



Department of Administrative Services



STATE OF CONNECTICUT

PROCUREMENT SERVICES  
165 CAPITOL AVENUE, 5<sup>TH</sup> FLOOR SOUTH  
HARTFORD, CT 06106-1659

**REQUEST FOR PROPOSAL REFERENCE GUIDE**

**FOR**

**IT PROCUREMENTS**

# REQUEST FOR PROPOSAL (RFP) REFERENCE GUIDE FOR IT PROCUREMENTS

## **Purpose**

To assist client agencies with the RFP process.

## **Getting Started**

The best time to contact DAS Procurement (DASP) is when your agency identifies the need for a Information Technology (IT) product or service procurement. Contacting DASP early in your process provides several benefits:

- May avoid additional work for an agency by eliminating unnecessary steps.
- Ensures that potential ethics violations may be avoided
- Helps to maintain a “level playing field” for any and all participants
- Reduces the potential for “protests” which may delay implementation of the procurement.

At times there may be a reluctance to contact DASP in the early stages of a project development, but in the big picture that initial touch may provide information that will assist and facilitate the client’s objectives.

Some of the subjects which may be discussed are:

- Communication with vendors
- Research methods
- Communication with peers in other jurisdictions

This discussion may provide the agency with tools needed to develop, solicit and obtain a contract to meet the agency’s requirements.

## **THE PROCESS**

Once the agency has determined the basic requirements for the product/service and reduced the requirements to writing, they would complete an “CORE 10” (Exhibit 1). Included with the “CORE10” is a copy of requirements (Exhibit 2).

Once DASP receives the completed “CORE10” they will assign a Contract Specialist (CS) and a project number (Bid No.) as part of the “CORE10”.

The CS will contact the requestor (stakeholder) to establish a discussion and an initial review of the requirements. The CS will forward a template of two (2) sections (Overview and Scope of Services) of the RFP (Exhibit 3) for completion by the agency prior to the discussion.

During this discussion the CS will outline the RFP, Evaluation, product demonstrations (demo(s)), negotiation and award requirements.

## REQUEST FOR PROPOSAL (RFP) REFERENCE GUIDE FOR IT PROCUREMENTS

- All participants will be required to complete a confidentiality form (Exhibit 4)
- The completed RFP template sections will be reviewed
- A sample template for the “Deliverables” (the product/service requirements) will be supplied for completion (Exhibit 5) by the agency.
- Based on the deliverables the categories to be evaluated will be developed as part of the “Deliverables” task.
- The agency will be requested to establish an “Evaluation Committee” to review and evaluate the proposals.
- The CS will provide the agency with a “RFP Evaluator Agreement Form” (Exhibit 6) for completion by each member of the Evaluation Committee. This document will describe the Evaluation phases and responsibilities of the evaluator.
- The agency in conjunction with the Evaluation Committee will develop values for each of the categories (Exhibit 7).
- The CS will provide the agency with a template (“Evaluation Committee Scoring”) (Exhibit 8) for completion.
- The values for each category must be completed and agreed by all members of the Evaluation Committee for inclusion in the RFP.
- The CS will request that the Evaluation Committee meet, and that the CS will provide the Committee with instructions concerning the Evaluation process (Exhibit 9).

The CS will compose the RFP and review the document with the stakeholders prior to its release (“posting”) on the DAS state contracting portal.

The RFP will include the opportunity for proposers to provide written questions for clarification. The CS will request the agency to answer the questions within a specified period of time and the CS will release an “Addendum” with answers to the proposers’ questions.

Prior to receipt of the proposals the CS will request that each evaluator obtain a ‘BizNet Account (Exhibit 10). The “BizNet” system is used to distribute the proposals to the Evaluation Committee. Upon receipt of the proposals the CS will distribute them via Biz Net and establish a time for the Evaluation Committee to meet and review the proposals. The CS will restate the rules for the Evaluation (Exhibit 11).

The evaluators will complete an “Evaluation Committee Scoring” worksheet (Exhibit 12) for each proposal.

The CS will facilitate the Evaluation process and work with the Committee to reach a consensus score for each proposal. Based on the results of the scoring the Committee may want to schedule demos to review the product. The CS will schedule the demos and each will follow a predetermined protocol (Exhibit 13).

