



Solicitation Information
December 21, 2011

BID # 7449341

TITLE: PURCHASE AND INSTALLATION OF CIVIL RIGHTS SOFTWARE INCLUDING
SYSTEM MAINTENANCE AND SUPPORT TRAINING

Submission Deadline: JANUARY 20, 2012 @ 11:30 AM (Eastern Time)

Pre-Proposal Conference: YES Date: JANUARY 10, 2012 Time: 10:00 AM
Mandatory: NO
Location: RIDOT/TMC Conference Room# 126

SURETY REQUIRED: NO

BOND REQUIRED: NO

A handwritten signature in black ink, appearing to read "J. Moynihan", is written over a light, textured background.

Jerome D. Moynihan, C.P.M., CPPO
Assistant Director for Special Projects

Vendors must register on-line at the State Purchasing Website at
www.purchasing.ri.gov

NOTE TO VENDORS: Offers received without the entire completed three-page
RIVIP Generated Bidder Certification Form attached may result in disqualification.

THIS PAGE IS NOT A BIDDER CERTIFICATION FORM

RI DEPARTMENT OF TRANSPORTATION
OFFICE OF BUSINESS & COMMUNITY RESOURCES

REQUEST FOR PROPOSAL

BID # 7449341

**PURCHASE AND INSTALLATION OF CIVIL RIGHTS SOFTWARE INCLUDING
SYSTEM MAINTENANCE AND SUPPORT TRAINING**

INTRODUCTION:

The Rhode Island Department of Administration / Office of Purchases, on behalf of the Rhode Island Department of Transportation / Office of Business & Community Resources (RIDOT/OBCR), is seeking the services of a compliance and contract management software and implementation firm (VENDOR) specializing in all aspects of Labor Management tracking software including certified payroll. The selected VENDOR must be capable of providing and installing a system that includes, at a minimum: software, software and database licensing, maintenance and support, configuration of a new system on existing or new Windows Server Platform, database expertise, Report Writing, training and services necessary to make the system operational. The system should be an “**off the shelf**” product and must be able to currently handle all of the RIDOT’S requirements without installing a work around or major customization of the software to meet the RIDOT’S needs. **A “work around” will not be accepted.**

RIDOT currently utilizes the Oracle eBusiness Suite, Project Management Portal (PMP), Contracts Management System (CMS), EEO/AA/DBE Tracking, custom developed Visual Studio ASP.NET applications and MS Excel spreadsheets for tracking and reporting. RIDOT is seeking a software solution to consolidate and interface with current processes and to improve the timing, accuracy and efficiency associated with the entire tracking and reporting process. The main function of the proposed software is to capture and track contract information for all Civil Rights reporting requirements including but not limited to Disadvantaged Business Enterprise (DBE) utilization and Contract Compliance (CC) as well as On-The-Job (OJT) information under the operational guidance of the RIDOT/BCR. Additionally the proposed software must have the reporting capacity to interface with RIDOT’S Financial and Planning Sections for payment and budgetary purposes.

CONTRACT TERM / CONDITIONS: The proposed budget for the purchase of the software system shall also include software license(s) and warranty, installation and training, 1-YEAR maintenance and support services. The VENDOR’S software license(s) and warranty will commence after the “Go-Live” date of the software and will run for a 1-YEAR period. The software maintenance support period will begin on the first anniversary of the “Go-Live” date of the implementation and continue FOUR (4) additional years.

The “go live” date must occur within 4 months after issuance of the Notice to Proceed. The total contract term shall not exceed a total of FIVE (5) YEARS. The “Go-Live” date is defined as the date the RIDOT issues a notice of final acceptance of the system. Delivery of goods and services as described herein shall be deemed acceptance of these requirements. RIDOT may, without cause, terminate the Agreement by giving 30 days written notice to the successful VENDOR.

Respondents are instructed to submit a **TECHNICAL PROPOSAL** response along with a separate **COST PROPOSAL** both described in detail herein.

Detailed Cost Proposals will be capped at \$400,000.00 for total contract costs. It is the intention of the RIDOT/OBCR to award based on fees for services outlined on the required **Cost Proposal** format defined herein. **SEE COST PROPOSAL SECTION FOR INSTRUCTION AND FORMAT.**

Proposals received shall be in accordance with guidelines as outlined in this request and the State's General Conditions of Purchase which can be accessed online through the *Rhode Island Vendor Information Program*, or “RIVIP” as it is known, **<http://www.purchasing.ri.gov>** .

NOTE: This is a Request for Proposals (RFP), not an Invitation for Bid: responses will be evaluated on the basis of the relative merits of the proposal, in addition to price. There will be no public opening and reading of responses received by the Office of Purchases pursuant to this request other than to name those Respondents who have submitted proposals. TECHNICAL proposal and COST proposal shall be TWO (2) separate documents. All Respondents are advised to review all sections of this Request carefully and to follow instructions carefully as failure to make a complete submission as described elsewhere herein may result in rejection of the proposal.

GENERAL NOTIFICATIONS

- All Respondents shall register online at the RIVIP'S Internet website @ www.purchasing.ri.gov
- A fully completed signed **RIVIP Bidder Certification Cover Sheet** – All three pages shall accompany response submitted. Failure to make a complete submission inclusive of this three-page document **may result in disqualification**. A copy of this 3-PAGE certification form should be in all proposals (originals and copies) submitted to the State for consideration.
- Should there be a need for assistance in registering and/or downloading any document, call (401) 574-8100 for RIVIP HELP DESK technical assistance. Office Hours: 8:30 AM – 4:00 PM.
- The State does not require E-VERIFY compliance in any of its purchasing and/or hiring of services; however, Respondents are hereby advised that in line with the Federal Acquisition Regulations any federal contract based on the services requested may require that the State obtain evidence of E-VERIFY compliance from the successful Respondent.
- The Rhode Island Department of Transportation, in accordance with Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d - 2000d-4 and 49 C.F.R. Part 21, Nondiscrimination in Federally-Assisted Programs of the Department of Transportation – Effectuation of Title VI of the Civil Rights Act of 1964, issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, Disadvantaged Business Enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, sex, national origin, age, or disability in consideration for an award.
- All costs associated with developing or submitting documents in response to this Request and/or in providing oral or written clarification of its content shall be borne by the Respondent. The State assumes no responsibility for these costs.
- It is intended that an award pursuant to this Request will be made to a Prime Respondent, who will assume responsibility for all aspects of the work. Joint venture(s) will not be considered, but subcontract(s) are permitted provided that Sub-Respondent(s) proposed are clearly identified along with the type of work to be performed in response to this RFP.
- All pricing submitted will be considered to be **firm and fixed** unless otherwise indicated herein.
- Submissions in response to this solicitation are considered to be irrevocable for a period of not less than one hundred and twenty (120) days following the established due date and may not be withdrawn without the express written permission of the State Purchasing Agent.
- Responses misdirected to other State locations or which otherwise are not received by the State Division of Purchases by the established due date for any cause will be determined to be late and will not be considered. The office clock, for the purpose of registering the arrival of a document, is in the reception area of the Department of Administration (DOA), Division of Purchases, 2nd Floor, One Capitol Hill, Providence, Rhode Island.

- Respondents are advised that all materials submitted to the State for consideration will be considered to be public records as defined in RI Gen Laws 38-2, without exception, and will be released for inspection immediately upon request once an award is made.
- In accordance with RI Gen. Laws 7-1.1-99, no **foreign corporation** (a corporation established other than in Rhode Island) has the right to transact business in this State until it has procured a Certificate of Authority to do so from the Office of the Secretary of State (401) 222-2357. **IF APPLICABLE, A COPY OF RESPONDENT'S CERTIFICATE OF AUTHORITY SHALL BE INCLUDED AS PART OF THE SUBMITTED RFP LOCATED BEHIND THE FRONT PAGE OF EACH COPY OF THE PROPOSAL. FAILURE TO DO SO MAY RESULT IN AUTOMATIC DISQUALIFICATION.**
- Although there is NO DBE GOAL formally assigned to this project, any eligible DBE participation will apply to RIDOT's annual Departmental goal currently assigned at 11percent. The RIDOT encourages the utilization of DBE firms on this and all projects and will monitor any and all DBE participation. A list of current Rhode Island State certified DBE firms may be obtained through the State's MBE Office website at www.mbe.ri.gov. Any questions should be directed to:

**RIDOT Office of Business and Community Resources
Two Capitol Hill Room 107
Providence, RI 02903
(401) 222-3260**

REQUIRED FORMS

Besides the ***RIVIP Bidder Certification Cover Sheet*** -as required at the State level and obtained through the RIVIP website, RIDOT also requires that the following **FOUR (4) FORMS** be completed and included in your submission package in line with federal regulations and departmental policy. These FORMS will be reviewed for completeness and at the point of award will be made part of contract document.

- **DEBARMENT FORM:** Shall be completed and signed by an authorized agent of your Firm.
- **LOBBYING FORM:** Enter known project information on PAGE 1 (DESCRIPTION etc.); Respondent shall complete FORM and submit signed by an authorized agent of your Firm.
- **CONFLICTS DISCLOSURE STATEMENT:** In line with directions stated, completed FORM(s) shall be signed and submitted accordingly.
- **MANAGEMENT CERTIFICATION OF ACCOUNTING SYSTEM** - Shall be completed on Company Letterhead and signed by an authorized agent of your Firm. Since this document is required on a per project basis, please include BID NO/ PROJECT NAME as part of your submission.
- **W-9 FORM:** For W-9 only, **ONE (1) unbound "original" copy** shall be completed and signed by authorized agent of your Firm. Form may be downloaded at <http://www.purchasing.ri.gov> .

