CONTRA COSTA COUNTY EMPLOYEES' RETIREMENT ASSOCIATION (CCCERA)

Request for Proposal

for a Pension Administration System

RFP Release Date
07/30/2020

Proposal Due Date
10/01/2020 – 3:00p.m. PST.

TABLE OF CONTENTS

A. GENERAL AND PROCUREMENT INFORMATION

A.1 GENERAL INFORMATION

A.1.1 PURPOSE AND SCOPE

The Contra Costa County Employees' Retirement Association (CCCERA) is soliciting proposals from public retirement system implementation vendors for a fully-hosted, new integrated pension administration solution. Specifically, Respondents are to propose a hosted solution consisting of the implementation of a fully integrated, best-practices-based retirement system along with configurations / customizations to that system to meet the mandatory requirements of CCCERA. The contract to be awarded, as a result of this solicitation, will be for the following: a fully-hosted, line-of-business (LOB) application software, including imaging (and image conversion) and workflow, documentation, testing, implementation, integration, training, warranty, and post-implementation support. CCCERA has limited IT staff and is therefore interested in reviewing responses for the new solution that can be provided in a vendor fully-hosted strategy.

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

■ Core line-of-business (LOB) functions, which include the applications that permit the system to perform all of its operations, e.g. member enrollment / onboarding, process reportable salary and contribution files, calculate and maintain service credit and contribution balances, generate benefit estimates, issue refunds, calculate the cost of purchased service, perform retirement processing, benefit payroll, tax processing, 1099 processing, production of member annual statements, etc.

■ Functionality of workflow, imaging, correspondence generation, search capabilities, etc.

■ Support for the execution of all processes required in accordance with the law governing the CCCERA pension plan, as well as CCCERA's regulations, policies, etc. that are in effect on the day of contract execution

■ Redesign of CCCERA's current business processes as necessary to increase processing efficiency and take best advantage of the LOB solution

■ Browser-based access to the solution for CCCERA users, including the necessary disaster recovery and cyber security components

■ Internet-based (with mobile device accessibility) self-service functionality to improve access to the solution for active, retired and deferred members, and as well as for participating employers

■ Data mapping, conversion (see Section C.4 for clarification of primary responsibility for conversion) and balancing of CCCERA data

■ Enablement of all required interfaces with other entities, including but not limited to CCCERA's Payroll Bank (Mechanics Bank), the County, the IRS, their Actuary (Segal), and other third parties

■ Standard reports, custom-developed reports and ad-hoc reporting capabilities

■ Thorough test and quality assurance of the entire solution

■ A warranty that starts with the rollout of the first functional capability and concludes twelve months after the rollout of the final capability

The prime contractor is also responsible for:

■ Providing CCCERA-specific manuals and documentation for system users and administrators; in addition to all baseline functionality. All such documentation must reflect the customized, as-built status of the solution. Standard documentation reflecting only the Respondent's un-customized base solution will not be acceptable

- Providing training for system users in application navigation and the use of screens and windows, as well as in the use of the new solution to perform their various job functions, processes, and sub-processes in the new environment

- Configuration of the pension administration software

- Providing necessary software customizations to meet business and functionality requirements

- Providing full implementation of the new solution (including as-built documentation of system configurations and customizations)

- Providing ongoing software support for the new pension administration solution during the implementation and warranty period as provided herein

- Providing project management services for the implementation effort as provided herein

- Providing the required environments (e.g. testing and production) needed for the new solution during the project and post-implementation, including the maintenance and upgrade of such items as part of the hosting agreement.

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

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

Project Vision

To replace the current pension administration system and current imaging system with solutions that can serve CCCERA staff, and empower its members (with online tools) and other stakeholders with the ability for CCCERA to progressively add new functionality and continuously keep the solution current as both technology evolves and the needs of CCCERA change.

Project Mission

The current pension administration system, Avenu's CPAS, has allowed CCCERA since its installation in 2008 to use a system that is browser based and has the capabilities to provide core pension functionality, however certain processes still require manual processing. The current legacy system in conjunction with other systems, spreadsheets, manual processing, etc. have been able to handle the processing needs of CCCERA. However, CCCERA envisions a new system that results in a reduction of manual systems, and the ability to be kept current with a clear, ongoing hosting and upgrade / migration path.

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

CCCERA expects to complete the project in a phased approach, considering the following eight (8) high-level phases:

- Project Initiation and Start-up

- Hosting Environment Setup

- Requirements Confirmation

- Imaging Implementation and Image Migration

- PAS Implementation / Rollout

- PAS Self-Service Implementation / Rollout
- Post Implementation Support
- One (1) Year Warranty.

A.1.2 ABOUT CCCERA

The Contra Costa County Employees' Retirement Association (CCCERA) is a public employee retirement system established by the County of Contra Costa on July 1, 1945. The association is administered by the CCCERA Board of Retirement to provide service retirement, disability, death and survivor benefits for county employees and 16 other participating agencies under the California Government Code Section 31450 *et seq.* (County Employees Retirement Law of 1937 or CERL) and Section 7522 *et seq.* (Public Employees' Pension Reform Act of 2013 or PEPRA).

CCCERA is also governed by the California Constitution and the regulations, procedures and policies adopted by CCCERA's Board. The Contra Costa County Board of Supervisors may also adopt resolutions, which affect benefits of CCCERA members as permitted by CERL.

CCCERA's mission is to administer pension benefits earned by our members and to be prudent stewards of plan assets.

CCCERA is administered by the Board of Retirement. The day-to-day operation of CCCERA is delegated to the Chief Executive Officer and a full-time staff of approximately 60 employees.

A.1.3 MINIMUM QUALIFICATIONS

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

Respondent Minimum Qualifications

To qualify as a Respondent, the Respondent must be able to cite three or more public sector defined benefit pension clients with similar scope as required by CCCERA. At least two of those three cited referenced clients must have a project which is fully complete, (i.e., in the warranty period or later). These referenced clients must have at least 20,000 members and retirees.

The Respondent must include the projects it is using to satisfy the minimum requirements described above as part of Tab 12 Company References of its Technical Proposal.

Project Manager Minimum Qualifications

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

As part of the respondent staffing response in the Technical Proposal, the Respondent must include a company reference in Tab 12 of the Proposal for any project that is being used to meet the project manager's minimum requirements (i.e. a project where the proposed project manager served as project manager in the last five years.).

A.1.4 RFP ORGANIZATION

This RFP is organized as described below.

PART A – GENERAL AND PROCUREMENT INFORMATION

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

PART B – CCCERA BACKGROUND

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

PART C – PROJECT SCOPE AND SPECIFICATION OF REQUESTED SERVICES

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

PART D– CONTRACT DOCUMENTS

This part of the RFP provides the System Integration Agreement (the "Agreement"), including key Schedules to the Agreement, that CCCERA proposes to govern the legal relationship between Respondent and CCCERA regarding the project.

PART E– RESPONDENT PROPOSALS

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

PART F– ATTACHMENTS

This part of the RFP includes attachments that are not incorporated into the body of the RFP itself. These attachments are either available in this section (or) are available to download from the following website: https://www.cccera.org/rfp-pension-administration-system.

Part F includes the following information:

- F.1 CCCERA Functional Requirements
- F.2 CCCERA Technical Requirements
- F.3 CCCERA Project and Service Requirements
- F,4 CCCERA Consolidated Annual Financial Report (CAFR)
- F.5 CCCERA Legacy General and Legacy Safety Handbooks
- F.6 CCCERA PEPRA General and PEPRA Safety Handbooks
- F.7 CCCERA Participating Employer Handbook
- F.8 Respondent Cost Proposal Template
- F.9 Agreement (Including Key Schedules)
    - o Systems Integration Agreement
    - o Schedule A Definitions
    - o Schedule B Specifications (Not included in RFP)
    - o Schedule C Statements of Work (Not included in RFP)
    - o Schedule D Charges
    - o Schedule E Change Control Procedures
    - o Schedule F Implementation Plan (Not included in RFP)
    - o Schedule G Governance
    - o Schedule H Insurance
    - o Schedule I Security

    o   Schedule J Audits
    o   Schedule K CCCERA Policies (Not included in RFP)
    o   Schedule L Termination Assistance (Not Included in RFP)
    o   Schedule M Escrow Agreement (Not included in RFP)
    o   Schedule N Key Personnel (Not included in RFP)
    o   Schedule O Support and Hosting Services
    o   Schedule P RFP Response Extract (Not included in RFP)

A.2   PROCUREMENT INFORMATION

The following sections provide general administrative information about the procurement.

A.2.1 GENERAL

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

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

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

This RFP is not an offer but a request to receive a Proposal. CCCERA will consider a Proposal as an offer to develop an agreement based upon the contents of the Proposal. Respondents agree that the contents of their Proposals are valid for 180-days from the date of submission. CCCERA will not be liable for any cost incurred in the preparation of a Proposal and will not reimburse any Respondents for their submission. Expenses related to the production of a Proposal are the sole responsibility of the Respondent.

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

Respondents who submit proposals in advance of the deadline may withdraw, modify, and resubmit proposals at any time prior to the deadline for submitting proposals. Respondents must notify the CCCERA Point of Contact, as identified in Part 0, in writing if they wish to withdraw their proposals. Notifications of intent to withdraw proposals may be delivered electronically via email, but responsibility for confirmation of the delivery and receipt by CCCERA rests solely with the Respondent.

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

A.2.2 PROCUREMENT SCHEDULE AND MILESTONES

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

CCCERA reserves the right to change the calendar of events or issue Addenda to the RFP at any time. CCCERA also reserves the right to cancel or reissue the RFP. Respondents should check the following website https://www.cccera.org/rfp-pension-administration-system from time to time as any amendments or other RFP related materials will be posted there.