Upon completion of the demos, the Evaluation Committee will meet to revisit the scoring based on the results of the demos and will select the finalists.

The CS will contact the highest scoring proposer to inform them that the state wishes to open negotiations for a potential contract award.

## **REQUEST FOR PROPOSAL (RFP) REFERENCE GUIDE FOR IT PROCUREMENTS**

The CS and the stakeholders will meet to discuss the negotiation process (Exhibit 14), outline our objectives and prepare a strategy.

Based on the results of the negotiation, the CS will prepare the final draft of the contract. DAS legal counsel will review/comment/edit the draft. When the document is completed the draft will be presented to the stakeholders for a final review.

The document will be sent to the vendor for signature. Upon receipt of the signed document, the CS will forward the document to the Attorney General's (AG) office for review/comment/edit.

Upon receipt of the signed document from the AG's office, the CS will notify and provide a copy of the contract to the agency and the Contractor.

With the signed contract the agency can begin work on the project. It is the agency's responsibility to implement the project according to the terms and conditions of the contract.

# **EXHIBIT 1**

Favorites | Main Menu | Worklist > FIN Worklist

[My HR](#) | [Finance](#) | [Core-CT Help](#)

[My Links](#) Select One:

### Requisition Approval

**Business Unit:** DOLM1  
**Requisition ID:** 0000018752  
**Requisition Name:** US Employer Database/Research  
**Requester:** DOL-Kay Cindy  
**Entered on:** 05/21/2013  
**Status:** Pending **Total Amount:** 2,500,000.00 USD  
**Priority:** High **Bid No:** 13PSX0170  
**Budget Status:** Not Checked  
**Requester's Justification:** 19000-6545-0640  
 Justification for RFP and purchase of U.S. Employer Database is attached.

[View printable version](#)

#### Line Information ?

Line	Item Description	Vendor Name	Quantity	UOM	Price	Requester's Comments
<input type="checkbox"/>	1 Purchase of U.S. Employer Da...		1.0000	EA	2500000.00000 USD	

Select All / Deselect All

View Line Details

#### Reviewed/Approver

#### Enter Approver Comments

Approve |  Deny |  Pushback

[Return to Worklist](#)

## **EXHIBIT 2**

# Sample

## **Connecticut Department of Labor, Office of Research Justification for RFP and purchase of a U.S. Employer Database.**

The Connecticut Department of Labor will act as the Lead agency for all State Workforce Agencies (SWA's) in the procurement of a US Employer database. The primary purpose of this database is to provide employer contact information for job seekers in each state. Secondly, this database may be used by public agencies for economic and workforce development purposes.

SWA's, primarily through their Labor Market Information divisions, receive a high volume of requests from job seekers for private firm contact information for employment purposes. Job seekers want to know what firms hire the occupations of their interest and how they can contact them. Although, SWA's collect this data through their UI divisions for unemployment insurance purposes, the data is considered confidential by state and federal statute and cannot be disclosed to job seekers. States have used a jointly purchased commercially produced database for this purpose.

The U.S. Department of Labor Education and Training Administration has provided funds to procure this database for the SWA's, but it requires a lead state to receive the funds and procure the product. In the past, various states have performed this role, the most recent is the State of Iowa.. The current contract between the vendor of this database and the State of Iowa, expires this year. The contract was for three years with two additional option years and was fully exercised. Connecticut will act as the lead agency for the next RFP/ contract cycle.

We expect the contract to be awarded for three years with two additional option years. The cost of the prior contract, (funds provided by USDOL / ETA) was \$2.5 million over the five years. We anticipate that this contract would be in the same range.