TECHNICAL PROPOSAL CONTENT AND FORMAT

Upon review of the Scope of Work (SOW), **TECHNICAL PROPOSAL** submissions (**"ORIGINAL "plus EIGHT (8) COPIES**) shall include at a minimum the following information for the RIDOT/BCR review and subsequent final selection recommendation. The RIDOT recommends that the Technical Proposal

submission also be submitted not only in hard copy form but also on CD-ROM. **Clearly labeled CD ROM should be attached to the inside cover of EACH Technical Proposal submission.** RIDOT recommends that the electronic version of said Proposals be submitted in Adobe PDF format.

All information requested below must be organized in the exact order in which the following RFP requirements are presented with page numbers in consecutive order. TECHNICAL PROPOSAL submission should contain a Table of Contents that cross-references each RFP requirement with specific page cited.

The TECHNICAL PROPOSAL submission shall NOT contain any references to PROJECT COST. Inclusion of cost information within the Technical Proposal submission may result in disqualification.

Upon review of the Scope of Work (SOW), TECHNICAL PROPOSAL submissions shall include, at a minimum, the following information for the RIDOT review and subsequent final selection recommendation:

- **Letter of Transmittal:** A Letter of Transmittal shall accompany each response signed by an owner, officer, or other authorized agent of the Firm.
- **RIVIP BIDDER CERTIFICATION FORM:** ALL THREE (3) Pages shall accompany each response submitted. Failure to make a complete submission of this document may result in disqualification. **(SEE GENERAL NOTIFICATIONS).**
- **Proposal Format:** TECHNICAL PROPOSAL shall be bound or contained in a single volume. All pages of the proposal are to be numbered in consecutive order. All documentation submitted with the proposal shall be contained in that single volume. TECHNICAL PROPOSAL shall be prepared on **8 1/2" x 11"** letter sized white paper printed on both sides sequentially numbered and limited in length to a total of **25 PAGES** – exclusive of supporting “exhibits”, which shall be tabbed and included in the bound submission. Font size shall be a minimum of **12 POINTS** for all submittals. ALL documentation in excess of 25 PAGE MAXIMUM will be removed and discarded. TECHNICAL PROPOSAL shall contain a Table of Contents that cross-references each requirement with specific pages in the TECHNICAL PROPOSAL submission.
- **RIDOT Scope of Work and Addenda:** Respondents shall include as part of the TECHNICAL PROPOSAL submission as an “exhibit” a copy of the RIDOT’S original RFP and any supplemental Addenda, as applicable.

BACKGROUND AND PREVIOUS EXPERIENCE:

- **Company Introduction:** Respondents are to include a complete description of their organizational structure and other relevant information documenting the Firm’s professional practice and areas of specialization.
- **Relevant Experience:** Respondents are to include a comprehensive listing of similar projects and/or clients served similarly in concept to the project being proposed. The selected VENDOR must have been in **continuous business since January 2005** providing similar products and services as described in this RFP.

The selected VENDOR must have successfully installed the system, proposed or previous version, for at least **ONE (1) other United States Department of Transportation (USDOT)** funding recipients.

Names, addresses, and telephone numbers of at least THREE (3) previous clients who are familiar with the services provided by your firm shall be included. This information is required not only for the Respondent but also for any key sub-consultants to be assigned to project. By so listing, specific permission is granted to the RIDOT to contact said individuals to verify the satisfactory performances

of the services provided Respondent acknowledges that the RIDOT is granted specific permission to discuss past performance of Respondent and any of its proposed team members on any projects.

- **Existing Workload:** Respondents are to include a current listing of all projects contracted to perform similar in concept to the services requested. Provide a list of successful implementations of the proposed system for the last THREE (3) years including contact information for each entity.
- **Organizational Chart:** Respondents are to provide an organizational chart. Include titles, names and physical location of staff.

ORGANIZATION AND STAFFING:

- **Staff Qualifications:** Respondents are to include an overview of experienced personnel presently on staff including resumes, curricula vitae or statements of prior experience and/or qualification of key personnel to be assigned to project. Staff assignments and concentration of effort for each staff member are to be addressed.

The VENDOR must disclose the name, qualifications and physical office location for the **Implementation Specialist** to be assigned as the individual who will manage this project through to completion. The designated Implementation Specialist providing the services listed herein must have successfully completed a minimum of TWO (2) implementations of the proposed system (current version).

Provide the expected number of the **VENDOR'S representatives and resource involvement**, both on-site and off-site, that will be involved in the implementation of the system.

Additionally, provide an explanation of the **expected RIDOT staff and resource involvement** for the implementation of the system. Include the type of staff and number of hours, part time and full time.

- **Sub-Respondent(s):** As applicable, disclosure of any sub-respondent firm(s)' organizational structure and business background as well as the type of work they will perform **must** be documented in response to this Request. Full disclosure of the proposed team to be assigned this project is required in the **Technical Proposal**.

Standard Federal Form 330 (eff.6/8/04) shall be completed (BY PRIME ONLY) and included in response to this RFP. Access to this current form may be obtained through the following website: www.gsa.gov .

The RIDOT/BCR shall be informed in writing of any changes in personnel at any time during the contract term. The RIDOT/BCR reserves the right to reject personnel and/or if in the event key personnel are no longer available, the RIDOT reserves the right to terminate this agreement.

PROJECT WORK PLAN/ SCHEDULE:

- **Project Approach:** Respondents shall provide a detailed technical synopsis of their proposed system qualifications and abilities to provide the desired functionalities as described in the project's Scope of Work including any technical issues that will or may be confronted at each stage of the project.
- **Work Plan:** Respondent shall submit a complete and comprehensive project work plan inclusive of proposed deliverables and activity milestones associated with each defined task.

Provide a copy of the VENDOR'S 1-YEAR maintenance and support agreement.

Describe the frequency with which revision upgrades typically occur, and the impact on the operation of the system (e.g., does the system need to be taken off-line, and for how long?)

- **Training:** Respondent shall describe the initial training that is included in the proposal as well as any other training that is available.
- **Project Schedule:** Provide a detailed implementation schedule to complete this project, using at a minimum the tasks in the table below. Include in the schedule the conversion and transfer of the data from the RIDOT'S current system to the new system.

TASK	DESCRIPTION	PROJECTED COMPLETION DATE
1	COMPLETE SITE PREPARATION AND INSTALLATION OF NEW SOFTWARE	
2	COMPLETE CONFIGURATION OF THE NEW SOFTWARE BASED ON THE RIDOT'S REQUIREMENTS	
3	TESTING OF THE NEW SOFTWARE BASED ON THE RIDOT'S REQUIREMENTS	
4	DEMONSTRATE THAT THE SYSTEM IS OPERATING IN ACCORDANCE WITH THE AGREED UPON SPECIFICATIONS	
5	COMPLETE ON-SITE TRAINING FOR RIDOT LICENSED USERS, INCLUDING HANDS ON TRAINING OF ALL SYSTEM FUNCTIONALITIES	
6	FINAL PROJECT ACCEPTANCE – "GO-LIVE"	

- **Supplemental Information:** Respondents are encouraged to submit any other information deemed useful to provide the RIDOT/OBCR with sufficient relevant information to evaluate the firm's qualifications and technical approach to the project.

COST PROPOSAL:

- Respondent is to submit, separate from Technical Proposal, **THREE (3) COPIES** of a completed *signed and sealed* **COST PROPOSAL** using the required format attached.
- **COST PROPOSAL** shall reflect a Lump Sum Total Contract cost itemized per defined PROJECT FEES inclusive of proposed deliverables/activity milestones associated with each itemized cost as defined in the Respondent's TECHNICAL PROPOSAL. (SEE "PROPOSED SYSTEM COST" FOR ITEMIZED BREAKDOWN)
- **COST PROPOSAL** prices submitted will be considered *firm and fixed*.
- Describe, in detailed narrative, all aspects of your pricing policy.

Failure to fully disclose formatted total contract cost and pricing policy as cited may result in disqualification.

PRE-PROPOSAL CONFERENCE AND ON-LINE QUESTIONS:

A **Pre-Proposal Conference** for the purpose of clarifying the Scope of Work and intent of this Request, as well as the evaluative criteria to be employed in the State’s review of proposals received will be held on JANUARY 10, 2012 @ 10:00 A.M. in the RIDOT Transportation Management Center, Room 126, Two Capitol Hill, Providence, RI 02903. *Persons requiring the services of an interpreter for the hearing impaired may obtain those services by calling (401) 222-1205 forty-eight hours in advance of the Conference.*

Any pertinent questions subsequent to this solicitation may be posted at the RIDOT’S “*Bidding Opportunities*” web page accessible at: <http://www.dot.state.ri.us/contracting/bids> and follow the link to “?” to submit questions for this solicitation. Responses to questions submitted for the subject project will also be posted under the same questions menu. A determination will be made by the RIDOT, in coordination with the Division of Purchases, whether an addendum will be required. The Q & A Forum will disable 5 FULL CALENDAR DAYS prior to the due date for this project. Therefore, questions will not be accepted after Midnight on JANUARY 14, 2012.

SUBMISSION REQUIREMENTS AND DUE DATE

TECHNICAL PROPOSAL (“Original” plus EIGHT (8) COPIES) and a separately sealed COST PROPOSAL (THREE (3) COPIES) are to be submitted simultaneously. The RIDOT requests that the Technical Proposal submission be submitted not only in hard copy form but also on **CD-ROM**. Clearly labeled CD ROM should be attached to the **inside cover of each Technical Proposal submission**. The RIDOT recommends that the electronic version of said Proposals be submitted in **Adobe PDF format**.

Requested documentation is to be either mailed or hand-delivered in a sealed envelope marked **BID 7449341 - Purchase And Installation Of Civil Rights Software Including System Maintenance And Support Training** by JANUARY 20, 2012 no later than 11:30 A.M. to:

BY COURIER OR MAIL:
**RI Department of Administration
Division of Purchases (2nd fl)
One Capitol Hill
Providence, RI 02908-5855**

NOTE: Proposals received after the above-referenced due date and time will not be considered.
SEE GENERAL INSTRUCTIONS AND NOTIFICATIONS.