Table 1 Project Schedule

Date	Activity
July 30, 2020	RFP Release Date
August 13, 2020	Due Date for Pre-Bid Questions
August 27, 2020	CCCERA Response to Pre-Bid Questions
October 1, 2020	Deadline for Receipt of Proposals
October 26 to 29, 2020	Hold Scripted Product Demonstrations / Presentations
November 19, 2020	Finalize Evaluation / Notify Successful Vendor
January 4, 2021	CCCERA Contract Executed
January 11, 2021	Project Starts

A.2.3 PROCUREMENT POINT OF CONTACT

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

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

Jasmine Lee
Member Services Manager
Contra Costa County Employees' Retirement Association
jlee@cccera.org

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

Jasmine Lee
Contra Costa County Employees' Retirement Association
1200 Concord Avenue
Suite 300
Concord, CA 94520

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

A.2.4 RFP AMENDMENTS

CCCERA reserves the right to amend the RFP. Amendments will be posted to the CCCERA website at the following address: https://www.cccera.org/rfp-pension-administration-system. CCCERA reserves the right to reject any and all bids and to waive any and all technicalities or formalities.

A.2.5   RESPONDENT QUESTIONS ABOUT RFP AND PROCUREMENT

Respondent questions relating to this RFP and/or procurement may be submitted to the Point of Contact named in Section A.2.3. Questions are to be submitted as a Word document using the format specified in the table below. The closing date for questions is August 13, 2020.

Table 2 Format for Submission of Respondent Questions

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

Email is the required method of communication. All written questions must include the name of the firm and the person submitting the questions. A compilation of all questions and answers, along with any RFP addenda, will be posted to the CCCERA website based on the schedule of events outlined.

A.2.6   PRESENTATIONS AND PRODUCT DEMONSTRATIONS

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

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

CCCERA reserves the right to forgo Respondent presentations and/or product demonstrations.

A.2.7   REQUESTS FOR CLARIFICATION

Upon review of proposals submitted by Respondents, CCCERA may, at its discretion, submit to Respondents written questions and requests for clarification relating to technical and/or cost proposals. Respondents will be provided a reasonable period of time in which to submit written responses to CCCERA's questions and requests for clarification. Such question-and-answer exchanges may be repeated until CCCERA is satisfied that all information necessary to enable a complete evaluation of proposals has been obtained.

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

A.2.8   BEST AND FINAL OFFERS

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

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

All prices offered will be firm and fixed for the term of the contract.

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

A.2.9 COST FOR PREPARING PROPOSALS

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

A.2.10 FACILITIES AND HUMAN RESOURCES TO BE PROVIDED BY CCCERA

CCCERA recently moved to a new office facility in 2019 and has various conference rooms where project staff can work and hold meetings when onsite and where access to audio / visual equipment is available. Access to CCCERA's current processing environment and copying facilities will be provided along with workspace for up to six (6) Respondent Staff members; including the above-mentioned conference rooms. Respondents must provide laptops and cell phones for their project staff. CCCERA will provide appropriate connectivity to its network as well as a wireless Internet connection. The Respondent must abide by CCCERA's security and other system use polices when connected to the CCCERA network.   All Respondent's equipment must be updated regularly with security patches and must include an up-to-date anti-virus software subscription.

In the event of an office closure (i.e.as was just experienced due to COVID-19) the Respondent is expected to work remotely with CCCERA.

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

Jasmine Lee will serve as the System Coordinator / Program Manager. She will be responsible for the business side and project management side of the project. On the business side she will be participating in requirements sessions, providing subject matter expertise, assisting with system validation, test preparation and execution, etc. On the project management side, she will also be providing project administration, governance, planning, coordination / scheduling, etc.

In addition, the IT Technical Resource / Manager will be responsible for assisting with the technical aspects of the project, including data cleansing / conversion assistance between the PAS respondent and the to-be-selected Data Services vendor.

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

- CCCERA has approximately 60 full-time staff,
- In total, CCCERA estimates that 4 FTE(s) can be available over the course of the project.

A.2.1.11 CONFIDENTIAL MATERIAL IN PROPOSALS

CCCERA may treat all information submitted by a Respondent as public information which are subject to public inspection and disclosure under the California Public Records Act following the conclusion of the selection process unless the Respondent properly requests that information be treated as confidential at the time of submitting the bid proposal

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

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

specific information requests made under the Public Records Act or other laws to CCCERA for information provided by the Respondent that Respondent deems to be confidential.

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

By submitting information with portions marked "confidential", the respondent represents it has a good faith belief that such material is exempt from disclosure under the California Public Records Act and agrees to reimburse CCCERA for, and to indemnify, defend and hold harmless CCCERA, its officers, fiduciaries, employees and agents from and against: (a) any and all claims, damages, losses, liabilities, suits, judgments, fines, penalties, costs and expenses including, without limitation, attorneys' fees, expenses and court costs of any nature whatsoever (collectively, "Claims") arising from or relating to CCCERA's non-disclosure of any such designated portions of a proposal if disclosure is deemed required by law or court order.

A.2.12 CLARIFICATION OF TERMINOLOGY

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

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

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

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

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

B.   CCCERA BACKGROUND

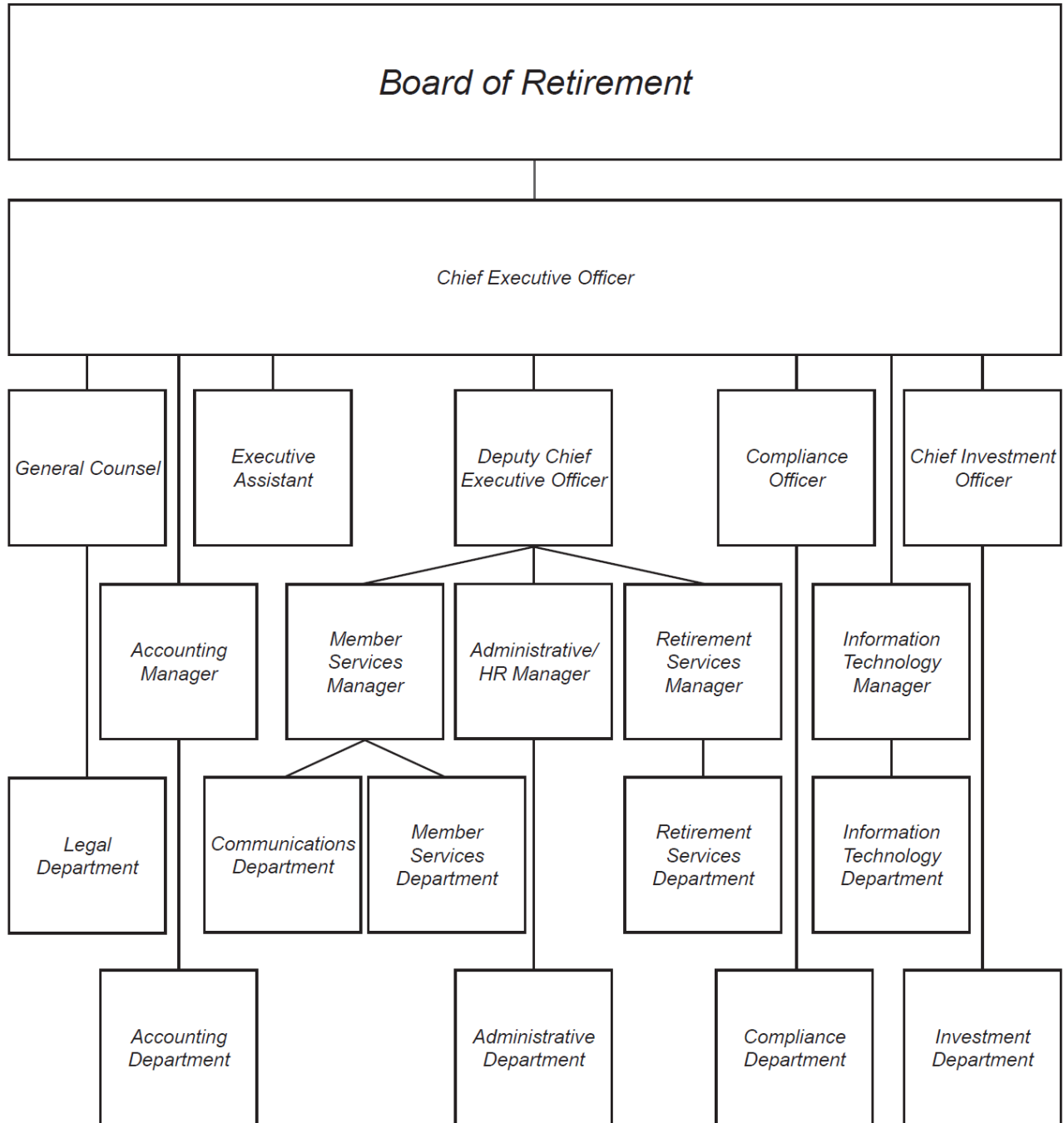## B.1   OVERVIEW OF ORGANIZATION AND FUNCTIONS

B.1.1   ORGANIZATION AND STAFF

CCCERA is administered by the Board of Retirement. The day-to-day operation of CCCERA is delegated to the Chief Executive Officer and a full-time staff of approximately 60 employees.

The CCCERA organizational chart is depicted in Figure 1.

