhibit 2 – Tasks and Deliverables and as more fully specified in:
 1. The Project Management Plan (PMP) Deliverable, which defines the technical and managerial Project functions, processes, activities, tasks, and schedules necessary to satisfy the Project requirements and produce required Contractor Deliverables and which must receive SOS's Acceptance to be effective. Contractor's PMP Deliverable shall be developed based upon the Final Proposal's PMP and shall be submitted for SOS review and Acceptance within 30 calendar days of the Effective Date of this Contract.
 2. The Integrated Project Schedule (IPS), which specifies the planned tasks, milestones, estimated completion dates, resource assignments, and dependencies between tasks and which is effective only after it receives SOS Acceptance. In collaboration with the VoteCal Project Manager (or designees), the Contractor develops the IPS based upon the draft IPS in Final Proposal (included in the Final Proposal's Schedule Management Plan) within ninety (90) calendar days of the Effective Date. The updated and Accepted IPS identifies major activities the Contractor must undertake to complete its Deliverables and to deliver required Services in a timely manner. The IPS also identifies all activities that other contractors and SOS staff must perform in order for the Contractor to complete its required activities and Deliverables as described in this Attachment 1 and in Attachment 1, Exhibit 2 – Tasks and Deliverables. While the IPS is initially included in the Final Proposal's Schedule Management Plan, it is delivered and maintained as a separate Deliverable independent of the Schedule Management Plan for the term of the Contract.

- (c) The Contractor shall cooperate with any third-party contracted by the State to provide additional project support services.
- (d) The Contractor ~~will~~ shall package (draft and final copies) and deliver paper copies of all project documentation, Deliverables, and other materials for deposit into the Project Library.
- (e) The Contractor ~~will~~ shall work directly with the State to help State determine changes that will be required to existing State and other systems to support the Project and operate with the System in accordance with applicable Specifications.
- (f) The Contractor ~~must~~ shall store all non-software project artifacts in the project's Microsoft SharePoint project library or other Project library repositories as specified by the State.
- (g) The services provided by Contractor to accomplish the SOW shall be under the control, management, and supervision of Contractor, including Services provided by any subcontractors and off-site Contractor staff (if applicable).

4. Contractor Personnel

- (a) Contractor shall make available personnel as specified in its Final Proposal for the purpose of performing tasks, including providing the Services, required in Attachment 1, Exhibit 2 – Tasks and Deliverables and further defined in the SOS-approved PMP and IPS.
- (b) SOS requires that Contractor analysis, design, development, testing, and training development activities be performed exclusively within Sacramento County except as set forth below. The staff filling the Contractor's six (6) Key Staff Roles, which include the Contractor's Project Manager, Business Lead, Technical Lead, Development Lead, Testing Lead, and Data Integration Lead, must work exclusively at the SOS' Sacramento office. No tasks shall be performed offshore. If Contractor identifies potential tasks that Contractor staff filling any of the Key Staff Roles could accomplish off-site and/or tasks that any Contractor staff could accomplish working outside Sacramento County 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 to the SOS Project Director at least ten (10) State business days prior to the date that the Contractor proposes such off-site work begin and contingent on SOS Project Director written approval of the request before work begins.

Prior to the State approving such an exception for Contractor staff to work off-site, the Contractor must describe to the SOS VoteCal Project Director how effective and timely communications with off-site staff will be maintained. If the State approves work outside of Sacramento County, the Contractor must first attest to its compliance with all State and SOS security requirements and agree to the installation of a SOS managed router and WAN circuit at the Contractor's facility and at Contractor's expense. The SOS will not support the use of VPN access to its network.

Should the Project Director approve Contractor staff filling any of the Key Staff Roles to work off-site within Sacramento County and/or any Contractor staff to work off-site outside of Sacramento County, the Contractor must make these off-site staff available to work at SOS headquarters at SOS's request and at Contractor's expense.

- (c) The Contractor must commit to the continuing availability and participation of the staff filling six (6) Key Staff Roles, to the extent of the Contractor's control, for the duration of the Project or for their proposed period of involvement (as defined in the SOS-approved PMP, IPS and Final Proposal).

- (d) If staff submitted by the Contractor for the Contract is unable to participate in this Contract at any time, they must be replaced with comparably qualified staff who meets the minimum RFP qualifications within twenty-eight (28) State business days. The Contractor may request changes to staff (either replacement or additional staff) by submitting a written request to the SOS Project Director. The request must include customer references and a current resume for each replacement staff. The SOS may, at its sole discretion, request additional information to substantiate whether the replacement staff is in compliance with the RFP requirements. Within ten (10) State business days after receipt of the request or additional information, the SOS Project Director will respond, in writing, indicating approval or rejection of the proposed replacement staff. The SOS Project Director must approve replacement staff in writing before they begin work on the project.
- (e) If any of the proposed replacement staff are rejected and a qualified replacement is not provided to SOS for approval within 20 State business days of the rejection, the Contractor will be in material breach of the Contract unless SOS provides an extension in writing before the deadline is exceeded. The SOS shall not compensate the Contractor for any time or effort required to prepare a new staff member for performing tasks on the Project.
- (f) The SOS reserves the right in its sole discretion to require the Contractor to replace any assigned staff at any time, subject to compliance with applicable law. The SOS will notify the Contractor in writing when exercising that right. The Contractor, no later than thirty (30) State business days of such notification, shall provide a replacement candidate that meets or exceeds the requirement as defined in this RFP.
- (g) Except in the case of a leave of absence, sickness, death, termination or resignation of employment or association, or other circumstances outside the reasonable control of Contractor, the individuals assigned as Key Staff in Contractor's Final Proposal shall not be removed by Contractor from performing their assigned tasks during the period of performance for each such individual as described in Contractor's Final Proposal without the prior written approval of State. SOS recognizes that a resignation or other events may cause Contractor Project team members to be unavailable. The SOS Project Director reserves the right to approve or deny all Contractors' proposed replacement project team members. Any proposed replacement staff must have the same or higher-level skills and experience as those requirements stated in the RFP. Contractor must request approval of replacement staff from the SOS Project Director in writing at least ten (10) State business days before they are scheduled to begin work on the project and replacement staff shall not start on the Project without the SOS Project Director's written approval. The SOS reserves the right to disapprove additional staff before they start on the project.
- (h) The State recognizes that changes to Subcontractor(s) may be necessary and in the best interests of the State; however, advance notice of a contemplated change and the reasons for such change must be made to the State no less than seven (7) State business days prior to the existing Subcontractor's termination. If this should occur, the Contractor should be aware that the SOS Project Director 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 of the Subcontractor's successful performance operating in a role(s) comparable to the role(s) the Subcontractor is intended to fill under this Contract. 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.

- (i) 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 Director.
- (j) The Contractor must provide staff to support required project roles, work activities, and management of their respective teams based on this SOW.

5. Work Standards

Contractor staff and Subcontractors shall adhere to the following work standards for the Project:

- (a) Contractor will use Microsoft Office 2003 and Microsoft Project 2007 or such other standard programs designated by the SOS. Contractor shall upgrade commercial software versions at no cost to the State to remain compatible with the SOS' systems.
- (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 IPS 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). If the electronic version of a Contractor's Project record or Documentation ~~work-Work product~~ ~~Product~~ is created by or stored in a product or tool that SOS does not own or have access to, then, either: i) SOS and the Contractor will identify an alternate electronic format that is acceptable to both parties that will be used by the Contractor to store an electronic copy of the particular Project record or Documentation ~~work-Work product~~ ~~Product~~; or, ii) if an alternative electronic format cannot be identified or agreed to, the Contractor will maintain a paper copy of the Project record or Documentation ~~work-Work product~~ ~~Product~~ in the SOS Project Library.
- (f) The Contractor must comply with project management industry standards (e.g., PMBOK) and IEEE when designated in writing by the SOS.

6. Responsibilities of SOS

- (a) The SOS Project Director will oversee and manage this Contract. The SOS Project Director will work with the Contractor to facilitate successful completion of Contractor's obligations, will review and have authority to provide Acceptance of Deliverables in accordance with Contract terms, will accept staffing changes, and will work to resolve Contract issues.
- (b) The SOS Project Director will be responsible for the overall management of the project Governance Structure that includes an ESC and Project Management Office (PMO), and serves as the primary contact for each.
- (c) The SOS will maintain a comprehensive Project office to: provide SOS Project Managers to support the Project infrastructure to provide day-to-day project management for the SOS VoteCal Project; and to manage project operations, including Project staffing changes, budget/fiscal controls, Contract management, State reporting, and recruitment.
- (d) The SOS will be responsible for the delivery of Project communications.
- (e) The SOS will serve as the representative of the Project in meetings, presentations, and other contexts for the Project.

- (f) The SOS will provide knowledge of relevant State processes, policies, and regulations not related to voter registration.
- (g) The SOS will administer and maintain the Project library for deposit of Project Deliverables and other documents. The Project library will be comprised of both hard copy and electronic documents.
- (h) The State will continue to support its existing legacy systems as provided in the PMP.
- (i) For work performed at SOS premises, SOS shall provide the following work environment, after all onsite Contractor and subcontractor personnel agree in writing to SOS and State acceptable use policies.
- (j) Up to six (6) contractor workstations and work space for up to 12 Contractor staff; and, access to printers, copiers, telephone, and desktop computers with approved SOS applications.
- (k) Should Contractor wish to have more than six (6) workstations connected to the SOS network, Contractor will reimburse SOS for its acquisition and installation of additional workstations and software.
- (l) 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 tasks. The SOS Project Director or designee shall provide additional assistance and services as specifically set forth in Attachment 1, Exhibit 2 - Tasks and Deliverables.
- (m) The SOS Project Director (or designee) shall manage 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 by Contractor.
- (n) At the end of Phase VII – First Year Operations and Close-out, SOS shall assume primary responsibility for maintaining and operating the VoteCal System without Contractor support unless the SOS exercises the optional maintenance and operations terms as described in Attachment 1, Section 2 – Term of Contract.

7. Unanticipated Tasks

- (a) The Contractor will include all Hardware and Software necessary to provide the functionality and performance specified in the Specifications. Any additional Software and Hardware not included in the Proposal, but determined necessary or required to meet Contract requirements and functionality and performance Specifications will be acquired at the sole expense of the Contractor and will become the property of the SOS once delivered, installed and after having received Acceptance. SOS will only reimburse the Contractor for Hardware and Software components specifically included in the cost exhibit in the Proposal, unless the additional components are required to implement an approved change request, which will result in a Work Authorization, as provided below.
- (b) If additional work must be performed that was wholly unanticipated and was not identified in either the RFP or Contractor's Proposal, but which, in the opinion of the SOS, is necessary to the accomplishment of the general scope of work in the Contract, the following procedures will be employed. At SOS's sole option and subject to SOS approvals and procedures as described in this Section 7 – Unanticipated Tasks, the Contract amount may be changed to add funding for unanticipated tasks. Unanticipated tasks, if approved by SOS, will be authorized through Work Authorizations and amendment to this Contract, as described in this Section 7. **The Bidder's Proposal shall not include description of unanticipated tasks, and shall not include costs for unanticipated tasks.**

- (c) For each item of unanticipated work, the VoteCal Change Control Process will be used (see Section 8 – Change Control Procedures). When the Change Control Request from this process is approved by SOS, a Work Authorization will be prepared by the Contractor in accordance with the sample in Attachment 1, Exhibit I – Sample Work Authorization. All Contractor rates have been established by Contractor staff classification in Cost Table VII.6 - Contractor Staff Hourly Rates. Unless otherwise agreed by both parties in writing, the Contractor Work Authorization will specify a fixed price for the delivery and Acceptance of the change.
- (d) 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 Contract.
- (e) Each Work Authorization shall be prepared in accordance with Attachment 1, Exhibit 1 - Sample Work Authorization.
- (f) 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
 - 5. The cost of the work to be performed to address the Work Authorization
- (g) If, while performing the work required to address a Work Authorization to be performed under this Contract and which was accepted as an estimated number of labor hours rather than a fixed price for the Deliverable, the Contractor determines that the required work cannot be completed within the estimated labor hours, Contractor will immediately notify SOS in writing about this determination and relay the Contractor's labor hours already expended to address the Work Authorization (if any) as the time of notification and the Contractor's estimate of the additional labor hours and additional cost that will be required to complete the Work Authorization in full. Upon receipt of such notification, SOS may in its sole discretion elect to:
 - 1. Authorize Contractor to expend the estimated additional labor hours in excess of the original estimate necessary to accomplish the Work Authorization; 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; or
 - 4. Provide Acceptance for the work provided and set-off from the cost previously agreed upon for the work to the extent determined to be appropriate by the SOS.
- (h) Contractor shall not initiate work effort for Work Authorizations until authorized in writing by SOS and the Work Authorization is included in an amendment to the Contract.

8. 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 agree as to whether to 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 Change Request (CR) prepared pursuant to the Change Control Plan will be the vehicle for communicating change.
- 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.
- 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.

9. Problem Escalation

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

10. Inspection, Acceptance and Rejection of Contractor Deliverables

The following provisions take precedence over Attachment 2 – IT General Provisions Modified for the SOS VoteCal Project Only, Provision 16 – Inspection, Acceptance and Rejection:

(a) Acceptance

1. Acceptance of the VoteCal System will be governed by this SOW. Acceptance of the VoteCal System shall be conditioned upon the description of VoteCal System Acceptance defined in Attachment 1 – SOW, Section 10(e).
2. All Deliverables shall be subject to SOS's Acceptance, including without limitation Deliverables provided pursuant to the Deliverables described in Attachment 1, Exhibit 2 – Tasks and Deliverables, Work Authorizations, System Change Requests and Technical Service Requests.
3. At the SOS's request, Contractor shall provide a walk-through of a Deliverable prior to delivery or Acceptance thereof, notwithstanding the absence of a requirement as such in a DED.

(b) Contractor Formal Transmittal of Deliverables

1. Contractor shall submit for review and approval a formal transmittal letter from Contractor's Project Manager addressed to the SOS Project Director (or designee) for each Deliverable. 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.
2. Each Deliverable submitted to the SOS Project Director for review and Acceptance shall have a Deliverable Certification Cover Letter from the Contractor. The Deliverable Certification 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 Deliverable Certification 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 Contractor's organization.

(c) General Delivery and Review Process

1. Contractor shall provide SOS with the Deliverables and Services on or before the applicable delivery dates in the PMP and IPS, as mutually agreed upon in writing and described in this Contract. Contractor shall utilize the Specifications, the DEDs, the IPS, PMP, the RFP, the Proposal, the Deliverables for which SOS has previously granted Acceptance, Contractor's professional knowledge, and this Contract as the basis of subsequent Deliverables and Services.
2. Upon delivery of a Deliverable and receipt of the Deliverable Certification Cover Letter from Contractor, SOS will, with Contractor's assistance, perform Acceptance Tests on the Deliverable to determine whether the Deliverable conforms to its Acceptance Criteria.
3. The SOS's testing time for Software Deliverables submitted for Acceptance shall be as documented in the DED, IPS, and PMP but will be ten (10) State business days if not so documented, without requiring SOS's concurrent review of multiple Deliverables unless otherwise agreed upon by the SOS in the DED, IPS or PMP. However, the testing time may, in the SOS's reasonable discretion, be extended on a day-to-day basis. The SOS shall notify Contractor of Deficiencies that the SOS requires the Contractor to remedy, and the Contractor shall correct the Software Deliverable Deficiencies within five (5) State business days of receiving notice from the SOS. SOS may, at its discretion, allow a period longer than five (5) State business days in consideration of the scope of the change required to address the Deliverable Deficiencies.
4. SOS review time for document Deliverables submitted for Acceptance will be determined at the time the Deliverable DED is developed and will be based on the type and complexity of said Deliverable, and the times included in the preliminary IPS and PMP. SOS will require ten (10) State business days for review, comment and approval on a Deliverable unless otherwise agreed upon by the SOS in the IPS or PMP. Document deliverables that are more complex and/or over 100 pages may, in the SOS's discretion, require 20 or more State business days. Changes to these review times shall be discussed during the DED review period and mutually agreed upon by both parties.

~~5. The SOS's testing time for Software Deliverables submitted for Acceptance shall be as documented in the DED, IPS, and PMP but will be ten (10) State business days if not so documented.~~

~~6-5.~~ The times for review and testing times assume that SOS will not conduct a concurrent review or test of multiple Deliverables submitted for Acceptance. If multiple Deliverables must be reviewed or tested concurrently, review and testing times will depend on the nature and complexity of the Deliverables, available SOS and Contractor resources, and the number of Deliverables concurrently being reviewed and tested. However, at least ten State business days will be required for each Deliverable's review or testing, unless the SOS and Contractor otherwise agree in the DED, IPS or PMP on the numbers of days that SOS will require to concurrently review and test multiple Deliverables. Testing time may, in the SOS's reasonable discretion, be extended on a day-to-day basis to the extent that the SOS's review of a Deliverable or concurrent review of multiple Deliverables and review of corrections of Deficiencies in accordance with the Acceptance process and Acceptance test plan is longer than described in the DED, IPS, or PMP, or longer than ten (10) State business days, as applicable.

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7.6. For those deliverables submitted for Acceptance, the SOS shall notify Contractor of Deficiencies that the SOS requires the Contractor to remedy, and the Contractor shall correct the Software Deliverable Deficiencies within five (5) State business days of receiving notice from the SOS. SOS may, at its discretion, allow a period longer than five (5) State business days in consideration of the scope of the change required to address the Deliverable Deficiencies.

8.7. When the Contractor completes correcting a Deliverable to address the State's documented Deficiencies and re-submits the revised Deliverable to the State, the State's testing time for the re-submitted Deliverable will be the same number of business days specified for review of the originally submitted Deliverable. If the State identifies new or remaining Deficiencies in a resubmitted Deliverable, these Deficiencies shall be communicated to the Contractor in a written notification and subsequent Contractor and SOS actions (and the number of State business days allowed for each) action proceed in the same sequence as described for the first time the Contractor submits until the Deliverable is approved.

9.8. Deliverable Acceptance will be based upon the following:

(i) The Deliverable will conform to and operate in accordance with all applicable Acceptance Criteria.

(ii) Deliverable documents will be comprehensive in level of detail and quality as defined in this SOW and the applicable DED.

(iii) Deliverable documents will be organized in a structured manner and be professional in presentation.

(iv) Deliverable documents will be consistent in style and quality. This means if a Deliverable document is the composite work of many people within the Contractor's organization, the Contractor is responsible for making any edits necessary to ensure the Deliverable document delivered to SOS is of a consistent style and quality.

10.9. Unless otherwise permitted by the PMP or IPS, 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, the Contractor may involve no SOS VoteCal staff or contractors other than Contractor's own staff in such work unless approved in writing by the SOS Project Director and, 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 therefore by the State.

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11.10. 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 System as a whole. Further, Acceptance by the State will not be final and irreversible, including but not limited to latent defects, fraud, and gross mistakes amounting to fraud. Acceptance shall also not be construed to waive any warranty rights that the State might have at law or by express reservation in this Contract with respect to any Deficiency.

(d) Remedies for Uncorrected Deficiencies

1. 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 in the IPS, 30 calendar days from Certification, State may, at its option: (i) continue reviewing or performing acceptance tests on the Deliverable and require Contractor to continue until Deficiencies are corrected or eliminated; (ii) request Contractor to provide, at its expense, a replacement Deliverable for further review or acceptance tests; (iii) set-off from the price to the extent State determines the Deficiencies for the Deliverable have not been corrected and provide Acceptance for the Deliverable (e.g., if the State were to adopt this remedy for a deficient Deliverable that the State is scheduled to pay the Contractor \$10,000 if its Acceptance Criteria are fully met, and the State estimates it will accrue 50% of the anticipated value from this deficient Deliverable, then the Contractor would be paid \$5,000 using this set-off method; or (iv) immediately terminate this Contract, in whole or in part after rejecting the Deliverable without penalty or liability to State, and return the Deliverable to Contractor and other Deliverables impacted or affected by the rejected Deliverable. If State terminates this Contract under this Section, Contractor shall, within 20 calendar days thereafter, refund to State all payments made to Contractor for the returned Deliverables and Services rendered therefore.
2. Notwithstanding anything to the contrary in Attachment 2 - IT General Provisions Modified for the SOS VoteCal Project Only, if the State does not provide such notice of rejection within the time period in the IPS or, if no such time is in the IPS or PMP, within 30 calendar days of Certification, such Deliverables and services will be deemed to have been rejected.
3. In addition to its other remedies, if Contractor fails to deliver Deliverables or to provide Services which satisfy Contractor's obligations hereunder, the State shall have the right to withhold payments due hereunder without penalty or work stoppage by Contractor until such failure to perform is cured.
4. In the event of a contradiction, conflict, ambiguity or inconsistency in or between Deliverables and other documents comprising this Contract, including without limitation, a Deliverable that has already received Acceptance, the RFP and the Proposal, any such contradiction, conflict, ambiguity or inconsistency shall be resolved in favor of the latest State-approved Deliverable except in the case where a previous documented requirement is inadvertently omitted or not addressed directly in a subsequent Deliverable. No requirements can be omitted from the Specifications without the SOS Project Director's written consent.
5. The Contractor must not change a Deliverable that has received Acceptance from the State without the approval of the State.