INTERVIEW/ DEMONSTRATION

The RIDOT reserves the right to schedule interviews and software demonstrations as part of its evaluation process. If the **VENDOR** is requested to attend an interview and provide a demonstration of the proposed system, the Implementation Specialist, as the individual that will manage the project, will take the lead role in the interview and demonstration. The **VENDOR’S** lead system consultant and functional expert must also be available during the interview and demonstration. Information from the interview and demonstration, including content and style, will be made part of the evaluation process.

RIDOT will provide a 10-day notice to **VENDORS** including the time and location of presentation. All presentations will be limited to **one (1) hour** in duration, including questions. Each **VENDOR** will be

responsible for all costs associated with the preparation, submission, travel and execution of the work necessary to provide their presentation to RIDOT.

EVALUATION AND SELECTION

A Technical Evaluation Committee (TEC) will be comprised of RIDOT/DOA personnel responsible for the project under consideration based on the cited evaluation criteria:

<u>SELECTION CRITERIA:</u>		<u>MAXIMUM POINTS</u>
1.	SYSTEM QUALIFICATIONS, FUNCTIONALITY REPORTING, INTERFACES AND OTHER TECHNICAL REQUIREMENTS DESCRIBED IN THE RFP (Evaluated from Attachment 2A, 2B, 2C)	0-40 POINTS
2.	FIRM'S CAPABILITY, AVAILABILITY, AND STAFF QUALIFICATIONS	0-20 POINTS
3.	INTERVIEW/SOFTWARE DEMO	0-10 POINTS
4.	PROJECT WORK PLAN/SCHEDULE	0-10 POINTS
5.	COST PROPOSAL (Evaluated separately)	0-20 POINTS
MAXIMUM SCORE		100 POINTS

Technical and Cost Proposals will be evaluated separately. **COST Proposals** will remain sealed at RIDOA/Purchases until such time as technical scoring has been completed.



The Review Committee will then evaluate the qualifying **Cost Proposals** and the results will be integrated with the Technical review. This will result in a final ranking and recommended selection.

The findings will then be reviewed and accepted by the RIDOT'S Advisory Consultant Selection Panel. With the support of the DOT Director, the ranked findings and selection recommendation will be submitted to the State's Architectural Engineering Consultant Services Selection Committee for final selection consideration.

Notwithstanding the above, the State reserves the right to accept or reject any or all options, bids, proposals, to award on the basis of cost alone, and to act in its best interest.

At any point during the review process, any proposal found to be substantially non-responsive will be excluded from further consideration.

Evaluation will also consider commitment to Affirmative Action and DBE Participation. The State may, at its sole option, elect to require presentation(s) by Respondents clearly in consideration for award. Other submissions, certifications, or affirmations may be required, as appropriate.

The State reserves the right to solicit separately for selected initiatives within this Scope of Work.

The RIDOT retains the right to audit all costs charged under this Agreement during the review and selection process in addition to the initial and any extended contract term. All supporting documents for costs charged under this Agreement are to be retained THREE (3) years after final payment or until three (3) years after settlement of any disputes or litigation associated with the Contract.

The State reserves the right to make an award or multiple awards or to reject any or all proposals based on what it considers to be in its best interest.

SCOPE OF WORK

FOR THE

PURCHASE AND INSTALLATION OF CIVIL RIGHTS SOFTWARE INCLUDING SYSTEM MAINTENANCE AND SUPPORT TRAINING

BACKGROUND

Approximately twelve years ago, the Rhode Island Department of Transportation (RIDOT) began implementing a Civil Rights software to capture and track contract information inclusive of prime and subcontractor payments, employee and minority utilization as well as OJT documentation specific to each RIDOT construction contract. The software was also used to assist the RIDOT in reporting required documents to the Federal Highway Administration (FHWA) in compliance with Federal Regulations 49 CFR Part 23, which since then has been currently updated and now known as 49 CFR Part 26.

The software did not have the capacity to do certified payroll or to interface with the RIDOT'S web-based Project Management Portal (PMP) software or with the RIDOT'S ORACLE Financial Management System (OFMS).

The RIDOT is looking to update and streamline its Civil Rights Tracking software to not only continue compliance with Federal Regulations 49 CFR Part 26 but also to provide a more functional software solution with the capacity to consolidate the current processes and to improve the timing, accuracy and efficiency associated with the entire tracking and reporting processes.

VENDOR Minimum Qualifications

The following minimum qualifications have been established as a basis for determining the eligibility of the proposed VENDOR, Implementation Specialist and the proposed system. A proposal will be considered non-responsive unless sufficient documentation is provided in the proposal to determine that the VENDOR, Implementation Specialist and the proposed system meet the following requirements:

The VENDOR must have been in continuous business since January 2005 providing similar products and services as described in this RFP (information concerning the name and address of the companies along with contact information and the types of products and services is required), and

The VENDOR must have successfully installed the system, proposed or previous version, for at least TWO (2) other United States Department of Transportation (USDOT) funding recipients.

IMPLEMENTATION SPECIALIST Minimum Qualifications

The VENDOR'S Implementation Specialist providing the services listed herein must have successfully completed a minimum of TWO (2) implementations of the proposed system (current version).

PROPOSED SYSTEM MINIMUM QUALIFICATIONS (SEE ATTACHMENT "1")

The proposed system must meet all of the following **TECHNICAL**, **SECURITY** and **FUNCTIONAL** requirements. Completion of the TABLE defined under ATTACHMENT 1 must be included in Technical Proposal to demonstrate the proposed system's ability to meet the minimum qualifications as defined below. If the proposed system is unable to provide any of the following, it will render the proposal non-responsive:

A. TECHNICAL

1. The system is a web browser based application.
2. The system supports either SQL 2005 or SQL 2008 databases.
3. The system supports Microsoft Windows Server 2008 or 2008 R2.
4. The web server, the application server and the database server must be separated to meet Three (3) tier architecture.
5. The system supports Microsoft Windows 7 and Windows XP.
6. The system supports Microsoft Internet Explorer 7 or higher.
7. The system conforms to the following standards – MAPI, SMTP, HTTP(S).
8. The system provides user defined, event triggered workflow.
9. The system provides the ability to import and export data into Excel, csv or pdf formats.
10. The system support is provided by the software development company.
11. The system should be able to import our current database from Champ. The database is SQL Anywhere Version 8.0 (Sybase Central). Both Version 10 and an ODBC connection can be used to extract the data.

B. SECURITY (ON-SITE)

1. The system supports **ALL** of the following levels of security:
 - a. Database level
 - b. Module level
 - c. Functional level/Role Based Access Control(RBAC)
 - d. Field level
 - e. In the absence of AD authentication, the ability to have user Groups or Roles and the ability to limit access to specific modules, functions, or fields based on group membership.
 - f. If AD authentication is possible, full integration for group access levels and the ability to restrict access to specific modules, functions, or fields based on group membership is required.
2. The system access is controlled by Read/Read-Write/No Access based on role/group assignment.
3. The system provides an easily maintainable level of individual access through system tables maintained by the system administrator.
4. Ability to log System Administrator level changes to Application or Data. Additionally User Access Changes logged as well if Active Directory is not used for Authentication and Access Control.
5. If Active Directory is not used, ability to report/audit current user access to (field level/functional level (RBAC), module level and database level is required).
6. If Active Directory is used to leverage Security Groups is required to define groups of user access, if AD is not used, the ability to define groups for all four levels of security levels must be defined.
7. The system is compatible with Active Directory (AD), or the system meets or exceeds ATTACHMENT 4, State of Rhode Island Department of Administration Division of Information Technology Enterprise Password Security.

8. Personally identifiable information (PII) is encrypted during transmission, use and storage.
9. If not AD, the system logs unauthorized access attempts by date, time, user id, device, location and IP Address.
10. The system integrates with 3rd party logging tools (read only capability).
11. The software manufacturer allows RIDOT to install security patches and anti-virus updates as they are released.
12. The system supports Microsoft operating systems and application patching to be managed by WSUS, policy will be set to auto install and reboot.
13. Backups will be encrypted.
14. If not AD, the system stores authentication credentials in encrypted format.
15. The system supports Symantec Net Backup.
16. System license allows for backup of the entire system.
17. Application will need to function with Standard Anti-Virus Product Symantec Endpoint Protection.
18. Application must meet a Three (3) tier architecture.
19. All unneeded Windows Services and Local User Accounts should be disabled or removed.
20. Minimum Standard Encryption is AES 256bit.
21. Must provide a customizable Security Banner at Logon.
22. The following Frameworks, Standards, or Laws are followed:
 - a. 49 CFR Part 23
 - b. 49 CFR Part 26
 - c. The Privacy Act of 1974, 5 U.S.C. § 552a Public Law No. 93-579, (Dec 31, 1974}
 - d. Davis Bacon Wage Act
 - e. Executive Order 11246
 - f. On the Job Training Program
 - g. Department of Labor Reporting

C. FUNCTIONAL

1. Master File layouts for each module
2. Boiler Plate Information for Reports
3. Must interface/import from the Oracle Financial System, Quest Web Bidding system, Project Management Portal and Contract Management System (PMP/CMS). The System must allow imports from FMS and the SQL Server PMP. System Imports must be able to insert and update records. Validation must be in place to enforce data integrity.
4. System must be able to track all types of contracts, FHWA Construction, Professional Services, Design/Build and Enhancements, FTA Construction, Design/Build and Professional Services in addition to Local Public Authority (LPA) projects.
5. **EEO/AA** Equal Employment Opportunity and Affirmative Action for all types of contracts listed above
 - a. Must be able to track employee work hours wages, when employees switch from one contractor to another contractor
 - b. Ability to flag employees for possible workforce sharing
 - c. Certified Payroll incorporated in software
 - d. Ability to import form Contractor's Payroll system to software
 - e. Employment Utilization forms with ability to run in various sorts
 - f. Meaningful customizable workforce reports, summaries, listings and possible graphics and goal vs. actual goals
 - g. FHWA Form 1391 and 1392 with ability to run by contract, all contracts per contractor
6. **OJT** On the Job Training for all types of contracts listed above

Must be able to track work hours and contracts worked on for each Trainee

 - a. Check OJT Trainee hourly wage rate for accuracy
 - b. Reports for Work hours, Contracts worked summary reports and possible graphics
 - c. OJT Trainee Monthly Status Report
 - d. OJT Trainee Annual Status Report
 - e. OJT Annual Workforce Evaluation Report to help set OJT Trainee Plan Requirements.

