Ohio | Public Utilities Commission

OHIO MOTOR CARRIER INFORMATION SYSTEM (OMCIS) FORFEITURE MODULE

REQUEST FOR QUOTE (RFQ)

STATE TERM SCHEDULE

RFQ NUMBER: **PUCO20111031**

DATE ISSUED: **OCTOBER 31, 2011**

The Public Utilities Commission of Ohio is requesting quotations from offerors who hold State Term Schedule Contracts with the State of Ohio, to redesign and enhance the Commission's Ohio Motor Carrier Information System (OMCIS) Forfeiture module.

QUOTATION DUE DATE AND TIME:	**11/18/2011, 1:00 P.M., EST**
SEND QUOTATIONS TO:	Public Utilities Commission 180 East Broad St. Columbus, OH 43215-3793 Attn: Krish Krishnasamy, Mark Holderman
INQUIRY PERIOD BEGINS:	11/7/2011
INQUIRY PERIOD ENDS:	11/16/2011
OPENING DATE:	11/18/2011
CONTRACT AWARD DATE:	12/9/2011
CONTRACTOR BEGINS WORK:	12/16/2011

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PART ONE: PURPOSE, SCOPE OF WORK AND DELIVERABLES

1.0 PURPOSE

The Public Utilities Commission of Ohio (PUCO, Commission) is seeking quotations from Offerors for the development of its Forfeiture module component of the Ohio Motor Carrier Information System (OMCIS). The Forfeiture module is one component of OMCIS and must integrate with other modules within the system.

The successful Contractor will submit pricing at or below their maximum State Term Schedule rates. The Contractor selected for this project will also meet all of the requirements listed in this document, and will provide the most satisfactory solution, as determined by the evaluation team, at the lowest price. The work will be performed under contract between the Contractor and the State of Ohio.

2.0 OVERVIEW

2.1 OMCIS

This is a multifaceted system designed to allow motor carriers, the public and state staff the ability to transact business related to motor carrier safety and credentialing via a single online source. This system must provide a full range of electronic services and for the first time permit motor carriers, the public and state staff to view carrier documents, information, inspection reports and other information as well as conduct electronic business including credentials administration and online payments for both penalties assessed to carriers as well as for taxes/fees paid and permits issued. To address each of these items, the OMCIS system would contain Portal, Registration, Civil Forfeiture, Payment and Insurance modules. All these modules must be web based applications that must permit users varying levels of access based upon their specific profiles and system authorities.

2.1.1 Portal Module

The Portal must offer users the ability to transact business online in real time and serve as the hub for all other modules. At the same time it must also serve as the starting point for the collection of basic demographic and contact information about a carrier, its staff and those entities such as process agents and insurance companies that may transact business on their behalf. In addition, the portal must also serve as the interface between states and federal databases.

2.1.2 Registration Module

The Registration module must serve as the primary tool carriers conduct business with the state to register their operations. Access to this module must be initiated via the portal where basic information will either be entered or verified and once completed, move over to the registration module. In addition, to permitting carriers to conduct online registration, the module must also serve as the interface for state staff to process over the counter, mail and fax registrations.

2.1.3 Payment Module

The Payment module must permit carriers to submit payments for not only registration transactions but also civil forfeitures. The payment module must be integrated into both the registration and forfeiture modules and track all forms of payments associated with a specific carrier.

2.1.4. Insurance Module

The Insurance module must streamline and simplify the process for allowing insurance companies to file proof of insurance or cancellation of policies on behalf of motor carriers.

2.1.5 Civil Forfeiture Module

Currently the PUCO utilizes a 20 plus year old computer system that was programmed in COBOL and resides on a VAX machine that must be shut off as soon as possible. The current system has been kept operational for a number of years but it is essential a replacement be implemented soon due to the vastly outdated software and hardware.

The core functionality of the Civil Forfeiture module will be to enable the tracking and online access of information related to carrier/driver forfeiture cases. Unlike the current system where only an authorized user on a dedicated terminal can access and view information, the new Civil Forfeiture module must be accessible from any machine with web access. Furthermore, even the public must be able to view basic information about cases reducing volumes of inquiries that today must all be via phone, email, or fax. Finally, the Civil Forfeiture module must be designed to be interactive in nature and will be tied to the portal, registration, payment and carrier demographic modules. That means carriers, staff and the public will be able to see a full picture of a carrier and not have to go to separate sources or in some cases physically appear at a specific location to resolve issues.