(e) VoteCal System Acceptance

1. The SOS Project Director will decide whether or not to give Acceptance of the VoteCal System.
2. The VoteCal System Acceptance Criteria will include:
 - (i) SOS Acceptance of Deliverable VI.5 - VoteCal System Final Deployment Report including Delivery of Updated VoteCal System Source Code and System Documentation (described in Attachment 1, Exhibit 2 – Tasks and Deliverables).
 - (ii) SOS Acceptance of Deliverable VI.7 - VoteCal Final Report for Phase VI (described in Attachment 1, Exhibit 2 – Tasks and Deliverables).

- (iii) Submission of all Contract Deliverables up through Deliverable VI.7 (as stated above).
- (iv) Satisfaction of all mandatory requirements and System Specifications.
- (v) Satisfaction of all terms and conditions that the Contract states must be satisfied prior to *beginning* Phase VII – First Year Operations and Close-out.

(f) Deliverable Expectation Documents (DED)

1. Contractor shall submit a DED to the State for each Deliverable due under the Contract. The DED for each Deliverable is itself a Deliverable and is due for delivery to the State in accordance with the terms of the PMP and IPS. Contractor shall gain the State's Acceptance of the DED before starting work on the Deliverable described therein. For each DED, the parties will agree on Acceptance Criteria based on the Specifications during the course of the Project.
2. The DED for each Deliverable will be drafted by the Contractor, using the template provided in Attachment 1, Exhibit 3 - Sample Deliverable Expectation Document Template. This process will establish requirements 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 drafts of phase-related DEDs.
3. The Contractor will submit each DED to SOS according to the PMP and the IPS and based upon Attachment 1, Exhibit 2 – Tasks and Deliverables, related information in the Final Proposal (if any), and SOS and Contractor discussions during related phase visioning sessions. SOS will review and provide Acceptance or reject the draft DED within five (5) State business days of receipt. If the DED does not receive Acceptance, SOS will notify the Contractor in writing to communicate SOS' feedback about the Deficiencies in the draft DEDs. While SOS feedback may include suggested revisions to improve DED content, SOS is not responsible for providing revised DED language when providing feedback about DED Deficiencies. If the DED does not receive Acceptance, the Contractor will revise the DED to address SOS feedback concerning Deficiencies within five (5) State business days and resubmit the revised DED to SOS for review and Acceptance or rejection. SOS has up to five (5) State business days to review the resubmitted DED and give Acceptance or identify additional or continuing Deficiencies. If the resubmitted DED does not receive Acceptance, SOS and Contractor will repeat the actions (within the number of business days specified) described for a new, draft DED during continuing DED review until the DED receives Acceptance, or the deadline for receiving Acceptance is not met, as provided below. If SOS does give Acceptance, the DED will serve as the Acceptance Criteria by which SOS will formally give Acceptance or rejection for applicable Deliverables.
4. Following the established Change Control procedures which are described in the VoteCal Change Control Plan, the Contractor may recommend changes to the DED after SOS Acceptance, as warranted to improve the content and/or 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.

(g) DED Information and Formats

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 SOS-approved IPS and PMP and with this SOW;
3. Proposed State review timeframes for the Deliverable consistent with the SOS-approved IPS and PMP and with this SOW;
4. Contractor correction time frames for the Deliverable;
5. Deliverable objectives; and
6. Acceptance Criteria which are consistent with the Specifications and other requirements of this Contract and prior Deliverables and communications between the parties.

(h) Inspection of Work in Progress

Contractor agrees that the SOS Project Director or designee, the IPOC and IV&V 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 IV&V or IPOC identify significant deviations from progress reported by the Contractor, the ESC may require the Contractor to submit a corrective action plan within five (5) business days for consideration and approval by the ESC. The Chair of the ESC may, at his or her sole discretion, order that project activities be suspended until the corrective action plan is approved and implemented.

(i) Training Deliverables

Contractor shall be responsible for training identified State and County staff on all aspects of the VoteCal System as described in Section VI.B.2 – Training (requirement P9) and in Attachment 1, Exhibit 2 – Tasks and Deliverables (as specifically defined for Deliverable 11.9 but as discussed as an explicit component of multiple other Deliverables). While constructing and developing the Deliverables, and during Acceptance Tests, Contractor shall demonstrate and provide information to staff designated by State about the functions and operations of the VoteCal System in accordance with the applicable Specifications and the PMP and IPS. The State's training Acceptance Tests shall not be considered concluded until all identified staff are successfully trained and the VoteCal System knowledge transfer and VoteCal System operations transition has occurred in accordance with the Specifications.

(j) PMP and IPS

1. The initial PMP and IPS shall be comprised of Contractor's IPS and PMP in the proposal submitted in response to the RFP. This initial IPS and PMP shall be revised by Contractor to reflect Project changes since Contractor's initial submission. Contractor shall deliver the revised IPS and PMP, which shall be a Deliverable, to the State Project Manager for State's review not later than 30 and 90 days after the Effective Date respectively. In the event of failure of the parties to agree upon this IPS and PMP and/or of State to give its Acceptance thereof within 45 calendar days of the Effective Date the Deliverable is due, State may invoke its right to immediately terminate this Contract.
2. Contractor shall provide updates to the PMP and IPS at least weekly and as otherwise necessary throughout the Project to accurately reflect the status of

activities, tasks, events, Services, and projected completion dates for such activities, tasks, events and Services. Any such update changes must be agreed upon by State prior to their final incorporation into the IPS and PMP. However, unless otherwise specifically agreed to in writing, State's agreement on a change to the PMP and IPS shall not relieve Contractor of liability for liquidated damages and other damages arising from such failures to perform its obligations as required herein. Contractor shall maintain updated copies of the IPS and PMP in a common server drive accessible by State.

3. The PMP and IPS shall not change as a result of time required by Contractor to correct Deficiencies, unless otherwise agreed beforehand in writing by State. However, the schedule may, in State's discretion, be extended on a day-to-day basis to the extent that State's review of a Deliverable and review of corrections of Deficiencies in accordance with the Acceptance process is longer than described in the PMP and IPS. Contractor shall continue to perform its obligations that are not affected by State review and shall mitigate any impact on Contractor from such delays caused by State, e.g., redirecting its Staff to perform other tasks, to the extent reasonably possible. To the extent it cannot redirect Staff and mitigate such impacts, then an adjustment, if any, to the Schedule will be made, if appropriate, based upon the SOS Project Director's reasonable consideration of all relevant circumstances, including but not limited to Contractor's opportunity and efforts to mitigate the effect of the impact and if State's failure to perform is not due to an event described in Attachment 2 – IT General Provisions Modified for the SOS VoteCal Project Only, Paragraph 24 (Force Majeure).

11. Warranty Period

The Warranty Period and initial year of Maintenance and Operations provided for in Phase VII - First Year Implementation and Close-out shall commence immediately upon satisfactory completion of Phase VI – Deployment and Cutover.

12. Software Provisions

(a) Contractor Commercial Proprietary Software

1. Definition

These provisions apply to generally available Contractor Commercial Proprietary Software included in the completed VoteCal System. Contractor Commercial Proprietary Software shall mean proprietary operating system, application or other software packages which are owned by Contractor or an affiliate and which are commercially or publicly available.

2. Inapplicability to VoteCal System Software; Applicability to Pre-Existing Materials

The provisions in this Section 12(a) do not apply to any portion of the VoteCal System Software (as described below) developed for the State under this Contract. However, the provisions in Section 12(a) shall also apply to Pre-Existing Materials as defined in Section 37(c) of Attachment 2 – IT General Provisions Modified for the SOS VoteCal Project Only; references to Section 12(a) shall include such Pre-Existing Materials in whole and in part, unless otherwise indicated.

3. 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 unlimited, irrevocable, perpetual, royalty-free, right and license

to use, modify, reproduce, publish, prepare derivative works based on, display, and distribute the Source Code and Object Code of the Contractor Commercial Proprietary Software in conjunction with the VoteCal System Software to State agencies, and counties in the United States of America for voter registration and other purposes.

- (b) The State may exercise its license to the Contractor Commercial Proprietary Software in the conduct of its own business. The license granted above authorizes the State to exercise its rights to the Contractor Commercial Proprietary 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 CPUs) are as designated in the Contract. If the designated CPUs are inoperative due to malfunction, the license herein granted shall be temporarily extended to authorize the State to exercise its rights to the Contractor Commercial Proprietary Software, in machine-readable form, on any other State CPUs until the designated CPUs are returned to operation. The license herein granted shall also be temporarily extended to authorize the State to exercise its rights to the Contractor Commercial Proprietary Software, in machine-readable form, on any other State CPUs to allow the state to test the ability to operate in the event that the designated CPUs are inoperative, and to facilitate system maintenance.
- (c) The State may redesignate the CPUs in which the Software is to be used at no additional cost to the State. The redesignation will be effective upon the date specified in a notice of redesignation.

4. Encryption/CPU ID Authorization Codes

- (a) When Encryption/CPU Identification (ID) authorization codes are required to operate the Contractor Commercial Proprietary Software, the Contractor will provide all codes to the State with delivery of the Contractor Commercial Proprietary Software.
- (b) In case of inoperative CPUs as defined in Section 12(a)(3)(c) above, Contractor will provide a temporary encryption/CPU ID authorization code to the State for use on a temporarily authorized CPUs until the designated CPUs are returned to operation, and to allow the State to test the alternate CPUs or perform maintenance on the designated CPUs, as described above.
- (c) When changes in designated CPUs occur, the State will notify the Contractor via telephone or e-mail of such change within eight (8) State business hours. Upon receipt of such notice, Contractor will issue via telephone or e-mail to the State within 24 hours, a temporary encryption ID authorization code for use on the newly designated CPUs until such time as a permanent code is assigned.

5. Transfer of Title and Licenses

The Contractor will transfer all Contractor Commercial Proprietary Software licenses to SOS upon VoteCal System Acceptance (as defined in Section 10(e)). Contractor will be responsible for payment of any recurring license charges until the completion of the Warranty Period as established in this Attachment 1, Section 11.

6. Right To Contractor Commercial Proprietary Software Prior to Transfer of Licenses

SOS shall have a license to use, reproduce, modify, prepare derivative works based upon, display, publish, and distribute the Contractor Commercial Proprietary Software following its delivery and until transfer of applicable licenses as provided above for all the purposes allowed by this Contract.

7. Future Releases

Unless otherwise specifically provided in this Contract, or the Statement of Work, if improved versions of the Contractor Commercial Proprietary Software, or of any of Contractor's software products identified in the Contractor's Proposal as a basis or component of the Contractor Commercial Proprietary Software, are developed by Contractor, and are made available to other Contractor customers, 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 customers 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 Contractor Commercial Proprietary Software and are directly applicable to the Contractor Commercial Proprietary Software, 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.

8. Source code

The Contractor shall provide SOS with the originals, in machine readable format, of the most current version of the Contractor Commercial Proprietary Software Source Code, the Object Code, the complete software release implementation directions, and any additional software and information that is required to use, reproduce, prepare derivative works based on, modify, display, publish, distribute, or operate the Contractor Commercial Proprietary Software as part of the following Deliverables (which are more fully defined in Attachment 1, Exhibit 2 – Tasks and Deliverables): (i) Deliverable III.6; (ii) Deliverable IV.3; (iii) Deliverable V.3; (iv) Deliverable VI.5; and, (v) Deliverable VII.2. Contractor shall also provide this Contractor Commercial Proprietary Software Source Code, Object Code and related materials listed immediately above within five (5) calendar days of any request of SOS. Notwithstanding anything to the contrary herein, the Contractor shall not be required to provide the Source Code for Third Party Software unless the licensor for such Third Party Software provides Source Code to Contractor to provide to the SOS. However, Contractor shall make available such Source Code for Third-Party Software in accordance with the terms of the Escrow Agreement which is included in the Statement of Work.

9. Encryption/CPU ID Authorization Codes

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

(b) VoteCal System Software

1. The definition of VoteCal System Software includes any Application Software that is developed or modified by the Contractor to meet the requirements and other Specifications of this Contract for the VoteCal System. This provision does not apply to Contractor Commercial Proprietary Software, Pre-Existing Materials

or Third Party Software. However, the provisions in Section 12(b) shall also apply to Work Products as defined in Section 37(e)(ii) of Attachment 2; references to VoteCal System Software in Section 12(b) shall include such Work Products in whole and in part, unless otherwise indicated.

2. Transfer of Ownership

- a. Contractor shall assign and transfer to the State and the State shall accept from Contractor upon VoteCal System Acceptance (as defined in Section 10(e)) all right, title and interest, including without limitation U.S. Intellectual Property Rights as defined in Attachment 2 – IT General Provisions Modified for the SOS VoteCal Project Only in and to the VoteCal System Software which is described in this Statement of Work, Section 12(b) – VoteCal System Software.
- b. Contractor shall take all actions necessary to transfer ownership of all right, title and interest in and to the VoteCal System Software to the State in Source Code and Object Code formats, including without limitation U.S. Intellectual Property Rights as defined in Attachment 2 – IT General Provisions Modified for the SOS VoteCal Project Only upon VoteCal System Acceptance (as defined in Section 10(e)). As between the parties, the VoteCal System Software shall be deemed a work made for hire of the State for all purposes of copyright law, and copyright shall belong solely to the State. In the event that the VoteCal System Software is adjudged to be not a work made for hire, Contractor agrees to assign, and hereby assigns, all copyright in such work to the State. Contractor shall, at the expense of the State, assist the State or its nominees to obtain copyrights, trademarks, or patents for all such work in the United States and any other countries. Contractor agrees to execute all papers and to give all facts known to it necessary to secure United States or foreign country copyrights and patents, and to transfer or cause to transfer to the State all the right, title and interest in and to such work. Contractor also agrees to waive and not assert any moral rights it may have in any such works.

3. Encryption/CPU ID Authorization Codes

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

4. Right to VoteCal System Software Prior to Transfer of Ownership

SOS shall have a license to use, reproduce, modify, prepare derivative works based upon, publish, display and distribute the VoteCal System Software following its delivery and until transfer of ownership as provided above for all the purposes allowed by this Contract.

5. Future Releases

Unless otherwise specifically provided in this Contract, or the Statement of Work, if improved versions of the VoteCal System Software, or of any of Contractor's software products identified in the Contractor's Proposal as a basis or component of the VoteCal System Software, are developed by Contractor, and are made available to other Contractor customers, 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 customers 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 System Software and are directly applicable to the VoteCal System Software, 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.

6. Source code

Upon completion of the following phases (and conditions), the Contractor shall provide SOS with the originals, in machine readable format, of the most current version of the VoteCal System Software Source Code, the Object Code, the complete software release implementation directions, and any additional software and information that is required to use, reproduce, prepare derivative works based on, modify, document, or operate the VoteCal System Software as part of the following Deliverables (which are more fully defined in Attachment 1, Exhibit 2 – Tasks and Deliverables): (i) Deliverable III.6; (ii) Deliverable IV.3; (iii) V.3; (iv) Deliverable VI.5; and, (v) Deliverable VII.2. Contractor shall also provide this VoteCal System Software Source Code, Object Code and related components listed immediately above within five (5) calendar days of any request of SOS. However, Contractor shall have the right to retain a copy thereof solely to perform its obligations under the Contract.

(c) Third Party Software

1. Any Third Party Software integrated into the VoteCal System must be purchased by and licensed to the Contractor by the Third Party Software licensor. All required Third Party Software licenses purchased by the Contractor shall include written acceptance by the Third Party Software provider of the Third Party COTS General Provisions dated July 15, 2008:
<http://www.documents.dgs.ca.gov/pd/TAS/SICOTSSWGPs071508.pdf>.
2. Contractor agrees to provide to the SOS this written acceptance and copies of the Third Party Software licensing agreement(s) no later than SOS Acceptance of Deliverables VI.5 - VoteCal System Final Deployment Report and VI.7 - VoteCal Final Report for Phase VI (described in Attachment 1, Exhibit 2 – Tasks and Deliverables). VoteCal System Acceptance is conditioned upon approval by SOS of these documents. Third Party 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 Third Party Software license is superior to or takes precedence over other articles, attachments, specifications, provisions, contracts, terms or conditions in the Contract shall be stricken and shall have no legal effect.
3. Contractor shall hold all licenses for Third Party Software included in the VoteCal System until these are transferred to SOS at no additional cost. Contractor shall transfer licenses for Third Party Software upon receiving VoteCal System Acceptance by the State. Upon request by SOS and in the event that Contractor fails to perform on the contract, Contractor shall immediately transfer all software licenses to SOS as provided in Attachment 2 - IT General Provisions Modified for the SOS VoteCal Project Only, paragraph 23 (Termination for Default).
4. SOS reserves the right to waive these requirements on a case-by-case basis, at the SOS's sole discretion.

13. Invoicing and Payment

- (a) Contractor may only bill for the Acceptance of each Deliverable in accordance with Attachment 1, Exhibit 2 – Tasks and Deliverables (less the holdback of 20%).
- (b) Contractor cannot submit an invoice more frequently than once a month. All phases or Work Authorizations for all Deliverables which have received Acceptance in writing during the prior month must be grouped into a single monthly invoice submitted for approval by the SOS.
- (c) The State agrees to compensate the Contractor in accordance with the prices for Deliverables and rates for Services specified in the Contract.
- (d) Prior to submitting the invoices to the address below, a HAVA Activity Sheet will be submitted by Contractor for each of its employees and subcontractors to the SOS Contract Manager for approval and signature of the SOS Project Director. The signed HAVA Activity Sheet must be submitted with the monthly invoice. Invoices shall include the Contract 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

(e) Twenty Percent 20% Holdback

In accordance with Public Contract Code, Section 12112, the State shall holdback, from the invoiced amount to the Contractor, an amount equal to twenty percent (20%) of the invoice. Such amount held back shall be retained 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 through Phase VII – First Year Operations and Close-out.

(f) Liquidated Damages

1. The Contractor agrees that in the event of failure to meet the requirements which follow, damage shall be sustained by the State and that it is and may be impractical and 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 shall 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.
2. Additionally, time is of the essence in the Contractor's performance of the Contract. It is the State's intent for the Contractor to meet the VoteCal Project Final Implementation Date as specified in the IPS ~~at the time of award~~stated in the contract. If the Contractor is delayed in meeting any of the Phase End Dates specified in the current contract schedule subject to Attachment 2, Section 24 – Force Majeure, liquidated damages in the amount of two thousand five hundred dollars (\$2500) shall be assessed against the Contractor for each State business day the Phase End Date does not occur by the date in the IPS in the original Contract. The State will recover the liquidated damages from future payments that would otherwise be made to Contractor. Liquidated damages can be exercised concurrently while the State is pursuing other remedies, including without limitation, the State's right to terminate this Contract, and the State shall be entitled in its discretion to recover actual damages caused by Contractor's failure to perform its

obligations under this Contract. However, the State will reduce such actual damages by the amounts of liquidated damages received for the same events or delays causing the actual damages. Further, notwithstanding anything to the contrary herein, if the State has received liquidated damages for Contractor's failures to perform as required by the date(s) in the IPS for a specific number of days, the State shall not impose additional liquidated damages for the same number of days if the Contractor has still not performed subsequent obligations by that same number of days. By way of example but not limitation, if Contractor performs its required obligations for Phase I End Date two business days late as required in the Contract and thereby incurs two business days of liquidated damages, and Contractor then completes its obligations to perform the Phase II End Date these same two business days late, the State will not impose two additional days of liquidated damages. 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. In addition, the State will refund to Contractor liquidated damages that it has collected from Contractor on a business-day for business-day basis to the extent that Contractor has reduced or made up the number of total business days that the project has been delayed as measured by the date of approval of Deliverable VI.5 - VoteCal System Final Deployment Report including Delivery of Updated VoteCal System Source Code and System Documentation.