Figure 1 - Organization Chart

ORGANIZATIONAL CHART (as of December 31, 2019)

B.1.2   KEY PLAN PROVISIONS

The plan provisions of CCCERA are contained in the following documents and are included in the Attachments section of the RFP:

- CCCERA Legacy General Handbook
- CCCERA Legacy Safety Handbook
- CCCERA PEPRA General Handbook
- CCCERA PEPRA Safety Handbook

B.1.3   KEY PROCESSING STATISTICS

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

Table 3 CCCERA Pension Administration Statistics as of December 31, 2019

ITEM	QUANTITY
Number of active members	10,530
Number of inactive members	3,700
Number of retirees and beneficiaries receiving monthly payments	10,500
Number of refunded members	7,310
Number of active plans / tiers General Tier 1 – Non-enhanced General Tier 1 – Enhanced General Tier 3 - Enhanced PEPRA General Tier 4 PEPRA General Tier 4 (2% COLA) PEPRA General Tier 5 PEPRA General Tier 5 (2%COLA) Safety Tier A - Non-enhanced Safety Tier A – Enhanced Safety Tier C - Enhanced PEPRA Safety Tier D PEPRA Safety Tier E	12
Number of closed plans / tiers General Tier 2 General Tier 3 – Non-enhanced	2
Number of contributing employers	17
Number of inactive employers	6
Number of CCCERA employees	60

B.1.4   CURRENT BUSINESS FUNCTIONS / PROCESSES

Provided is a listing of the current core business functions and processes for quick reference:

Table 4 CCCERA Current Functions / Business Processes

Current Function	Current Business Process
Imaging	Backlog Projects Current Files / Documents
Employer Reporting / Imports	Processing Employer Files Posting Wages, Contribution and Service Credit
Member Account Processing	Posting Interest Moving Contributions

Current Function	Current Business Process
	Member Data Correction / Updates
Member Education / Outreach	Counseling / Appointments Seminars / Workshops
Divorce / QDRO	Account Maintenance Benefit Splits Recalculations Divorces
Pension Payroll Maintenance	Minor Children Student Certifications Wage Garnishments (Child and Spousal Support, etc.) ADPP (Advance Disability Pension Payment) Retiree Changes Address Pulls/Queries Tax Table Updates Member Information / Demographics Document Storage I.R.C. Section 415 limits Pension Adjustments Adjustment Calculations Required Minimum Distribution (RMDs)
Cost of Living Adjustments	COLA Processing
Pension Payroll	Monthly Payroll Off Cycle Payroll
Death Processing	Retiree Deaths Active / Deferred Deaths
Tax Reporting	Annual Tax Reporting (1099s)
Health Deduction Processing	Health Deduction Import
Disability Processing	Disability Processing Appeals / Administrative Hearing Process
Service Credit Purchases	Purchase Requests Purchase Calculations Purchase Payments / Posting
Administration / HR	Verify Information Phone calls Logging Incoming Documents Generate Letters Board Meetings Receive and Distribute Mail Internal HR for CCCERA Staff
Member Correspondence	Account Balance Benefit Statements Other Correspondence
Actuarial Valuation	Actuarial Valuation
Accounting	Imports Employer Payments General Ledger Financial Statements Refunds
Refund Processing	Refund Processing
IT	Processing of checks for retirees Receive and format Monthly Health Deduction Employer Wage / Contribution Reports Processing of 1099 Forms Administer user accounts Install new CPAS Builds Ad Hoc Report Writing CQ Entry / Reporting Imaging Support
Member Enrollments	Demographic Maintenance Beneficiary Maintenance

B.1.5 CURRENT INFORMATION SYSTEMS

This section describes in detail the applications that are currently in production at CCCERA. Applications supporting the current operations of CCCERA are presented in the table below. Additional details are provided for CCCERA's two primary systems Avenu/CPAS and OpenText's ApplicationXtender after the table.

Table 5 CCCERA Current Information Systems

Vendor	Application / Product	System Purpose	Categories or Types of Data
Avenu Insights & Analytics	CPAS	Pension System	Pension Administration Software System
OpenText	ApplicationXtender	Imaging System	Images and Index Attributes
Multiview Corp.	Multiview	Financial System	General Ledger, Accounts Payable, Accounts Receivable
Microsoft	Office365	Email and Calendar System	Electronic Mail
Microsoft	Microsoft SQL Server	Subledger Retirement Contributions Database	Pension Administration
Sovos Compliance, LLC	Sovos TIR Taxport – Corporate	Tax Information Reporting	1099-R
Microsoft Office	Office365	Office Automation	Word processing spreadsheet

B.1.5.1 Avenu Insights and Analytics / CPAS

The CPAS solution is a browser-based system that has the capability to support a full life cycle of a CCCERA member from contribution reporting through retirement and continuing into post-retirement activities. Currently, the CPAS solution offers the following functions, however due to functionality issues and other pain-points; CCCERA performs some of these primary functions and processes outside of CPAS:

- Administrative and Support Services
- Wage and Contribution Reporting
- Enrollment and Demographics
- Beneficiary Setup and Maintenance
- Member Account Maintenance
- Optional Service Credit
- Refunds Processing
- Retirement Application Processing
- Payroll Processing
- Cash Disbursements
- Benefit Amount Adjustments
- Tax Processing
- Reporting

CCCERA originally purchased the CPAS system in 2006. The current version of the application is 5.4 with an Oracle database version 12.

OpenText ApplicationXtender

ApplicationXtender is the imaging solution used by CCCERA. It is a third-party product from OpenText and was implemented by Peele Technologies, Inc. This solution has been utilized by CCCERA since 2003. It is

currently supported internally by CCCERA IT and by a third party Portford Solutions and provides the following functions:

- Document Scanning
- Indexing
- Quality Assurance Review
- Image Retrieval
- Image Annotation Features.

The imaging system is a standalone system and not integrated with the current Pension Administration System (i.e., CPAS). Therefore, users have to perform searches in both systems separately when researching accounts and performing their business processing.

CCCERA currently has two (2) Fujitsu scanners and if recommended by the Respondent as part of their proposal; CCCERA would consider either keeping or replacing those items as part of the overall ECMS recommendation / replacement effort mentioned later with the scope section of this RFP.

The table below shows the various types of information / images stored in the imaging system; along with the file types and/or groupings of images and the approximate number of images and/or pages that exist in the imaging system and would be the scope of the Image Migration effort mentioned later in the RFP.

Table 6 Image Migration Scope as of June 2020

File Type	Grouping	Approximate Total # of Pages
Member / Participant Related	Active Members	44,826
Member / Participant Related	Inactive Members	33,085
Member / Participant Related	Retired Members	140,266
Non-Member Related	Members from Terminated Employers	928
Non-Member Related	Deceased Members	25,541
Total		244,646

C. PROJECT SCOPE

C.1 NATURE OF DESIRED SOLUTION

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

Additional objectives to be served by this procurement include:

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

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

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

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

C.2 FUNCTIONAL REQUIREMENTS

This section provides the scope for the business and technical functional requirements that MUST be satisfied by the new system.

These items are included in **Part F - Attachments F.1 Functional Requirements** and contain the detailed business functional capabilities and business rules for which the proposed integrated retirement system solution must provide.

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

CCCERA believes that the Excel formatted approach for these requirements is an appropriate method for succinct description of the requirements and for the Respondent's response. Respondents should refer to the instructions in **Part E – Respondent Proposals** regarding how to complete and fill-in the matrix along with additional information required.

Listed in the table below are CCCERA's Functional Areas that must be supported by the new system.

<div align="center">Table 7 CCCERA Functional Areas</div>

• Accounting	• Interest Processing
• Activity Tracking	• Interfaces and Integration
• Annual Statement	• Knowledge Management
• Audit & Security	• Member Portal
• Beneficiary Maintenance	• Member/Employer Education
• Benefit Estimates	• Member/Pensioner Maintenance
• Benefit Processing and Calculations	• Payroll
• Business Rules	• Payroll & Other Payments
• Call Center	• Portal Management
• Correspondence	• Power of Attorney
• CRM	• Purchase of Service
• Death	• QDRO & Court Orders
• Disability	• Reciprocity
• Employer Reporting	• Records Management
• Enrollment	• Refund
• Funds Management	• Report Management
• General	• Reporting & Querying
• Hearing Administration	• Return to Work
• Imaging	• Statistical Reporting
• Insurance	• Tax Reporting
	• Workflow

C.3   TECHNICAL REQUIREMENTS

This section provides the scope for the <u>technical requirements</u> that MUST be satisfied by the new system.

These items are included in **Part F - Attachments F.2 Technical Requirements** and contain the detailed technical requirements for which the proposed integrated retirement system solution must provide.

CCCERA believes that the Excel formatted approach for these requirements is an appropriate method for succinct description of the requirements and for the Respondent's response. Respondents should refer to the instructions in **Part E – Respondent Proposals** regarding how to complete and fill-in the matrix along with additional information required.

Listed below are CCCERA's Technical Areas that must be supported by the new system.

- **Data** requirements encompass the desire for a flexible data model, including a provision for a data dictionary that all allows for adding/changing data elements and entities yet maintains any customization when updates are done. Further, it includes the enforcement of referential integrity, ability to make mass changes, and the use of unique identifiers (as opposed to Social Security Numbers) while meeting the NIST compliance requirements for security. CCCERA should be given the ability to conduct recovery, backups and refreshes of the various data sets (based on different environments), configure retention rules, and generate queries and reports.

- **ECMS Integration** refers to the interfaces between the imaging system and the new PAS solution. The new system must be able to support the current document metadata structure and provide real-time synchronization of work to ensure the workflow processes are current and up-to-date.

- **General** requirements identify the need for event logging, error handling, including alerts/notifications, performance levels, internal audit control standards, as related to Federal regulations, and configuration upgradeability to accommodate changes in laws, regulations, best practices, and new technology.

- **Hardware** consists of the ability to provide an independent, isolated environment(σ) on dedicated hardware with appropriate firewalls and protocols in place to enable secure accessibility by all computing devices using data replication, encryption, and virtual servers. The system must support the existing network of printers and devices.