# EXHIBIT 3

# Sample

## Request for Proposals (RFP)

### Case Management System for the Office of Chief Public Defender

#### Overview

The Office of Chief Public Defender (OCPD) is responsible for statewide administration of the public defender system and the provision of specialized legal representation. There are approximately 450 staff that support various public defender offices in the 13 Judicial Districts (JD), the 20 Geographical Areas (GA) 2 Community Courts and the 12 Juvenile venues of the Superior Court providing legal services throughout the state to indigent persons. Specialized units of the Division include:

- Legal Services (Appellate) Unit located in Hamden, Connecticut
- Habeas Corpus Unit located in Rocky Hill
- Psychiatric Defense Unit located in Middletown
- Capital Defense Unit located at OCPD, Hartford
- Juvenile Post-Conviction and Reentry Unit are located at OCPD, Hartford
- Connecticut Innocence Project located in 185 Asylum Street, Hartford
- Assigned Counsel Unit located at OCPD, Hartford
- Child Protection Unit located at 330 Main Street, Hartford

The Division of Public Defender Services (DPDS) is looking to replace its current case management process and implement a Case Management System (CMS/System) to support its operational requirements. The DPDS defense team representing the defendant would typically perform the following activities:

- Interview and counsel clients
- Seek pretrial release of incarcerated clients
- Conduct necessary investigations
- Pursue formal and informal discovery from the prosecution and file appropriate motions
- Undertake sufficient legal research
- Prepare for and conduct pretrial hearings and trials
- Prepare for and conduct hearings at which clients are sentenced

The System shall support all of the above functions and additional day to day operational activities at the local offices.

Our intention is to make a single award for this product/service.

#### Scope of Services

To ensure that the DPDS attorneys are able to render quality representation to all clients and avoid delays in the disposition of cases, we are soliciting Proposals for an all inclusive Case Management System (CMS/System). The System will provide DPDS employees with the tools to manage cases and serve our clients.

The System shall be flexible, easy to use and provide quick access to client and case information. It shall allow staff to enter a comprehensive set of data on each client and case, while reducing entry time by utilizing standard templates; data merge capability, and automatic generation of standard forms and

letters using existing word processing (Microsoft) software. It shall provide attorneys with the capability to communicate with other staff and permit electronic access to case files regardless of their location (e.g. in court or waiting for court proceedings).

The System shall identify possible conflicts of interest, and automatically report the case to Assigned Counsel (SPD).

The System shall generate documents (letters, motions, etc.) utilizing data merge with word processing software. Templates of standard letters and forms shall be developed, merge data and fields from the database and produce the appropriate document(s) (e.g., next court date, court location, client address, judge, attorney, etc.).

The System shall support an electronic documentation (E-Docs) feature to allow Users to upload, edit and view all documents related to each case (including pictures, video and other investigative materials).

## Instructions to Proposers

### I. Proposal Schedule

RELEASE OF RFP:	Date: August 6, 2013
RECEIPT OF QUESTIONS:	Date: August 19, 2013 by noon EDT
ANSWERS TO QUESTIONS POSTED AS AN ADDENDUM	Date: August 22, 2013
RFP DUE DATE:	Date: September 9, 2013 at 2:00 pm EDT

During the period from your organization's receipt of this Request for Proposals, and until a Contract is awarded, your organization shall not contact any employee of the State of Connecticut for additional information, except in writing, directed to the Department of Administrative Services, Attn.: Tony DeLuca, [tony.deluca@ct.gov](mailto:tony.deluca@ct.gov), Procurement Services, 165 Capitol Avenue, 5th Floor South, Hartford, CT 06106.

Please note that RFPs are not publicly opened and are not available for viewing until after the Contract has been awarded.

### II. Questions

Questions for the purpose of clarifying this RFP must be emailed to: [tony.deluca@ct.gov](mailto:tony.deluca@ct.gov) and must be received not later than the date and time specified.

## **EXHIBIT 4**

*This form must be distributed, reviewed and signed by all evaluation team members during the first meeting of the team (prior to evaluation criteria being discussed and prior to the issuance of the RFP). Additionally, DAS Procurement Team Chairperson should review and administer the Evaluation Process Overview Form with the evaluation team.*

**CONFIDENTIALITY OF INFORMATION AND DISCLOSURE FORM FOR  
REQUEST FOR PROPOSAL (RFP) EVALUATION TEAM MEMBERS**

New 6/09

RFP # **13PSX0155**

RFP Due Date: **TBD**

The selection of a contractor resulting from this RFP shall not be the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

Evaluation Team members shall have no financial interest, ownership interest, employee interest, personal interest or seeking employment with any of the respondents or related parties, including but not limited to family members, identified subcontractors or vendors, submitting proposals for this RFP.