ATTACHMENT 1

EXHIBIT 2 – TASKS AND DELIVERABLES

The numbering of these ~~tasks-Deliverables~~ does not indicate the order in which the ~~tasks~~ Deliverables must be worked unless otherwise stated. They are numbered to segregate the Deliverables into groups.

Performance of tasks may overlap. Cases where SOS Acceptance of a Deliverable requires prior SOS Acceptance of a predecessor Deliverable in the same Phase are noted in this Exhibit 2.C - Payment Milestones. Additional predecessor information and activities that shall be completed prior to Deliverable completion and SOS Acceptance of a Deliverable are cited as part of the description of each Deliverable in Exhibit 2.E – Tasks and Deliverables. However, the description of predecessors in this Exhibit is not exhaustive; Contractor shall specify all predecessor-successor relationships among activities and Deliverables in Deliverable I.2 – Integrated Project Schedule (IPS). The IPS for which SOS provides Acceptance shall also determine the exact date these Deliverables shall be due.

Deliverable Acceptance Criteria, standards, and detailed content shall be determined during Contractor's development of each Deliverable Expectation Document (DED), which is in and of itself a Deliverable, and is subject to SOS Acceptance. (See Attachment 1, Section 10 – Inspection, Acceptance and Rejection of Contractor Deliverables for description of preparation, submittal and Acceptance of Deliverables, including the DED; see Attachment 1, Exhibit 3 – Sample Deliverable Expectation Document for the DED template.)

For certain activities in Phase V – Pilot Deployment and Testing, Phase VI – Deployment and Cutover and Phase VII – First Year Operations and Close-out, Contractor's work shall commence upon SOS Project Director's approval to proceed (go/no-go decision); these approval points are cited as part of the discussion of the relevant Phase Deliverable.

A. INTRODUCTION

SOS has identified seven Phases for the VoteCal Project to include the following:

- I. Project Initiation and Planning;
- II. Design;
- III. Development;
- IV. Testing;
- V. Pilot Deployment and Testing;
- VI. Deployment and Cutover; and
- VII. First Year Operations and Close-out.

Each of these Phases will require development of specific Deliverables along with ongoing activities the Contractor shall conduct or participate in.

In planning, scheduling and executing the VoteCal Project and its component Phases, Contractor shall assume and accommodate the following constraints and additional requirements:

- SOS policy requires all staff and contractors access environments in the SOS data center ~~from SOS supplied through the SOS network workstations. Remote SOS will permit remote access to servers for development/testing purposes only under the conditions described in Attachment 1 – Statement of Work, section 4 – Contractor Personnel. is not permitted.~~
- ~~SOS staff availability will be limited for the fourteen (14) State business days prior to and the seven (7) State business days following a statewide election.~~
- County elections officials' staff will be unavailable and a freeze will be imposed on changes to and testing of EMS' during the period beginning 60 days prior to and ending 30 days following a statewide or Uniform District Election Law (UDEL) election.

- No changes may be made to the SOS network during the period beginning sixty (60) calendar days prior to and ending thirty (30) calendar days after an election for statewide office.
- The SOS requires one hundred twenty (120) State business days, at a minimum, following SOS Acceptance of the production environment specifications (as described in Deliverable II.6 – VoteCal System Technical Architecture Documentation), to set up required production environment hardware.
- For interfaces with EMS', each EMS vendor shall 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 shall anticipate and accommodate this concurrent activity, and ensure that SOS report developers and subject matter experts have the necessary knowledge, [application environments](#) and associated documentation to design, develop, and complete testing of reports before Phase V - Pilot Deployment and Testing begins.
- Contractor should not expect participation of SOS or county elections officials' staff in Contractor's development or testing activities.

B. STANDARDS

The Contractor shall comply with industry standards on the management of the VoteCal Project and in the development of all plans and Deliverables as specified in the DED for each individual Deliverable. Further, each Deliverable and plan shall reference the standards or methodology by which it was developed. If the standard or methodology was developed by the Contractor then it shall be supported by successful application of that methodology in previous projects completed by the Contractor, and at least two (2) of those projects shall have been completed by the Contractor within the past five (5) years. If the Contractor references a Contractor-developed standard, it shall specify that standard and cite the projects for which it was successfully employed, and it shall provide a reference contact name and current phone number for each project so that SOS' review of the DED can include a discussion of the standard with the client.

Standards to be followed, as appropriate, in completing Deliverables include but are not limited to:

- Project management industry standards (i.e. Project Management Institute's PMBOK);
- Institute of Electrical and Electronics Engineers (IEEE); and
- Other Contractor-developed standard(s), under the conditions described in the previous paragraph.

In addition to the SOS, both the independent verification and validation (IV&V) and independent project oversight contractor (IPOC) team members will use the above standards in their reviews of Contractor Deliverables. This review process is mandatory for the VoteCal Project and the Contractor shall ensure sufficient time [in the IPS](#) is provided for the review and feedback by the oversight contractors, for all Deliverables, regardless of whether IV&V or IPOC review is explicitly mentioned in the context of a specific Deliverable. The findings of these reviews shall be discussed with the SOS Project Manager, SOS Project Director and the Contractor as necessary. The SOS Project Director shall make the final determination as to which of these findings shall be corrected by the Contractor prior to Acceptance of the Deliverable by SOS.

C. PAYMENT MILESTONES

Each VoteCal Deliverable shall be billable upon SOS Acceptance of the Deliverable. In cases where SOS Acceptance of a Deliverable requires concurrent or prior SOS Acceptance of one or more other

Deliverables, the Deliverable shall be billable upon Acceptance by SOS of both that Deliverable and the concurrent or prior Deliverable(s). In no event shall payment be made for a Deliverable until all prior Phase Deliverables have received Acceptance from SOS. The SOS shall make payments to the Contractor only once a month, and only for those Deliverables for which Acceptance by SOS was provided during the previous month. Twenty percent (20%) of the cost shall be withheld from payment for each Deliverable that has received Acceptance from SOS: the withheld amount for each Deliverable shall be payable upon SOS Acceptance of all Deliverables for Phase VII – First Year Operations and Close-out.

Contractor shall be paid a percentage of the Total Cost delineated in Cost Table VII.1 – VoteCal System Project Deliverables Cost, exclusive of cost adjustments associated with Contract amendments, for SOS Acceptance of Deliverables according to the schedule below.

VOTECAL SYSTEM – SCHEDULE OF DELIVERABLE PAYMENTS		
Deliv #	Deliverable Description	% of Total Cost in Table VII.1
PHASE 0 - ONGOING PROCESS TASKS AND DELIVERABLES		
<i>These Phase 0 Deliverables are ongoing throughout the VoteCal System Project and are subject to payments from Phase I through Phase VII. Payment for these Phase 0 deliverables is reflected in each phase beyond Phase 0 in the chart below.</i>		
0.1	Project Control and Status Reporting	
0.2	Maintain and Update Project Management Plans (as appropriate)	
0.3	Weekly Project Management Reports and Attend Weekly Project Meetings	
0.4	Attend Project Meetings with Key Business Users, County Users, Election Management System (EMS) Vendors, Other State Agencies and SOS Management (as required)	
0.5	Ongoing Issues Management and Risk Tracking	
0.6	Written Monthly Project Status Reports	
0.7	Change Control Processes	
0.8	Communications Processes	
PHASE I - PROJECT INITIATION AND PLANNING		
<i>Deliverables in this Phase are not separably payable. Payment shall be made upon successful completion of the entire Phase, including SOS Acceptance of all Phase I Deliverables. The total of all Deliverables in this Phase is worth 5.129% of the Total Cost as specified in Cost Table VII.1 – VoteCal System Project Deliverables Cost and exclusive of cost adjustments associated with Contract amendments.</i>		
I.1	VoteCal Project Management Plan	
I.2	Integrated Project Schedule	
I.3	Quality Management Plan	
I.4	VoteCal Software Version Control and System Configuration Management Plan	

VOTECAL SYSTEM – SCHEDULE OF DELIVERABLE PAYMENTS		
Deliv #	Deliverable Description	% of Total Cost in Table VII.1
I.5	VoteCal System Organizational Change Management Plan	
I.6	VoteCal Requirements Traceability Matrix Plan	
I.7	VoteCal System Project Kick-Off Meeting	
I.8	Phase 0 Ongoing Process Tasks and Deliverables	
I.9	Final Report for Phase I	
Phase Completion		5.129%
PHASE II – DESIGN		
<i>SOS Acceptance of some Deliverables in this Phase is contingent upon prior Acceptance by SOS of other Deliverables where indicated below. The total of all Deliverables in this Phase is worth 17.229% of the Total Cost as specified in Cost Table VII.1 – VoteCal System Project Deliverables Cost and exclusive of cost adjustments associated with Contract amendments.</i>		
II.1	VoteCal System Requirements Specifications	0.900%
II.2	VoteCal System Functional Specifications (<i>Acceptance Criteria shall include prior Acceptance by SOS of Deliverable II.1</i>)	1.800%
II.3	VoteCal System Detailed System Design Specifications (<i>Acceptance Criteria shall include prior SOS Acceptance of Deliverables II.2 and II.6 and concurrent SOS Acceptance of Deliverable II.4</i>)	3.600%
II.4	VoteCal System EMS Integration and Data Exchange Specifications Document (<i>Acceptance Criteria shall include prior SOS Acceptance of Deliverable II.6 and concurrent SOS Acceptance of Deliverable II.3</i>)	0.900%
II.5	VoteCal System Detailed Requirements Traceability Matrix (<i>Acceptance Criteria shall include prior SOS Acceptance of Deliverables II.4 and II.7</i>)	2.700%
II.6	VoteCal System Technical Architecture Documentation (<i>Acceptance Criteria shall include prior SOS Acceptance of Deliverable II.2</i>)	1.800%
II.7	VoteCal System Data Model and Data Dictionary (<i>Acceptance Criteria shall include prior SOS Acceptance of Deliverables II.3 and II.6</i>)	1.800%
II.8	VoteCal System Data Integration Plan (<i>Acceptance Criteria shall include prior SOS Acceptance of Deliverables II.4 and II.7</i>)	2.700%
II.9	VoteCal System Training Plan (<i>Acceptance Criteria shall include prior SOS Acceptance of Deliverables II.2 and II.4</i>)	0.450%
II.10	Phase 0 Ongoing Process Tasks and Deliverables	
II.11	Final Report for Phase II	
Phase Completion		0.579%

VOTECAL SYSTEM – SCHEDULE OF DELIVERABLE PAYMENTS		
Deliv #	Deliverable Description	% of Total Cost in Table VII.1
PHASE III – DEVELOPMENT		
<i>The total of all Deliverables in this Phase is worth 25.129% of the Total Cost as specified in Cost Table VII.1 – VoteCal System Project Deliverables Cost and exclusive of cost adjustments associated with Contract amendments.</i>		
III.1	VoteCal System Technical Environments Certification Report	6.250%
III.2	VoteCal System Test Plan	3.750%
III.3	Acceptance Test Plan for Certification of EMS Data Integration and Compliance	1.875%
III.4	VoteCal System Organizational Change Management Plan Updated	1.250%
III.5	VoteCal System Implementation and Deployment Plan	3.750%
III.6	VoteCal System Source Code and Documentation	7.500%
III.7	Phase 0 Ongoing Process Tasks and Deliverables	0.754%
III.8	Final Report for Phase III	
	Phase Completion	
PHASE IV – TESTING		
<i>The total of all Deliverables in this Phase is worth 17.129% of the Total Cost as specified in Cost Table VII.1 – VoteCal System Project Deliverables Cost and exclusive of cost adjustments associated with Contract amendments.</i>		
IV.1	VoteCal System Pilot County Data Integration Completion and Report	4.250%
IV.2	VoteCal System Acceptance Test Completion, Results and Defect Resolution Report	7.650%
IV.3	VoteCal System Documentation and Updated VoteCal System Source Code	4.675%
IV.4	Phase 0 Ongoing Process Tasks and Deliverables	0.554%
IV.5	Final Report for Phase IV	
	Phase Completion	
PHASE V – PILOT DEPLOYMENT AND TESTING		
<i>Contractor's submittal and SOS' review and Acceptance of Deliverables in this Phase shall occur in the order indicated below. The total of all Deliverables in this Phase is worth 15.129% of the Total Cost as specified in Cost Table VII.1 – VoteCal System Project Deliverables Cost and exclusive of any Contract amendments.</i>		
V.1	Develop VoteCal System Training Materials and Complete Training Before the Pilot	4.500%
V.2	Conduct Pilot Testing and Provide Pilot Results Report (SOS approval to proceed to conduct pilot testing is dependent upon Acceptance of Deliverable V.1.)	5.250%

VOTECAL SYSTEM – SCHEDULE OF DELIVERABLE PAYMENTS		
Deliv #	Deliverable Description	% of Total Cost in Table VII.1
V.3	Updated System, Documentation and Training Materials including VoteCal System Source Code	3.750%
V.4	Revised/Updated System Deployment Plan	1.125%
V.5	Phase 0 Ongoing Process Tasks and Deliverables	0.504%
V.6	Final Report for Phase V	
	Phase Completion	
PHASE VI – DEPLOYMENT AND CUTOVER		
<i>SOS Acceptance of and payment for some Deliverables in this Phase are contingent upon prior completion and SOS Acceptance of other Deliverables where indicated below. The total of all Deliverables in this Phase is worth 15.129% of the Total Cost as specified in Cost Table VII.1 – VoteCal System Project Deliverables Cost and exclusive of any Contract amendments.</i>		
VI.1	VoteCal System County Elections Staff Training Completed	3.750%
VI.2	Updated Training of SOS Staff	1.050%
VI.3	VoteCal System Help Desk Implementation and Support	2.250%
VI.4	VoteCal System Remaining County Data Integration Completed and Tested for Compliance and Successful Integration (<i>Acceptance Criteria shall include prior SOS Acceptance of Deliverables VI.1, VI.2, and VI.3; SOS approval to proceed is required for initiation of deployment to counties</i>)	6.450%
VI.5	VoteCal System Final Deployment Report including Delivery of Updated VoteCal System Source Code and System Documentation (<i>Acceptance Criteria shall include prior SOS Acceptance of Deliverable VI.4</i>)	1.125%
VI.6	Phase 0 Ongoing Process Tasks and Deliverables	0.504%
VI.7	Final Report for Phase VI	
	Phase Completion	

PHASE VII – FIRST YEAR OPERATIONS AND CLOSE-OUT		
<i>The total of all Deliverables in this Phase is worth 5.126% of the Total Cost as specified in Cost Table VII.1 – VoteCal System Project Deliverables Cost and exclusive of any Contract amendments. This Phase shall begin upon SOS Project Director’s approval to proceed, which will be based on confirmation of VoteCal System Acceptance by SOS (as defined in Attachment 1 Section 10(e)).</i>		
VII.1	Monthly Operations Support and Performance Reports <i>(Billable monthly in Phase VII)</i>	2.500%
VII.2	VoteCal System Final Documentation and Current VoteCal System Source Code	1.750%
VII.3	Phase 0 Ongoing Process Tasks and Deliverables	0.876%
VII.4	Complete Contract Implementation Close-out	

D. DELIVERABLE DEVELOPMENT

Contractor’s work on each Deliverable shall commence after SOS Acceptance of the DED for that Deliverable. (See Attachment 1, Section 10.f – Deliverable Expectation Documents and Attachment 1, Section 10.g – DED Information and Formats for additional information about required DED content and acceptance process; see Attachment 1, Exhibit 3 – Sample Deliverable Expectation Document for the DED template.)

E. TASKS AND DELIVERABLES

PHASE 0 - ONGOING PROCESS TASKS AND DELIVERABLES

The Contractor shall perform all Phase 0 processes, tasks, and Deliverables throughout the VoteCal Project. For purposes of this Statement of Work, these are referred to in each Phase description as “Phase 0 Ongoing Process Tasks and Deliverables.”

Deliverable 0.1 – Project Control and Status Reporting

Contractor’s Project Executive and Contractor’s Project Manager shall conduct monthly Project Management Reviews to present the current and cumulative project status information related to open and ongoing issues and risks in accordance with Deliverable I.1 – VoteCal Project Management Plan (PMP). These reviews shall be held with the VoteCal Project Manager, Project Director, IPOC and IV&V Contractor, and no later than four (4) State business days after the last day of the previous month.

Contractor’s Project Executive shall present monthly project status reports to the VoteCal Executive Steering Committee (ESC) meetings. At the monthly VoteCal ESC Meeting, the contractor’s Project Manager shall provide for the reporting period: a summary of contractor activities; accomplishments to date; significant decisions; an explanation for any tasks that are delayed and how the schedule delays will be recouped; recommendations for issue resolution for all issues; and recommendations for mitigation of high-severity risks.

Additional meetings the Contractor shall attend include, but are not limited to:

- Daily informal meetings between SOS Project Manager, Contractor Project Manager, and/or their designees;
- Weekly Management meetings between SOS and Contractor Project Managers;
- Ad Hoc meetings on Contractor adherence to VoteCal project management processes and practices.

This Deliverable is required throughout all Phases of the VoteCal Project.

Deliverable 0.2 – Maintain and Update Project Management Plans

Contractor shall maintain and update all Project Management Plans that are defined as Deliverables for Phase I – Project Initiation and Planning, as well as the IPS (Deliverable I.2), as required by events or at prescribed intervals during the life of the VoteCal Project. The IPS shall be updated weekly at a minimum, no later than two (2) State business days after the end of the previous week, and shall adhere to all standards defined in the SOS Schedule Management Plan and the Contractor's VoteCal Project Management Plan (PMP). All Project Management Plans must be updated at the end of each Phase, and at any other significant event in the Project lifecycle.

This Deliverable is required throughout all Phases of the VoteCal Project.

Deliverable 0.3 – Weekly Project Management Reports and Attend Weekly Project Meetings

Contractor's Project Manager shall provide to the VoteCal Project Manager a written weekly summary of activities for the reporting period including: significant activities initiated, significant activities completed, activities planned but not completed, activities planned for next reporting period, schedule status (including planned versus actual and reasons for variances) and significant action items, risks and issues (with a description of the action item, risk or issue, due date of resolution, and planned activities to address it), and significant decisions made. The Contractor's Project Manager shall attend weekly project status meetings in person to discuss the report, no later than three (3) State business days after the end of the reporting period. The reporting period is Monday through Friday. The report shall be presented to the SOS Project Manager at least one (1) full State business day prior to the weekly status meeting. To the degree the report is found to be incomplete or inaccurate, the Contractor's Project Manager shall revise the report and present as a final deliverable for Acceptance.

This Deliverable is required through all Phases of the VoteCal Project.

Deliverable 0.4 – Attend Project Meetings with Key Business Users, County Users, Election Management System (EMS) Vendors, Other State Agencies, and SOS Management as Required

Contractor's Project Manager or designated team member shall be available as required by the VoteCal Project Manager to attend Executive Steering Committee (ESC) Meetings, County User Meetings, SOS called meetings, and meetings with other State Agencies (e.g., DMV, CDPH, CDCR, and EDD) related to the project.

This Deliverable is required through all Phases of the VoteCal Project.

Deliverable 0.5 – Ongoing Issues Management and Risk Tracking

Contractor shall identify and submit issues and risks, and shall participate in the Risk Management and Issue Management processes as described in the SOS' Risk Management Plan and Issue Management Plan. (Please see Bidder's Library for current Risk and Issue Management Plans.) Contractor shall track

the current and cumulative project status information related to Contractor's open and ongoing issues and risks. Contractor's ongoing Issue and Risk Reports shall be part of the Weekly Status Meetings and written Monthly Project Status Reports. Contractor shall report on project management, business, and technical risks and issues to the VoteCal Project Manager, or designee. Contractor shall present this report at each status meeting using a format that includes:

- Identification of project issues and potential risks;
- Management of technical issues or risks;
- Analysis and mitigation strategies for issues and risks;
- Status of the issues and risks, (i.e., open, pending, under investigation or resolved);
- Appropriate tracking dates;
- Person and organization responsible for resolution;
- Contractor's recommendations for resolving issues or risks.