- **Operations and Maintenance** ensures the solution must use a methodology and tools for maintaining multiple environments. Each environment must meet the system sizing, monitoring/logging/alerting, and performance requirements with appropriate documentation, end-user training, and operations procedures to enable CCCERA to effectively and efficiently maintain and utilize all environments. In addition, the solution must provide web portal access, ability to schedule and securely print the work necessary to complete business activities and system redundancy to maximize system availability.

- **Security** requirements are the equivalent of one third of the overall technical requirements for a new PAS solution. Protection of member information is a critical issue for CCCERA. The successful offeror is responsible for providing a secure network environment. To ensure the security of the environment, the offeror must specify, provide, install, and configure suitable hardware and software tools that enable, compliance with various industry standards, including NIST, NACHA, HIPAA, along with encryption, authentication techniques, real-time monitoring, logging, and reporting, as well as audit logs and Disaster Recovery backups/recovery capabilities.

- **Software** must be compatible to CCCERA's existing distribution packages. Additionally, the software must run on virtual servers and provide tools for various functions such as patch management and virus protection. A data model must be included of the database structure for technical and non-technical staff's use.

- **Standards / Framework** is a key to maintaining accurate functionality of the new PAS. Its maintainability must be easy and straight forward, utilizing known business terms in natural language, so no programming is needed. Changes by authorized users should be able to be tracked and reported, including a visual representation of the rule flow. Additionally, mass publishing of rule changes, testing of these changes to ensure no impact to existing application rules, along with the capability to compare changes to prevent duplication, use of future effective and termination dates, and audit capabilities to use previous version of rules for historical purposes are required.

- **Technical Architecture** includes the structure of the application and how it is to be configured and perform. It incorporates things such as relational database, batch processing with commits and rollback capabilities, redundancy with high availability and scalability, monitoring and notifications, and migration between the various environments with version control features.

- **User Interface** is the external facing part of the PAS solution. It must be browser based and support the latest version, as well as one version back, of the browsers in the Technical Requirements. It must be ADA compliant and fully integrated with the PAS application and contain instructions, help aides, and edits in plain English, with configurable screens.

C.4 PROJECT AND SERVICE REQUIREMENTS

This section provides the scope for the project and service requirements that MUST be satisfied by the new offeror.

These items are included in **Part F - Attachments F.3 Project and Service Requirements** and contain the detailed project management and implementation service requirements for which the proposed integrated retirement system solution must provide.

CCCERA believes that the Excel formatted approach for these requirements is an appropriate method for succinct description of the requirements and for the Respondent's response. Respondents should refer to the instructions in **Part E – Respondent Proposals** regarding how to complete and fill-in the matrix along with additional information required.

Listed below are CCCERA's Project and Service Requirement Areas that must be supported by the implementing vendor.

- **Relationship** is critical for this long-term engagement. The nature of the relationship between the offeror, stakeholders, and other third party(s) will be key to the success of the project.

- **Project Personnel** identifies specific roles and experience requirements of vendor assigned staff. The 'role' is identified in the subsection column of the matrix along with requirements related to replacement of these staff and use of offshore resources.

- **Project Plan** contains the typical project management plan deliverables and the requirements related to their development, review and ongoing use and maintenance.

- **SDLC** or System Development Life Cycle, the vendor is expected to have a well-established approach that is documented and accessible to CCCERA project participants.

- **Project Start-up**, description of tasks that must commence at the beginning of the project.

- **Requirements**, describes the expectations related to the confirmation and tracking of requirements through their signoff.

- **Infrastructure** – Requirements related to establishing the necessary technical environments to support the implementation and production systems.

- **Roll-Out**, a well-planned, orderly and phased project is required to support the implementation from project kick-off through project completion / closure.

- **Training,** will occur throughout the project to support each rollout and major project activity.

- **Implementation**, including the transition into the new solution must be supported by the offeror.

- **Warranty,** the solution and CCCERA configurations must be warranted by the offeror.

- **Project Support,** the offer must provide continual project support both during the project and then continuing into post-production support.

In addition, CCCERA has issued a separate RFP for Data Services – Analysis, Cleansing and Conversion. And while the Data Services Vendor will have primary responsibility for Analysis and Cleansing, the responsibilities for the Data Conversion will be shared between the PAS Vendor and the Data Services Vendor. The following Table 8 represents the high-level activities for Data and indicates which vendor will be primarily responsible. Basically, the PAS Vendor will retain responsibility for the execution of the conversions in the Test and Production environments and the responsibility for certifying the converted data reconciles to the legacy data.

Table 8 - Responsibility for Data Activities

Activity	Vendor with Primary Responsibility	Vendor to Provide Support* as Needed
Perform Data Analysis and development of the Data Analysis Report	Data Services	
Perform Data Cleansing	Data Services	PAS
Data Cleansing/Conversion Audit Report (DCCAR) development	Data Services	PAS
Data Conversion Plan Development	Data Services	PAS
Map data from Legacy data base to new PAS data base	PAS	Data Services
Define the data required for each functional roll-out of the new Pension Administration System	PAS	Data Services
Set up and maintain the environments needed for conversion script development and testing	PAS	Data Services
Develop scripts to convert the data from the legacy data base to the new PAS data base	Data Services	PAS
Develop written procedures, methods and checklist/report for ensuring the conversion scripts yield the expected results	Data Services	PAS
Develop written procedures, methods and checklists/reports for balancing the conversion	PAS	Data Services
Test the conversion scripts in a staging/conversion environment	Data Services	PAS
Run the conversion scripts in the Test Environment	PAS	Data Services
Validate the conversion results in the Test Environment	Data Services	PAS
Balance the results in the Test Environment	PAS	Data Services
Report/record issues found during conversion in the Test Environment	PAS	
Resolve issues reported during conversion in the Test Environment	Data Services	PAS
Certify the data is converted successfully in Test	PAS	Data Services
Maintain the DCCAR	Data Services	PAS
Train users at the time of a new PAS functional roll-out phase cutover as to what data is to be entered in which system and how	Data Services	PAS
Run the conversion scripts in the Production Environment	PAS	Data Services
Validate the conversion results in the Production Environment	PAS	Data Services
Resolve issues found during the conversion in the Production Environment	Data Services	PAS
Deliver the final DCCAR	Data Services	PAS
Certify the data is converted successfully in Production	PAS	

*Provide Support is defined as answering questions, providing data, identifying issues, reviewing documents/providing feedback, as requested by the vendor with Primary Responsibility.

C.5   ENTERPRISE CONTENT MANAGEMENT (ECM) AND IMAGE MIGRATION REQUIREMENTS

In addition to the Functional Requirements (C.2), Technical Requirements (C.3) and Project and Service Requirements (C.4); CCCERA has included this section (C.5) for requirements regarding a new ECM solution and the migration of the existing CCCERA images. The intent of this section is to inform the Respondent of their responsibilities and the expectations regarding services for this project scope item.

In addition to a new Pension Administration System (PAS); CCCERA requires a new ECM imaging solution. CCCERA envisions documents will be scanned upon receipt with the image being used as the source of all

document processing. In the event various CCCERA applications, forms, documents, etc. are initiated and signed by participants via online applications, these online sources of electronic documents and transactions also must be captured.   Furthermore, CCCERA envisions that the solution will integrate fully with the participant's record held within the Pension Solution.   CCCERA envisions the Respondent's Pension Solution as being the gateway to all member data and images. The end user should be able to access a participant's document folder from within the Pension Administration System. The Pension Administration System should then provide a listing of all documents within a member's folder. These documents should be listed, opened, and viewed without exiting the Respondent's PAS solution. Furthermore, from within the member's record, the user should have access to all work processes for the given member. As an example, if the member has a pending Retirement application, this should be easily identified through integration with workflow tools. CCCERA expects these workflow tools to be fully integrated within the Pension Solution. The user should not have to exit the pension system or do anything outside of the Pension Solution with regard to processing work in the queue.

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

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

C.5.1   HARDWARE, SOFTWARE, AND DATA

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

Respondents should refer to the instructions in **Part E – Respondent Proposals** regarding how to respond to these requirements.

C.5.2   IMAGING IMPLEMENTATION SERVICES

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

- Development of an Imaging implementation plan; in coordination with the overall Project Workplan
- Defining and/or redefining the document names and other index values to be used by CCCERA
- Documenting the scanning, indexing, and QA process to be used by CCCERA
- Inventorying, uncrating, setting up, and connecting any equipment, such as scanners, a scan station, and software and ensuring that all the proposed equipment and software are fully operational. Furthermore, CCCERA expects the Imaging applications and data will be hosted, alongside the pension data. (NOTE: CCCERA would prefer an approach that repurposes any equipment that already exists). The appropriate warranties should be provided with all proposed hardware.
- Establishing the appropriate security level and access permissions / restrictions for each user on the system based on information obtained from CCCERA staff. The Respondent is also responsible for establishing system security measures necessary to protect operations against unauthorized internal or external access into the communications, servers/platforms or operating system infrastructure.
- All project management, joint application design, training, testing, documentation, and other services described throughout this RFP also applies to the scope for this project effort.
- All programming and required integration with the Pension Solution.
- User and Administrator training (i.e. administering the document base, adding new document types, removing old document types, etc.)

Respondents should refer to the instructions in **Part E – Respondent Proposals** regarding how to respond to these requirements.

C.5.3   IMAGE MIGRATION

The Respondent must propose to perform the conversion (i.e., image migration) of CCCERA existing image files and index data from the legacy imaging system to the new imaging system and image format. This section contains as much specific information as possible so that Respondents can respond to these requirements as accurately as possible. CCCERA is aware that there are numerous decisions, concessions, tradeoffs, etc. that may need to be resolved during the actual execution of the image migration. However, for proposal purposes, all Respondents should respond based on the information provided herein and note any assumptions they have made in preparing their proposals.