7. **DBE** Disadvantaged Business Utilization for all types of contracts listed above – DBE
 - a. Must be able to track DBE utilization, DBE line items, DBE contract award dollars, DBE participation on a contract, DBE Payments and possible line item payments
 - b. Prompt Payment – RIDOT Specification 109.12
 - c. Other types of DBE Payment Reporting
 - d. DBE Reporting to be determined
 - e. DBE Contract analysis by Race/Gender
 - f. Commercially Useful Function (CUF) Form
8. **LM** Labor Management for all types of contracts listed above
 - a. Import of Davis Bacon Wage Tables and Prevailing Wages
 - b. Exception reports to Wage Tables
 - c. Dept of Labor Compliance reports for Contractor/Consultant minimum of two per year
9. **DBE Certification** Management. The system provides:
 - a. DBE Application Workflow
 - b. Date Tracking of the DBE Application Workflow
 - c. Summary of annual renewals by time period
 - d. Monthly status report of firms (e.g. certified, denied, graduated)
10. **Project Monitoring.** The ability to track:
 - a. Pre-solicitation attendance information. This will include: solicitation number, project number, business name, contact name, full address, phone number, fax number, email address, type of work performed (NIGP and/or NAICS codes), certification status, ethnicity, and gender
 - b. Solicitation information for Prime Contractor(s). This will include: solicitation number, project number, business name, contact name, full address, phone number, fax number, email address, type of work performed (NIGP and/or NAICS codes), certification status, ethnicity, gender, bid amount, prescribed DBE goal, contract DBE goal, prescribed W/MBE goal, and contract W/MBE goal
 - c. Solicitation information for Subcontractor(s). This will include: prime contractor name, project number, business name, contact name, full address, phone number, fax number, email address, type of work performed (NIGP and/or NAICS codes), gender, ethnicity, certification status, and subcontractor bid amount
 - d. Awarded contract information. This will include: project number, business name, purchase order (PO) number, budget, award date, project start date, anticipated completion date, subcontractor tracking (e.g. name, certification status), monthly payment by subcontractor(s)
 - e. When performance milestones are being achieved or underachieved via a report
11. **Utilization/Availability** Analyses
 - a. Search database by name, owner, keyword, commodity description or other means
 - b. Analysis of ethnicity and gender of groups bidding on contracts as prime contractors and subcontractors
 - c. Quarterly participation reports for total RIDOT-wide expenditures
 - d. Contract activity for vendor: list of contracts worked on by a vendor, services/products provided for each contract, level of participation
 - e. Non-construction quarterly audit report
12. **Financial Management.** The system must allow this data to be imported periodically in csv format.
 - a. Track payments to Prime contractor/Consultant. This will include: vendor name, FEIN, progress payment/invoice amount, progress payment/invoice number, progress payment/invoice date, payment amount, retainage amount, payment number (e.g. check number), and payment date.

- 13. Report Requirements:** Report Tools must be Industry Standard and NOT Proprietary.
- a. FHWA and FTA Semi Annual Report of DBE Commitments and Awards
 - b. All ARRA Reporting
 - c. DBE utilization reports
 - d. Quarterly and annual custom reports
 - e. Bidding reports
 - f. Generate reports by project, procurement category, industry code, gender, ethnicity, contract, and dollar threshold
 - g. User defined customizable fields
 - h. Reports must be capable of export to standard export file formats (e.g. HTML, CSV, PDF, Word, Excel).
 - i. Examples of Report Tools are but not limited to: SQL Server Reporting Services and Crystal Reports.
 - j. Examples of Report tools are, but not limited to: SQL Server Reporting Services and Crystal Reports.
 - k. The System must have seeded (canned) reports predefined and available for users.
 - l. Custom and Ad-hoc reports must be provided in a graphical user interface.
 - m. ERD Diagram and Table definitions must be provided to allow Ad-hoc reporting directly from the database.
 - n. For search and lookups, have an almost-matched, keyword, or wild-card capability on all fields so the operator can enter a partial string and find similar records. Partial string searches should find the character string no matter what its location in the field

SYSTEM FUNCTIONALITY (SEE ATTACHMENT "2A, 2B, 2C")

System Functionality RATING

System functionality will be evaluated by the completion of Attachment "2" which is attached to this RFP. The attachment contains three separate tabs: **technical**, **security**, and **functional**.

Each section must be completed in its entirety. The functional elements are identified by reference number and VENDORS will rate each element according to the following rating criteria:

F	FULLY PROVIDED "OUT-OF-THE-BOX"
R*	PROVIDED WITH REPORTING TOOL
M*	PROVIDED WITH MODIFICATION
NV*	PROVIDED IN NEXT VERSION
C*	CUSTOM DEVELOPMENT REQUIRED
NA	NOT AVAILABLE
TP*	THIRD PARTY

* Any service functionality with the ratings listed below must include the required explanations, as noted, as a minimum. Other relevant information that will clarify any response should be included. Space is provided for these explanations at the end of the listing of the functional elements under each tab in Attachment "2".

Rating	Required Explanation
R	DESCRIBE REPORTING TOOL. IS THIS TOOL INCLUDED WITH THE OUT-OF THE BOX SOFTWARE? IF NOT, WHAT IS COST TO OBTAIN AND IMPLEMENT?
M	DESCRIBE MODIFICATION AND COST. DOES THIS MODIFICATION AFFECT FUTURE UPGRADES?
NV	WHEN THE NEXT VERSION WILL BE RELEASED, WHAT WILL BE THE COST OF UPGRADE AND COST TO IMPLEMENT THE UPGRADE?
C	DESCRIBE THE CUSTOMIZATION AND COST OF CUSTOMIZATION. DOES THIS CUSTOMIZATION AFFECT FUTURE UPGRADES?
TP	DESCRIBE THIRD PARTY SOFTWARE, COST OF SOFTWARE AND IMPLEMENTATION COSTS.

RESPONSIBILITIES OF SELECTED VENDOR

The selected VENDOR will be responsible for the following:

PROPOSED SYSTEM:

- A. Provide, deliver, install, configure and test** the system until it works properly and is ready to accept data generated by the RIDOT'S users and systems. Upon successful installation of the software, the system will be fully functional and patched current.
- B.** Provide for the on-site conversion and loading of the RIDOT'S initial data from CHAMP and import the data needed from the RIDOT'S Oracle eBusiness Suite. The system must be fully functional and operational after the data is loaded.
- C.** Install the Civil Rights and Compliance software and all its components on RIDOT computer hardware.
- D.** Guide and help the RIDOT define and develop the data definitions, user security profiles, and document work flows.
- E.** Provide **toll free, telephone technical support** to designated RIDOT staff. Provide Civil Rights Software upgrades for ONE (1) YEAR after system "Go-Live".
- F.** Provide hosting options along with costs, security, and termination cost etc.

PROPOSED TRAINING:

- A.** Provide **on-site training and training manuals** to the RIDOT. Users will include system administrator(s), application administrators, database administrator(s), report writing and customization, and others within the RIDOT that will operate the system (end users). Proposal will identify the number of training hours and type of manuals that will be provided.
- B.** Provide an "**electronic**" **training manual** and **ONE (1) "hard copy" training manual** for each user being trained by the selected VENDOR.
- C.** Train RIDOT staff in the Civil Rights and Compliance Software support and administration functions.

PROPOSED SYSTEM MAINTENANCE AND SUPPORT (SEE ATTACHMENT “3”):

Provide the following as part of the additional FOUR (4) YEAR license(s) and warranty period for the system:

- A. Software maintenance and support.
- B. Upgrades and patches, and technical support or problem fixes.
- C. Direct access for RIDOT personnel to the system software developers/ manufacturers for ongoing support.
- D. Ability to provide user feedback for possible future upgrades.
- E. 24-HOUR or less response time to priority one critical issues with the system.
- F. Toll free telephone Technical Support available 8:30 a.m. to 5:00 p.m., Eastern Time, Monday through Friday.

PROPOSED SCHEDULE TIMELINE

The “Go Live” date must occur within **4 MONTHS** after issuance of the Notice to Proceed.

RESPONSIBILITIES OF THE RIDOT

The RIDOT will be responsible for the following:

- A. Provide **point of contact** to the selected VENDOR during the implementation.
- B. Provide **technical assistance** to the selected VENDOR in developing interfaces to other platforms with which the system may interact.
- C. Provide, install and configure the necessary server hardware, operating system, and network connections.
- D. Provide adequate work space.

INTERVIEW AND DEMONSTRATION

The RIDOT will conduct interviews with each qualified VENDOR and request demonstrations of their proposed systems. The technical selection criteria as described in the RFP define the factors that will be used by the Committee to evaluate and score responsive, responsible and qualified proposals. Proposed VENDORS shall include sufficient information in responding to the RFP to allow the Committee to thoroughly evaluate and score their proposals. The **Implementation Specialist**, as the individual that will manage the project, will take the lead role in the interview and demonstration. The VENDOR’S lead system consultant and functional expert must also be available during the interview and demonstration. These may be the same person. The RIDOT will provide sample demonstration data and interview questions at least two weeks prior to the interview and demonstration.