The Civil Forfeiture module must provide a means for which motor carriers and drivers will be able to conduct business electronically with the PUCO as it relates to Civil Forfeitures. This module must allow internal PUCO staff to review, analyze, and assess violations, send letters to notify carriers of assessments, schedule conferences to hear and resolve disputes over assessments, permit carriers to make online payments, and allow companies to view case histories as they relate to forfeiture cases.

2.2 Strategy

OMCIS as a whole is a massive undertaking that seeks to re-design current PUCO computer systems and implement new ones at the same time. Although the state is on track to implement the first phase of the OMCIS system in October, 2011, we realize that utilizing the staff available could take years before all of the components are done. We believe that a development contract would allow the state to accelerate this process significantly by developing both the OMCIS Registration and OMCIS Forfeiture modules simultaneously. Since the OMCIS Portal is for the most part complete and the Registration module is closely linked to it and in many instances will utilize the same design elements, we believe the most appropriate avenue is to seek a contractor to implement the Civil Forfeiture module and allow the same PUCO staff that worked to develop the OMCIS Portal to focus their efforts on the OMCIS Registration system.

Under a prior federal grant, the State of Ohio developed a System Requirements Specification (SRS) document for the entire OMCIS project. The SRS covers the specific requirements for all OMCIS modules and has been written in IEEE recommended practice for software requirements. It includes functional requirements, top level design, user interface and database layout. Although the SRS is fully documented, the User Interface (UI) Look and Feel is subject to change, and may require rearranging and/or regrouping the underlying design and code layers to accommodate the UI changes. We expect that the UI changes may require 20% change to the underlying design and code layers as defined in the SRS.

3.0 SCOPE OF WORK AND DELIVERABLES

The scope of this RFQ is fully discussed in the Systems Requirements Specification – Forfeiture I1-I4 document along with the supplemental supporting documents contained in the appendices, incorporated by reference. The following deliverables are more fully explained in the cited document.

3.1 Functional Requirements

The following are the functional requirements for completing the OMCIS Forfeiture module. Citations are references to the item as listed in the designated document.

<u>Forfeiture iterations I1-I2 Functional Requirements</u>

2.2.1 Add Inspection Record
2.2.2 Mark Inspection as being Hazmat or Not
2.2.3 Add Hazmat Violations
2.2.4 Assess Non-Hazmat Violations

2.2.5 Non-Hazmat History process Bad Carriers
2.2.6 Non-Hazmat History process Good Carriers
2.2.7 Hazmat History Process
2.2.8 Non-Hazmat Violations
2.2.9 Hazmat Assessment Worksheet Process
2.2.10 Send Letter Process
2.2.11 "G" Letters Certified Process
2.2.12 Returned Mail

<u>Forfeiture iterations I3-I4 Functional Requirements</u>
2.2.1 Request for Conference 1.10
2.2.2 Hold Conference 1.11
2.2.3 Settlement Agreement Letter Process 2.4
2.2.4 NPD Letter Process 2.3
2.2.5 Admin Hearing Process 2.2
2.2.6 Show Cause Process 2.1

3.2 System Events and Use Cases

The following are the system events and use cases requirements for completing the OMCIS Forfeiture module. Citations are references to the item as listed in the designated document.

<u>Forfeiture Iterations 1-2 Use Case Document</u>
3.1.1 Import Inspections
3.1.2 Process Inspection Records
3.1.3 Import Errors
3.1.4 Inspections Awaiting Hazmat Assessment
3.1.5 Search Inspections
3.1.6 View Inspection
3.1.7 Edit Inspection
3.1.8 View/Edit Inspection Comments
3.1.9 Hazmat Assessment
3.1.10 Non-Hazmat Assessment
3.1.11 View/Edit Respondent Inspection Comments
3.1.12 Add Violation
3.1.13 Edit Violation
3.1.14 Delete Violation
3.1.15 Request for More Information
3.1.16 View/Attach Response
3.1.17 Edit Respondent Address
3.1.18 Search Respondent
3.1.19 Send Letter Process
3.1.20 Print Letters