It is envisioned that the existing images can merely be copied over in their current format and structure; and all the Respondent will need to do is to have defined indexing attributes assigned to them (i.e., SSN, Name, Document Type, Date, etc.) as part of converting / migrating the image metadata.

However, CCCERA still requires that this effort observe a defined set of controls and procedures; including:

- Electronic handling of image-files and image data as they contain sensitive CCCERA data
- Verification and committal throughout migration effort
- Documentation on any indexing / re-indexing changes
- Quality Assurance processes and metrics on the migration process
- Load to QA environment for CCCERA verification
- Load to Production environment for CCCERA verification
- Training and assisting CCCERA with image migration questions and support

All Respondent image conversion activities will conform to the requirements and procedures set forth below.

C.5.4 Confidentiality

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

C.5.5 Migration Process and Management

The successful Respondent is responsible for the entire migration process and the management of this effort.

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

C.5.6 Quality Control / Quality Assurance

A quality assurance / control program shall be initiated and documented by the successful Respondent within at the outset of the image conversion project. The QA Plan will be provided to CCCERA for its review, feedback and approval. It will enumerate all activities and responsibilities of both CCCERA and the

successful Respondent. This plan will be maintained throughout the life of this Image Migration effort by the successful Respondent.

C.5.7 CCCERA Resources Provided

In addition to the CCCERA Project Manager, CCCERA will provide the following resources to support the image migration effort:

- Admin/HR Manager, Quality Assurance - This person will be responsible for the quality assurance of the migrated images. The Respondent is to specify in its proposal the level of effort recommended / needed for this activity.
- IT Manager, Database Admin / Network - This person will be available on an as-needed basis to help with any technical items, imaging database issues, timing of activities, etc. The Respondent is to specify in its proposal the level of effort recommended / needed for this activity.

C.5.8 Image Migration Approach Manual

Just like a conversion plan, CCCERA requires that the successful Respondent produce a formal Image Migration Approach Manual. This deliverable will contain all necessary procedures related to this activity.

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

- Extraction and Migration Process
- Image quality enhancement (if applicable)
- Image quality assurance (i.e., no loss of quality)
- Load to QA environment
- CCCERA quality assurance in QA environment
- Load to production environment
- CCCERA quality assurance in production environment
- Training and assisting CCCERA

D.   CONTRACT DOCUMENTS

D.1   CONTRACTUAL REQUIREMENTS

The successful Respondent will be required to enter into an Agreement for Services with CCCERA. The Agreement and selected key Schedules are provided as part of the RFP (see Part F Attachments – F.9 Agreement). Contractor must respond to these contract documents in accordance with the procedures and format set forth in Section E.1.1 below. CCCERA will only review issues raised on Contractor's "Issues Lists". The Agreement and its Schedules will be used as a basis for contract negotiations.

1. CCCERA will not award contracts to nor accept proposals from individuals or entities that attempt to include any of the following in the Agreement with CCCERA:

    a. Reduce or diminish the common law or statutory standard of care, make any attempt to limit liability, or reduce responsibility of the contractor for mistake, error, or negligence of any type.

    b. Attempt to limit liability for breach of contract or negligent performance to the amount of the payment to the contractor by CCCERA.

    c. Attempt to claim ownership of intellectual property created during the performance of the contract with CCCERA.

    d. Attempt to include binding arbitration agreements or waive a trial by jury.

    e. Attempt to select any forum for resolution of disputes other than Concord, CA.

    f. Attempt in any way to reallocate risk of loss by the Respondent to CCCERA.

2. CCCERA will not indemnify or provide legal defense to the Respondent for any reason associated with the Respondent's performance under this contract. CCCERA has not waived any right or entitlement to claim governmental immunity under this contract.

3. CCCERA expects a professional job, done commensurate with the standards and practices of the profession/or business. Any warranties disclaiming otherwise will not be acceptable. The product and services will not be accepted "as is".

Prior to award, the finalist(s) will be required to enter into discussions with CCCERA to negotiate the Agreement and to resolve any contractual differences before an award is made. These discussions are to be finalized and all exceptions resolved within two (2) weeks of presentation to the CCCERA Board of Trustees; if not, the Respondent's proposal may be rejected, and discussions may be initiated with other Respondents.

By submitting a proposal, each respondent acknowledges its acceptance of the Agreement without change; except as otherwise expressly stated in its proposal in accordance with Section E.1.1.

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

D.2   INVOICING, PAYMENTS AND TRACKING

PRICE: All prices offered will be firm and fixed for the term of the contract.

METHOD OF INVOICING: Invoices must be emailed in .pdf format to CCCERA based on the Signed Agreement and upon the Project Milestone Payment schedule and must include the following type of information:

- Project Number and Project Name
- Deliverable Number and Date
- Invoice Amount, Holdback Amount (i.e., taking into consideration the 15% holdback on payments), Payment Amount Due
- and Remittance Information

METHOD OF PAYMENT: Payment to be made from Contractor's invoice, and a copy of the signed delivery invoices submitted to cover items received and accepted during the billing period.

PAYMENT TRACKING: Each payment will be tied to **contractual deliverable payment points** as defined in the **Part F - Attachments F.9 Agreement, Schedule D**. Invoices for the payment points may be rendered only after each has been completed and formally accepted by CCCERA.

Respondents should refer to the instructions in **Part E – Respondent Proposals** regarding how to respond to these requirements.

D.3   CREDITS FOR REMOVED REQUIREMENTS

The RFP requirements will ALWAYS pertain unless, during the project, the users agree to eliminate an RFP requirement AND the Change Request Process will be used to manage the removal of the requirement. If CCCERA agrees to such a "reduction" in requirements during the project, the offeror will not be expected to reduce its fixed price. However, the offeror will, as part of the Change Request to eliminate the requirement, issue CCCERA a "credit memo" which estimates the dollar value of the effort that is avoided by virtue of eliminating the requirement. CCCERA will be able to apply all such credit memos to offset the cost of future Change Control Requests (CCRs).

If at a later date, CCCERA wishes to restore a requirement that it had agreed via the Change Request Process to eliminate, then that requirement is subject to a new CCR. In that event, however, the cost of the CCR cannot exceed the value of the credit memo that was earlier issued by the offeror for eliminating that requirement.

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

D.4   ADHERENCE TO CCCERA WORKPLACE POLICIES

It is anticipated that a number of the Respondent's project team will be on-site – some regularly over the course of the project; others periodically as the need arises. Regardless of their purpose in being on-site or the frequency with which they are there, all respondent staff must adhere to CCCERA workplace policies as described below.

Background Check – The Respondent shall ensure that all staff and subcontractor staff that perform work either on-site or remotely shall be subject to CCCERA "Background Security Check Policy - CCCERA Service Providers".

Building Access – In addition, any staff that work on-site shall be subject to CCCERA Building Access Policy. The CCCERA Project Manager shall be responsible for allocating building access, equipment access, and any other necessary services available from CCCERA which may be used by the respondent. Any use of CCCERA facilities, equipment, internet access, and/or services shall only be for project purposes as authorized by the CCCERA Project Manager.

Network Connection – The Respondent will be expected to provide its own personal computers which must comply with CCCERA security policies before use is allowed at CCCERA.

Health and Safety Measures – The Respondent will be expected to adhere to CCCERA Health and Safety Measures of the County, State or CDC that are in place at the time the work is being conducted onsite.

D.5   OWNERSHIP OF WORK PRODUCT AND INTELLECTUAL CAPITAL

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

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

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

■ The Respondent ceases doing business and its business is not continued by another corporation or entity

■ The Respondent files a voluntary petition or has a voluntary petition filed against it under the United Bankruptcy Code, as amended or similar insolvency statute, makes an assignment for the benefit of its creditors generally or seeks the appointment of (or has appointed involuntarily) a receiver, becomes insolvent or bankrupt, admits in writing its inability to pay its debts as they mature or taken any action for the purpose of entering into winding-up, dissolution, insolvency, bankruptcy, reorganization or similar proceedings analogous in purpose or effect thereto, or any such action is instituted against it

■ Maintenance and support for the Software is no longer available

■ The Respondent declines to provide any services that are essential to CCCERA's use of the System

D.6   EXCEPTIONS TO TERMS AND CONDITIONS

If Respondent(s) takes exception to any term or condition set forth in the Agreement and other contract documents in Part F – Attachments F.9 Agreement of this Request for Proposal, these exceptions must be clearly identified in their Proposal in Part E Tab 9 Response to Proposed Agreement in the Issues List described in Section E.1.1. Such exceptions shall be considered in the evaluation and award process. CCCERA shall be the sole determiner of the acceptability of any exception.

E. RESPONDENT PROPOSALS

E.1 FORMAT OF RESPONDENT PROPOSALS

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

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

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

The following information must appear on the title page of each copy of both your Proposal:

<div style="border:1px solid">

Contra Costa County Employees' Retirement Association (CCCERA)

Technical and Cost Proposal in Response to

Request for Proposal for
Pension Administration System

Closing date and time for submission of proposals: _____

[Name, title, address, voice, and fax telephone numbers of organization submitting proposal]

Signature _____

</div>

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

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

- Eight (8) color originals (marked as original) of the Technical / Cost Proposal.

- Two (2) Thumb Drives of the Technical / Cost Proposal; in Microsoft Word and/or Excel format – one folder containing technical proposal as submitted and another folder containing technical proposal with confidential information redacted or removed and in PDF format for any confidential proposal material).

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

The printed copies of proposals and the electronic version must be clearly labeled so as to be easily identifiable with the Respondent's submission. The Word, Excel, etc. files must be provided in an "unlocked" form that will allow CCCERA to edit, insert comments, "cut-and-paste" and annotate the documents and

spreadsheets with comments and revisions during its evaluation. Finally, we point out that CCCERA internal review of the electronic version of the response is greatly facilitated if the proposal is a single MS Word document.