The RIDOT will provide a 10-day notice to firms including the time and location of presentation. All presentations will be limited to **TWO (2) HOURS** in duration, including questions. Each firm will be responsible for all costs associated with the preparation, submission, travel and execution of the work necessary to provide their presentation to RIDOT. Proposed VENDOR will be required to demonstrate the following:

- A. Specified functionalities and elements

- B. Appearance of screens to retrieve information
- C. User friendly functions of the proposed system
- D. System administration
- E. Creation of custom/ ad hoc reports

Proposed VENDOR will be required to discuss the following:

- A. Upgrade and patching process
- B. Software customizations

The **Implementation Specialist** will be required to discuss the following:

- A. Experience implementing the proposed system
- B. Proposed project approach and schedule

COST PROPOSAL:

This section shall include a description of the proposed costs and prices submitted in the format provided.

The RIDOT will not increase the contract or any purchase order (either dollar amount or time) for items not included in the submitted proposal documents. The RIDOT reserves the right to purchase part of the proposal or the entire proposal.

The RIDOT will not consider change orders or amendments unless it is deemed a change in the original scope of the project directed and authorized by the RIDOT. All items not itemized in the pricing below which are instrumental to completing the project will be supplied by the VENDOR at no additional charge to the RIDOT.

All prices quoted shall be firm and fixed for the specified contract period.

PROPOSED SYSTEM COST (YEAR 1)

Proposed **system cost pricing** should include the following:

Provide all labor, materials, software, hardware, professional services and training including costs to install and implement the proposed solution in strict accordance with the specific requirements and instructions listed. Total Price must include **ONE (1) YEAR of software license(s) and warranty, and maintenance/support** covering all proposed solution components (beginning on the date of "Go-Live), solution installation, implementation and training of personnel as set forth below. Include costs to implement the proposed solution. VENDOR must include installation and configuration services provided by the manufacturer of the software being proposed. Include a high level scope of work associated with the implementation and detailed comprehensive **on-site training costs for up to 10 individuals** (which includes 2 administrators) for the solution proposed. Itemize, detail and individually price the following:

- **CIVIL RIGHTS SOFTWARE**
- **INSTALLATION**
- **TRAINING**
- **IMPLEMENTATION FEES**
- **FIRST YEAR SUPPORT (IF NOT INCLUDED)**
- **ADDITIONAL 4 YEARS of MAINTENANCE**

The cost of the proposed system shall be a fixed fee that includes a minimum of **FIVE (5) SEATS** (for DBE Program staff) and minimum of **TWO HUNDRED FIFTY (250)** concurrent software licenses (for all other departments and contractors, consultants, sub-contractors, sub-consultants) associated with the successful installation, implementation, and operation of the system, excluding server operating system and system database, if separate from the system.

The cost should also include travel and expenses. The RIDOT will not separately reimburse for travel and expenses. Payment to the selected VENDOR will be according to completion of specific tasks and based on a percentage of the fee. The fee will be paid in accordance with the terms and conditions as outlined in the Letter of Agreement to be established with the selected VENDOR prior to contract award.

MAINTENANCE AND SUPPORT COST (YEARS 2, 3, 4 and 5)

The maintenance and support cost for YEARS 2, 3, 4 and 5 will be paid in accordance with the terms and conditions of the resulting Agreement.

Annual Software License(s) and warranty, Maintenance and Support for YEARS 2, 3, 4 and 5 is to include any required software updates, fixes or patches as they occur. The maintenance and support, software license and warranty provided during YEARS 2, 3, 4, and 5 shall mirror that provided under the software license(s) and warranty period in YEAR 1 and shall comply with all requirements stated in this RFP. All labor, travel costs, routine consumables, 24-HOUR telephone support, testing equipment and other tools or materials required shall be included in the pricing. The regularly scheduled maintenance and support shall exclude acts of nature, vandalism or physical abuse and operator misuse. VENDORS shall provide manufacturers' recommended routine maintenance and support schedule with their proposal. This should be listed separately and titled "*Routine Maintenance and Support Schedule for YEARS 2, 3, 4 and 5*".

PAYMENT TERMS

The resultant Agreement will be performance-based. The percentage of payment is based on **YEAR 1 TOTAL SYSTEM PRICE** as cited on VENDOR'S COST PROPOSAL. Subsequent payments for the maintenance fees will be paid on an annual basis beginning on the one-year anniversary of the accepted "Go Live" date.

10% - Upon Commencement of Work

- This shall be defined as the date work is started on customization of "off the shelf" software is started.

10% - Upon Delivery and installation of the system on a test/development environment

- This shall be defined as the date of delivery of test/development environment and subject to acceptance and approval by the RIDOT.

20% - Upon Completion of training of RIDOT personnel

- This shall be defined as the date of completion of successful training of RIDOT Personnel (10) accepted and approved by the RIDOT.

40% - Upon successful "Go Live" and Implementation of the Software Program on a separate Production Environment

- This shall be defined as the date the software program has been accepted as complete by the RIDOT and no additional changes, modifications or implementation is to take place at that time.

20% - Upon Completion of 90 days "Post" Implementation

- This shall be defined as the date of successful implementation of the software with no unreasonable fixes, problems or downtime as accepted and approved by the RIDOT.

The RIDOT shall provide written notification of acceptance or rejection of all deliverables.

RIDOT RIGHTS

The RIDOT reserves the right to:

- A. Separately procure hardware and operating systems that meet or exceed the selected VENDOR'S technical specifications.
- B. Purchase any quantity of any module during the resulting Agreement, at a quoted or negotiated price, to expand the scope of the system.
- C. Purchase additional single license increments.

CONTRACT TERM

The "Go Live" date must occur within FOUR (4) MONTHS after issuance of the Notice to Proceed. The total contract term shall not exceed a total of FIVE (5) YEARS. The "Go-Live" date is defined as the date the RIDOT issues a notice of final acceptance of the system. Delivery of goods and services as described herein shall be deemed acceptance of these requirements. The RIDOT may, without cause, terminate the Agreement by giving 30 days written notice to the successful VENDOR.

INSURANCE

The selected VENDOR must provide the insurance coverage and limits as outlined below:

A. Insurance Terms and Conditions

The following minimum limits and coverage will be maintained by the selected VENDOR throughout the term of the Agreement. In the event the selected VENDOR becomes in default of the following requirements, the RIDOT reserves the right to take whatever actions deemed necessary to protect its interests. Liability policies, other than Workers' Compensation/Employer's Liability and Professional Liability, will provide that the RIDOT is an additional insured.

B. Required Coverage – Minimum Limits

1. WORKERS' COMPENSATION AND EMPLOYER'S LIABILITY INSURANCE

The minimum limits of insurance (inclusive of any amount provided by an umbrella or excess policy) are:

Part One (Workers' Compensation): Rhode Island Statutory	
Part Two (Employer's Liability):	
Each Accident	\$100,000
Disease – Policy Limit	\$500,000
Disease – Each Employee	\$100,000

2. COMMERCIAL GENERAL LIABILITY – PRODUCTS & COMPLETED OPERATIONS

The minimum limits of insurance (inclusive of any amounts provided by an umbrella or excess policy) covering the work performed pursuant to the Agreement will be the amounts specified

herein. Coverage will be provided for liability resulting out of, or in connection with, ongoing operations performed by, or on behalf of, the selected VENDOR under the Agreement or the use or occupancy of the RIDOT premises by, or on behalf of, the selected VENDOR in connection with the Agreement.

	<u>Agreement Specific</u>
General Aggregate	\$1,000,000
Each Occurrence	\$1,000,000
Personal and Advertising Injury	\$1,000,000

3. **BUSINESS AUTO LIABILITY**

Coverage must be provided for all owned, hired and non-owned vehicles. The minimum limits of insurance (inclusive of any amounts provided by an umbrella or excess policy) will be:

Each Occurrence - Bodily Injury and Property Damage Combined	\$1,000,000
---	-------------

4. **PROFESSIONAL LIABILITY**

Such insurance will cover the selected VENDOR for those sources of liability arising out of the rendering of or failure to render professional services in the performance under the Agreement. The insurance will include coverage for liability contractually assumed by the selected VENDOR in the Agreement.

The minimum limits of insurance (inclusive of any amounts provided by an umbrella or excess policy) covering the work performed pursuant to the Agreement will be:

Per Claim	\$1,000,000
Annual Aggregate	\$1,000,000

C. **Conditions Of Acceptance**

The Letter of Agreement will incorporate by reference the RIDOT'S Operating Directive concerning contractual insurance terms and conditions in effect as of the date of the **NOTICE TO PROCEED**.

D. **Hold Harmless and Indemnification**

To the full extent of Rhode Island law, the contractor agrees to indemnify, defend and hold harmless the State, its officers, representatives, agents, servants, employees and successors from any liability, damages, claims and or losses arising from the performance of the contractor, its agents or employees, including all costs, expenses and attorneys fees which in any manner result from or arise out of this agreement.

The VENDOR'S obligations to indemnify, defend and hold harmless extend to the use of any copyrighted or un-copyrighted composition, secret process, patented or unpatented invention, article or appliance furnished or used in the performance of the contract to which the contractor is not the patentee, assignee or licensee.

The VENDOR shall reimburse the State for any and all damages to the real or personal property of the State caused by the acts of the contractor, its agents or employees. The State shall give reasonable notice of any such claim.

The VENDOR'S duties under this section shall remain fully in effect and binding in accordance with the terms and conditions of the contract, without being lessened or compromised in any way, even where the contractor is alleged or is found to merely contributed in part to the acts giving rise to the claims and/or where the State is alleged or is found to have contributed to the acts giving rise to the claims.

-END OF SCOPE-

BID # 7449341
PURCHASE AND INSTALLATION OF CIVIL RIGHTS SOFTWARE INCLUDING SYSTEM MAINTENANCE AND SUPPORT TRAINING

MAXIMUM 5-YEAR COST PROPOSAL

VENDOR NAME: _____

Street Address/PO Box _____

City/State/Zip _____

(Area Code) Phone # _____

Respondents must indicate in the space provided their firm fixed price or (fee) for each of the services and deliverables proposed below. These services and deliverables are the only charges that will be eligible to be paid to the VENDOR, and shall include all associated costs of delivering services covered by this Request.