3.1.21 Hazmat History Process
3.1.22 Non-Hazmat Bad History Process
3.1.23 Non-Hazmat Good History Process
3.1.24 Mark Respondent Inspections to be sent as Certified.
3.1.25 Certified Mail Process
3.1.26 Returned Mail Process
3.1.27 View Send Letter Errors

Forfeiture Iterations 3-4 Use Case Document
3.1.1 View/Send Letters
3.1.2 View/Edit Comments
3.1.3 View/send email
3.1.4 Request for Conference
3.1.5 Inspections Awaiting RFC Approval
3.1.6 Generate Conference Letter
3.1.7 Post Conference Review
3.1.8 Inspections Awaiting Post Conference Review Approval
3.1.9 Inspections Awaiting Post Conference Completion
3.1.10 Settlement Agreement Process
3.1.11 Generate Settlement Letter
3.1.12 Notify Transportation Legal Council
3.1.13 NPD Letter Process
3.1.14 NPD Letter Generation
3.1.15 Admin Hearing Process
3.1.16 Show Cause Process
3.1.17 Generate Show Cause Letter
3.1.18 Generate Commission Order Letter
3.1.19 Send to AG for Collections
3.1.20 Change Respondent Inspection Status
3.1.21 Put Collection Hold
3.1.22 Remove Collection Hold

3.3 Application Design

The following are the application design requirements for completing the OMCIS Forfeiture module. Citations are references to the item as listed in the designated document.

Systems Requirements Specification – Forfeiture I1-I4
4.3.1 Presentation Layer
4.3.2 Business Interface Layer
4.3.3 Business Components Tier
4.3.4 Business Services Tier
4.3.5 Object Interactions Sequence

3.4 Data Model

The following are references for the Data Model requirements. Details are contained in the designated document.

Systems Requirements Specification – Forfeiture I1-I4

5. Data Model
    - Forfeiture DB_V3.3
    - Forfeiture Lookup Values
    - Stored Procedures

4.0 PROJECT TIMELINE

The following is a tentative project timeline. The final timeline will be established once a Contractor is selected.

Milestone	Start Date	Expected Completion Date
Project Start	**10/31/2011**	
Award Contract	12/9/2011	12/9/2011
Contractor Begins Work	12/16/2011	12/16/2011
Kick Off Meeting	12/16/2011	12/16/2011
Bi-Weekly Update Meetings	12/16/2011	12/31/2012
Review/Update System Design	12/16/2011	1/25/2012
Phase 1	1/26/2012	4/27/2012
Phase 2	4/30/2012	7/27/2012
Phase 3	7/30/2012	10/26/2012
Final regression testing	10/29/2012	12/7/2012
Beta testing and customer acceptance	12/10/2012	12/21/2012
Deployment	12/24/2012	12/31/2012
Project End		**12/31/2012**

Each phase must include the following milestones: user interface approval, user interface/ database mapping, database implementation, design and code review, coding and unit testing, integration testing, system testing, demos to customers, acceptance criteria documentation and approval, and phase acceptance testing and approval.

5.0 TERMS OF ENGAGEMENT

5.1 Service, Support Documentation

The Contractor must provide detailed programming documentation within the source code, in addition to an electronic version of the design and end user documentation covering core system functions, at a minimum. Upon project completion, all source code, which includes all documentation and training materials, becomes the property of the Public Utilities Commission. The Offeror's proposal must include a list of all the tools required for development and support (compilers, special libraries, etc.).

The proposal must also include a list of all client and server hardware and software requirements for the new application. (Hardware and operating system software may be acquired by the Commission, separate from this proposal).

Software installation, user training, knowledge transfer and the first year of support must be included in the Offeror's proposal.

5.2 Confidentiality

Due to the confidential and sensitive nature of some of the data used by the PUCO, the Contractor will be required to assure compliance with federal and state privacy and ethics laws, in addition to a confidentiality statement provided by the Commission that restates specific state statutes and Commission rules governing access of personally identifiable information and non-disclosure of confidential and sensitive information.