This Deliverable is required through all Phases of the VoteCal Project.

Deliverable 0.6 – Written Monthly Project Status Reports

Contractor's Project Manager shall prepare a written Monthly Project Status Report (MPSR) summarizing progress against SOS-approved performance metrics, milestones against baseline data, status to schedule and reasons for significant variances from the IPS. Contractor shall include information on the status of the collection of progress information from internal and external stakeholders and corrective action that was taken to confirm that overall project delivery is met. Contractor shall include specific information on issue and risk status and recommendations for mitigating risks/issues, for all issues and for high-severity risks. This report shall cover all project management areas including but not limited to Schedule, Change Control, Organizational Change Management and Quality Management activities. This report shall also include all activities for the preceding month including, when applicable, the system's performance against all service levels specified in the RFP. To the degree the report is found to be incomplete or inaccurate, the Contractor's Project Manager shall revise the report and present as a final deliverable for acceptance. Contractor's Project Manager shall be required to attend meetings on SOS premises to present the monthly reports to the VoteCal Project Manager and Project Director and separately to SOS management including the ESC. The monthly report shall be due to SOS's Project Manager (or designee) on the fifth (5th) State business day of the month following the end of the previous month. Period of the report shall be the previous calendar month.

This Deliverable is required through all Phases of the VoteCal Project.

Deliverable 0.7 – Change Control Processes

Contractor shall participate in the Project Change Control Meetings and Change Control processes in accordance with the SOS' Change Control Plan. (Please see Bidder's Library for the VoteCal Change Control Plan.)

This Deliverable is required through all Phases of the VoteCal Project.

Deliverable 0.8 – Communications Processes

Contractor shall contribute content to all written communications, as needed throughout the VoteCal Project, per the SOS Communication Plan, unless otherwise specified by SOS. (Please see Bidder's Library for the VoteCal Communication Plan.)

This Deliverable is required through all Phases of the VoteCal Project.

PHASE I - PROJECT INITIATION AND PLANNING

The following is a list of the plans the Contractor shall prepare in Phase I and shall use to guide its management of Project work. Each plan shall conform to relevant industry standards as defined below for the specific plan as well as in the plan's DED for which SOS has provided Acceptance.

Deliverable I.1 – VoteCal Project Management Plan

The SOS has an approved SOS-specific Project Management Plan (PMP). The Contractor either (1) shall enhance and adopt the SOS PMP and make it its own PMP, and therefore accept all responsibility for employing it; or (2) shall develop its own VoteCal PMP. (Please see Bidder's Library for current approved versions of SOS VoteCal plans.) Contractor shall submit the updated PMP within thirty (30) calendar days of Contract signature. Content shall include, at a minimum, the following components:

- Project Overview;
- Project Work Breakdown Structure;
- Management Objectives and Priorities;
- Roles and Responsibilities;
- Project Assumptions, Dependencies, and Constraints;
- Procedures for Reviewing and Updating the PMP per SOS' Change Control Plan;
- Project Deliverables and Milestones;
- References, Definitions (VoteCal Glossary), and Acronyms;
- Project Schedule Management Plan for the IPS including resource updates, tracking of resource activities, tracking of milestone progress and reporting, critical path monitoring, schedule issues, status reporting based on work breakdown structure, and contingency activities.

The delivered PMP shall conform to Project Management Institute's PMBOK (v.4.0) or equivalent standards.

This PMP shall be implemented upon completion and shall be updated at the end of each Phase as required during the life of the VoteCal Project.

Deliverable I.2 – Integrated Project Schedule

In collaboration with the VoteCal Project Manager (or designees), the Contractor shall, within ninety (90) calendar days of contract signing, update the IPS that Contractor submitted in its Final Proposal, identifying major activities the Contractor shall undertake to complete its Deliverables in a timely manner. The updated and submitted IPS shall also include identification of all activities that other contractors and SOS staff must perform in order for the Contractor to complete its required activities and Deliverables as described in this Exhibit. (For example, EMS vendors must complete remediation of systems before Contractor can test interfaces; SOS staff must provide Acceptance for the DED for a Deliverable before Contractor works on the Deliverable.) [In addition, the IPS must accommodate time for the SOS Project Director or designee, the IPOC and/or IV&V to inspect any of Contractor's work in progress as described in Attachment 1, Section 10\(h\) – Inspection of Work in Progress.](#)

The IPS shall include a work decomposition that includes resource loading of all contractors (including SI vendor, election management system vendors, other state departments, independent verification and validation, quality assurance, etc.) as well as SOS staff, and shall have start and finish predecessors and successor dependencies identified for each task. In addition, the IPS shall clearly identify all Phases, payment and interim milestones.

The IPS shall be developed and maintained using MS Project 2007. Management and updating of the IPS shall conform to VoteCal Schedule Management standards, processes, and roles and responsibilities that will be defined and documented in the VoteCal Schedule Management Plan.

The Contractor shall maintain one IPS which ~~includes multiple components captures all work for all of Contractor's Deliverables~~ across the Project. The Contractor shall be responsible for defining and tracking all ~~schedule components tied tasks and dependencies related to completion of~~ its contracted Deliverables. The IPS shall be comprehensive and detailed for the current and upcoming Phase, but may be more high-level for later Phases. Twenty (20) State business days prior to the start of each Phase, the Contractor shall present a comprehensive and detailed IPS that includes full detail for that Phase for Acceptance by SOS.

Upon SOS Acceptance of the IPS, Contractor shall participate in the weekly ongoing maintenance and schedule update processes. Contractor shall follow the defined procedures and standards documented in the SOS Schedule Management Plan. Contractor shall (1) gather and incorporate updates on schedule work products into MS Project 2007, (2) elaborate and develop detailed work breakdown and duration estimates required for rolling wave planning, and (3) conduct and complete schedule analysis and schedule quality assurance activities that are required to control performance.

The Contractor shall update its IPS, including progress on SOS staff work and other SOS contractor work that is relevant to Contractor Deliverables, at least weekly and shall submit the updated IPS, incorporating progress as of the end of each calendar week, to the VoteCal Project Manager or designee within two (2) State business days of the end of that calendar week. This Contractor's IPS update process shall include work with the VoteCal Project Manager (or designee) to complete schedule quality assurance to verify that dates, resource allocations, percentages, etc. are correct, and thereby ensure that reporting against baseline data can be generated accurately according to the quality-related components outlined in the SOS Schedule Management Plan.

Deliverable I.3 – Quality Management Plan

Contractor shall deliver, within ninety (90) calendar days of contract signature, a Quality Management Plan in accordance with the PMP, the Contractor's IPS and the Quality Management Plan DED for which SOS has provided Acceptance. The Quality Management Plan shall include a complete description of Contractor's quality management process, methodology, and the specific standard(s) on which the details of the Plan are based. If multiple standards are used, the Plan shall specify which portions of these standards were used in the development of each portion of the plan. At a minimum, the Quality Management Plan shall conform to IEEE 730-2002 (Standard for Software Quality Assurance) or equivalent standards.

The Quality Management Plan shall include provisions for the SOS team (including IV&V and IPOC) to periodically review Contractor-specific plans, work in progress, etc., such reviews to be coordinated with the Contractor so as to minimize any disruption to ongoing work.

The Quality Management Plan shall be implemented, and shall be updated at the end of each Phase and as required during the life of the VoteCal Project.

Deliverable I.4 – VoteCal Software Version Control and System Configuration Management Plan

The Contractor shall develop and implement a Software Version Control and System Configuration Management Plan in accordance with this Deliverable's DED for which SOS has provided Acceptance. As part of this plan the Contractor shall develop a Document Management Plan component addressing how project documents and Deliverables will be controlled and how Deliverables will be tracked with respect to versioning, including method and tools (if appropriate). Contractor shall also develop a

Release Management component of the Software Version Control and System Configuration Management Plan for managing all releases of the entire VoteCal System, including methods of migration through the various environments of the VoteCal System, tools to be used, scheduling and timing of releases, etc.

The Software Version Control and System Configuration Management Plan shall include provisions that integrate SOS staff's development and testing of VoteCal reports into the software configuration management structure. For example, the Deliverable shall describe how change control will incorporate SOS staff's report development and testing activities, and the versioning and build control processes shall cover SOS report development/testing as well as Contractor development and testing work.

The Software Version Control and System Configuration Management Plan shall conform to IEEE 828-2005 (Software Configuration Management Plans) or equivalent standards.

Contractor shall provide the Software Version Control and System Configuration Plan within thirty (30) calendar days of contract award for review and Acceptance by SOS.

The Software Version Control and System Configuration Management Plan shall be implemented and shall be updated as required during the life of the VoteCal Project.

Deliverable I.5 – VoteCal System Organizational Change Management Plan

Contractor shall develop a VoteCal System Organizational Change Management Plan (OCMP) within 90 days of Contract award, in accordance with the OCMP DED for which SOS has provided Acceptance. The OCMP shall address the anticipated business process changes necessitated by the implementation of the VoteCal system, both for SOS and for county elections officials' staff, as well as how users and stakeholders will be managed to maximize buy-in, minimize disruption in business processes and ensure Project success. The OCMP shall include a discussion of the change management strategy and shall address an assessment of workplace readiness for implementation of the solution. The OCMP shall also address the pilot implementation and how the lessons learned from that implementation will be incorporated into the Plan. Finally, the OCMP shall include a discussion of the impact on county elections officials' staff of implementing the VoteCal System and methods of mitigating the issues arising from that implementation.

The Contractor's OCMP shall conform to ISO 9001:2008 or equivalent industry standards.

There is an Organizational Change Management Plan in the Bidder's Library that was developed for this Project and formally accepted by the SOS. Contractor may incorporate any or all portion(s) of this existing VoteCal Organizational Change Management Plan into the Contractor's OCMP Deliverable. If the Contractor uses any of the content in the SOS-approved Organizational Change Management plan for its OCMP, Contractor accepts full responsibility for meeting all requirements associated with the adopted contents of SOS's accepted plan.

The OCMP shall be implemented and shall be updated in Phase III – Development. The Deliverable shall also be updated at other points in the VoteCal Project as required throughout the life of the Project.

Deliverable I.6 – VoteCal Requirements Traceability Matrix Plan

Contractor shall develop, within 30 calendar days from contract signature and in accordance with the DED for which SOS has provided Acceptance, a VoteCal Requirements Traceability Matrix Plan that sets forth how the Requirements Traceability Matrix (Deliverable II.5) shall be developed, updated and used to track requirements, programming, and test scenarios during all Phases of the Project. This Plan shall describe how the Contractor will populate and manage the Requirements Traceability Matrix, and how the Matrix will allow for linking test scenarios during Phase IV – Testing, Phase V – Pilot Deployment and Testing, and Phase VI – Deployment and Cutover. This Plan shall also address the traceability approach

to RFP requirements and how requirement changes will be managed. This Plan and data from the Requirements Traceability Matrix shall be evaluated by SOS' IV&V vendor as part of the Acceptance Tests for this Deliverable and throughout the Project.

The Contractor shall populate and manage the Requirements Traceability Matrix, and shall provide access to the Matrix data in its raw form and supporting information to the IV&V vendor upon request.

The Requirements Traceability Matrix Plan and the resultant Requirements Traceability Matrix shall conform to relevant industry standards (to be determined by Contractor and approved by SOS as part of SOS Acceptance of the DED for this Deliverable), including IEEE 1233-1998 (Guide for Developing System Requirements Specifications), IEEE 830-1998 (Recommended Practice for Software Requirements Specifications), Capability Maturity Model Integration for Development, Version 1.2 (CMMI 1.2) Requirements Development Process Area, or equivalent standards subject to approval by the SOS.

This Requirements Traceability Matrix Plan shall be implemented and shall be updated as required during the life of the VoteCal Project.

Deliverable I.7 – VoteCal System Project Kick-Off Meeting

Contractor shall provide a draft agenda and materials to the VoteCal Project Manager and Project team for and participate in one or more Project Kick-Off meetings that review the goals and scope of the Project, present a summary of the key phases and activities (including key milestones in the IPS), discuss major activities or efforts that will be required of meeting participants, and provide other information of interest to the participants. This meeting or meetings shall be held with different stakeholders, which could include SOS Management and staff, County representatives, EMS vendors, and other State Agencies.

Deliverable I.8 – Phase 0 Ongoing Process Tasks and Deliverables

Contractor shall perform all tasks, processes, and activities required in Phase 0 throughout the VoteCal Project.

Deliverable I.9 –Final Report for Phase I

Contractor shall submit a report indicating that all Phase activity is complete, including the status of Deliverables and outstanding issues along with mitigation strategies for issues.

PHASE II – DESIGN

The Deliverables in Phase II – Design, taken together, shall detail the Contractor's planning for, delivery of, and planned features of the entire VoteCal solution. Each Deliverable shall clearly articulate the Contractor's vision for the solution. All Deliverables that describe application components shall be at a level of detail sufficient to develop test cases and training materials. Additional Deliverable-specific Acceptance Criteria shall be specified in the DED for which SOS provides Acceptance.

Deliverable II.1 – VoteCal System Requirements Specifications

Contractor shall develop a System Requirements Specifications document for the VoteCal System, database and interfaces with EMS' and external agencies. This Deliverable shall conform to the DED for which SOS has provided Acceptance, the PMP, and the IPS. At a minimum, the Deliverable shall include the following:

- Executive summary of the document's content;
- Specific standard on which the systems requirements specification document was based. If multiple standards are used, the plan shall specify in detail which portions of these standards were used in the development of the specification;
- Description of the general architectural design for the VoteCal System;
- General interface specifications for integration with DMV, CDCR, EDD, and CDPH;
- Description of the database;
- Description of processing functions;
- Description of how the VoteCal System is backed up and restored;
- How any Contractor Commercial Proprietary Software, Third Party Software and any hardware/software products included within the Platform Environment will be integrated into the VoteCal solution;
- Tools to be used (e.g. programs, tools);
- Configuration and modification;
- Environment specifications;
- Tools to manage the entire VoteCal System.

Deliverable II.2 – VoteCal System Functional Specifications

Contractor shall develop a VoteCal System Functional Specifications document in accordance with the DED for which SOS has provided Acceptance, the PMP, the System Requirements Specification (Deliverable II.1) for which SOS has provided Acceptance and the IPS. Contractor shall document specifications for the user application interfaces, business processing logic, data flows, and processes. The System Functional Specifications Document shall identify specific standards on which it is based. If multiple standards are used, the System Functional Specifications document shall specify in detail which portions of these standards were used in the development of each portion of the Deliverable document.

The description of user interface standards must include description of:

- How required fields will be identified;
- How error messages will be displayed;
- How and when confirmation prompts (e.g., OK/Cancel, Yes/No) will be displayed;
- How and when technologies like partial page post backs (AJAX) will be used;
- How and when any client side validation will be performed;
- The use of default buttons (e.g., pressing enter for submit);
- Use of Drop Down Lists including:
 - <Select One>
 - Standard for “not applicable” value (e.g., N/A, NONE, or blank)
 - Use of Type Ahead
- Usage of menus and navigation in general, including how security/permissions are handled;
- User access to help functions; and
- Use of real-time progress indicators (e.g., an hourglass).

Deliverable II.3 – VoteCal System Detailed System Design Specifications

Contractor shall provide a VoteCal System Detailed System Design Specifications document [in accordance with the DED for which SOS has provided Acceptance, the PMP, the VoteCal System Functional Specifications \(Deliverable II.2\) for which SOS has provided Acceptance, the VoteCal System EMS Integration and Data Exchange Specifications Document \(Deliverable II,4\) which shall be reviewed and accepted by SOS concurrent with this deliverable, the VoteCal System Technical Architecture Documentation \(Deliverable II.6\) for which SOS has provided Acceptance and the IPS.](#) ~~that conforms to the DED for which SOS has provided Acceptance, and that~~ Deliverable II.3 shall ~~provides~~ a detailed

description of the VoteCal System requirements. This Deliverable shall identify specific standards on which the detailed system design specifications were based. If multiple standards are used, the Deliverable shall specify in detail which portions of these standards were used in the development of the specifications. This Deliverable shall include references to other VoteCal System Deliverables as necessary to avoid duplication of information. At a minimum, the Deliverable shall include the following:

- An executive summary of the document's content;
- Identification and description of each VoteCal System component to include:
 - Hardware platform, manufacturer and model
 - Software operating system
 - Commercial software applications (including Third-party and Contractor Commercial Proprietary software)
 - Software custom-developed by Contractor for VoteCal (VoteCal System Software)
 - Language or technology of custom software
 - Interfaces to other VoteCal system components
- A description and specification of each external VoteCal System interface, including identification of the interfacing component and data transport technology;
- A description of how each data element defined in the VoteCal system requirement is stored and maintained, including relevant data characteristics and constraints;
- A general description of the Data Model and Data Dictionary, each to be addressed in more detail in Deliverable II.7;
- Programming standards and specifications;
- A description of how each process or action and transaction defined in the VoteCal System requirements will be implemented, including the role of each component and identification of any constraints; and
- A description of how each business process defined in the VoteCal System requirements is implemented, including the sequence and timing of actions and transactions and logical outcomes.

Contractor shall, as part of completion of this Deliverable, complete training and knowledge transfer to SOS IT and Elections staff on the database design, dictionary, and architecture, with sufficient lead time to enable SOS staff to complete report design and development before Phase IV - Testing begins. Acceptance Criteria for this Deliverable shall include SOS-acknowledged completion of this training and knowledge transfer which will be defined as part of the DED for this Deliverable.

Deliverable II.4 – VoteCal System EMS Integration and Data Exchange Specifications Document

Contractor shall develop the EMS interface and data exchange specifications, in accordance with the DED for which SOS has provided Acceptance. The Deliverable shall include system configuration and modification specifications and data standards, so that the EMS vendors can make the required modifications to their election management systems for integration with the VoteCal System. This document shall address, at a minimum, data validation and synchronization, data elements and standards, transaction timing, business processes, security and network connectivity. [The Deliverable shall also include mechanisms and procedures \(including Test Cases where appropriate\) for the SOS to use on an ongoing basis to ensure continuing EMS compliance with VoteCal data requirements after deployment, as well as training for SOS staff in the use of those mechanisms and procedures.](#)

As part of preparation of this Deliverable, Contractor shall gather and incorporate input and comments on draft Deliverable from EMS vendor representatives.

~~Contractor shall provide a mechanism, procedures and training to SOS for testing and evaluating data submitted from EMS' after modification to those EMS' after the VoteCal System has been deployed.~~

Deliverable II.5 – VoteCal System Detailed Requirements Traceability Matrix

Contractor shall provide a Requirements Traceability Matrix in accordance with the DED for which SOS has provided Acceptance, the VoteCal Requirements Traceability Matrix Plan (Deliverable I.6), the PMP and the IPS. Contractor shall organize and manage the itemized list of business and technical requirements for the VoteCal System, as defined in Section VI – Project Management, Business, and Technical Requirements.

Contractor shall analyze and map all business and technical requirements, business rules, and detailed specifications for the proposed system that it is providing – in VoteCal System Deliverables II.2 – Functional Specifications, II.3 – Detailed System Design Specifications, II.4 – EMS Integration and Data Exchange Specifications Document, II.6 – Technical Architecture Documentation, and II.7 – Data Model and Data Dictionary – to satisfy the requirements of the RFP, Section VI - Project Management, Business and Technical Requirements. All requirements shall be traceable throughout all Phases of the VoteCal Project. This Matrix shall be updated at the end of each Phase of the VoteCal Project to ensure traceability is maintained throughout the life of the Project. All raw data in this Matrix shall be made available to the IV&V and IPOC vendors at any time it is requested.