In the performance of carrying out the responsibilities of evaluating the proposals, each Evaluation Team member will receive and review proposals from respondents. The Evaluation Team members shall treat all information as confidential and shall not use any information so obtained in any manner except in the evaluation meetings for the proper discharge of his/her obligations as an evaluator.

During the development of this RFP and until a successful respondent is selected and the Contract is awarded, Evaluation Team members shall not communicate with any respondent or related party about this or any related procurement. All communications surrounding this RFP must be directed to the DAS Procurement team chairperson.

In an effort to protect the integrity of the evaluation process, the proposals and any amendments, as well as all reference checks, shall not be disclosed to anyone not participating in the evaluation process.

**This is to certify to the best of my knowledge and belief, I have no financial interest, ownership interest, employee interest, personal interest or seeking employment with any of the respondents submitting proposals for this RFP, I have not been inappropriately influenced by any person with regard to the this RFP and resulting contract, and I comply with all of the above stipulations. If at any time prior or during the evaluation of this RFP a conflict of interest arises, I affirm that I will report the conflict immediately to the DAS Procurement Team Chairperson.**

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Organization/Department: \_\_\_\_\_

Title: \_\_\_\_\_

## **EXHIBIT 5**

### **1 Functional Specification**

This Section describes the specifications for business functionality of the System. Proposers shall enter the appropriate "Proposer Response Codes" that describe the proposed System and provide comments that describe that specific function of the System.

Specifications are listed in the following categories:

- 1.1 Input from External Systems**
- 1.2 Input from Users**
- 1.3 Processing**
- 1.4 Output to Users**
- 1.5 Output to other Systems**

Priority: E - Essential; I - Important; D - Desired; F - Future Need (need to consider for design purposes)

Type- The default category shall a basic functionality of the System if the (requirement) "Type " is blank:-

I - Informational/Data, C - Constraining, P - Performance, O - Operational, L - Look and Feel

### **Proposer Response Codes – use these codes when describing the proposed System.**

**BS** – Specification is included in the Base System (BS). Functionality of specification will be met by proposed System that is operational.

**CS** - Specification is in not included in the Base System and requires Custom Solution (CS).

**NA** - Specification is Not Available (NA). Specification cannot be met by proposed System and software.

**FR** - Specification is not available at this time. Specification will be available in a Future Release (FR) of the System.

**EH** - Specification cannot be met by the proposed System without additional enhancements.

1.1	<b>Input from External Systems</b>				
1.1.1	<p>The System shall perform automated imports on adult cases, from the state agencies on schedules that are configurable by the Systems administrator (SA):</p> <ul style="list-style-type: none"> <li>• Arrest</li> <li>• Incarcerations</li> <li>• Demographics</li> </ul>	E			
1.1.2	<p>The System shall perform automated imports on juvenile cases, from the state agencies on schedules that are configurable by the SA:</p> <ul style="list-style-type: none"> <li>• Arrest</li> <li>• Incarcerations</li> <li>• Demographics</li> <li>• Parents/guardian, family and education details</li> </ul>	E			
1.1.3	<p>The System shall perform automated imports on both adult and juvenile cases periodically on existing cases from the state agencies, and the judicial feed could be executed multiple times per day while the operational System (CMS) is still running.</p> <ul style="list-style-type: none"> <li>• Arraignment calendars; continuance dates</li> <li>• Status of cases</li> <li>• Trials &amp; Charges updates</li> <li>• Violation of probation</li> </ul>	E			
1.1.4	<p>The System shall perform automated imports on General Statues &amp; charges and other case information from Judicial.</p>	E			