		<u>ASSOCIATED DELIVERABLE(S) / MILESTONES</u>	<u>DELIVERABLE(S) DUE DATE</u>
<u>TOTAL SYSTEM PRICE YEAR #1:</u>			
+ Maintenance and Support for YEAR #2:			
+ Maintenance and Support for YEAR #3:			
+ Maintenance and Support for YEAR #4:			
+ Maintenance and Support for YEAR #5:			
TOTAL 5-YEAR CONTRACT:			

Narrative Disclosure

ATTACHMENT 1

MINIMUM QUALIFICATIONS – SYSTEM

Complete the following table to demonstrate the proposed system’s ability to meet the minimum qualifications as defined in this RFP under “PROPOSED SYSTEM MINIMUM QUALIFICATIONS “. If the proposed system is unable to provide **any** of the following, **it will render the proposal non-responsive:**

	<u>SYSTEM MINIMUM QUALIFICATIONS</u>	YES	NO
	<u>A. TECHNICAL</u>		
1.	The system is a web browser based application		
2.	The system supports either SQL 2005 or SQL 2008 databases		
3.	The system supports Microsoft Windows Server 2003 or 2008		
4.	The web server is separate from the database server, physically or logically		
5.	The system supports Microsoft Windows 7 and Windows XP		
6.	The system supports Microsoft Internet Explorer 7 or higher		
7.	The system conforms to the following standards – MAPI, SMTP, HTTP(S)		
8.	The system provides user defined, event triggered workflow		
9.	The system provides the ability to import and export data into excel, CSV or PDF formats		
10.	The system support is provided by the software development company		
11.	The system must be able to import RIDOT’s current database from Champ. The database us SQL Anywhere Version 8.0 (Sybase Central). Both Version 10 and an ODBC connection can be used to extract the data.		
	<u>B. SECURITY (ON-SITE)</u>		
1.	The system supports at least one of the following levels of security: <ul style="list-style-type: none"> a. Database level b. Module level c. Functional level d. Field level e. In the absence of AD authentication, the ability to have user Groups or Roles and the ability to limit access to specific modules, functions, or fields based on group membership. f. If AD authentication is possible, full integration for group access levels and the ability to restrict access to specific modules, functions, or fields based on group membership is required. 		
2.	The system access is controlled by Read/Read-Write/No Access based on role/group assignment		
3.	The system provides an easily maintainable level of individual access through system tables maintained by the system administrator		
4.	Ability to log System Administrator level changes to Application or Data. Additionally User Access Changes logged as well if Active Directory is not used for Authentication and Access Control.		
5.	If Active Directory is not used, ability to report/audit current user access to (field level/functional level (RBAC), module level and database level is required).		
6.	If Active Directory is used to leverage Security Groups is required to define groups of user access, if AD is not used, the ability to define groups for all four levels of security levels must be defined.		
7.	The system is compatible with Active Directory (AD), or the system meets or exceeds ATTACHMENT 4, State of Rhode Island Department of Administration Division of Information Technology Enterprise Password Security.		

8.	Personally identifiable information (PII) is encrypted during transmission, use and storage		
9.	If not AD, the system logs unauthorized access attempts by date, time, user id, device, location and IP address		
10.	The system integrates with 3rd party logging tools (read only capability)		
11.	The software manufacturer allows RIDOT to install security patches and anti-virus updates as they are released		
12.	The system supports Microsoft operating systems and application patching to be managed by WSUS, policy will be set to auto install and reboot.		
13.	Backups can be encrypted		
14.	If not AD, the system stores authentication credentials in encrypted format		
15.	The system supports Symantec Net Backup		
16.	System license allows for backup of the entire system		
17.	Application will need to function with Standard Anti-Virus Product Symantec Endpoint Protection.		
18.	Application must meet a Three (3) tier architecture.		
19.	All unneeded Windows Services and Local User Accounts should be disabled or removed.		
20.	Minimum Standard Encryption is AES 256bit.		
21.	Must provide a customizable Security Banner at Logon.		
22.	The following Frameworks, Standards, or Laws are followed: e. 49 CFR Part 23 f. 49 CFR Part 26 g. The Privacy Act of 1974, 5 U.S.C. § 552a Public Law No. 93-579, (Dec 31, 1974} h. Davis Bacon Wage Act i. Executive Order 11246 j. On the Job Training Program k. Department of Labor Reporting		
	<u>C. FUNCTIONAL</u>		
1.	Master File layouts for each module		
2.	Boiler Plate Information for Reports		
3.	Must interface/import data from the Oracle Financial System, Quest Web Bidding system, Project Management Portal and Contract Management System (PMP/CMS). System Imports must be able to insert and update records in the new system. Validation must be in place to enforce data integrity.		
4.	System must be able to track all types of contracts, FHWA Construction, Professional Services, Design/Build and Enhancements, FTA Construction, Design/Build and Professional Services in addition to Local Public Authority (LPA) projects.		
5.	EEO/AA Equal Employment Opportunity and Affirmative Action for all types of contracts listed above a. Must be able to track employee work hours wages, when employees switch from one contractor to another contractor b. Ability to flag employees for possible workforce sharing c. Certified Payroll incorporated in software d. Ability to import form Contractor's Payroll system to software e. Employment Utilization forms with ability to run in various sorts f. Meaningful customizable workforce reports, summaries, listings and possible graphics and goal vs. actual goals g. FHWA Form 1391 and 1392 with ability to run by contract, all contracts per contractor		

6.	<p>OJT On the Job Training for all types of contracts listed above</p> <ul style="list-style-type: none"> a. Must be able to track work hours and contracts worked on for each Trainee b. Check OJT Trainee hourly wage rate for accuracy c. Reports for Work hours, Contracts worked summary reports and possible graphics d. OJT Trainee Monthly Status Report e. OJT Trainee Annual Status Report f. OJT Annual Workforce Evaluation Report to help set OJT Trainee Plan Requirements. 		
7.	<p>DBE Disadvantaged Business Utilization for all types of contracts listed above – DBE</p> <ul style="list-style-type: none"> a. Must be able to track DBE utilization, DBE line items, DBE contract award dollars, DBE participation on a contract, DBE Payments and possible line item payments b. Prompt Payment – RIDOT Specification 109.12 c. Other types of DBE Payment Reporting d. DBE Reporting to be determined e. DBE Contract analysis by Race/Gender f. Commercially Useful Function (CUF) Form 		
8.	<p>LM Labor Management for all types of contracts listed above</p> <ul style="list-style-type: none"> a. Import of Davis Bacon Wage Tables and Prevailing Wages b. Exception reports to Wage Tables c. Dept of Labor Compliance reports for Contractor/Consultant minimum of two per year 		
9.	<p>DBE Certification Management. The system provides:</p> <ul style="list-style-type: none"> a. DBE Application Workflow b. Date Tracking of the DBE Application Workflow c. Summary of annual renewals by time period d. Monthly status report of firms (e.g. certified, denied, graduated) 		
10.	<p>Project Monitoring. The ability to track:</p> <ul style="list-style-type: none"> a. Pre-solicitation attendance information. This will include: solicitation number, project number, business name, contact name, full address, phone number, fax number, email address, type of work performed (NIGP and/or NAICS codes), certification status, ethnicity, and gender b. Solicitation information for Prime Contractor(s). This will include: solicitation number, project number, business name, contact name, full address, phone number, fax number, email address, type of work performed (NIGP and/or NAICS codes), certification status, ethnicity, gender, bid amount, prescribed DBE goal, contract DBE goal, prescribed W/MBE goal, and contract W/MBE goal c. Solicitation information for Subcontractor(s). This will include: prime contractor name, project number, business name, contact name, full address, phone number, fax number, email address, type of work performed (NIGP and/or NAICS codes), gender, ethnicity, certification status, and subcontractor bid amount d. Awarded contract information. This will include: project number, business name, purchase order (PO) number, budget, award date, project start date, anticipated completion date, subcontractor tracking (e.g. name, certification status), monthly payment by subcontractor(s) 		
11.	<p>Utilization/Availability Analyses</p> <ul style="list-style-type: none"> a. Search database by name, owner, keyword, commodity description or other means b. Analysis of ethnicity and gender of groups bidding on contracts as prime contractors and subcontractors c. Contract activity for vendor: list of contracts worked on by a vendor, services/products provided for each contract, level of participation d. Non-construction quarterly audit report 		

12.	<p>Financial Management. The system must allow this data to be imported periodically from a .CSV format.</p> <ul style="list-style-type: none"> a. Track payments to Prime Contractor/Consultant. This will include: vendor name, FEIN, progress payment/invoice amount, progress payment/invoice number, progress payment/invoice date, payment amount, retainage amount, payment number (e.g. check number), and payment date 		
13.	<p>Report Requirements</p> <ul style="list-style-type: none"> a. FHWA and FTA Semi Annual Report of DBE Commitments and Awards b. All ARRA Reporting c. DBE utilization reports d. Quarterly and annual custom reports e. Bidding reports f. Generate reports by project, procurement category, industry code, gender, ethnicity, contract, and dollar threshold g. User defined customizable fields h. Reports must be capable of export to standard export file formats (e.g. HTML, CSV, PDF, Word, Excel) i. Examples of Report Tools are but not limited to: SQL Server Reporting Services and Crystal Reports. j. The System must have seeded (canned) reports predefined and available for users. k. Custom and Ad-hoc reports must be provided in a graphical user interface. l. ERD Diagram and Table definitions must be provided to allow Ad-hoc reporting directly from the database. m. For search and lookups, have an almost-matched, keyword, or wild-card capability on all fields so the operator can enter a partial string and find similar records. Partial string searches should find the character string no matter what its location in the field 		



ATTACHMENT 2A

Rhode Island Department of Transportation

System Functionality Evaluation

F=Fully Provided "Out-of-the-Box" quoted in cost
R=Provided with Reporting Tool
M=Provided with Modification
NV=Provided in Next Version
C=Custom Development Required
NA=Not Available
TP=Third Party