At a minimum, requirements in the Requirements Traceability Matrix shall:

- Have a unique, traceable identifier or identification code assigned to each requirement;
- Be grouped into highest level of business, technical, and administrative categories;
- Be associated with an implementation or development task in which Contractor will fulfill the requirement;
- ~~Identify any subordinate-successor requirements, and their priority, that are dependent upon fulfillment of the requirement; and,~~
- ~~Identify any precursor requirements that must be fulfilled in order to meet the requirement. Be prioritized within each Project Phase according to the following:~~
 - ~~High priority – the requirement shall be fulfilled during the associated Phase and the requirement has one or more high priority requirements dependent upon its fulfillment;~~
 - ~~Medium priority – the requirement shall be fulfilled during the associated Phase and the requirement has one or more medium priority requirements dependent upon its fulfillment;~~
 - ~~Low priority – the requirement may be fulfilled during the associated Phase and the requirement has no high or medium priority requirements dependent upon its fulfillment.~~

Deliverable II.6– VoteCal System Technical Architecture Documentation

Contractor shall provide Technical Architecture Documentation, in accordance with the DED for which SOS has provided Acceptance, which describes the logical, physical, and implementation details of the entire VoteCal System. The Technical Architecture Documentation Deliverable shall describe how the hardware, application, and application support software will be integrated to support the proposed solution. The Deliverable shall provide a clear explanation of and distinction between logical and physical architectures, and include detailed explanation of diagrams, with meaning of all technical terms clearly defined. The Deliverable shall also explain data exchange interfaces, including those with the EMSs, DMV, EDD, CDPH and CDCR. Discussion of the database layer shall include description of the physical implementation of the database, including but not limited to database partitioning, replication and optimization strategies.

The Technical Architecture Documentation Deliverable shall include the following at a minimum:

- Executive Summary of the VoteCal System Technical Architecture;
- Description of technical environments;
- Logical Architecture;
- Physical Architecture;

- How the architecture addresses performance, availability, data/application/server/physical security, scalability, maintainability, accessibility, ~~deployment deployability concerns~~, and extensibility;
- List of ~~and detail specifications for~~ all products to be provided;
- Delineation of the environments to be provisioned (Development, Test, Staging, Production, [SOS Report Development](#), etc.), with a timeline – which is incorporated into the IPS – for deployment and distribution of each environment and a map of refresh and migration paths across environments;
- Load balancing and/or other provisions to maximize performance;
- How the public website will be placed so as to protect the security of the VoteCal System's database and its applications;
- Minimum end user and administrator workstation requirements; and
- A glossary that defines all technical terms used in the document.

The Deliverable shall also identify all environmental requirements to support the proposed system (e.g., physical space, electrical power requirements, HVAC, structural load-bearing support, etc.). Any expected increases in annual existing network costs as a result of environmental changes shall be identified by function (e.g., telecommunications). Contractor shall supply, at Contractor's own expense, any changes that Contractor deems necessary to facilities, network hardware or software, and/or network configuration management components, and Contractor must support the additions at its own expense throughout Phase VII – First Year Maintenance and Operations and (if applicable) the five (5) year additional Maintenance and Operations period. See also requirements T3.6, T6.2 and T6.3 in Section VI – Project Management, Business and Technical Requirements.

The Deliverable shall reflect the fact that SOS treats all county traffic as potentially hostile and trusts only specific IP addresses to access resources.

In determining distribution of architecture elements, the Contractor shall adhere to SOS policy that prohibits storage of identifiable voter data at facilities that are not SOS-controlled.

The architecture description in this Deliverable shall be implemented, and the Deliverable shall be updated as required throughout the life of the VoteCal Project.

Deliverable II.7 – VoteCal System Data Model and Data Dictionary

Contractor shall develop and update the VoteCal System Data Model and Data Dictionary based on information in the VoteCal System Functional Specification (Deliverable II.2), the VoteCal System Detailed Design Specifications (Deliverable II.3) and the VoteCal System Technical Architecture Documentation (Deliverable II.6). The Deliverable shall conform to the Deliverable II.7 DED for which the SOS has provided Acceptance, the PMP, and the IPS.

The data model presented in this Deliverable shall define all the data elements and relationships among them and how the data will be represented and accessed. The Contractor shall propose an appropriate data modeling language as part of the submitted DED for this Deliverable. The VoteCal System data shall be modeled in a standard, consistent, and predictable manner, thus facilitating the data model as a major resource to the Project. The data model shall be dynamic and the Contractor shall keep the model up-to-date at all times as part of ongoing software configuration management.

The data dictionary portion of this Deliverable shall catalog the organization, content, and conventions of the VoteCal System database, including the names and descriptions of all tables and fields, and additional details, such as the type and length of each data element, as well as any other information relevant to each data item. The data dictionary will be dynamic and the Contractor shall keep the data dictionary up-to-date at all times as part of ongoing software configuration management.

Contractor shall, as part of completion of Deliverable II.7, complete training and knowledge transfer to SOS IT and Elections staff on the database design, dictionary, and architecture, with sufficient lead time to enable SOS staff to complete report design and development before Phase IV - Testing begins. Accordingly, Acceptance Criteria for this Deliverable shall include SOS-acknowledged completion of this training and knowledge transfer which shall be defined by Contractor as part of the DED for this Deliverable.

Deliverable II.8 – VoteCal System Data Integration Plan

Contractor shall develop the VoteCal System Data Integration Plan (DIP) in accordance with the DED for which SOS has provided Acceptance, the PMP and the IPS. The DIP shall describe the sequence of steps in data integration, including the integration of multiple records from different counties into a single record for each voter. Contractor's delivered DIP shall include the extent of data integration as well as a recommendation of the timing of and the method by which the county historic data (including all cancelled records) will be integrated and imported into the VoteCal system. The DIP shall address the Contractor conversion strategy of "cut-over", "phased", or "parallel processing" with Calvoter until the VoteCal System becomes the single database of record and the full VoteCal solution is implemented, with contingency provisions for rollback ("cut-back") in Phase V – Pilot Deployment and Testing and all subsequent Phases. Data integration for the pilot counties shall be addressed in addition to integration of the remaining counties. SOS expects that data integration for each county will be performed only once. The integrity of the existing Calvoter systems and data (which constitute the State's current official list of registered voters), shall be maintained through the end of Phase VI – Deployment and Cutover.

The DIP shall document the integration process for each of the EMSs currently in use. Additionally, the DIP shall cover the following aspects of voter record integration:

- Integration scope;
- Integration method, strategy, and environment;
- Integration controls;
- Integration testing and certification tasks and testing scenarios to be complete in preparation for the integration event;
- Integration Team, positions, functions for which team members are responsible;
- Integration process, schedules, tools, and interfaces that will be required to facilitate completion of the conversion effort;
- Integration reporting;
- Integration reconciliation;
- Integration reversal;
- Integration preparation;
- Data integration activities;
- Data "freeze" schedule;
- File and database names and descriptions;
- File structures; and
- Data integration rules and integration validation rules that address at least the following:
 - How will the data from each county be brought in and combined (e.g., one at a time, in groups, test runs)?
 - How will initial matching criteria be established and evaluated?
 - How will the data from matching records be evaluated and combined in the integrated record?
 - How much historic data will be included?
 - How will the VoteCal System handle matching records for counties already using the VoteCal System when a new county goes live when there are data discrepancies?;

- Accessing methods;
- Devices and types to be used for integration;
- Dependencies;
- SOS integration Acceptance Criteria;
- Step-by-step integration procedures;
- Record matching criteria, processes and validation for integration of voter registration data into a single record for each voter;
- Process for identification, review and resolution of false matches for voter data integration;
- Automated and manual procedures (e.g., conversion programs and data entry procedures);
- Integration verification procedures and activities required for system testing;
- Parallel file maintenance procedures and controls;
- Special integration training, such as data entry, file balancing and control;
- The number and type of support staff and required time frames;
- Testing and certification tasks and testing scenarios the Contractor will complete in preparation for the database integration event including unit testing, integration testing, and full integration and system testing;
- Integration timeline;
- Maintenance of 'official database' in Calvoter throughout the Project until the VoteCal System is deployed to 58 counties without requiring duplicate data entry by county elections officials' staff; and
- Decommissioning of Calvoter and Calvalidator and transition to the new application.

Contractor shall use a test data set to run the complete data integration program suite. The testing of data integration shall be performed, and all data shall be validated by SOS as a necessary condition for the SOS Project Director's authorization to start data integration efforts in Phase V – Pilot Deployment and Testing.

Contractor shall prepare an environment for data integration in accordance with the IPS and the VoteCal System Technical Architecture Documentation (Deliverable II.6).

The DIP shall be finalized and submitted at a time that provides sufficient State business days for SOS to review and provide Acceptance thirty (30) calendar days before starting data integration activities (to be initiated in Phase III – Development). A test of data integration shall be performed and all data validated by SOS prior to the full integration commencing in accordance with the PMP and IPS.

This Deliverable shall be implemented, and shall be updated as required during the life of the VoteCal Project.

Deliverable II.9 – VoteCal System Training Plan

Contractor shall develop a VoteCal System Training Plan, in accordance with the DED for which SOS has provided Acceptance. The Training Plan shall be based on and consistent with information in Deliverables II.4 - VoteCal System EMS Integration and Data Exchange Specifications Document, II.6 - VoteCal System Technical Architecture Documentation, II.2 - VoteCal System Functional Specification, and I.5 - VoteCal System OCOMP. This Training Plan shall address the separate needs of SOS program staff, VoteCal System help desk staff, SOS technical system support staff, and county elections officials and their staff. The Training Plan shall describe Contractor's philosophy on user training, including method of training to be provided for each group, such as computer-based training software, classroom lectures, and hands-on computer laboratory environment. Contractor shall distinguish training approach and materials between line level staff, supervisors, and policy makers as each has a different need for the

level of information being provided. Contractor shall describe the maximum class size by functional area and define the differences in training for executives, management, business staff, county elections officials and their staff, and information technology staff. The Training Plan shall also address the “Train-the-Trainers” concept, which would allow SOS to conduct training for county elections officials’ staff after Phase VI – Deployment and Cutover. The comprehensive Training Plan shall also include the following components:

- Training scope;
- Training environment set-up and refresh procedures;
- Training data development;
- Training courses and prerequisites;
- Training schedule;
- Training curriculum;
- Evaluation methodology of training effectiveness and appropriate modification of training curriculum based on the evaluation;
- Maintaining currency of curriculum and material as the VoteCal system and affected business processes is modified during development and after implementation;
- On-line training scenarios;
- Training the trainers; and
- Training procedures.

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 the VoteCal System. Contractor shall develop curriculum for these policy and business changes and provide this training to county elections; officials staff. Contractor shall also train SOS staff in such a manner that they can then train county elections officials and their staff after Phase VI – Deployment and Cutover. Content that shall be covered in Contractor’s training includes but is not limited to issues such as:

- What to do and who to call if there is a problem with the system;
- The VoteCal System data standards;
- Business rule changes;
- Researching and resolving list maintenance issues (including timelines);
- Official list and when a voter is eligible to vote;
- [Procedures for restoring the VoteCal system to operational status after aa hardware/equipment problem or a data loss;](#)
- [Testing to ensure ongoing EMS compliance with VoteCal requirements;](#)
- Testing synchronization between county database and the VoteCal System (and resolving discrepancies); and
- New approach for compiling the Report of Registration (ROR).

Contractor shall provide a fully functional VoteCal System Training environment that is separate from the VoteCal System Development, Test and Production environments. (This Training environment shall have been described in Contractor’s Deliverable II.6 – VoteCal System Technical Architecture Documentation.) Contractor must deliver a populated training database that contains fictitious voter information. Database refresh process and procedures must be included in the Training Plan.

This VoteCal System Training Plan shall be implemented, and shall be updated as required during the life of the VoteCal Project.

Deliverable II.10 – Phase 0 Ongoing Process Tasks and Deliverables

Contractor shall perform all tasks, processes, and activities required in Phase 0.

Deliverable II.11 – Final Report for Phase II

Contractor shall submit a report indicating that all Phase activity is complete including status of Deliverables and outstanding issues.

PHASE III – DEVELOPMENT

Overview of Development and Testing Requirements and Constraints

This subsection describes general requirements and constraints related to development and testing activities that shall be conducted from Phase III through the end of the VoteCal Project. SOS and counties will not provide resources for performance of development/testing activities, except as explicitly noted in the context of discussion of this Phase and subsequent Phases of the VoteCal project.

If Contractor is implementing its own Commercial Off-the-Shelf (COTS) application or a Modified Off-the-Shelf (MOTS) application, or implementing other Pre-existing Materials as part of the VoteCal System, Contractor shall perform out-of-the-box testing to validate that the base product is functioning properly. Negative testing scenarios must be included in this testing. All other responsibilities and Deliverables as described in this Exhibit apply to COTS or MOTS applications and solution components that are Pre-existing Materials as well as custom-developed components.

In general, SOS VoteCal team members shall be responsible for:

- Communications and coordination with counties on county testing activities;
- Execution of contracts with EMS vendors to secure EMS remediation activities and EMS participation in testing, and communication to EMS' during the VoteCal Project;
- Planning and executing User Acceptance Testing (UAT) for the VoteCal system and interfaces, including end-to-end testing as necessary precondition for Acceptance of the system and decision to proceed with Phase V – Pilot Testing and Deployment;
- Coordinating submission of reports of testing results and identified Deficiencies in accordance with procedures documented in the Deliverable III.2 – Test Plan for which SOS has provided Acceptance;
- Designing, developing and testing VoteCal end-user reports that are described in the VoteCal Reports Description document in the Bidder's Library;
- If SOS chooses, observation of testing performed by the Contractor; and
- Coordination of IV&V review of Contractor's development and testing Deliverables and artifacts.

In general, Contractor shall be responsible for:

- All development activities, including establishment of required technical environments and performance of unit testing;
- Planning and performing thorough testing – including system/integration testing, testing of integration/upload of county data, load testing, backup [and restoration](#)/recovery testing, performance testing, and regression testing – of ~~the all~~ VoteCal [Solution functions with the exception of SOS-developed end-user reports](#); [Note that the Contractor is responsible for performing all VoteCal-related backup and recovery activities until the start of Phase V – Pilot Deployment and Testing. Thereafter, the Contractor is responsible for assuring that VoteCal backup and restoration activities occur as described in Section VI – Project Management, Business, and Technical Requirements.](#)
- Testing and executing all backup, restoration and recovery of data, operating systems, application code and configuration of all VoteCal components in all environments from the start of Phase I – Project Initiation and Planning until the start of Phase V – Pilot Deployment and Testing;
- Testing and executing all restoration and recovery of data, operating systems, application code and configuration of all VoteCal system components in all environments beginning with

- the start of Phase V – Pilot Deployment and Testing and continuing through the end of the Contract, in accord with the requirements listed in Section VI, Table VI.2, T3: System Availability and Backup/Recovery:
- Training all EMS, county elections officials' staff, and SOS testers in use of the VoteCal system prior to commencement of these parties' testing activities;
 - Planning and executing testing and certification of EMS data integration and compliance with VoteCal requirements, including definition and scheduling of required EMS vendor participation in this testing;
 - Documenting results of all testing performed or coordinated by Contractor;
 - Correcting Deficiencies that are identified during testing that is performed by Contractor, by SOS, and by county elections officials' staff and EMS vendor staff;
 - Maintaining the Test Defect Log, and documenting corrections for Deficiencies;
 - Conducting and documenting regression testing after Deficiency corrections are applied;
 - Managing all technical environments and artifacts, including establishing and executing version control and migration/refresh paths and procedures for software artifacts and system instances;
 - Ensuring that environment changes, builds, refreshes and migrations are communicated, communicating changes and refreshes to all Contractor team members, and SOS VoteCal team members, SOS report developers and testers, EMS' and (where appropriate) counties;
 - Maintaining backward and forward requirements traceability throughout the Project;
 - Defining, planning and managing pilot testing as described in Phase V – Pilot Deployment and Testing;
 - Documenting and providing to SOS the test cases/test scripts for all testing for which Contractor is responsible; and
 - Recognizing and incorporating constraints identified below in planning and executing development and testing activities throughout the VoteCal Project.

Contractor shall accommodate the general constraints and requirements cited in Attachment 1, Exhibit 2.A – Introduction, In addition to those general constraints and requirements, Contractor shall incorporate the following constraints in planning and execution of development and testing:

- County and SOS resources will perform UAT, and shall be supported by Contractor as described in this Exhibit's description of roles and responsibilities, in this section, and in the descriptions of Deliverables in Phase IV – Testing~~above~~. Contractor shall incorporate time in the IPS for UAT.
- SOS shall conduct two (2) stages of UAT prior to Phase V – Pilot Deployment and Testing. The first will be performed on the VoteCal system plus external interfaces (e.g., California Department of Corrections and Rehabilitation, California Department of Public Health, Department of Motor Vehicles, etc.). The second stage of UAT will be full end-to-end UAT, incorporating EMS functions along with scope of the first-stage UAT, conducted after Contractor's certification of EMS data integration and compliance.
- SOS shall not conduct UAT concurrent with Contractor's system/integration testing of same scope. For example, SOS first-stage UAT will be performed after, not in parallel with, Contractor's testing of the VoteCal system and external interfaces.
- If Deficiencies in EMS remediation are identified during testing to certify the EMS, regression testing after application of corrections shall include time for EMS vendors' regression testing of functions outside the scope of the EMS-VoteCal interface.
- SOS and counties will not provide testers for testing of peak concurrent user and concurrent transaction requirements defined in Section VI.E – Technical Requirements and Response Form, T4: Performance and Capacity.
- SOS expects county and SOS participation in final deployment ("cutover") testing and validation activities.
- Follow-on regression testing shall be conducted by Contractor and by SOS as errors are identified and corrected during UAT in Phase IV – Testing as well as throughout the rollout of

the new system to all the counties during Phase V – Pilot Deployment and Testing, and Phase VI – Deployment and Cutover.

Deliverable III.1 – VoteCal System Technical Environments Certification Report

Contractor shall install, configure and test the VoteCal System hardware, operating system, database software and any other third-party application software products being provided as part of the VoteCal system. If the equipment to be installed requires special power or environmental considerations, Contractor shall provide site preparation specifications for equipment listed on the order within a reasonable time upon request by the State. All site preparation costs will be borne by Contractor. Any subsequent alterations or modifications to the site which are directly attributable to incomplete or erroneous specifications provided by Contractor and which involve additional expense shall be made at the expense of Contractor. Contractor's plan and schedule (as reflected in the IPS) for installation of any required changes to the SOS data center shall reflect the fact that the State must acquire approval of changes to the data center from the Department of General Services and the California Technology Agency, and this approval process can take four to six (4 to 6) months.

The VoteCal System technical environments shall be implemented as specified in the VoteCal System Technical Architecture Documentation (Deliverable II.6). Contractor shall provide all environments required for the Project. Upon installation the Contractor shall provide VoteCal System Environment Certification Reports that indicate that Contractor has successfully performed installation, configuration and testing on the hardware, operating system, database software, all third-party application software products, and the required environments for the VoteCal System and that the environments are ready for use. Environments required for the VoteCal System include but are not necessarily limited to:

- VoteCal System Production Environment;
- VoteCal System Non-Production Development Environment;
- VoteCal System Training Environment;
- VoteCal System Training Development Environment;
- VoteCal System Parallel / Pilot Testing Environment;
- VoteCal System Testing Environment;
- VoteCal System Acceptance Testing Environment; and
- VoteCal System Pre-Production Staging Environment.

Deliverable III.2 – VoteCal System Test Plan

Contractor shall develop and execute a detailed Test Plan, in accordance with the DED for which SOS has provided Acceptance, all testing-related requirements and constraints described in this Exhibit 2 – Tasks and Deliverables, the PMP and the IPS. This Test Plan shall address all levels of hardware and software testing, including methodology, test procedures, test script development, [VoteCal System testing](#) training required for [SOS](#) team members who perform UAT, test data development, Acceptance Criteria, roles and responsibilities for various testing activities, timing and logistics of testing activities, IT environment preparations, and other testing activities that are specific to the various tests. The Test Plan shall include discussion of and timing of training that Contractor shall provide for SOS and county elections officials' staff in preparation for UAT that SOS will conduct in addition to Contractor's testing in Phase IV – Testing.

The testing components shall include the following types of system tests:

- System component functional testing;
- Interface testing;
- Regression testing;
- End-to-end (county demarcation to the VoteCal System to DMV and vice versa) testing;

- Stress and load testing; and
- Performance testing.