<b>1.2</b>	<b>Input from Users</b>				
<b>1.2.1</b>	The System shall allow Users to input or modify initial case data, including case number, case type, defendant bio data and aliases, charges, etc. Generally this data will be obtained from the automated imports, however, there may be instances where it has to be entered or modified.	<b>E</b>			
<b>1.2.2</b>	The System shall allow Users to input case assignments, including: attorneys, prosecutors, judges, courts, investigators, social workers (SW), etc...	<b>E</b>			
<b>1.2.3</b>	The System shall allow Users to enter hours per specific case automatically and compute the hours based on the amount of time the User has a given case open in the System. The hours shall be manually adjustable as necessary. Automatic time computation is considered for future enhancement.	<b>F</b>	<b>O</b>		
<b>1.2.4</b>	The System shall allow Users to input contact info, bio data, and notes, about people other than the client for a specific case, such as witnesses, codefendants, contacts, etc..	<b>E</b>			
<b>1.2.5</b>	The System shall allow Users to input case events, dispositions, attorney changes, court minute entries, case status, etc..  Note: Closed cases are archived with specific archive box reference numbers and destruction dates, the System shall indicate this information for each closed case.	<b>E</b>			
<b>1.2.6</b>	The System shall allow input of data from standard sets of predetermined options including: charges, attorneys, prosecutors, judges, dispositions, etc..  An example of this type of input is a drop-down menu. These standardized choices shall be customizable by the System administrator (SA) without requiring Contractor support.	<b>E</b>			
<b>1.2.7</b>	The System shall allow Users to input freeform notes and memos on each case.	<b>E</b>			

1.2.8	The System shall allow Users to link related cases and allow Users to review prior information (files & notes) on the same client each time there's a new case.	E			
1.2.9	The System shall allow Users to perform maintenance on tables used for predefined standard options sets, e.g. the list of possible charges and statuses.	E			
1.2.10	The System shall allow Users to update clients contact information (phone, email, etc.).	E			
1.2.11	The System shall allow Users to input calendar information (e.g. appointments and tasks) through automated calendaring and setting of "tasks" and "events" for attorney and staff assigned to case based on User defined case types, in synchronization with Outlook.	E	O		
1.2.12	The System shall allow Users to update information regarding prosecution and pretrial services.	E			
1.2.13	The System shall allow Users to setup "ticklers" (also referred to as alerts/notifications) that will notify a User when a particular event, set of conditions, or date occurs.	E			

1.2.14	<p>The System shall allow Users to store any type of file with a given case, sharing of electronic files and data as part of the discovery and disclosure process including scanned document images, videos and photographs, etc., and the original source documents.</p> <p>If cases are handled by multiple attorneys/staff, they shall be linked to the same file rather than having multiple copies of the file The System shall be a single repository for all case related information that could be accessed from any authorized computer attached to the network.</p> <p>For example, if a User creates a motion in a MS Word document, it can be stored in the System as information for the specific case along with other types of documents that might be stored including: notes, discovery requests, transcripts, etc.</p>	E			
1.2.15	The System shall allow Users to navigate between separate cases when entering data. This is specifically required for legal pad entry in court or staff reviews	E			
1.2.16	The System shall prevent Users from entering obviously conflicting case status, e.g., on a given charge listing the disposition as both not guilty and convicted.	E			
1.2.17	The System shall allow Users to input dollars and hours expended on any associated person or activity e.g., the amount of money and time spent for an expert witness, psychiatric evaluation, drug screening, etc.	E			
1.2.18	The System shall allow people / contact information to be entered once, and create an association "relation" to other people and cases without requiring additional data entry, e.g., a defendant in one case could be a co-defendant or witness in another case.	E			
1.2.19	The System shall allow Users to capture information regarding case adjudication, sentencing & sanctions, fines & fees, etc.	E			
1.2.20	The System shall maintain an audit trail of all changes to a case. User defined business rules and fields that need to be tracked will be provided during data design sessions.	E			
1.2.21	The System shall allow the Users to rapidly (within industry standards) identify newly added documents (highlighted) after a case was initiated.	I	O		