FUNCTIONAL CATEGORY: Technical										
Reference Number		System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
T 1		SQL Server 2005								
T 2	or	SQL Server 2008								
T 3		Microsoft Windows Server 2003								
T 4	or	Microsoft Windows Server 2008								
T 5		The system uses current web server technology (i.e. ASP.NET framework. Foundation must be built upon a common foundation – Internet Information Services (IIS))								
T 6		The web server is separate from the database server, physically or logically								
T 7		Route data across servers								
T 8		Run on Microsoft Hyper-V								
T 9		TCP/IP network protocol is supported								
T 10		The system is Internet Protocol version 4 (IPv4) compliant								
T 11		The system is Internet Protocol version 6 (IPv6) compliant								

Reference Number	System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
T 12	Windows XP								
T 13	Windows 7								
T 14	Internet Explorer 7 or higher								
T 15	MAPI								
T 16	or SMTP								
T17	Proprietary APIs or extensions are published for external use								
T 18	Provide full application access through both the Authority's existing computer network and a web browser								
T 19	Web Browser based application								
T 20	The system provides user defined, event triggered workflow								
T 21	The system can be upgraded without additional consulting services required								
T 22	The system provides pre-configured generic business process components								
T 23	Objects are configurable to match business process designs without programming								
T 24	Oracle eBusiness Suite								
T 25	Project Management Portal (PMP)								
T 26	Contracts Management System (CMS)								
T 27	Visual Studio ASP.NET								
T 28	Microsoft Excel								
T 29	Internal SQL Server 2005 & 2008 Databases								
T 30	Ability to import and export data into excel, csv or pdf								



ATTACHMENT 2B

Rhode Island Department of Transportation

System Functionality Evaluation

F=Fully Provided "Out-of-the-Box quoted in cost
R=Provided with Reporting Tool
M=Provided with Modification
NV=Provided in Next Version
C=Custom Development Required
NA=Not Available
TP=Third Party

FUNCTIONAL CATEGORY: Security

Reference Number	System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
S 1	Database level								
S 2	Module level								
S 3	Functional level/Role Based Access Control(RBAC)								
S 4	Field level								
S 5	In the absence of AD authentication, the ability to have user Groups or Roles								
S 6	In the absence of AD Authentication the ability to limit access to specific modules, functions, or fields based on group membership								
S 7	If AD authentication impossible, full integration for group access levels and the ability to restrict access to specific modules, functions or fields based on group membership								
S 8	Must provide a customizable Security Banner at Logon								
S 9	Read/read-write/no access based on role/group assignment								
S 10	The system provides an easily maintainable level of individual access through system tables maintained by the system administrator								

Reference Number	System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
S 11	The system is compatible with Active Directory (AD), or the system meets or exceeds ATTACHMENT 4, State of Rhode Island Department of Administration Division of Information Technology Enterprise password Security.								
S 12	Ability to log System Administrator level changes to Application or Data. Additionally User Access Changes logged as well if Active Directory is not used for Authentication and access Control.								
S 13	If AD is not used, ability to report/audit current user access to (field level/functional level (RBAC), module level and database level).								
S 14	If AD is used, ability to leverage security Groups to define groups of user access, if AD not used ability to define groups for all four levels of security levels.								
S 15	Personally identifiable information (PII) is encrypted during transmission, use and storage								
S 16	There is a method for administrative modification of the encryption key								
S 17	Minimum Standard Encryption is AES 256bit								
S 18	If not AD, the system stores authentication credentials in encrypted format.								
S 19	Duplicate entry elimination (e.g. duplicate vendor records)								
S 20	Audit trails for modification by user, date and time								
S 21	Audit trails for deletion								
S 22	The systems allows the user to specify what types of activity requires supervisory control and override								
S 23	Application PKI (public key infrastructure) is enabled for the server and configured to require PKI for authentication								
S 24	The system is PKI enabled for the client								
S 25	The documents loaded canned for viruses prior to posting								

Reference Number	System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
S 26	SSL is used for sensitive web traffic								
S 27	The proposed system supports baseline security configurations for the operating sys (i.e. Cis3)								
S 28	The proposed system provides and supports baseline security configurations for the applications								
S 29	The default accounts, default passwords, community strings or other default access control mechanisms, if allowed, can they be changed								
S 30	They system permits the use of shared accounts. The system provides default processing options throughout an organization								
S 31	The system generates a report which lists users' capabilities by user and company/department								
S 32	Authentication credentials are encrypted during transmission								
S 33	The system lists both qualified and unqualified user attempts to enter system								
S 34	The system provides the ability for users to maintain their passwords								
S 35	If not AD, the system logs unauthorized access attempts by date, time, user id, devise and location								
S 36	The system maintains an audit trail of all security maintenance performed by date, time, user id, devise and location and information is easily accessible								
S 37	The system logs all accesses (including inquiry) to information								
S 38	The system integrates with 3rd party logging tools (read only capability)								
S 39	The system allows the customer to configure logging (i.e. logging level)								
S 40	The system has the capability to configure "triggers" for alerting purposes (i.e. password guessing attempt)								
S 41	<u>49 CFR Part 23</u> ¹								
S 42	<u>49 CFR Part 26</u> ²								

Reference Number	System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
S 43	The Privacy Act of 1974, 5 U.S.C. § 552a Public Law No. 93-579, (Dec 31, 1974) ³								
S 44	Davis Bacon Wages by State RI ⁴								
S 45	Executive Order 11246 ⁵								
S 46	On the Job Training Program ⁶								
S 47	Department of Labor Reporting ⁷								
S 48	Allows the client to install security patches and anti-virus updates as they are released								
S 49	The system supports Microsoft operating systems and application patching to be managed by WSUS, policy will be set to auto install and reboot								
S 50	Back ups will be encrypted								
S 51	The system allows the routine encryption of data supported while the data is in use (e.g. active encrypted databases, encrypted folders)								
S 52	A storage backup process is supported								
S 53	A storage backup can occur while the system is in use								
S 54	Backups can be encrypted								
S 55	If not AD, the system stores authentication credentials in encrypted format								
S 56	A key escrow for encryption keys is supported								
S 57	The system supports Symantec Net Backup								
S 58	Functions perform integrity checks on system and user data								
S 59	The system license allows for backup of the entire system								
S 60	The system license allows for set up and use of a test system								
S 61	The vendor supports the ability to perform software licensing audits								
S 62	Application will need to function with Standard Anti-Virus Product Symantec Endpoint Protection								
S 63	Application must meet 3 tier architecture								



ATTACHMENT 2C

Rhode Island Department of Transportation

System Functionality Evaluation

F=Fully Provided "Out-of-the-Box quoted in cost
R=Provided with Reporting Tool
M=Provided with Modification
NV=Provided in Next Version
C=Custom Development Required
NA=Not Available
TP=Third Party

FUNCTIONAL CATEGORY: Functional									
Reference Number	System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
F 1	Master File layouts for each module								
F 2	Boiler Plate Information for reporting								
F 3	Must interface/import data from the Oracle Financial System, QuestWeb Bidding System, Project Management Portal and Contract Management System (PMP/CMS)								
F 4	System must be able to track ALL types of contracts for FHWA Construction, Professional Services, Design/Build, Enhancements, FTA Construction, Professional Services, Design/Build and Local Public Authority (LPA) projects.								
F 5	Must be able to track employee work hours, wages								
F 6	Track employees who switch from contractor to contractor								
F 7	Ability to flag employees for possible workforce sharing								
F 8	Certified Payroll incorporated into system								
F 9	Ability to import from Contractors current payroll system								
F 10	Employment Utilization Forms-with ability to run in various sorts								

Reference Number	System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
F 11	Meaningful customizable workforce reports, summaries, listings and possible graphics for goals vs. actual goals								
F 12	FHWA 1391 and 1392 Reports with ability to run by contract by contractor or all contractors and all contracts for Prime or all contractors on contract.								
F 13	Must be able to track work hours and contacts worked on by each Trainee								
F 14	Check Trainee wage rate for accuracy								
F 15	Reports for work hours, contracts worked on , summary reports and possible graphics								
F 16	OJT Trainee Monthly Status Report								
F 17	OJT Trainee Annual Status Report								
F 18	OJT Annual Workforce Evaluation Report to help set OJT Trainee Plan Requirements								
F 19	Must be able to track DBE Utilization by contract								
F 20	Must be able to track DBE line items								
F 21	Must be able to track DBE contract Awards								
F 22	Must be able to track DBE participation on contract								
F 23	Must be able to track DBE payments and possibly payments by line items								
F 24	Track payments to subcontractors following RIDOT's Prompt Payment Clause 109.12								
F 25	Other types of DBE payment reporting								
F 26	Miscellaneous DBE reporting to be determined								
F 27	DBE contract analysis by Race/Gender								
F 28	Must be able to fill in and print the Commercially Useful Function (CUF) Report								
F 29	Import of Davis Bacon Wage Tables and Prevailing Wages								
F 30	Exception reports to wage tables and prevailing wages								
F 31	Department of Labor Compliance reports for contractor/consultant minimum of two per year								

Reference Number	System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
F 32	DBE Application Workflow								
F 33	Date Tracking of the DBE application Workflow								
F 34	Internal email notification of due dates from the workflow								
F 35	Email notification to company of application receipt								
F 36	DBE Application Checklist								
F 37	Generate a form letter for missing application data with a custom narrative								
F 38	Email notification to company of application review period								
F 39	Offline capability for site review								
F 40	Generate award letter								
F 41	Generate denial/removal letter								
F 42	Email notifications of annual renewal/affidavit								
F 43	Tracking of annual renewal responses								
F 44	Ability to track other business enterprises (e.g. Small Business Enterprises)								
	>Pre-solicitation attendance information:								
F 45	Solicitation Number								
F 46	Project Number								
F 47	Business Name								
F 48	Contact Name								
F 49	Address (City, County, State, Zip)								
F 50	Phone Number								
F 51	Fax Number								
F 52	Email Address								
F 53	Type of work Performed (NIGP and/or NAICS Codes)								
F 54	Certification Status								
F 55	Ethnicity								
F 56	Gender								
	>Solicitation Information (Prime Contractor/Consultant):								
F 57	Solicitation Number								
F 58	Project Number								
F 59	Business Name								