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

E.1.1 TECHNICAL PROPOSAL FORMAT

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

Table of Contents

Tab 1 Company History, Experience, and Qualifications

Tab 2 Project Staffing, Experience and Resumes

Tab 3 Solution Overview, Hosting and Ongoing Support / Maintenance

Tab 4 Response to Functional Requirements

Tab 5 Response to Technical Requirements

Tab 6 Response to Project Management / Service Requirements

Tab 7 Response to ECMS (Imaging) System and Image Migration Process

Tab 8 Pricing

Tab 9 Response to Proposed Agreement

Tab 10 Assumptions

Tab 11 Exceptions

Tab 12 Company References

Attachment 1 Respondent's Annual Financial Report

Attachment 2 Comprehensive List of all Documentation to be delivered

Attachment 3 Samples of Application Documentation

Attachment 4 Menu and Screen Snapshots

Attachment 5 High-Level Workplan

Attachment 6 Sample Test Plan

Attachment 7 List of Standard Reports

Attachment 8 Report Samples

Attachment 9 Sample of Project Status Reports

Attachment 10 Respondent's SOC Report

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

Tab 1 Company History, Experience, and Qualifications

Please provide details about your company history, experience and qualifications. The Respondent must provide basic information about its organization, including the following:

■ The names, titles and length of tenure of the top five officers of the company (or its subsidiary or operating division responsible for this project). For any whose time in the position is less than a year, provide the name of his or her predecessor and the reason for the change in position

■ Any change in the ownership status of the company in the past three years (or any forthcoming change)

■ Company and product visions; must demonstrate commitment to product life and enhancement for at least eight years

The Respondent must provide a representative client list, that includes the year implemented or it should be noted if the project is still in progress.

The details of Respondent's experience relevant to the project shall include a summary of the Respondent's experience in implementing new, integrated pension administration systems for defined benefit, public employee retirement systems.

CCCERA is interested in the financial security and strength of the Respondent's company so please include such information accordingly as Attachment 1 to the Proposal. CCCERA reserves the right to request the Respondent's current and two previous years' audited financial statements, including consolidated balance sheets and income statements (statement of profit and loss); however, these items are not required at this time as part of the Respondent's Proposal.

Identify any legal actions, lawsuits, arbitration or formal protests related to public employee retirement systems projects in which the Respondent is currently involved as a defendant at the time the proposal is submitted. Additionally, identify any other such actions in which the Respondent has been involved during the past five (5) years.

Any delisting of Respondent's stock must be disclosed and described.

Any changes in corporate ownership, changes in CEO, CFO, or COO in the past 5 years or projected in the next six (6) months must be described.

The Respondent must inform CCCERA if any site used as a reference has a financial relationship with the Respondent whereby the client may receive <u>any</u> sort of compensation, including but not limited to reduction in fees, commission, and/or credits based on references leading to sales of Respondent's software, hardware, other products, or services.

The Respondent must summarize the percentage of its organization's current revenue that is derived from retirement system solution implementations (and, as a separate calculation, the percentage of revenue derived from retirement system consulting, actuarial engagements, and the like). Similar information must be provided for each of the previous two (2) years.

The Respondent should provide their most recent System and Organization Control (SOC) report. CCCERA will make this available to their Auditors upon request. Include the SOC report as Attachment 10 of the Technical Response.

NOTE: The above reference to financial statements does not need to be provided in hard copy format. An electronic copy will suffice.

Tab 2 Project Staffing, Experience and Resumes

Please provide an overview of your proposed project staffing; including team member experience and resumes. If Respondent is to use subcontractors/temporary staff to augment their staff, clearly indicate the subcontracting firms in this section. This section of the proposal must include the qualifications of the project manager and staff to be assigned to accomplish this project. The Respondent must designate a single project manager to represent and oversee the project. This person will serve as the focal and contact point for all business matters relating to the project.

The Respondent must provide a list of all the Key Personnel to be assigned to any part of the project. Respondents are encouraged to specifically identify additional project staff members if possible. The assigned staff should be identified using the Proposed Staffing Table below:

Table 9 Proposed Staffing Table

Role	Staff Name	Company Name / Location	CCCERA Key Personnel?	Assigned for Entire Project?	% of Time Assigned to CCCERA Project	% Onsite	Years with Company	Years of Pension Experience
Project Manager			Ex: Yes or No	Ex: Yes or No	%	%		
Lead Analyst								
Etc.								
Etc.								

Respondents shall also include the resumes of all Key Personnel (project manager, lead analyst, and the other key staff), and any other proposed staff members who are identified by name in the proposal. Those resumes must describe in detail the employee's experience in similar efforts as well as past education and training.

Tab 3 Solution Overview, Hosting and Ongoing Support / Maintenance

Please provide detailed information about your proposed PAS and ECMS solutions that differentiates your solutions from your competitors; including your solution's history, current state of technology and features; as well as future plans, upgrades and enhancements. With regard to upgrades, please explain how you plan to provide upgrades to your clients and how your solution has evolved since its inception.

It is important to CCCERA to understand the total cost of ownership over the course of a ten (10) to twelve (12) year period. Please describe how you price upgrades and provide examples of clients who have upgraded from one version to the next.

In addition, CCCERA is extremely interested to understand your proposed Hosting solution, how the relationship is managed with the hosting provider, and the details surrounding related security and testing. Please provide details about your hosting services, location and your ongoing support / maintenance approach and strategy.

In addition, the Respondent must provide the following:
- Comprehensive List of All Documentation to Be Delivered in Attachment 2 of the Technical Proposal
- Samples of Application Documentation in Attachment 3 of the Technical Proposal

- Sample Menu and Screen Snapshots in Attachment 4 of the Technical Proposal
- List of Standard Reports in Attachment 7 of the Technical Proposal
- Report Samples as Attachment 8 of the Technical Proposal.

Tab 4 Response to Functional Requirements (RFP Part F.1)

Please complete **Part F - Attachments F.1 Functional Requirements** in your response to this section. Respondents should designate and respond with either a "We Agree" or "Not Met" as to whether the requirement or rule can be implemented or if the Respondent **cannot** meet the requirement. If this column is left blank in a Respondent proposal, CCCERA will assume it is part of the solution and respondent agrees to provide. Also, designate Base or Custom for each requirement that will be met. Any Respondent explanation or reference or note needed can be included by the Respondent in the column provided.

All Respondent assumptions must be listed in Tab 10 of this RFP and exceptions to any of the requirements must be listed in Tab 11 of this RFP.

The new PAS and ECMS solutions are required to provide:

- Existing functionality that must be reproduced, albeit with a greater degree of automation and integration, with improved business processes, and with an improved degree of user and customer satisfaction; and

- Functionality to support the execution of all processes (business rules) required in accordance with enabling CCCERA business, policies, plan provisions / rules, etc. that are in effect on the day of contract execution; and

- The envisioned **Part F - Attachments F.1 Functional Requirements** that must be developed with a high degree of automation, integration, and improved business processes

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

The functional areas contained in **Part F - Attachments F.1 Functional Requirements** are the following:

• Accounting	• Interest Processing
• Activity Tracking	• Interfaces and Integration
• Annual Statement	• Knowledge Management
• Audit & Security	• Member Portal
• Beneficiary Maintenance	• Member/Employer Education
• Benefit Estimates	• Member/Pensioner Maintenance
• Benefit Processing and Calculations	• Payroll
• Business Rules	• Payroll & Other Payments
• Call Center	• Portal Management
• Correspondence	• Power of Attorney
• CRM	• Purchase of Service
• Death	• QDRO & Court Orders
• Disability	• Reciprocity
• Employer Reporting	• Records Management
• Enrollment	• Refund
• Funds Management	• Report Management
• General	• Reporting & Querying
• Hearing Administration	• Return to Work
• Imaging	• Statistical Reporting

| • Insurance | • Tax Reporting |
| | • Workflow |

CCCERA believes that the table-oriented approach described above for presentation of functional requirements is an appropriate method for succinct description of the requirements and for the Respondent's response. However, the approach does not provide CCCERA with a "feel" for how the functionality is provided. Therefore, the Respondent must (in addition to completing the matrix), provide a narrative description of the functionality provided and how their solution supports those functional areas. This narrative should not exceed 10 pages.

Tab 5 Response to Technical Requirements (RFP Part F.2)

Respondents are encouraged to present solutions that embrace enabling technologies. The solution proposed for CCCERA must generally reflect the capabilities available to the most technologically enabled public retirement systems. CCCERA desires proposals based on modern industry practices (i.e., open solutions, modern database management capabilities, highly secure, and user-friendly interfaces).

Please complete **Part F - Attachments F.2 Technical Requirements** in your response to this section. Respondents should designate and respond with either a "We Agree" or "Not Met" for each requirement. If this column is left blank in a Respondent proposal, CCCERA will assume that this item is being agreed to and will be met. Any Respondent explanation or reference or note needed can be included by the Respondent in the column provided.

All Respondent assumptions must be listed in Tab 10 of this RFP and exceptions to any of the requirements must be listed in Tab 11 of this RFP.

The broad primary technical areas contained in **Part F - Attachments F.2 Technical Requirements** are the following:
• Data
• ECMS Integration
• General
• Hardware
• Operations and Maintenance
• Security
• Software
• Standards / Framework
• Technical Architecture
• User Interface

CCCERA believes that the table-oriented approach described above for presentation of technical requirements is an appropriate method for succinct description of the requirements and for the Respondent's response. However, the approach does not provide CCCERA with a comprehensive understanding of the entire technical aspects of the solution proposed. Therefore, the Respondent must (in addition to completing the matrix), provide a narrative description and/or diagrams of the technical capabilities of the proposed solution. This narrative should not exceed 5 pages.