<b>1.2.22</b>	The System shall have the capability for the SA to track and maintain authorization and authentication of each User, based on their predefined roles and responsibilities.	<b>E</b>	<b>O</b>		
<b>1.2.23</b>	The System shall alert all "involved parties" assigned to a case when a predefined major decision or event occurs.	<b>I</b>	<b>O</b>		
<b>1.2.24</b>	Reserved				
<b>1.2.25</b>	Reserved				
<b>1.3</b>	<b>Processing</b>				
<b>1.3.1</b>	The System shall integrate with the existing office email and calendaring system (Outlook) facilitating the integration of emails, attachments to the emails, and calendar events which can be attached to cases and synchronization maintained between Outlook and CMS.	<b>E</b>	<b>O</b>		
<b>1.3.2</b>	The System shall be web based, accessible via web browser; Users shall access the System from any computer and installation on one or more servers, but not on any User computers.	<b>E</b>	<b>O</b>		
<b>1.3.3</b>	The System shall detect and report potential conflicts for any given case.	<b>E</b>			
<b>1.3.4</b>	The System shall suggest assignments for cases based on User defined business rules such as; case type and category, attorney case loads, potential conflicts (automated conflict check), etc.	<b>E</b>			
<b>1.3.5</b>	The System shall notify attorneys, investigators and Social Workers (SW) when a case or a task has been assigned to them.	<b>E</b>			
<b>1.3.6</b>	The System shall be capable of storing and retrieving all information including externally generated files related to all cases handled by the local offices.				

<b>1.3.7</b>	The System shall perform all processing operations within User defined and industry standard parameters. e.g., creating and printing of reports, the amount of time it takes for searches and load information/contents on web pages, etc.	<b>E</b>	<b>P</b>		
<b>1.3.8</b>	The System shall have the capability to interface to an Electronic Content Management (ECM) system with scanning and indexing of supporting documents. Note: Proposers shall describe in detail how they perform this interface.	<b>E</b>	<b>O</b>		
<b>1.3.9</b>	The System shall provide links to all cases, people, events that are associated with a given record, e.g., when viewing a case, all people associated to the case shall include links to their records, and their role in the case as opposed to static text that does not link. When viewing a person's record, all cases / matters that the person is associated with shall be presented as links to those cases / matters as opposed to just static text. Note that a "person" can be anyone, attorney, defendant, witness, etc.	<b>E</b>			
<b>1.3.10</b>	The System shall have the capability to perform a simple search based on aliases, alternative spellings, wild characters (cards) in addition to the formal name or a single version for the spelling of the name. Searches shall not require precise data entry and results shall be broad enough to find alternatives.	<b>E</b>			
<b>1.3.11</b>	The System shall allow Users to utilize an advance search for records based on any field or combination of fields in the database, specific values, ranges or wildcards (including phonetic "sounds like"); using any combination of "and"/"or" for multi-field searches.	<b>E</b>			
<b>1.3.12</b>	The System shall be based on User defined business rules when a new case is opened and the case type is selected. It shall automatically create tasks and an event calendar for the assigned attorneys and staff. The business rules shall facilitate revision by the SA without requiring Contractor support.	<b>I</b>	<b>O</b>		
<b>1.3.13</b>	The System shall, when a case is reassigned, automatically move calendar events, tasks, reminders, etc., from the original attorney or staff to the newly assigned attorney or staff.	<b>E</b>	<b>O</b>		

<b>1.3.14</b>	The System shall provide access through an internet portal for attorneys in assigned counsel (AC) to create, modify and submit timesheets and invoices. AC shall not be authorized to run reports or view other cases in the System.	<b>E</b>			
<b>1.3.15</b>	The System shall display, for a given case, only those fields appropriate to that case type, as specified by the SA e.g., education, parent and family information that is applicable for juvenile cases that may NOT be applicable for adult cases.	<b>I</b>	<b>L</b>		
<b>1.3.16</b>	For a new case, once the case type is selected the System shall adjust the selections for the other User defined attributes, match the selected case type e.g. the drop-downs for charge classification will be dependent on the value chosen from the case type drop-down.	<b>I</b>	<b>L</b>		
<b>1.3.17</b>	The System shall support billing/collection/disbursement of funds.	<b>I</b>			
<b>1.3.18</b>	The System shall support accounts payable/receivables and accounting.	<b>I</b>			
<b>1.3.19</b>	The System shall support shared contacts/people database with the capability to link an individual to multiple cases and events and show the role in each different case or event.	<b>E</b>			
<b>1.3.20</b>	The System shall automatically, based on predefined business rules validate and update all missing information before closing a case.	<b>E</b>			
<b>1.3.21</b>	The System shall automatically create an archive file (with tracking information) when a case is closed.	<b>I</b>	<b>O</b>		
<b>1.4</b>	<b>Output to Users</b>				
<b>1.4.1</b>	The System shall allow Users to retrieve information on prior client cases.	<b>E</b>			