Reference Number	System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
F 60	Contact Name								
F 61	Address (City, County, State, Zip)								
F 62	Phone Number								
F 63	Fax Number								
F 64	Email Address								
F 65	Type Of Work Performed (NIGP And/Or NAICS Codes)								
F 66	Bid Amount								
F 67	Certification Status								
F 68	Ethnicity								
F 69	Gender								
F 70	Contract DBE Goal								
	>Solicitation Information (Sub-contractor/Sub-consultant):								
F 71	Prime Contractor/Consultant Name								
F 72	Project Number								
F 73	City/Town Name on LPA projects								
F 74	Address (City, County, State, Zip)								
F 75	Phone Number								
F 76	Fax Number								
F 77	Email Address								
F 78	Type of work Performed (NIGP and/or NAICS Codes)								
F 79	Ethnicity								
F 80	Gender								
F 81	Certification Status								
F 82	Sub-contractor/Sub-consultant Bid Amount								
	>Awarded Contract Information:								
F 83	Project Number								
F 84	Business Name								
F 85	PO Number								
F 86	Budget								
F 87	Award Date								
F 88	Project Start Date								
F 89	Anticipated Completion Date								
F 90	SUB-CONTRACTOR TRACKING (E.G. Name, Certification Status)								

Reference Number	System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
F 91	Payments To Sub-contractor/Sub-consultant								
F 92	Ability to set and monitor DBE goals on an Authority-wide Basis								
F 93	Ability to track project participation and sort DBE participation based on funding source and contract type *e.g. Construction, Professional Services, Design Build, FTA, Enhancements)								
F 94	Calculates project percentage completed from dollars paid								
F 95	Calculates participation -to-date on projects								
F 96	Tracking for up to 3 tiers of sub-contractors								
F 97	The system must allow this data to be imported periodically from a csv format.								
F 98	Track purchases. This will include: procurement category (construction, construction related, professional services, non-professional services, goods), contract number, purchase order (PO) number, vendor name, federal employer identification number (FEIN), PO creation date, project number, dollar amount								
F 99	Track invoices. This will include: vendor name, FEIN, invoice amount, invoice number, invoice date, payment amount, payment number (e.g. check number), and payment date								
F 100	Search database by name, owner, keyword, commodity description or other means								
F 101	Analysis of ethnicity and gender of groups bidding on contracts as prime contractors and subcontractors								
F 102	Contract activity for vendor: list of contracts by vendor, services/products provided for each contract, level of participation								
F 103	Non-construction quarterly audit report								
F 104	FHWA Semi Annual Uniform Report of DBE Commitments and Awards								
F 105	FTA Semi Annual Uniform Report of DBE Commitments and Awards								
F 106	All ARRA Reporting								
F 107	DBE Utilization Reports								

Reference Number	System Functionality	F 10	R 10	M 0	NV 5	C 0	NA 0	TP 0	TOTALS
F 108	Quarterly and Annual custom reports								
F 109	Bids Received Report								
F 110	Generate reports by project, procurement category, industry code, gender, ethnicity, contract and dollar threshold								
F 111	User defined customizable fields								
F 112	Reports must be capable of export to standard file formats (e.g. HTML, Excel-.csv-.xls, PDF, Word-.doc)								
F 113	Examples of Report Tools are, but not limited to: SQL Server Reporting services and Crystal Reports								
F 114	System must have seeded (canned) reports predefined and available for users								
F 115	Custom and Ad-hoc reports must be provided in a graphical user interface								
F 116	ERD Diagram and Table definitions must be provided to allow Ad-hoc reporting directly from the database								
F 117	For search and lookups, have an almost-matched, keyword, or wild-card capability on all fields so the operator can enter a partial string and find similar records. Partial string searches should find the character string no matter what its location in the field								



- R** - Description of reporting tool, is this tool included with the out-of-box software? If not, cost to obtain and implement
- M** - Description and cost of modification. Does this modification affect future upgrades?
- NV** - When the next version will be released, cost of upgrade and cost to implement upgrade?
- C** - Description of the customization cost of customization. Does this customization affect future upgrades?
- TP** - Description of third party software, cost of software and implementation costs.

ATTACHMENT 3

Maintenance and Support

Proposed System's Maintenance and Support

Complete the following table by checking the appropriate box. If a "NO" box is checked for any item, the VENDOR must provide a written explanation. Failure to check "Yes" on any item in this section **will not** render the proposal non-responsive. However, the proposed System will be ranked based on the VENDOR'S ability to provide the following:

Proposed System's Maintenance and Support		YES	NO
1.	THE COSTS FOR REVISION UPGRADES ARE INCLUDED IN THE PROPOSED MAINTENANCE COSTS.		
2.	RIDOT PERSONNEL WILL HAVE DIRECT ACCESS TO THE PROPOSED SYSTEM'S SOFTWARE DEVELOPERS/MANUFACTURERS FOR ONGOING SUPPORT.		
3.	THERE WILL BE THE ABILITY TO PROVIDE USER FEEDBACK FOR POSSIBLE FUTURE UPGRADES.		
4.	THERE WILL BE A 24 HOUR OR LESS RESPONSE TIME TO PRIORITY ONE CRITICAL ISSUES WITH THE SYSTEM.		
5.	TECHNICAL SUPPORT IS AVAILABLE 8:30AM – 5:00PM, ET, MONDAY THROUGH FRIDAY.		

ATTACHMENT 4

State of Rhode Island Department of Administration Division of Information Technology (DoIT) PASSWORD SECURITY

4.0 Policy and Control Requirements:

4.1 Compliant Activities:

- Each employee shall have a unique user identification (User ID) and Password
- Employees shall assign their own passwords.
- Passwords shall be changed (at least) every 90 days.
- Passwords shall contain a minimum of 8 characters.
- Passwords shall include characters from 3 of the following 4 categories:
 - English uppercase characters (A through Z)
 - English lowercase characters (a through z)
 - Base 10 digits (0 through 9)
 - Non-alphabetic characters (for example, !, \$, #, %)
- Complexity requirements are enforced when passwords are changed or created.
- Passwords shall be changed after first assignment or following a password reset.
- Passwords shall be encrypted while stored on the computer.
- Passwords shall be changed as soon as they expire.
- Accounts shall be locked out after three unsuccessful login attempts.
- Passwords shall not be duplicated within the last 15 occurrences (changes).
- Employees shall change passwords when advised of a potential security breach by the Chief of Information Security Officer (CISO), CISO'S designee or agency information security manager.
- Examples of acceptable passwords (not to be used as actual passwords)
 - Lou1\$ville (used Louisville as your bas word, substitute 1 for l and replace the s with \$).
 - Msi8Y0ld (compressed a phrase "my son is 8 years old").
 - G00ds3cur!tE (used "good security" as your based phrase, substitute o for zero, e for 3, l for ! and used uppercase E).

CONSULTANTS

CERTIFICATION REGARDING DEBARMENT, SUSPENSION
AND OTHER RESPONSIBILITY MATTERS
PRIMARY COVERED TRANSACTIONS FOR PRIME CONSULTANTS
AND LOWER TIER PARTICIPANTS (SUBCONSULTANTS ETC.)

Appendix B--Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction", "debarred", "suspended", "ineligible", "lower tier covered transaction", "participant", "person", "primary covered transaction", "principal", "proposal", and "voluntarily excluded", as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower

Tier Covered Transaction, "without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION,
AND OTHER RESPONSIBILITY MATTERS
PRIMARY COVERED TRANSACTIONS**

In accordance with the code of Federal Regulations, Part 49 CFR Section 29. 510, the prospective primary participant _____ (name of Authorized Agent), _____ (Title), being duly sworn (or under penalty of perjury under the laws of the United States), certifies to the best of his/her knowledge and belief, that its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency;
- b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1) (b) of this certification;
- d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Where the prospective primary participant is unable to certify any of the statements in this certification, such prospective participant shall list exceptions below.

Exceptions will not necessarily result in denial of award, but, will be considered in determining contractor responsibility. For any exception noted, indicate below to whom it applies, the initiating agency, and the dates of the action. Providing false information may result in criminal prosecution or administrative sanctions. If an exception is noted the contractor must contact the Department to discuss the exception prior to award of the contract.

Signature of Authorized Agent

Date

Certification for Federal-Aid Construction/Consultant Contracts

IN ACCORDANCE WITH PUBLIC LAW 101-1210 SECTION 319 (DEPARTMENT OF THE INTERIOR AND RELATED AGENCIES) THE PROSPECTIVE PARTICIPANT CERTIFIES, BY SIGNING AND SUBMITTING THIS BID OR PROPOSAL, TO THE BEST OF HIS/HER KNOWLEDGE AND BELIEF, THAT:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such subrecipients shall certify and disclose accordingly.

(R.I.D.O.T. APPENDIX C)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLLA Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLLA Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

**DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET**

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____

CONFLICTS DISCLOSURE POLICY

To ensure that the Rhode Island Department of Transportation (RIDOT) maintains the continued confidence and trust of the people of Rhode Island in carrying out its mission, prospective vendors must disclose any family (or other personal) relationships, associations or connections that the vendor, its affiliates, or employees, may currently have with any RIDOT employee. A Conflicts Disclosure Statement shall be submitted to RIDOT from the following:

- ❖ Owners;
- ❖ Directors;
- ❖ Principals;
- ❖ Officers, board members, or individuals with corporate authority;
- ❖ If the vendor is a partnership, the applicant's partners;
- ❖ If the vendor is a limited liability company, its members and managers;
- ❖ Employees with decision-making authority, including executive directors, managers or individuals in a similar position with corporate authority; and
- ❖ Shareholders with a controlling interest.