Tab 6 Response to Project Management / Implementation Service Requirements (RFP Part F.3)

CCCERA has identified several project management and implementation services that are of importance in selecting a Respondent. These requirements have been accumulated under a single heading - Project Management / Implementation Service Requirements. The intent of this section is to inform the Respondent

of their responsibilities and the expectations for their conduct over the duration of the relationship with CCCERA.

Please complete **Part F - Attachments F.3 Project and Service Requirements** in your response to this section. Respondents should designate and respond with either a "We Agree" or "Not Met" for each requirement. If this column is left blank in a Respondent proposal, CCCERA will assume that this item is being agreed to and will be met. Any Respondent explanation or reference or note needed can be included by the Respondent in the column provided.

All Respondent assumptions must be listed in Tab 10 of this RFP and exceptions to any of the requirements must be listed in Tab 11 of this RFP.

The broad primary Project Management / Implementation Service areas contained in **Part F - Attachments F.3 Project and Service Requirements** are the following:
- Relationship
- Project Personnel
- Project Plan
- SDLC
- Project Start-up
- Requirements
- Infrastructure
- Roll-Out
- Training
- Implementation
- Warranty
- Project Support

CCCERA believes that the table-oriented approach described above for presentation of project management / service requirements is an appropriate method for succinct description of the requirements and for the Respondent's response. However, the approach does not provide CCCERA with a comprehensive understanding or feel of the respondents project management strategies, techniques and approaches offered. Therefore, the Respondent must (in addition to completing the matrix), provide a narrative description; along with any supporting graphics, diagrams, tables, etc. showcasing their overall Project Management capabilities and how their approach is proven, and been used on other projects.

Include in this section, the proposed software development lifecycle and project management methodology allowing CCCERA to understand how a requirement will be elaborated, designed, developed and tested. Understanding how quickly and often testable features will be provided is of importance.

CCCERA has minimal Technical staff therefore it is important for CCCERA to understand how this project will be managed, including IT related activities, the need for CCCERA IT resources throughout the project. This narrative should not exceed 10 pages.

In addition, the Respondent must provide the following:
- High-Level Workplan in Attachment 5 of the Technical Proposal
- Sample Test Plan in Attachment 6 of the Technical Proposal
- Previously used Project Status Report for a similar project in Attachment 9 of the Technical Proposal.

Tab 7 Response to ECMS (Imaging) and Image Migration Process

Please provide additional information about either your Imaging functionality inherent and included within your PAS solution (or) details about the separate 3rd party ECMS (Imaging) solution that you are proposing.

Respondents in this section must confirm their overall understanding of this effort as well as provide details as to their experience and approach to be taken to complete this effort. Any subcontractors / temporary staffing envisioned by the respondent should be clearly explained in this section.

Please also provide details about the Image Migration process you are proposing along with any sample materials and expectations regarding CCCERA involvement / resources required; including any needed office space and/or equipment. In addition, any recommendation about the number and type of new scanners needed should also be included. This narrative should not exceed 5 pages.

All Respondent assumptions must be listed in Tab 10 of this RFP and exceptions to any of the requirements must be listed in Tab 11 of this RFP.

Tab 8 Pricing

The pricing shall identify the costs for purchasing, licensing, and implementing the total solution, along with five (5) years of post-implementation / hosting cost (of the full solution, post final implementation). The provided costs should be inclusive of all costs over the phases defined. It is recognized that post-proposal negotiation with CCCERA and initial efforts by the Respondent may result in some modifications to the by-phase costing contained in the proposal.

Adherence to and consistency with the workplan are considered critical acceptance criteria for any phase. The Respondent should bear in mind the specific terms and conditions presented when preparing its pricing information. In addition, CCCERA provides the following reminders:

- Respondents must include in the pricing a summary, by staff position, of the number of hours and the hourly rate for all contractor support services included in the proposal.

- Respondent's pricing information will be evaluated on the basis of its consistency with the information provided in the Respondent's proposal. All calculations in Respondent's pricing will be verified for correctness.

- Although the lowest overall price may not necessarily be the primary determining factor for award, CCCERA shall make every effort to substantiate prices for products and services to ensure that those prices are considered fair and reasonable.

- Any proposal that does not meet the requirements outlined in the RFP and in the points above, or for which a fixed-dollar amount cannot be precisely determined may be considered a non-responsive proposal and may be rejected by CCCERA.

For terms relating to invoicing and payments, please refer to Part D.2.

Schedules for presenting the Respondent's cost bid are described below. The described schedules are Excel spreadsheets that are provided as a single Excel workbook accompanying the RFP for the Respondent's convenience, as **Part F - Attachments F.8 Respondent Cost Proposal Template** (and available as an Excel workbook file). All subtotals and totals will be computed automatically (but should be confirmed by the Respondent before submission). Respondents should add line items to the cost schedules as necessary to include all project costs and suitable breakdowns.

CCCERA BID SUMMARY

On this worksheet, fill in the Respondent name. All other entries will be automatically populated based on the Respondent entries in Schedules 1 through 5.

SCHEDULE 1 – HARDWARE COSTS FOR MANDATORY PROJECT ELEMENTS

Though CCCERA has asked for a Hosted Solution, we understand there maybe additional hardware needed to connect to the site or required upgrades to workstations, scanners, or printers. If there are no such

proposed items, this worksheet will be blank. Enter all hardware components required to affect the mandatory portion of the proposed solution.

SCHEDULE 2 – SOFTWARE COSTS FOR MANDATORY PROJECT ELEMENTS

Enter all software products required to affect the mandatory portion of the proposed solution. Distinguish software that already exists at CCCERA versus upgrades required to existing software versus new software products. Include all required products such as middleware, operating systems required for in-house machines, software tools, and other office suite software.

SCHEDULE 3 – IMPLEMENTATION SERVICES

This schedule consists primarily of service-related costs to implement the mandatory portion of the proposed solution. For each area of service section (e.g., Project Initiation and Startup, Hosting Setup, ECMS Implementation, etc.) list the applicable staff positions, number of hours, and hourly rates. Hourly rates must be fully loaded to capture all direct and overhead expenses, travel, per diem, and any other travel-related expenses.

For most service categories, therefore, it is expected that hours will be entered only for the implementation period, and no entries will be made in the columns designated "12 Mo Warranty Period." The only exception is the *LOB Application Software Warranty* section, for which the only entries should be in the "12 Mo Warranty Period" columns.

At the bottom of the schedule, enter the following incremental costs where indicated:

- Hourly rate used for change orders for application related changes

- Any other increment cost items.

This schedule should also include all costs associated with the implementation of the ECMS (Imaging) solution and the costs of Image Migration.

SCHEDULE 4 – RECURRING COSTS

CCCERA expects that there will be ongoing costs related to the Pension systems, including ECMS, (i.e. support, licensing and maintenance). Some of these costs may extend into the post implementation periods. Additionally, CCCERA is aware that hosting costs will continue as long as the solution is hosted. All of these costs should be included on this worksheet and will automatically populate the Bid Summary.

SCHEDULE 5 – PROJECT PAYMENT SCHEDULE

This section should include the completed cost schedule and present the expected payment items and payment amounts for the defined payment points throughout the project. In order to efficiently manage the project finances and so as not to have significant overhead involved in the tracking of an abundance of service related payments over the course of the project, the Respondent should provide and propose a reasonable number of payment points in response to this section. CCCERA recommends that there should be no more than twenty (20) implementation service-related payments for this effort. CCCERA understands that frequent, reoccurring hosting payments and other such items may be excluded from that limit.
Respondent should include the completed Cost Proposal Template, including Bid Summary and Schedules 1 through 5, in Tab 8 of the Technical Response.

Tab 9 Response to Proposed Agreement

Responses to the Agreement and other contract documents must meet the following:

1. **Issues List** – A detailed paragraph-by-paragraph, contract clause-by-contract clause description of any issues or concerns that Respondent may have with the Agreement ("*Issues List*"). If Respondent objects to a particular paragraph or clause, then Respondent will need to further

describe, in business terms and not in proposed language, the nature of its concern and what terms Respondent is willing to accept. The Issues List shall provide the reason or rationale supporting the item of concern and/or counter response. Simply stating that a paragraph is "Not Acceptable" or proposing alternative contract terms without describing in business language the reason or rationale may be considered non-responsive. If Respondent does not identify specific concerns with a particular paragraph or contract clause, CCCERA will consider the paragraph and/or clause acceptable. Respondent shall also provide a description of the business benefit to CCCERA for the proposed language changes.

The samples below illustrate both <u>acceptable</u> and <u>non-acceptable</u> forms of responses. The format labeled "Acceptable" should be followed in Respondent's response. Responses that reflect or contain content that mirror the non-acceptable samples may be considered non-responsive be reviewed by CCCERA. The Issues List is to be provided to CCCERA in this Tab 9 of the Technical Proposal in Microsoft Word format.

2. **Redlined Documents Will Not Be Accepted –** Do not provide a redlined Agreement, paragraph or clauses back to CCCERA. Redlined text would only require CCCERA to make potentially inaccurate assumptions about what Respondent's specific issues or concerns might be. Redlined text will not be reviewed by CCCERA.

3. **No Standard Respondent Form Contracts** – Do not provide a copy of the Respondent's standard contract or SOWs to CCCERA. CCCERA will be using the enclosed Agreement and key Schedules in negotiations with the Respondent that wins the award.