1.4.2	The System shall provide the capability to modify standard reports and to create new reports based on User defined criteria, e.g. generate ad hoc reports from within the application without the intervention of the Contractor.	E			
1.4.3	The System shall generate standard motions, forms and letters as defined by the SA without the intervention of the Contractor.	E			
1.4.4	The System shall provide the capability to modify templates and develop new templates, from within the application without the intervention of the Contractor.	E			
1.4.5	The System shall be based on a non-proprietary database; the Contractor shall provide data dictionaries and the capability to create custom reports directly accessing the System's database.	E			
1.4.6	The System shall allow authorized managers or supervisors to view all information that is available to attorneys and staff members assigned to that manager or supervisor.	E			
1.4.7	The System shall allow Users to have multiple cases open at once facilitating toggling between cases without having to back out of one and drill down into another.	I			
1.4.8	The System shall notify other Users if a case is currently opened /accessed by another User in edit mode.	I			
1.5	<b>Output to other Systems</b>				
	Currently there are no output requirements to other Systems from CMS. However; the System will have the capability to extract data in CSV, Excel and other formats.				

## **EXHIBIT 6**

*The evaluation team will meet and determine scoring weights and criteria prior to the issuance of the RFP. DAS Procurement Chairperson shall review and discuss these requirements with all evaluation team members.*

**RFP Evaluator Agreement Form (New 6/09)**

RFP # **13PSX0155**

RFP Due Date: **TBD**

**Evaluation Process Overview:**

Individual members of the RFP evaluation team are to have **no dealings** with the respondents during the evaluation process. At any point during the evaluation process, the evaluation team may request that the respondents answer questions proposed by the team.

**DAS Procurement Team Chairperson will make all contacts with the respondents.**

The evaluation process is composed of two phases. Phase I is the Individual Analysis and Phase II is the Group Analysis where each score is presented to the team, discussed, and a consensus score is agreed upon by the team. Members review all responses submitted against the RFP requirements in accordance with the following steps:

**Phase I – Individual Analysis:**

Each evaluation team member evaluates the responses independently.

**Phase II – Group Analysis:**

When all responses are evaluated on an individual basis, evaluation team members meet to review the responses as a group. Each individual analysis is presented and discussed. After each individual team member has an opportunity to share their analysis, a team consensus score is determined. In the event consensus cannot be established, a majority vote determines the team consensus score.

After completion of the Group Analysis, the team reviews the final scoring outcome and determines the selection(s) recommendation.

- In all cases, the integrity of the review process relies on the integrity of the individual evaluator.
- Each evaluator agrees to hold confidential the discussions and outcomes of the RFP deliberations.
- Inquiries under the Freedom of Information Act are handled through DAS.
- DAS reserves the right to remove an evaluator from the committee if a conflict of interest is detected or for any other reason deemed by DAS to be in the best interest of the state.

**By signing below, the evaluation team member verifies that scoring criteria was agreed and determined by the evaluation team on the date indicated and occurred prior to the issuance of the RFP.**