5.3 Working Conditions

The selected Offeror ("Contractor") will work under the direction of the Project Administrator and will also work with additional staff members of the Commission. The Commission's business hours are 8:00 a.m. to 5:00 p.m., Monday – Friday. All development work must be performed at the Commission's office. The Contractor is responsible for all software required to develop the system. The complete solution must be implemented and fully tested on the Commission's hardware and software environment, with Commission staff present before final acceptance of the application.

Meetings, interviews, and training must be conducted at the office of the Commission during normal business hours unless otherwise scheduled by the Commission staff.

This project is to be completed 12 months after start date.

5.4 Payment Schedule

The total cost in the Offeror's proposal must be represented as a Not-to-Exceed Fixed Price for the project. Payments will be made upon completion of each milestone and related deliverable(s) noted in the table below, not to exceed the total price quoted by the Contractor:

Task and Associated Deliverable	Total Cost
Background Review and Formal Project Kick-off	
Application Design Acceptance	
Beta 1 Installation	
Final System Installation Acceptance	
Receipt and Acceptance of System Software and End-User Documentation	
Completion of User and Admin Training	
Final Project Sign-Off	
Total Not-to-Exceed Fixed Price	

* Hourly rate must include all related Contractor expenses but <u>cannot include travel, meals, lodging, etc.</u>

5.4.1 Bill to Address

The Contractor must submit invoices for completed milestones and deliverables to the bill-to address on the purchase order by the first business day of the month after completion. The Contractor must include the following information on all invoices:

- Organization Name and Address
- Contact Person, Telephone Number, and Email address
- Federal Tax Identification Number
- Contract Number
- Itemization of deliverable(s) or milestone(s) completed and related hours

PART TWO: RFQ INQUIRIES, FORMAT AND AMENDMENTS

1.0 RFQ INQUIRIES

Offerors may make inquiries regarding this RFQ any time during the inquiry period listed on the RFQ cover sheet. The PUCO may not respond to any improperly formatted inquiries. The PUCO will try to respond to all inquiries within 48 hours, excluding weekends and holidays. The PUCO will not respond to any inquiries received after 8:00 a.m. on the inquiry period end date. The PUCO may extend the proposal due date or make changes to the RFQ through an amendment. Amendments may be provided one business day prior to the proposal opening date.

To make an inquiry, Offerors must use the process outlined below:

- Access the State Procurement Web site at http://procure.ohio.gov/.
- From the Navigation Bar on the left, select "Find It Fast".
- Select "Doc/Bid/Schedule #" as the Type.
- Enter the RFQ number found on the first page of this RFQ (the RFQ number begins with "DAS").
- Click the "Find It Fast" button.
- On the document information page, click the "Submit Inquiry" button.
- On the document inquiry page, complete the required "Personal Information" section by providing:
  - First and last name of the prospective Offeror's representative who is responsible for the inquiry;
  - Name of the prospective Offeror;
  - Representative's business phone number, and
  - Representative's e-mail address.
- Type the inquiry in the space provided, including:
  - A reference to the relevant part of this RFQ;
  - The heading for the provision under question, and
  - The page number of the RFQ where the provision can be found.
  - Click the "Submit" button.

An Offeror submitting an inquiry will receive an immediate acknowledgement that the State has received the inquiry as well as an e-mail acknowledging receipt. The Offeror will not receive a personalized response to the question nor notification when the State has answered the question.

Offerors may view inquiries and responses on the State's Procurement Web site by using the "Find It Fast" feature described above and by clicking the "View Q & A" button on the document information page.

All questions must be submitted by 8:00 am on November 16, 2011. Questions submitted after this time will not receive a response from the state.

2.0 AMENDMENTS TO RFQ

If the PUCO decides to revise this RFQ before the proposal due date, amendments will be posted on this website. When an amendment to this RFQ is necessary, the PUCO may extend the proposal due date through an announcement sent to all Offerors. Amendment announcements may be provided any time before 5:00 p.m. on the day before the proposal is due.