The Deliverable will incorporate constraints and requirements related to development and testing as described in subsections A – Introduction and E. Phase III – Overview of Development and Testing Requirements and Constraints. System testing shall be conducted by the Contractor prior to UAT that is conducted in Phase IV – Testing. Follow-on regression testing shall be conducted as errors are identified and corrected during UAT in Phase IV – Testing as well as throughout the rollout of the new system to all the counties during Phase V – Pilot Deployment and Testing, and Phase VI – Deployment and Cutover.

A simulated load representing full usage by fifty-eight (58) counties may be used at the onset of system testing; however, as counties are transitioned to the new system during Phase V – Pilot Deployment and Testing and Phase VI – Deployment and Cutover, periodic testing shall be performed to validate that the VoteCal System meets all performance and capacity requirements.

The Test Plan shall include a Test Defect Log, and shall be finalized by Contractor and submitted to SOS with sufficient lead time to achieve SOS Acceptance of the ~~Test Defect Log~~ Test Plan no later than fifteen (15) State business days prior to the commencement of testing activities in Phase IV - Testing. In preparing this Test Plan, Contractor shall assume that testing of end-user VoteCal reports by the SOS VoteCal team will be conducted concurrent with Contractor testing. The Test Plan shall accommodate and describe tasks for communication and coordination with the SOS team members responsible for development and testing of VoteCal reports.

The Test Plan shall accommodate the need to correct Deficiencies in the VoteCal System between Phase V - Pilot Deployment and Testing and Phase VI - Deployment and Cutover, and shall provide sufficient methodology and time to perform end-to-end testing after Deficiencies are corrected, before Phase VI - Deployment and Cutover commences, and at least twice during Phase VI – Deployment and Cutover at times mutually agreed upon by SOS and the Contractor.

In preparing the Test Plan and other testing-related Deliverables, Contractor shall assume a total of 1.5 million voter registration records and at least six (6) counties participating in the pilot in Phase V – Pilot Deployment and Testing.

This Test Plan shall be implemented, and shall be updated as required during the life of the VoteCal Project.

Deliverable III.3 – Acceptance Test Plan for Certification of EMS Data Integration and Compliance

Contractor shall develop a detailed Acceptance Test Plan for Certification of EMS Data Integration and Compliance that describes Contractor's activities to test the integration of each EMS with the VoteCal System, in accordance with the DED for which SOS has provided Acceptance, the PMP, and the IPS, and as specified by the VoteCal System Detailed Design Specifications (Deliverable II.3). This Deliverable shall include:

- Identification of what will be tested and the order of testing;
- Test scripts and description of test data to be used that shall validate within-county business functions and data as well as processes/data that involve multiple counties;
- Roles and responsibilities of the county elections officials and their staff, the EMS vendors, and Contractor staff;
- Test preparation and test timing;
- Validation of test results;
- How test results, errors, and corrections will be recorded;
- Process for regression testing;

- How version control will be managed so as to ensure corrections and regression testing apply to the appropriate instance of the application; ~~and~~
- ~~How backup, recovery, load balancing, and stress testing will be incorporated; and~~
- [How impacts of backup and restoration/recovery processes on EMS data will be tested.](#)

Prior to any pilot testing with counties during Phase V – Pilot Deployment and Testing, the Contractor shall perform integration testing to simulate all business functions that occur in an election cycle.

The VoteCal IV&V contractor shall participate in execution of this testing, observe testing activities for this Deliverable and shall review and validate delivered reports.

This Deliverable shall be implemented, and shall be updated as required during the life of the VoteCal Project.

Deliverable III.4 – VoteCal System Organizational Change Management Plan (OCMP) Updated

Contractor shall update the VoteCal System OCMP (Deliverable I.5), in accordance with the DED for which SOS has provided Acceptance, the PMP and the IPS, to address the specification, design and workflow elements identified during Phase II - Design and to provide detail on how the change in business processes will be managed with SOS and county users.

This Plan shall be implemented, and shall be updated as required throughout the life of the VoteCal Project.

Deliverable III.5 – VoteCal System Implementation and Deployment Plan

Contractor shall produce a VoteCal System Implementation and Deployment Plan in accordance with the DED for which SOS has provided Acceptance, the PMP and the IPS. This Deliverable shall detail SOS transition from the legacy Calvoter system to the new VoteCal System solution. This Deliverable shall address how the new solution will be deployed to SOS business users, county users, other stakeholders, and external users. This Plan shall include:

- How the business process transition will take place;
- How the new methods of doing business will be conveyed to the end user community, and the steps that will be taken to assess the county and SOS “workplace readiness” prior to the new solution going into production;
- Roles and responsibilities of the Contractor, SOS staff, county elections officials’ staff, EMS vendors, and other stakeholders for the transition;
- Detailed schedule work breakdown for Phases, activities, Deliverables, milestones, quality management checkpoints, and the critical path;
- Dates and timeframe for cutover including appropriate backup or contingency dates;
- Process for determining that the SOS, county, and the Contractor are ready for statewide cutover to the VoteCal system, including a Go/No-Go readiness checklist and success criteria for preceding with the cutover;
- County preparation activities required;
- ~~Contingency and fallback (“cut-back”) plan should the transition fail;~~
- [Procedures and routines that will ensure that the integrity and completeness of the existing Calvoter system and its data are maintained through the end of Phase VI – Deployment and Cutover;](#) and
- Approach and staffing (including but not limited to SOS Level 1 and Contractor Level 2 and above help desk staffing, and required county roles) for support of pilot counties during

Phase V - Pilot Deployment and Testing and for statewide support during Phase VI - Deployment and Cutover.

This Plan shall be implemented and shall be updated as required throughout the life of the VoteCal Project.

Deliverable III.6 – VoteCal System Source Code and Documentation

In accordance with the IPS and upon completion of Contractor's quality assurance/quality control reviews and unit testing of the VoteCal System code, Contractor shall conduct a code review walk-through of the VoteCal System Software and Contractor Commercial Proprietary Software with the SOS team. Upon completion of this walk-through and correction of Deficiencies identified by SOS, Contractor shall deliver to the SOS Project Director or designee the current VoteCal System Source Code and Documentation, which shall include:

- A copy of the VoteCal System Software Source Code and of the Contractor Commercial Proprietary Software Source Code, each in machine-readable format;
- One copy each of the current VoteCal System Software Object Code or logical equivalent, Contractor Commercial Proprietary Software Object Code or logical equivalent, plus Object Code or logical equivalent for any Third-Party Software included within the VoteCal System; and
- VoteCal System Source Code Documentation, which shall include but not be limited to the types of documentation listed below, as appropriate for the Contractor's proposed VoteCal solution and current as of the version of the VoteCal System Source Code and Object Code (or logical equivalent) delivered to SOS at the end of Phase III - Development:
 1. Functional specifications (which describe the function of a Software module from a user point of view in detail) and designs for the Software, including but not limited to background and the database schema, entity relationship diagrams (where applicable), data objects, and user interface objects. This requirement may be satisfied by documentation that includes current versions of materials included in Deliverables II.2 - VoteCal System Functional Specifications, II.3 – VoteCal System Detailed System Design Specifications, II.6 - VoteCal System Technical Architecture Documentation, and II.7 – VoteCal System Data Model and Data Dictionary.
 2. Information describing how to compile and link the Source Code modules to obtain working Software, as well as data structures [and resources](#) outside of the modules which are required to configure or drive the modules.
 3. Source Code and documentation for database definition and database procedures (SQL definitions), graphical user interface modules, data interface modules and other Software modules, including but not limited to build procedures.
 4. Documentation describing installation and support policies and procedures.
 5. Detailed instructions for a programmer and programming notes.
 6. A description of how each interface will work on a technical level, the content and format of protocols streams, and other technical considerations. This requirement may be satisfied by documentation that includes current versions of materials included in Deliverables II.1 – VoteCal System Requirements Specifications, II.3 – VoteCal System Detailed System Design Specifications, II.4 – VoteCal System EMS Integration and Data Exchange Specifications Document, II.6 – VoteCal System Technical Architecture Documentation and II. 7 – VoteCal System Data Model and Data Dictionary.
 7. All relevant commentary, explanations, and other documentation for the Software.

Contractor shall provide Source Code, Source Code Documentation and Object Code as defined above for this Deliverable at no additional cost, via electronic download or on magnetic media (at Contractor's option) in a format that is approved by SOS as part of SOS Acceptance of the DED for this Deliverable. Delivered Source Code, Object Code and Source Code Documentation as defined above for this Deliverable shall be current as of completion of unit testing and code walk-throughs and correction of all identified Deficiencies in Phase III – Development.

Contractor shall also submit updated VoteCal System Source Code and Documentation, including all components defined above for this Deliverable III.6 – VoteCal System Source Code and Documentation, at the following times:

- In Phase IV – Testing, Phase V – Pilot Deployment and Testing, Phase VI – Deployment and Cutover, and Phase VII – First Year Operations and Close-out;
- Within ten (10) State business days of any SOS request for updated version of VoteCal System Source Code and Documentation; and
- During the extended warranty period of up to five (5) years, if SOS chooses to contract for an extended warranty period, whenever Contractor either delivers an Enhancement to the VoteCal System or makes changes to either the VoteCal System or VoteCal System Source Code Documentation (as described above) as a result of correcting a Deficiency.

In addition, the Contractor shall provide code walk-throughs on the VoteCal System Software and VoteCal System Contractor Commercial Proprietary Software upon request of SOS on an ongoing basis throughout the life of the Project.

Deliverable III.7 – Phase 0 Ongoing Process Tasks and Deliverables

Contractor shall perform all tasks, processes, and activities required in Phase 0.

Deliverable III.8 – Final Report for Phase III

Contractor shall submit a report indicating that all Phase activity is complete including status of Deliverables and outstanding issues.

PHASE IV – TESTING

Deliverable IV.1 – VoteCal System Pilot County Data Integration Completion and Report

Contractor shall perform data integration for those counties that have been chosen for the pilot activities in Phase V – Pilot Deployment and Testing. At the completion of data integration for pilot counties, Contractor shall provide a VoteCal System Pilot County Data Integration Report that documents the integration effort, all Deficiencies identified during integration, and correction of Deficiencies, in accordance with the DED for which SOS has provided Acceptance, Deliverable II.8 – VoteCal System Data Integration Plan, the PMP and the IPS. Contractor shall resolve all Deficiencies and validate the integration. The Report shall be discussed with the SOS team and others that may be impacted by the system Deficiencies. SOS shall have final authority on the resolution and/or mitigation strategy for each reported problem. Contractor shall iterate integration testing until all Deficiencies are corrected and all corrections are validated by SOS. Finally, the Deliverable shall identify “lessons learned” from the pilot county integration and how these shall be addressed in future county integrations. The Deliverable shall be finalized and submitted to SOS for review and Acceptance at the completion of data integration and correction of Deficiencies.

Deliverable IV.2 – VoteCal Acceptance Test Completion, Results and Defect Resolution Report

The scope of this Deliverable includes:

- Contractor's support for SOS UAT that will be performed in two (2) stages as described in this Exhibit, Phase III – Development, Overview of Development and Testing Requirements and Constraints; and
- Contractor's completion of acceptance testing and Certification of EMS compliance for pilot counties.

The Contractor shall develop and maintain the Acceptance Test Results Defect Resolution Report which shall document all Contractor and SOS executed test scripts, all test activities, the results of those activities, identified hardware or software issues, resolution actions taken, and the current status of all outstanding Deficiencies identified during Contractor's acceptance testing [of EMS remediation](#) and [both stages of SOS UAT](#). Contractor shall submit this Deliverable, including documentation of testing results and all corrections of identified Deficiencies, at the completion of the first stage of SOS UAT, and shall deliver two updated versions: one at the completion of Contractor's acceptance testing [of EMS remediation](#) and Certification of EMS compliance for pilot counties and the other at completion of the second stage of SOS UAT.

Contractor shall fully support the SOS team's execution of each of the UAT stages, including maintaining the Test Defect Log, correcting identified Deficiencies, and managing test environments and development artifacts as described in Phase III – Development, Overview of Development and Testing Requirements and Constraints. Contractor's support for SOS UAT shall also include execution of load simulation based on SOS-defined parameters, timing measurements for transactions for performance testing, correcting identified Deficiencies and documenting corrections of Deficiencies in the Test Defect Log.

Contractor shall also conduct and coordinate testing to certify EMS compliance with VoteCal requirements based on Deliverable III.3 – Acceptance Test Plan for Certification of EMS Data Integration and Compliance, and shall correct identified Deficiencies.

SOS UAT and Contractor's testing for Certification of EMS compliance shall include but are not limited to the following areas:

- System component functional testing;
- Interface testing;
- Regression testing;
- End-to-end testing;
- Stress and load testing;
- Performance testing; and
- Backup and recovery.

Deliverable IV.3 – VoteCal System Documentation and Updated VoteCal System Source Code

Contractor shall deliver VoteCal System Documentation that describes and supports the entire VoteCal Solution including the following aspects: system design and architecture specifications; requirements; program design; programming and ancillary processing components; system Help, information messages and error messages; database schema, system Data Model and data dictionary; hardware, equipment and software configuration settings; data exchange, interface specifications and communication protocols; end-user usage and training materials; testing; VoteCal system operations; and, help desk and operations support of the VoteCal Solution.

The delivered VoteCal System Documentation shall include updated versions of VoteCal System Source Code Documentation as described for Deliverable III.6 - VoteCal System Source Code and

Documentation, plus additional documentation to satisfy the documentation-related requirements described for this Deliverable IV.3. The VoteCal System Documentation shall also include but not be limited to the following types of documentation:

- System Operations;
- System Technical Documentation;
- System Operational Recovery Procedures;
- System End User's Documentation;
- Help Desk Documentation, including procedures for both SOS help desk (Level 1) and Contractor help desk (Level 2 and above) – see additional information below;
- System Technical Schematics;
- Updated General and Detailed System Design Documents to reflect the applications as implemented;
- Database schema and Data Dictionary;
- Application program interfaces;
- As-Built Documentation of all Configuration, Modification, and/or Programming;
- System Back-up and Recovery procedures; and
- System Maintenance Documentation.

[The portions of this deliverable that constitute updated versions of documentation that was previously provided in Deliverable III.6 – VoteCal System Source Code and Documentation shall include documentation of all changes made to code since submittal of Deliverable III.6, in a format approved by SOS.](#)

~~As specified in the VoteCal Request for Proposals Section VI.B.2 – Training, t~~The Contractor shall ensure that the SOS help desk and Contractor help desk are established and that training for help desk staff is provided before deployment of the VoteCal system in Phase V – Pilot Deployment and Testing. The Contractor shall develop, provide and maintain documented SOS help desk and Contractor help desk procedures and troubleshooting guidelines to enable help desk staff to support the VoteCal System [\(including VoteCal System Software, Contractor Commercial Proprietary Software, Third Party Software and all hardware and environment components\)](#) ~~and VoteCal System Environment~~ as part of this Deliverable. These help desk procedures and trouble-shooting guidelines shall be consistent with the VoteCal solution as of the end of Phase IV – Testing, inclusive of all VoteCal System and business procedural changes implemented as a result of testing. These procedures and guidelines shall be included in training for help desk staff as part of Deliverable V.1 - Develop VoteCal System Training Materials and Complete Training before the Pilot and shall be pilot tested as part of completion of Deliverable V.2 – Conduct Pilot Testing and Provide Pilot Results Report.

Materials that Contractor submits to fulfill requirements of this Deliverable IV.3 – VoteCal System Documentation and Updated VoteCal System Source Code may include updated versions of Deliverables that were delivered in prior Phases.

Contractor shall also deliver current versions of:

- VoteCal System Software Source Code and Contractor Commercial Proprietary Software Source Code in machine-readable format; and
- VoteCal System Software Object Code or logical equivalent, Contractor Commercial Proprietary Software Object Code or logical equivalent, plus Object Code or logical equivalent for any Third-Party Software included within the VoteCal System.

All delivered Source Code, Object Code (or equivalent), Source Code Documentation and System Documentation described above for this Deliverable IV.3 – VoteCal System Documentation and Updated VoteCal system Source Code shall reflect the state of the VoteCal Solution as of the end of Phase IV -

Testing, including all changes necessitated by changes to the VoteCal System, materials and procedures during Phase IV.

Deliverable IV.4 – Phase 0 Ongoing Process Tasks and Deliverables

Contractor shall perform all tasks, processes, and activities required in Phase 0.

Deliverable IV.5 – Final Report for Phase IV

Contractor shall submit a report indicating that all Phase activity is complete including status of Deliverables and outstanding issues.

PHASE V – PILOT DEPLOYMENT AND TESTING

Deliverable V.1 – Develop VoteCal System Training Materials and Complete Training before the Pilot

Contractor shall develop the training materials and training curricula for the VoteCal System solution for SOS program staff (including investigators), SOS help desk staff, SOS technical system support staff and county elections officials' staff, in accordance with the current/updated Deliverable II.9 – VoteCal System Training Plan. Contractor shall conduct initial training for SOS staff and county elections officials' staff in pilot counties to prepare the SOS and counties for pilot testing. . Contractor shall provide detailed written desktop procedures, policies, and full documentation for the VoteCal System, and shall provide the SOS staff assigned to support the Level 1 help desk with full training to support the VoteCal system before initiation of county pilot activities in Phase V – Pilot Deployment and Testing.

All training shall be scheduled and conducted to occur with sufficient lead time to prepare SOS and pilot county users in advance of the counties' initiation of the pilot that is executed in Phase V – Pilot Deployment and Testing. Training and documentation for the SOS help desk must be provided in time to ensure the help desk is operational prior to counties' initiation of pilot activities.

The Contractor shall provide application training to all SOS help desk personnel on the use of the VoteCal System and any Contractor-provided help desk software.

Training aids, manuals, quick reference guides and other training materials shall be provided as part of the solution, and shall:

- Reflect the solution as implemented in Phase V – Pilot Deployment and Cutover;
- Be provided for each type of training needed;
- Be delivered to SOS in MS Office 2003 electronic format and on paper (one hard copy per SOS and county trainee) at the time that training is conducted.

Deliverable V.2 – Conduct Pilot Testing and Provide Pilot Results Report

Upon SOS Project Director's approval to initiate pilot deployment and cutover, Contractor shall conduct pilot testing for the selected pilot counties to appraise the data integration, training, help desk support (both SOS help desk and Contractor help desk), prepared system documentation, and deployment and operation processes and procedures. Contractor shall conduct the pilot through a live election cycle if it does not extend the Project go-live timeframe by more than three months. The integrity of the existing Calvoter system and its data, which is the current official list of registered voters, shall be maintained throughout the end of Phase VI – Deployment and Cutover. Contractor shall establish success criteria and targets in each area (e.g., data integration, training, Help Desk support, and deployment and operation processes and procedures) before the start of the pilot. Contractor shall complete a VoteCal System Pilot Results Report document that provides documentation on all findings, issues,

recommendations for system and process improvements, and other results of the Pilot. Contractor shall discuss this report with the VoteCal Project Manager and Project Director and shall update Deliverable III.3 - Acceptance Test Plan for Certification of EMS Data Integration and Compliance as appropriate based on the contents of the Pilot Results Report submitted with Deliverable V.2.

The SOS Project Director's approval to proceed with pilot county deployment shall be based on criteria that include SOS Acceptance of Deliverable IV.1 – VoteCal System Pilot County Data Integration Completion and Report and Deliverable IV.2 – VoteCal Acceptance Test Completion, Results and Defect Resolution Report, including Contractor's Certification of EMS compliance and completion of SOS end-to-end UAT as well as Contractor correction of identified Deficiencies.

Contractor shall provide Level 2 help desk support for pilot counties during Phase V - Pilot Deployment and Testing and on an ongoing basis thereafter, in accordance with the current VoteCal System Implementation and Deployment Plan (Deliverable III.5, updated as Deliverable V.4 and as required throughout the Project) for which SOS has provided Acceptance, documented help desk procedures for which SOS has provided Acceptance (included in Deliverable IV.3 - VoteCal System Documentation and Updated VoteCal System Source Code, and updated as part of Deliverable V.3 – Updated System, Documentation and Training Materials including VoteCal System Source Code and as required throughout the Project), and the requirements identified in Attachment 1, Exhibit 4 – Hardware, Third Party Software and VoteCal System Maintenance and Operations Services and Help Desk Service Levels, and in Attachment 1, Exhibit 5 – VoteCal System Software and Contractor Commercial Proprietary Software Maintenance and Operations Services & Help Desk Service Levels.