ISSUES LIST – SAMPLE

FORM OF ACCEPTABLE RESPONSE

ITEM #	REFERENCE #	ISSUE	RESPONDENT PROPOSED SOLUTION/RATIONALE AND BENEFITS OF PROPOSED SOLUTION TO CCCERA
1	Section 20.11	Governing law – California	Respondent proposes using New York law as the applicable State law. **Rationale**: New York is the location of company's headquarters. **Benefit to CCCERA:** Reduced overhead costs passed on to CCCERA

UNACCEPTABLE FORM OF RESPONSE

ITEM #	REFERENCE #	ISSUE	RESPONDENT PROPOSED SOLUTION/RATIONALE AND BENEFITS OF PROPOSED SOLUTION TO CCCERA
1	Section 20.11	Governing Law - California	*14.13 Governing Law; Exclusive Jurisdiction.* This Agreement shall in all respects be interpreted under, and governed by, the internal laws of the State of ~~California~~ New York including, without limitation, as to validity, interpretation and effect, without giving effect to ~~California's~~ New York's conflicts of laws principles.

REASONS WHY FORM IS NOT ACCEPTABLE:
1.   Redlined response
2.   Replacement paragraph response (belongs in redline)
3.   No business discussion on why Section 20.11 is not acceptable
4.   No reason or rationale of the concern is provided
5.   No benefit to CCCERA noted

TAB 10 ASSUMPTIONS

In this section, the Respondent must identify and discuss all assumptions it has made in preparing its technical and cost proposals. Further, the Respondent must state that there are no further assumptions related to meeting requirements of the RFP other than those enumerated in this section of the proposal.

Please include any assumptions you have made with regard to facilities to be provided by CCCERA for office space and meeting / training rooms as well as availability of CCCERA human resources.

Any assumptions mentioned elsewhere in the Respondent's proposal will not be valid unless they are also listed in this section.

In setting forth their assumptions, Respondents should note the difference between "assumptions" and "exceptions" and take care that no **exceptions** to the RFP's requirements are included. Valid "assumptions" are suppositions made by the Respondent about issues on which the RFP is silent. "Exceptions" are suppositions made by the Respondent that contradict, or fail to conform with, one or more of the requirements stated in the RFP. Any items that are actually exceptions to the RFP's requirements, but misrepresented by

the Respondent as assumptions in will be treated as exceptions by CCCERA – and will, due to the misrepresentation, have a greater negative affect on the Respondent's technical score than would be the case had the item been correctly classified by the Respondent as an exception.

TAB 11 EXCEPTIONS

In this section of the proposal the offer must provide any exceptions to the contents of the RFP except for those items relating to the CCCERA Agreement. See instructions in Tab 9 for completing an Issues List for submitting issues/concerns with the Agreement.

For each exception listed in this Tab 11, the Respondent is required to document the supposition made by the Respondent that contradict or fail to conform with a requirement as stated in the RFP.

Any exceptions, except those listed in the Tab 9 Issues List for the Agreement issues/concerns, mentioned elsewhere in the Respondent's proposal will not be valid unless they are also listed in this section.

TAB 12 COMPANY REFERENCES

Please provide the names / companies of at least 3 similar projects. Minimally, two of the three projects should be complete and the third must be near completion. Also, include a company reference for any project used to meet the Project Manager minimum qualifications. The reference must include:

■ Organization Name

■ Client Contact Name, Address, and email

■ Project Scope Description

■ Similarities to CCCERA project

■ Planned versus actual duration

■ Planned versus actual cost

ATTACHMENTS

In addition to the above-mentioned Tab responses; CCCERA requires the following attachments from the Respondent and has individually listed and numbered them for convenience.

ATTACHMENT 1   **RESPONDENT'S FINANCIAL INFORMATION**

ATTACHMENT 2   **COMPREHENSIVE LIST OF ALL DOCUMENTATION TO BE DELIVERED**

ATTACHMENT 3   **SAMPLES OF APPLICATION DOCUMENTATION**

ATTACHMENT 4   **MENU AND SCREEN SNAPSHOTS**

ATTACHMENT 5   **HIGH-LEVEL WORKPLAN**

ATTACHMENT 6   **SAMPLE TEST PLAN**

ATTACHMENT 7   **LIST OF STANDARD REPORTS**

ATTACHMENT 8   **REPORT SAMPLES**

ATTACHMENT 9   **SAMPLE OF PROJECT STATUS REPORTS**

ATTACHMENT 10   **RESPONDENT'S SOC REPORT**

E.2 PROPOSAL EVALUATION

The evaluation and the Respondent's selection process will be based on "best value". This procurement method will be used so as to result in the "best buy" for CCCERA in terms of the functions to be performed.

The Evaluation Committee may request written clarifications of any offer received. However, CCCERA in its sole discretion may refuse to accept in full or partially the response to a clarification request given by any Respondent.

Respondents are cautioned that the evaluators are not required to request clarifications; therefore, all offers should be complete and reflect the most favorable possible terms. CCCERA may elect to conduct negotiations with one or more Respondents and make requests of Respondents as may be necessary or proper for best and final offers (BAFOs).

The best and final offers must be received at the same address identified in the Proposal Submission requirements at a time and date to be specified by CCCERA. If a best and final offer is not submitted, the previous submittal will be construed as the best and final offer. Final ranking of responses and award of the contract will be made after CCCERA reviews all bids and completes its evaluation, including the evaluation of best and final offers, if they are requested.

E.2.1 SCORING METHODOLOGY

The Evaluation Committee, consisting of CCCERA personnel, will use any or all of the following categories in developing a scoring mechanism for this RFP prior to receipt of proposals. All information provided by the Respondents, as well as any other information available to the Evaluation Committee, will be used to evaluate the proposals.

- Cost
- Technical Requirements
- Functional Requirements
- Vendor qualifications, references, market presence, staffing

- Warranty and maintenance support

- Proposed services/products (implementation, training, project management, documentation)

- Project Workplan

- Value-Add

Each category included in the scoring mechanism is assigned a weight between one (1) and one hundred (100). The sum of all categories, other than Value-Add, will equal one hundred (100) possible points. Value-Add is defined as product(s) or service(s), exclusive of the stated functional and technical requirements and provided to CCCERA at no additional charge, which, in the sole judgement of CCCERA, provide both benefit and value to CCCERA significant enough to distinguish the proposal and merit the award of additional points. A Value-Add rating between zero (0) and five (5) may be assigned based on the assessment of the Evaluation Committee. These points will be added to the total score.

E.2.2   EVALUATION METHODOLOGY SUMMARY

Presented herein is an overview of the evaluation methodology that is being used for this procurement.

Evaluation Committee

An Evaluation Committee has been established consisting of CCCERA management. When the Committee has completed the evaluation process, the Evaluation Committee will make a recommendation for approval to the Board of Trustees.

Initial Activities

When the proposals are submitted, they will be evaluated and responses scored. The highest-rated Respondents from this assessment will be further evaluated.

Presentations and Product Demonstrations

At the discretion of CCCERA, the Evaluation Committee may request onsite presentations, demonstrations or discussions with any and all Respondents for the purpose of system overview and/or clarification or amplification of information presented in any part of the proposal, including the items in Tab 10 Assumptions and Tab 11 Exceptions. Respondents are cautioned that the Evaluation Committee is not required to request presentations, demonstrations, or clarifications; therefore, all proposals should be complete and concise and reflect the most favorable terms available from the Respondent.

If requested, Respondents must be prepared to make onsite demonstrations of system functionality including security and/or proposal clarifications to the Evaluation Committee and its affiliates within seven (7) calendar days of notification. Each presentation must be made by the Project Manager being proposed by the Respondent to oversee implementation of the project.

Proposed Key Personnel must be present at the onsite demonstration. The Evaluation Committee reserves the right to interview the Key Personnel during this onsite visit. Key Personnel must include the staff identified as Key Personnel in the Staffing Table provided in Tab 2 of the Technical/Cost Proposal.

Site Visits

At CCCERA's option, Respondents that remain within a competitive range must be prepared to provide a reference site within seven (7) calendar days of notification. If possible, the reference site should be in the Western region of the United States.

Demonstration Copy

For evaluation purposes, Respondent must provide a demonstration copy of the proposed software product. Appropriate system, administration, and user documentation must be provided for evaluation. Access to a demonstration version of the product on the Respondent's website also meets this requirement. If available on website, Respondent must provide the appropriate web address along with any security access, if needed.

Best and Final Offers

At CCCERA discretion, best and final offers (BAFOs) may be solicited.

After best and final offers are received, final evaluations and negotiations will be conducted for an award.

Negotiations

Negotiation is the last step in selecting the apparent winner. CCCERA will initiate negotiations with the top-rated Respondents. If negotiations with the highest ranked Respondent cannot be concluded to CCCERA satisfaction, CCCERA will initiate negotiations with the next lower ranked Respondent.

Upon the successful conclusion of negotiations, the winning Respondent will be announced.

F.   ATTACHMENTS

F.1   CCCERA FUNCTIONAL REQUIREMENTS

Please refer to the RFP file Part F.1 Functional Requirements.xls

F.2   CCCERA TECHNICAL REQUIREMENTS

Please refer to the RFP file Part F.2 Technical Requirements.xls

F.3   CCCERA PROJECT AND SERVICE REQUIREMENTS

Please refer to the RFP file Part F.3 Project and Service Requirements.xls

F.4   CCCERA CONSOLIDATED ANNUAL FINANCIAL REPORT (CAFR)

This information is located at www.cccera.org

F.5   CCCERA LEGACY GENERAL AND LEGACY SAFETY HANDBOOKS

This information is located at www.cccera.org

F.6   CCCERA PEPRA GENERAL AND PEPRA SAFETY HANDBOOKS

This information is located at www.cccera.org

F.7   CCCERA PARTICIPATING EMPLOYER HANDBOOK

This information is located at www.cccera.org

F.8   RESPONDENT COST PROPOSAL TEMPLATE

Please refer to the RFP file Part F.8 Cost Proposal Template.xls

F.9   AGREEMENT

Please refer to the RFP file Part F.9 Systems Integration Agreement and Schedules folder.