3.0 PROPOSAL FORMAT

Each proposal must be organized in the same format as described below. Any material deviation from the format outlined below may result in a rejection of the non-conforming proposal. Each proposal must contain an identifiable tab sheet preceding each section of the proposal.

3.1 Cover Letter

The cover letter must provide the following and be signed by an individual authorized to legally bind the Offeror.

- A statement regarding the Offeror's legal structure (e.g., an Ohio corporation), Federal tax identification number, and principal place of business;
- The name, address, phone number, and fax number of a contact person who has authority to answer questions regarding the proposal.
- The Offeror's valid State Term Schedule (STS) number and expiration date.
- A statement that the Offeror is not now, and will not become subject to an "unresolved" finding for recovery under Revised Code Section 9.24, prior to the award of a Contract arising out of this RFQ, without notifying PUCO of such finding.
- An executed "Standard Affirmation and Disclosure Form" pursuant to Executive Order 2011-12K.

3.2 Certification

Each proposal must include the following certification on company letterhead signed by an individual authorized to legally bind the Offeror.

(Insert Company name) affirms they are the prime contractor and the proposed Project Manager is an employee of (insert Company name).

(Insert Company name) affirms it shall not and shall not allow others to perform work or take data outside PUCO without express written authorization from the Agency Project Representative.

(Insert Company name) affirms that all personnel provided for the Project, who are not United States citizens, will have executed a valid I-9 form and presented valid employment authorization documents.

(Insert Company name) affirms that any small business program participants will provide necessary data to ensure program reporting and compliance.

(Insert Company name) agrees that it is a separate and independent enterprise from the State of Ohio and the Departments of Administrative Services and PUCO. (Insert Company name) has a full opportunity to find other business and has made an investment in its business. Moreover (insert Company name) will retain sole and absolute discretion in the judgment of the manner and means of carrying out its obligations and activities under the Contract. This Contract is not to be construed as creating any joint employment relationship between (insert Company name) or any of the personnel provided by (insert Company name) or the Departments of Administrative Services and PUCO.

(Insert Company name) affirms that the individuals supplied under the Contract are either (1) employees of (insert Company name) with (insert Company name) withholding all appropriate taxes, deductions or contributions required under law or (2) independent contractors to (insert Company name).

If the Offeror's personnel are independent contractors to the Offeror, the certification must also contain the following sentence:

(Insert Company name) affirms that it has obtained a written acknowledgement from its independent contractors that they are separate and independent enterprises from the State of Ohio and the Departments of Administrative Services and PUCO for all purposes including the application of the Fair Labor Standards Act, Social Security Act, Federal Unemployment Tax Act, Federal Insurance Contributions Act, the provisions of the Internal Revenue Code, Ohio tax law, worker's compensation law and unemployment insurance law.

3.3 Offeror Profile

The Offeror profile must include the Offeror's legal name, address, and telephone number; home office location; date established; ownership (such as public firm, partnership, or subsidiary); firm leadership (such as corporate officers or partners); number of employees; number of employees engaged in tasks directly related to the Work; and any other background information that will help the evaluation team gauge the ability of the Offeror to fulfill the obligations of the Contract.

3.4 Offeror Requirements

The Offeror must provide three (3) project references that clearly demonstrate its experience in implementing large projects using .NET framework 3.5 or higher, Visual Studio 2008, SQL Server 2008, and Oracle 10g.

For each project reference the Offeror must provide the following information:

- Name of the organization;
- Project details; and
- The reference's Contact/Project Manager including name, phone number and e-mail address.

Each reference must be willing to discuss the Offeror's performance with the evaluation team.

The Offeror will provide a resume for each staff person assigned to the project that details their experience in building systems utilizing the same or similar technologies and of the same or larger scale. In addition to identifying the level of experience each person has, a brief description of the individual's responsibilities for this project will also be provided.

In addition to the identification of the staff to be used for the project, the Offeror will also provide a detailed action plan outlining how it will go about replacing any staff member that may no longer be able to continue on this project. In addition to this succession plan, the Offeror will also describe how they intend to manage the project and how regular communications will be maintained with the state in terms of meeting the stated deliverables of the project.

3.5 Candidate Profile

Offerors must provide resumes for candidates that will work on the project and will be available for the project. This requirement, though suggested for all candidate team members, is required for the project manager, forms-design lead, and technical lead.