Deliverable V.3 - Updated System, Documentation and Training Materials including VoteCal System Source Code

Contractor shall implement updated VoteCal system components as required to correct Deficiencies and resolve problems identified during pilot deployment and testing. All Deficiencies uncovered during pilot testing shall be resolved and regression testing to validate resolution of Deficiencies shall be conducted on the VoteCal System before Phase VI – Deployment and Cutover begins.

Contractor shall deliver updated versions of:

- VoteCal System Software Source Code and Contractor Commercial Proprietary Software Source Code in machine-readable format;
- The current VoteCal System Software Object Code or logical equivalent, Contractor Commercial Proprietary Software Object Code or logical equivalent, plus Object Code or logical equivalent for any Third-Party Software included within the VoteCal System;
- VoteCal System Source Code Documentation as described in Deliverable III.6 – VoteCal System Source Code and Documentation and as appropriate for the Contractor's proposed VoteCal Solution; and
- Updated versions of training materials produced for Deliverable V.1 – Develop VoteCal System Training Materials and Complete Training Before the Pilot, as well as updated versions of all other VoteCal System Documentation that is described in Deliverable IV.3 – VoteCal System Documentation and Updated VoteCal System Source Code.

All components of this Deliverable V.3 – VoteCal System, Documentation and Training Materials including VoteCal System Source Code shall reflect the state of the VoteCal Solution as of the end of Phase V – Pilot Deployment and Testing, and shall reflect all changes to the VoteCal Solution that were made as a result of Deficiencies identified and lessons learned during Phase V – Pilot Deployment and Testing. [The portions of this deliverable that constitute updated versions of documentation that was previously provided in Deliverable IV.3 – VoteCal System Documentation and Updated VoteCal System Source Code shall include documentation of all changes made to code since submittal of Deliverable IV.3, in a format approved by SOS.](#)

Deliverable V.4 - Revised/Updated System Implementation and Deployment Plan

Contractor shall update the VoteCal System Implementation and Deployment Plan (Deliverable III.5) to reflect required changes in the implementation and deployment tasks and procedures based on the findings and results of the pilot testing.

Deliverable V.5 – Phase 0 Ongoing Process Tasks and Deliverables

Contractor shall perform all tasks, processes, and activities required in Phase 0.

Deliverable V.6 – Final Report for Phase V

Contractor shall submit a report indicating that all Phase activity is complete including status of Deliverables and outstanding issues.

PHASE VI – DEPLOYMENT AND CUTOVER

Deliverable VI.1 – VoteCal System County Elections Staff Training Completed

Contractor shall conduct training of the county elections officials' staff in accordance with Deliverable III.5 – VoteCal System Implementation and Deployment Plan, the current/updated Deliverable II.0 – Training Plan and the IPS. Contractor shall ensure that training materials reflect changes to the VoteCal System as of the end of Phase V – Pilot Deployment and Testing and are created sufficiently far in advance to train all remaining county elections officials' staff before deployment and cutover activities begin. Contractor shall, at the conclusion of the training, provide a list of the county staff trained in each county in preparation for deployment of the VoteCal System.

Deliverable VI.2 – Updated Training of SOS Staff

Contractor shall conduct any updated training necessary as a result of findings from pilot testing in Phase V – Pilot Deployment and Testing, to prepare the SOS staff - including technical, help desk, business staff, and trainers - for full deployment and production operation. Training shall cover the features, operation, and maintenance of the VoteCal system itself as well as software tools (e.g., traceability management tools, monitoring tools, etc.) deployed to support operation and ongoing maintenance, and updates to system documentation (Deliverable V.3 – Updated System, Documentation and Training Materials including VoteCal System Source Code).

Deliverable VI.3 – VoteCal System Help Desk Implementation and Support

Contractor must provide detailed written desktop procedures, policies, and full documentation for the VoteCal System and provide the SOS staff assigned to support the Level 1 help desk with full training to support the VoteCal system. Contractor shall refresh help desk materials and training materials to incorporate changes necessitated as a result of lessons learned during Phase V – Pilot Deployment and Testing.

The Contractor shall provide appropriate software to log, manage, escalate, and resolve problems, requested changes, system issues, etc., that are reported by VoteCal System users.

The Contractor shall be responsible for Level 2 and above help desk support. (SOS will be responsible for Level 1 support of the application.) The Contractor help desk support shall be staffed to meet service levels and requirements described in Attachment 1, Exhibit 4 – Hardware, Third Party Software and VoteCal System Maintenance and Operations Services and Help Desk Service Levels, and in Attachment 1, Exhibit 5 – VoteCal System Software and Contractor Commercial Proprietary Software Maintenance and Operations Services & Help Desk Service Levels.

The Contractor shall provide help desk monthly status reports including, but not limited to, Help Desk staffing, call volumes, call duration (average and peak), time taken to resolve a reported problem, outstanding calls and unresolved issues as of the date of the report, call times, peak usage, call types, quality issues, and recommendations. Contractor shall also develop and provide standard help desk reports to SOS, including monthly operational statistics reports and weekly incident reports to demonstrate that Contractor has met appropriate help desk service level agreements defined in Attachment 1, Exhibit 4 – Hardware, Third Party Software and VoteCal System Maintenance and Operations Services and Help Desk Service Levels, and in Attachment 1 Exhibit 5 – VoteCal System Software and Contractor Commercial Proprietary Software Maintenance and Operations Services & Help Desk Service Levels.

The Contractor shall report initial problem receipt and problem resolution to the SOS help desk. The information that Contractor shall supply to the SOS help desk on problems or events shall include but not be limited to problem description, start and end dates/times, actual or potential cause(s), corrective action taken, and future action required.

Deliverable VI.4 – VoteCal System Remaining County Data Integration Completed and Tested for Compliance and Successful Integration

Upon SOS Project Director's approval to proceed with deployment and cutover, Contractor shall initiate and complete data clean-up and uploading of all EMS data for counties that did not participate in the pilot (Phase V – Pilot Deployment and Testing), in accordance with the current VoteCal System Data Integration Plan (Deliverable II.8, updated as required during the Project). This clean-up and uploading shall include full integration of all county registration data into a single statewide record for each registered voter.

Contractor shall conduct integration testing of and resolve problems arising from VoteCal system Deficiencies, in accordance with the Acceptance Test Plan for Certification of EMS Data Integration and Compliance (Deliverable III.3). SOS team members and/or IV&V shall observe testing activities performed by Contractor and county elections officials' staff to verify documented results.

Upon Certification of EMS data integration and compliance, Contractor shall deliver an updated Deliverable IV.2 – VoteCal System Acceptance Test Completion, Results and Defect Resolution Report that documents results of the data integration and associated testing, including documented resolution of all Deficiencies.

Deliverable VI.5 – VoteCal System Final Deployment Report including Delivery of Updated VoteCal System Source Code and System Documentation

Contractor shall conduct deployment of the VoteCal System in accordance with the updated VoteCal System Implementation and Deployment Plan (Deliverable V.4), the PMP and the IPS. Contractor shall, at the conclusion of the deployment when all counties have been implemented, submit a VoteCal System Final Deployment Report indicating that all deployment activities have been completed including

description of status of all outstanding Deliverables, outstanding deployment issues, and the tasks that must be completed to resolve outstanding issues and complete any outstanding Deliverables.

Contractor shall also deliver updated versions of:

- VoteCal System Software Source Code and Contractor Commercial Proprietary Software Source Code in machine-readable format;
- The current VoteCal System Software Object Code or logical equivalent, Contractor Commercial Proprietary Software Object Code or logical equivalent, plus Object Code or logical equivalent for any Third-Party Software included within the VoteCal System;
- VoteCal System Source Code Documentation as described in Deliverable III.6 – VoteCal System Source Code and Documentation and as appropriate for the Contractor’s proposed VoteCal Solution; and
- Updated versions of all training materials produced for Deliverable V.1 – Develop VoteCal System Training Materials and Complete Training Before the Pilot, as well as updated versions of all other VoteCal System Documentation that is described in Deliverable IV.3 – VoteCal System Documentation and Updated VoteCal System Source Code.

All Source Code, Object Code and System Documentation submitted to fulfill requirements of this Deliverable VI.5 – VoteCal System final Deployment Report including Delivery of Updated VoteCal System Source Code and System Documentation shall reflect the state of the VoteCal Solution as of the end of Phase VI – Deployment and Cutover, and shall reflect all changes to the VoteCal Solution that were made as a result of Deficiencies identified and lessons learned during Phase VI – Deployment and Cutover. [The portions of this Deliverable that constitute updated versions of documentation that was previously provided in Deliverable V.3 – Updated System, Documentation and Training Materials including VoteCal System Source Code shall include documentation of all changes made to code since submittal of Deliverable V,3, in a format approved by SOS.](#)

Deliverable VI.6 – Phase 0 Ongoing Process Tasks and Deliverables

Contractor shall perform all tasks, processes, and activities required in Phase 0.

Deliverable VI.7 – Final Report for Phase VI

Contractor shall submit a report indicating that all Phase activity is complete including status of Deliverables and outstanding issues.

PHASE VII – FIRST YEAR OPERATIONS AND CLOSE-OUT

Contractor shall provide SOS with complete VoteCal System warranty, maintenance and technical support services, commencing immediately after the VoteCal System is fully deployed to, implemented in, and certified in all counties, and SOS Project Director gives approval to proceed based on confirmation of VoteCal System Acceptance by SOS (defined in Attachment 1 Section 10(e)).

Levels of service for Phase VII are defined in Attachment 1, Exhibit 4 – Hardware, Third Party Software and VoteCal System Maintenance and Operations Services and Help Desk Service Levels , and in Attachment 1, Exhibit 5 – VoteCal System Software and Contractor Commercial Proprietary Software Maintenance and Operations Services & Held Desk Service Levels.

Deliverable VII.1 – Monthly Operations and Performance Reports

Contractor shall provide the following during Phase VII – First Year Operations and Close-out on a continuing basis:

- Support the VoteCal System help desk with Level 2 help desk services;
- Provide help desk reports (e.g. number of calls received, types of calls, time to resolution, outstanding calls/issues) as described in Deliverable VI.3 – VoteCal System Help Desk Implementation and Support;
- Monitor VoteCal system performance;
- Track reports of system errors, problems, and issues;
- Provide and manage an issue log;
- Provide a change log of all outstanding and resolved changes; and
- Provide an escalation process by which all reported problems can be managed until resolved.

Contractor shall provide telephone and email help desk support for problem resolution and troubleshooting for the duration of the maintenance period, per terms of (1) Attachment 1, Exhibit 4 – Hardware, Third Party Software and VoteCal System Maintenance and Operations Services and Help Desk Service Levels, (2) Attachment 1, Exhibit 5 – VoteCal System Software and Contractor Commercial Proprietary Software Maintenance and Operations Services & Help Desk Service Levels, (3) Help Desk Documentation for which SOS has provided Acceptance (as part of Deliverable V.3 – Updated System, Documentation and Training Materials including VoteCal System Source Code); and (4) required Help Desk support time frames and actions as delineated in the description of Deliverable VI.3 – VoteCal System Help Desk Implementation and Support in this Exhibit.

Deliverable VII.2 – VoteCal System Final Documentation and Current VoteCal System Source Code

At the conclusion of Phase VII – First Year Operations and Close-out, Contractor shall ensure that the most up-to-date versions of all VoteCal System components are implemented.

Contractor shall also deliver current and updated versions of:

- VoteCal System Software Source Code and Contractor Commercial Proprietary Software Source Code in machine-readable format;
- The current VoteCal System Software Object Code or logical equivalent, Contractor Commercial Proprietary Software Object Code or logical equivalent, plus Object Code or logical equivalent for any Third-Party Software included within the VoteCal System;
- VoteCal System Source Code Documentation as described in Deliverable III.6 – VoteCal System Source Code and Documentation and as appropriate for the Contractor's proposed VoteCal Solution; and
- Updated versions of all training materials produced for Deliverable V.1 – Develop VoteCal System Training Materials and Complete Training Before the Pilot, as well as updated versions of all other VoteCal System Documentation that is described in Deliverable IV.3 – VoteCal System Documentation and Updated VoteCal System Source Code.

[The portions of this Deliverable that constitute updated versions of documentation that was previously provided in Deliverable VI.5 – VoteCal System Final Deployment Report including Delivery of Updated VoteCal System Source Code and System Documentation shall include documentation of all changes made to code since submittal of Deliverable VI.5, in a format approved by SOS.](#)

In addition, Deliverable VII.2 – VoteCal System Final Documentation and Current VoteCal System Source Code shall include:

- Complete system configuration and installation instructions so that all VoteCal System hardware and software components can be installed and maintained by an independent technician with appropriate skills;
- Complete records of all changes made to the VoteCal System during Phase VII – First Year Operations and Close-out which includes the Warranty Period, including the specific change made and the reason for the change;

- Complete records of all incidents and problems reported or encountered during Phase VII – First Year Operations and Close-out including the specific symptoms, the disposition of the problem, and reference to the specific documented changes that were made as a result of the problem;
- Complete records of the VoteCal System availability and all outages to any delivered system component or function during Phase VII – First Year Operations and Close-out, with specific reference to any incident or problem reports associated with each outage; and
- Complete and updated inventory of all VoteCal System hardware and software components – including manufacturer, model or version, and any options or customizations – reflecting the state of the VoteCal solution as of the end of Phase VII – First Year Operations and Close-out.

All components of this Deliverable VII.2- VoteCal System Final Documentation and Current VoteCal System Source Code shall reflect the state of the VoteCal System as of the end of Phase VII – First Year Operations and Close-out, and shall reflect all changes to the VoteCal Solution that were made as a result of Deficiencies identified and lessons learned during Phase VII – First Year Operations and Close-out.

NOTE: The SOS will not be able to initiate contract with Contractor for ongoing maintenance and operation beyond the first year (after Phase VII) until SOS has provided Acceptance for this Deliverable.

Deliverable VII.3 – Phase 0 Ongoing Process Tasks and Deliverables

Contractor shall perform all tasks, processes, and activities required in Phase 0.

Deliverable VII.4 – Complete Contract Implementation Close-Out

Contractor shall submit a report indicating that all close-out tasks are complete including status of Deliverables and outstanding issues.

Glossary of Terms and Acronyms

TERM/ACRONYM	DEFINITION
§	Section as in California Elections Code Section (§) 1000.
Accept and Apply	In VoteCal, the process of receiving and validating data, and incorporating the data into the VoteCal database.
Acceptance	A written notice from State to Contractor that a Deliverable has conformed to its applicable Acceptance Criteria in accordance with the process described in Attachment 1, paragraph 10 - Inspection, Acceptance and Rejection of Contractor Deliverables.
Acceptance Criteria	The subset of Specifications against which each Deliverable shall be evaluated and which are described in DEDs.
Acceptance Tests	Those tests performed during the Performance Period which are intended to determine compliance of Equipment and Software with the specifications and all other Attachments incorporated herein by reference and to determine the reliability of the Equipment.
ADA	Americans with Disabilities Act – federal law that prescribes requirements for accessibility.
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.
AIIM	Association for Information and Image Management
ANSI	American National Standards Institute
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.
API	Application Programming Interface
Application Program	A computer program which is intended to be executed for the purpose of performing useful work for the user of the information being processed. Application programs are developed or otherwise acquired by the user of the Hardware/Software system, but they may be supplied by the Contractor.

TERM/ACRONYM	DEFINITION
Application Software	Software that is developed to achieve a specific set of interrelated tasks and may be custom developed or commercially available. An application software product that is developed to support a general class of commonly occurring tasks --- such as common business functions (e.g., accounting software) or office automation functions (e.g., word processors) --- and is intended to be used by a diverse set of end-users in different settings is referred to as a commercial application software product. When an application software product is developed to perform a very specific set of tasks to meet the needs of a more limited number of end-users --- sometimes the needs of a single end-user organization or set of organizations --- this is often referred to as a custom application software product (see Custom 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 permanently 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)
Attachment	A mechanical, electrical, or electronic interconnection to the Contractor-supplied Machine or System of Equipment, manufactured by other than the original Equipment manufacturer, that is not connected by the Contractor.
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.)
BL	Business Lead –Subject matter expert in California elections law and practice.
Business Day	Reflects a routine work day according to the State of California, excluding State holidays (as specified in State of California Department of Personnel Administration website http://www.dpa.ca.gov/personnel-policies/holidays.htm) and any State-mandated furlough days.
Business Entity	Any individual, business, partnership, joint venture, corporation, S-corporation, limited liability corporation, limited liability partnership, sole proprietorship, joint stock company, consortium, or other private legal entity recognized by statute.
Buyer	The State's authorized contracting official.

TERM/ACRONYM	DEFINITION
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 – notice to voter confirming third party change of address provided to SOS
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.
CA-PMM	California Project Management Methodology – California Technology Agency’s adopted project management standard
CCR	California Code of Regulations
CDCR	California Department of Corrections and Rehabilitation
CDDI	Copper Distributed Data Interface
CDPH	California Department of Public Health
Certification	The State’s receipt of notice and, if requested by State, full supporting and written documentation (including without limitation test results) from Contractor that Contractor has, as applicable: completed a Deliverable in accordance with its Acceptance Criteria or pre-tested a system for compliance with the applicable Specifications; and confirmed that the Deliverable, including but not limited to the VoteCal System, is ready for applicable Acceptance Tests and/or implementation.
Close-Out	In this RFP, close-out refers to contract closure activities conducted and completed during Phase VII – First Year Operations and Close-out.
CMMI	Capability Maturity Model Integration for development
COA	Change of Address
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 state law (e.g., 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.

TERM/ACRONYM	DEFINITION
Configurable	<p>Changeable by an authorized administrator. The term “configurable” is used for rules that are specified in a requirement in Section VI, Table VI.1 – Mandatory VoteCal System Requirements, Functionality Reference, and Requirement Response Form or Table VI.2 – VoteCal Technical Requirements and Response Form. These rules determine what action the VoteCal system will take based on a combination of data elements; they may apply to matching of records, validation of data, ranges of values for VoteCal fields, or grouping, sorting, or filtering of records. For each rule, an authorized administrator will be able to specify:</p> <ul style="list-style-type: none"> • Particular data element(s) (e.g., first name, date of birth, address) and combinations of data elements that is/are evaluated in the rule; • One or more criteria against which data elements are evaluated (e.g., first four characters match, all characters match exactly, all characters match exactly with one pair of characters transposed, field is greater than a specified value, field is populated, field has a particular value or range of values, field value conforms to defined format standards for the field, etc.); and • Each possible outcome of the evaluation of specified data against the specified criteria. For example, for a rule for matching records, the administrator will specify the thresholds and/or calculations for determining whether two records represent a high-confidence match, a high-confidence non-match, or a potential match. For a data validation rule, the administrator will specify data conditions that VoteCal will return a result of accepted vs. deficiency vs. critical error. <p>Configurable rules are also extensible: an authorized SOS administrator must be able to add new rules of either type, add or change data elements to be evaluated, add or change evaluation criteria against which data are evaluated, and add or change the nature of outcomes based on evaluation of criteria.</p>
Contract	Contract or agreement (including any purchase order), by whatever name known or in whatever format used.
Contractor	The Business Entity with whom the State enters into this Contract. Contractor shall be synonymous with “supplier”, “vendor” or other similar term.
COOP	Continuity of Operations
COTS	Commercial-off-the-Shelf
CPU	Central Processing Unit
CR	Change Request
CSS	Cascading Style Sheet
Custom Software	Software that does not meet the definition of Contractor Commercial Proprietary Software, including but not limited to Software And Modifications, as well as interfaces to other systems but excluding Third Party Software.