Candidates must include three (3) project references where successful completion of a similar project is demonstrated; references must include the following information:

- Name of the organization;
- Project details; and
- Contact/Project Manager including name, phone number, and e-mail address.

Each reference must be willing to discuss the Offeror's performance with the evaluation team.

All candidates may be required to pass a background check. In addition, ***all candidates employed by or otherwise under contract to the Offeror will be required to meet PUCO's confidentiality and information disclosure policies.***

3.6 Quote

Offeror must provide its quote on company letterhead. Offeror must provide the total cost estimate for completing the scope of work and deliverables described in the RFQ. Costs must include the part number, if applicable, position description, hourly rate, number of hours and page number according to the State Term Schedule being utilized. An Offeror's proposal may be removed from consideration if their quoted cost exceeds the hourly rate stated in their State Term Schedule. See Part Four: Sample Quote.

3.7 Executive Order 2011-12K

Offeror must affirm it will abide by the requirements of Executive Order 2011-12K (Attachment H). Offeror must submit an executed Contractor/Subcontractor Affirmation and Disclosure form (Attachment I) as part of its proposal.

4.0 PROPOSAL SUBMITTAL

Each Offeror must submit **five (5)** complete, sealed, and signed copies of its proposal, and each proposal must be clearly marked "**OMCIS Forfeiture Module – PUCO20111031**" on the outside of its envelope. Proposals must be sent to public Utilities Commission of Ohio, Business Resources - IT, Attn: Krish Krishnasamy, 180 E. Broad St., Columbus, Ohio, 43215, by the proposal due date and time listed on the first page of this RFQ.

All proposals and other material submitted will become the property of the PUCO and may be returned only at PUCO's option.

Ohio Revised Code (ORC) Section 9.24 prohibits the PUCO from awarding a Contract to any Offeror(s) against whom the Auditor of State has issued a finding for recovery if the finding for recovery is "unresolved" at the time of award. By submitting a proposal, the Offeror warrants that it is not now, and will not become subject to an "unresolved" finding for recovery under ORC 9.24, prior to the award of a Contract arising out of this RFP, without notifying PUCO of such finding.

5.0 REJECTION OF PROPOSALS

PUCO may reject any proposal that is not in the required format, does not address all the requirements of this RFQ, or that PUCO believes is excessive in price or otherwise not in its interest to consider or to accept. In addition, PUCO may cancel this RFQ, reject all the proposals, and seek to do the work through a new RFQ or other means.

PUCO may reject late proposals regardless of the cause for the delay.

PUCO may reject any Proposal that takes exception to the terms and conditions and/or pricing of the State Term Schedule.

PART THREE: SELECTION PROCESS

1.0 SELECTION OF PROPOSAL

In the proposal evaluation phase, the evaluation team will rate the proposals submitted in response to this RFQ based on the Scope of Work sections of the response. The Offeror that provides the best value to the PUCO will be selected. Best value will be determined by reviewing the Offeror's organizational capabilities and viability, the Offeror's and staff's qualifications and experience, the Offeror and staff's previous work performance, the proposed plan for completing the work, software functionality, and the cost. In addition, the evaluation team may require some Offerors to interview, make a presentation about their proposal, or demonstrate their products and services. Presentations, demonstrations, and interviews will be scheduled at the convenience and discretion of the PUCO. The PUCO may record any presentations, demonstrations, and interviews. ***Product performance and acceptance criteria will be established prior to awarding the final contract.***

PART FOUR: SAMPLE QUOTE

1.0 SAMPLE PROPOSAL SUBMITTAL

Offeror must provide its quote on company letterhead. Offeror must provide the total cost estimate for completing the scope of work and deliverables described in the RFQ (see sample table below). Costs must include the part number, if applicable, position description, hourly rate, number of hours and page number according to the State Term Schedule being utilized. An Offeror's proposal may be removed from consideration if their quoted cost exceeds the cost stated in their State Term Schedule.

STS Page No.	STS Labor Category/Part #	STS Hourly Rate	# Hours	Total Cost $

	Total Not-To-Exceed Fixed Price:			$