TERM/ACRONYM	DEFINITION
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).
Data	The State's records, files, forms, data and other documents, including but not limited to converted Data that will be processed by the VoteCal System.
Data Processing Subsystem	A complement of Contractor-furnished individual Machines, including the necessary controlling elements (or the functional equivalent) and Operating Software, if any, which are acquired to operate as an integrated group, and which are interconnected entirely by Contractor-supplied power and/or signal cables; e.g., direct access controller and drives, a cluster of terminals with their controller, etc.
DBMS	Database Management System/Software (e.g. Oracle, Sybase)
DEC	Digital Equipment Corporation
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 http://www.nsa.gov/ia/files/support/defenseindepth.pdf for additional information)
Deficiency	A failure of a Service or Deliverable, including without limitation a malfunction in the Contractor-supplied Software, which prevents or impairs the accomplishment of work, or an omission, defect or deficiency in a Service or Deliverable, which causes it not to conform to its applicable Specifications.
Deliverable Expectation Document (DED)	A DED describes the Contractor's proposed approach to preparing a Deliverable, including the methodology, format, content, level of detail and applicable Acceptance Criteria. This document is prepared by the Contractor prior to beginning work on the Deliverable and must receive Acceptance from the State.
Deliverables	Contractor's products which result from the Services and which are provided by Contractor to the State (either independently or in concert with the State or third parties) during the course of Contractor's performance under this Contract, including without limitation Equipment, and other deliverables which are described in Exhibit 2 and in Change Requests and Work Authorizations.
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
DIL	Data Integration Lead
DIMS	Vendor that developed licenses and supports DIMS-NeT, a county election management and voter registration system.
DIP	Data Integration Plan

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.
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.
DL	Development Lead
CDL/ID	California DMV-issued driver's license (CDL) number or Identification Card (ID) number.
DMV	Department of Motor Vehicles
DOB	Date of Birth
Documentation	Nonproprietary manuals and other printed materials necessary or useful to the State in its use or maintenance of the Equipment or Software provided hereunder. Manuals and other printed materials customized for the State hereunder constitute Documentation only to the extent that such materials are described in or required by the Statement of Work.
Domicile County	The county in which a voter resides and is legally entitled to vote based on the voter's legal residence address.
DVBE	Disabled Veterans Business Enterprise
E-60	60 th day prior to the scheduled election
EC	California Elections Code
EDD	Employment Development Department
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, unless otherwise stated in the Request for Proposals for a specific activity.
Electronic Notice	See entry for Notice.
EMS	Election Management System

TERM/ACRONYM	DEFINITION
Equipment	The computer Hardware on which the Software shall operate following its delivery, all operating software for use with the Equipment, and telecommunications facilities and services as listed in the Contract.
Equipment Failure	A malfunction in the Equipment, excluding all external factors, which prevents the accomplishment of the Equipment's intended function(s). If microcode or Operating Software residing in the Equipment is necessary for the proper operation of the Equipment, a failure of such microcode or Operating Software which prevents the accomplishment of the Equipment's intended functions shall be deemed to be an Equipment Failure.
ES&S	Election Systems and Software - Vendor that developed, licenses and supports LEMS, a county election management and voter registration system.
ETL	Extract, Transform and Load
Exact match	Matches where all data in each criteria field are identical between matching records.
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
Facility Readiness Date	The date specified in the Statement of Work by which the State must have the site prepared and available for Equipment delivery and installation.
F.O.B.	Free on Board
FTE	Full-Time-Equivalent
FTP	File Transfer Protocol
GCDC	Department of Technology Services Gold Camp Campus (formerly known as Teale Data Center)
Goods	All types of tangible personal property, including but not limited to materials, supplies, and Equipment (including computer and telecommunications Equipment).
GPA	Government Procurement Agreement
GUI	Graphical User Interface
Hardware	Usually refers to computer Equipment and is contrasted with Software. See also Equipment.
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.
Implementation	The process for making the VoteCal System fully operational in accordance with its Specifications for processing the Data in State's normal business operations. Implementation shall be completed when Contractor has completed the Implementation Services according to the Work Plan.

TERM/ACRONYM	DEFINITION
Information Technology (IT)	Includes, but is not limited to, all electronic technology systems and services, automated information handling, System design and analysis, conversion of data, computer programming, information storage and retrieval, telecommunications which include voice, video, and data communications, requisite System controls, simulation, electronic commerce, and all related interactions between people and Machines.
Installation Date	The date specified in the Statement of Work by which the Contractor must have the ordered Equipment ready (certified) for use by the State.
IDV	Verification process used by DMV.
IFB	Invitation for Bid
Integrated Project Schedule (IPS)	An integrated project schedule provides a comprehensive view of what will occur, when, who is expected to do it, and how tasks relate to one another. It contains the tasks/activities of Contractor, SOS staff and other SOS contractors, county elections officials' staff, and EMS vendors that must occur in order to meet the requirements of this RFP. The IPS must contain a list of planned tasks, milestones, estimated completion dates, resource assignments, and dependencies between tasks. The IPS 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 and SOS review of submitted deliverables, each as described in Attachment 1 - Statement of Work), and Contractor correction of deficiencies.
Interactive	Allows user to view and modify data in the VoteCal database directly on a real time basis.
IEEE	Institute of Electrical and Electronics Engineers
IPOC	Independent Project Oversight Consultant
ISO	International Organization for Standardization
Issue	A situation, problem, or an activity that has happened or is happening at present which impacts upon the approved Project Plan.
ITD	Information Technology Division (of SOS)
ITPOF	Information Technology Project Oversight Framework
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
LAN	Local Area Network
LDAP	Lightweight directory access protocol
Level 1 Call	Initial problem report and intake. A solution problem of any severity reported to a Level 1 Help Desk, including those that may be immediately escalated to Level 2.

TERM/ACRONYM	DEFINITION
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.
Machine	An individual unit of a Data Processing System or subsystem, separately identified by a type and/or model number, comprised of but not limited to mechanical, electro-mechanical, and electronic parts, microcode, and special features installed thereon and including any necessary Software, e.g., central processing unit, memory module, tape unit, card reader, etc.
Machine Alteration	Any change to a Contractor-supplied Machine which is not made by the Contractor, and which results in the Machine deviating from its physical, mechanical, electrical, or electronic (including microcode) design, whether or not additional devices or parts are employed in making such change.
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	The maintenance and support Services which shall be performed by Contractor and which are described as such in the RFP, Proposal and Attachment 1, Exhibits 4 and 5.
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.

TERM/ACRONYM	DEFINITION
Maintenance Diagnostic Routines	The diagnostic programs customarily used by the Contractor to test Equipment for proper functioning and reliability.
Major Qualified Political Party	Democratic and Republican parties
Manufacturing Materials	Parts, tools, dies, jigs, fixtures, plans, drawings, and information produced or acquired, or rights acquired, specifically to fulfill obligations set forth herein.
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
MPLS	Multiprotocol Label Switching
MPSR	Monthly Project Status Report
MTBF	Mean Time Between Failure – The average expected or observed time between consecutive failures in a System or component.
MTTR	Mean Time to Repair – The average expected or observed time required to repair a System or component and return it to normal operation.
NCOA	National Change of Address
Notice	When used in this RFP to describe information sent from VoteCal to a county, the term “notice” refers to a communication sent electronically to the county EMS. The electronic notice must contain all data necessary and be in an appropriate format for automatic categorizing of the notice by the EMS. It must contain sufficient data for the county user to discern the actions that must be performed and the voter record(s) for which the actions must be performed. Email messages and printable reports in electronic format do not accomplish the functions of a “notice” as described in this definition. A notice may simply provide information to the county that a voter registration record was changed, or it may require that the county take action regarding one or more voter registration data elements.
NVRA	National Voter Registration Act
OAH	Department of General Services, Office of Administrative Hearings
Object Code	The binary code version of a Software program loaded into a computer's memory to enable it to perform a program function.
OCIO	The Office of the State Chief Information Officer. As of January 2011, this entity became the California Technology Agency.
OCMP	Organizational Change Management Plan
One-time Vote by Mail Address	A mailing PO Box or mailing street address to which a vote-by-mail ballot is to be sent, for a registered voter who has submitted an application for a vote-by-mail ballot.

TERM/ACRONYM	DEFINITION
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.
Operating Software	Those routines, whether or not identified as Program Products, that reside in the Equipment and are required for the Equipment to perform its intended function(s), and which interface the operator, other Contractor-supplied programs, and user programs to the Equipment.
Operational Use Time	For performance measurement purposes that time during which Equipment is in actual operation by the State. For maintenance Operational Use Time purposes, that time during which Equipment is in actual operation and is not synonymous with power on time.
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 – the State’s data center
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, CDPH, CDCR, EDD
PCC	Public Contract Code
PDT	Pacific Daylight Time
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.
Performance Testing Period	A period of time during which the State, by appropriate tests and production runs, evaluates the performance of newly installed Equipment and Software prior to its acceptance by the State.
Period of Maintenance Coverage	The period of time, as selected by the State, during which maintenance services are provided by the Contractor for a fixed monthly charge, as opposed to an hourly charge for services rendered. The Period of Maintenance Coverage consists of the Principal Period of Maintenance and any additional hours of coverage per day, and/or increased coverage for weekends and holidays.
<u>Permanent Vote-by-Mail Address</u>	<u>A mailing PO Box or mailing street address to which a vote-by-mail ballot is to be sent, for a registered voter who has requested permanent vote-by-mail status.</u>
Phase	When capitalized, refers to a VoteCal Project Phase as described in Attachment 1, Exhibit 2 – Tasks and Deliverables.

TERM/ACRONYM	DEFINITION
Platform Environment	The integrated Hardware, architecture, Operating Software, Application Software framework network, and other technical components of the VoteCal System on which Application Software in the Contractor Commercial Proprietary Software; VoteCal System Software; and Third Party Software reside and operate to interoperates in order to process data for the VoteCal System Solution.
Pluggable interface	An interface that will enable the system to acquire new functionality by addition of new plug-ins without modification or re-compilation of system code.
Plug-in	Software module/s capable of being hosted or integrated into another system to extend functionality of that system.
PM	Project Manager
PMBOK	Project Management Institute Body of Knowledge
PMI	Project Management Institute
PMO	Project Management Office
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. For the purposes of the VoteCal Project, the PMP shall define the technical and managerial Project functions, processes, activities, tasks, and schedules necessary to satisfy the Project requirements and produce required Contractor Deliverables.
PMR	Project Management Reviews
Political district	A specified geographical area, within which all residents are eligible to vote for elected offices and ballot measures for that political district
PPM	Principal Period of Maintenance
PRCP	Pre-election Residency Confirmation Postcard (EC §2220)
Pre-Existing Materials	Software in Source Code and Object Code formats (including without limitation Contractor Commercial Proprietary Software and excluding Third Party Software) and other materials developed or otherwise obtained by or for Contractor or its affiliates independently of this Contract or applicable purchase order.
Preventive Maintenance	That maintenance, performed on a scheduled basis by the Contractor, which is designed to keep the Equipment in proper operating condition.
Principal Period of Maintenance	Any nine consecutive hours per day (usually between the hours of 7:00 a.m. and 6:00 p.m. Pacific Time) as selected by the State, including an official meal period not to exceed one hour, Monday through Friday, excluding holidays observed at the installation.

TERM/ACRONYM	DEFINITION
Production Environment	The final host environment for the Software.
Program Product	Programs, routines, subroutines, and related items which are proprietary to the Contractor and which are licensed to the State for its use, usually on the basis of separately stated charges and appropriate contractual provisions.
Program Team	Members of the SOS team and members of the county staff.
Programming Aids	Contractor-supplied programs and routines executable on the Contractor's Equipment which assists a programmer in the development of applications including language processors, sorts, communications modules, data base management systems, and utility routines, (tape-to-disk routines, disk-to-print routines, etc.).
Project	When capitalized, refers to the VoteCal Project. Also refers to the planned undertakings regarding the entire subject matter of this Contract.
Provisional Ballot	Ballot cast by a voter at the Polling Place when the voter does not appear on the Roster.
PST	Pacific Standard Time
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)
Remedial Maintenance	That maintenance performed by the Contractor which results from Equipment (including Operating Software) failure, and which is performed as required, i.e., on an unscheduled basis.
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.
RFP	Request for Proposal
Risk	From the Master Issues List: Something that may happen and if it does, will have a positive or negative impact on the project.
ROR	Report of Registration
SDD	Software Design Description
SEC	Securities & Exchange Commission
SEI	Software Engineering Institute
SSN and SSN4	Social Security Number and last four digits of Social Security Number as is required if California driver's license number does not exist.

TERM/ACRONYM	DEFINITION
Sequoia Pacific	Vendor that developed, licenses, and supports Integrity, a county election management and voter registration 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.
Services	The tasks and services to be performed by Contractor on the Project, as described in the Contract, including without limitation the Statement of Work.
Severity 1 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; and (b) security vulnerabilities identified by the State or SOS Information Security Officers or by the Contractor Commercial Proprietary Software or Third Party software product manufacturer.
Severity 2 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.
SI Vendor	System integrator vendor – Vendor hired to design, develop, and deploy the VoteCal solution.
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)
SIMM	State Information Management Manual – policy manual related to information technology in California as issued by the California Technology Agency (formerly Office of the Chief Information Officer)
Single exact match	An exact match of all fields in the matching criteria set to one and only one voter registration record.
Site License	For each product, the term “Site License” shall mean the license established upon acquisition of the applicable number of copies of such product and payment of the applicable license fees as set forth in the Statement of Work.
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.
SMP	Schedule Management Plan

TERM/ACRONYM	DEFINITION
Software	An all-inclusive term which refers to any computer programs, routines, or subroutines supplied by the Contractor, including Operating Software, Programming Aids, Application Programs, Program Products, the VoteCal System Software, Contractor Commercial Proprietary Software, Pre-Existing Materials that are software and that are included in the VoteCal System, Third Party Software, and all upgrades and enhancements thereto all in Source Code and Object Code formats, unless otherwise mutually agreed in writing, except that Contractor is not required to provide Source Code for Third Party Software unless the licensor provides such Source Code to its customers. Enhancements and upgrades provided by Contractor prior to completion of the Project and during Phase VII – First Year Operations and Close-out shall be included as part of the Software.
Software And Modifications	Software or modifications thereof and associated documentation designed or developed on this project.
Software Support	See Application System Support.
SOS	California Office of the Secretary of State
SOSPROD	Secretary of State Production Environment
Soundex	A phonetic algorithm for matching names based on phonetic pronunciation in English.
Source Code	The series of instructions to the computer for carrying out the various tasks that are performed by a computer program, expressed in a programming language that is easily comprehensible to appropriately trained persons who translate such instructions into Object Code, which then directs the computer to perform its functions.

TERM/ACRONYM	DEFINITION
Source Code Documentation	<p>Defined to include but not be limited to then-current versions of the following when the Source Code is provided by Contractor:</p> <ol style="list-style-type: none"> 1. Functional specifications (which describe the function of a Software module from a user point of view in detail) and designs for the Software, including but not limited to background and the database schema, entity relationship diagrams (where applicable), data objects, and user interface objects. 2. Information describing how to compile and link the source code modules to obtain working software, as well as data structures outside of the module which are required to configure or drive the module. 3. Source code and documentation for database definition and database procedures (SQL definitions), graphical user interface modules, data interface modules and other Software modules, including but not limited to build procedures. 4. Documentation describing installation and support policies and procedures. 5. Detailed instructions for a programmer and programming notes. 6. A description of how each interface will work on a technical level, the content and format of protocols streams, and other technical considerations. 7. All relevant commentary, explanations, and other documentation for the Software.
Specifications	<p>The technical and other written specifications and objectives that define the requirements and/or Acceptance Criteria, as described in the RFP, Proposal, Documentation, DEDs, and subsequent Deliverables which have received Acceptance. Such Specifications shall include and be in compliance during the term with all performance standards, service level agreements, warranties, and applicable state and federal policies, laws, and regulations. The Specifications are, by this reference, made a part of this Contract, as though completely set forth herein.</p>
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
Staging Environment	<p>A preproduction environment that replicates the production environment to stage new application releases prior to migration to the production environment.</p>
State	<p>The government of the State of California, its employees and authorized representatives, including without limitation any department, agency, or other unit of the government of the State of California.</p>

TERM/ACRONYM	DEFINITION
Subcontractor	A person, partnership, or company that is not in the employment of or owned by Contractor and that is performing Services under this Contract under a separate contract with or on behalf of Contractor.
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.
System	The complete collection of Hardware, Software and Data as described in this Contract, integrated and functioning together, and performing in accordance with this Contract. This is also referred to as the VoteCal System.
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.
System Component	Any logical or physical part or feature of the system, such as a module, program, web service, table, menu, etc. A component may be composed of multiple other components; for example, a module may include multiple web services, an architecture may include multiple servers.
TACPA	Target Area Contract Preference Act
TCP/IP	Transmission Control Protocol/Internet Protocol
Telecommunications	The telecommunications and network lines, Equipment, Software, and Services for transmitting Data and other information for the State.
Temporary Mailing Address	A mailing PO Box or mailing street address that is used for a limited period of time.
Test Environment	A separately managed environment appropriate for unit, systems and stress testing of the developed solution and its interfaces.
TestL	Testing Lead
Third Party Software	Software that is developed by third parties (not including Subcontractors) and generally distributed for commercial use, and not specifically designed or developed for State, including without limitation operating system software, tools, utilities, and commercial-off-the-shelf software.
Tier	A group of counties whose numbers of registered voters falls into a specified range.
TL	Technical Lead
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.

TERM/ACRONYM	DEFINITION
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.
UAT	User Acceptance Testing
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.
VR	Voter registration
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.)
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 and signature images associated with the voter.
Voting Precinct	The geographical based area to which voters are assigned to vote for a specific election.

TERM/ACRONYM	DEFINITION
VoteCal Solution	<p>The term representing the most inclusive scope of the processes, hardware, and other activities required to address the HAVA voter registration requirements within the state of California and its 58 counties and to address requirements specified in the VoteCal RFP. The VoteCal Solution includes hardware, telecommunications, software and automated and procedural products and processes necessary to:</p> <ul style="list-style-type: none"> • Develop, test, deploy and operate the VoteCal System, including the VoteCal System interface with the Employment Development Department (EDD), the California Department of Corrections and Rehabilitation (CDCR), the California Department of Public Health (CDPH), and Department of Motor Vehicles (DMV); • Remediate the EMS' to enable each to support data integration and interface with the VoteCal System; • Train and prepare County and SOS staff to operate the VoteCal system and/or its interface to the EMS; and, • Revise, develop, implement, and train on the business processes and procedures needed to support the California counties and the SOS in their ongoing performance of their respective voter registration-related activities and tasks required in order to comply with HAVA once VoteCal is implemented.
VoteCal System	<p>That subset of the VoteCal Solution that includes all hardware, telecommunications, and software and procedural products and processes primarily hosted (originating) at SOS and required to develop, test, deploy, maintain and operate the VoteCal automated processing and needed to develop, test, deploy and operate the VoteCal System.</p>
VoteCal System Acceptance	<p>SOS Acceptance of the VoteCal System at the end of Phase VI – Deployment and Cutover. Criteria for VoteCal System Acceptance shall include criteria and conditions cited in Attachment 1, Section 10 (e) – VoteCal System Acceptance.</p>
VoteCal System Software	<p>Includes any Application Software that is developed or modified by the Contractor to meet the requirements and other Specifications of this Contract for the VoteCal System.</p>
VR	Voter Registration
VRA	Voter Registration Act
VRC	Voter Registration Card
VRDB	Voter Registration Database
W3C	World Wide Web Consortium
WAN	Wide Area Network
Warranty Period	<p>The one year period following satisfactory completion of Phase VI and which will commence immediately after the VoteCal System is fully deployed to, implemented in, and certified in all counties, and the SOS Project Director gives approval to proceed based on decision criteria that include SOS Acceptance of Deliverable VI.5 – VoteCal System Final Deployment Report including Delivery of Updated VoteCal System Source Code and System Documentation.</p>
WCAG	Web Content Accessibility Guidelines

TERM/ACRONYM	DEFINITION
Work Plan	The overall plan of activities for the delivery of Services and Deliverables, and the delineation of tasks, activities and events to be performed and Deliverables to be produced with regard thereto, as provided in accordance with this Contract.
Work Product	Includes all products provided and services performed under this Contract, including without limitation the Deliverables, Source Code and Object Code for the Custom Software and the Software And Modifications, materials and Data; and excludes (1) Contractor's administrative communications and records relating to this Contract and (2) the ideas, concepts, or know-how identified in Attachment 2, Section 37(d), and (3) Contractor Commercial Proprietary Software and Third Party Software.
WTO	World Trade Organization
XML/SOAP	Service Oriented Architecture principles