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Print Name of Evaluator

Department/Agency

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Signature of Evaluator

Date Signed

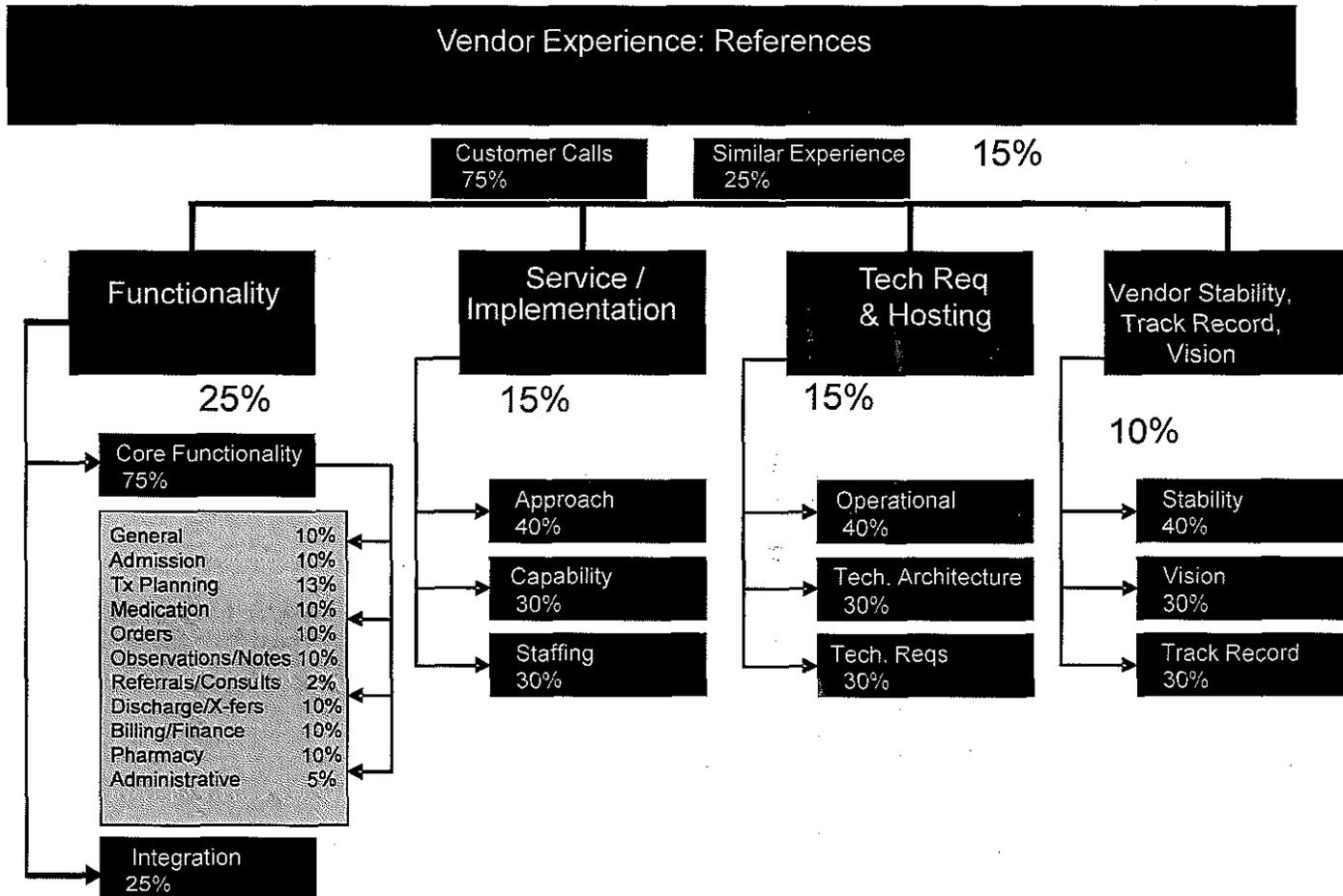
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Date of Criteria Agreement

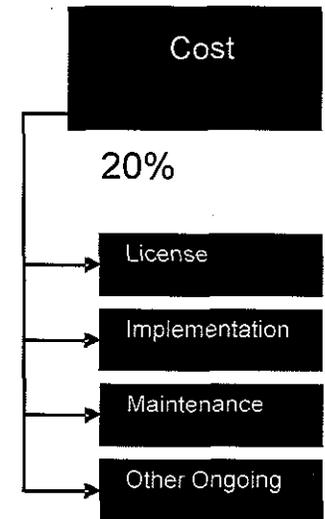
# EXHIBIT 7

# Sample

## Business and Technical Evaluation



## Cost Evaluation:



Evaluated separately from Technical Evaluation with points calculated and added to the Business and Technical Points prior to ranking.

## **EXHIBIT 8**

# Sample

EVALUATION TEAM SCORING

CONTRACT #: 13PSX0155

DATE: 9/13/13

<b>Instructions:</b> 1. Weight each category (first column) 2. Evaluate each vendor and give them a rating (based on their proposal and findings from the visit. 3. Multiply the weight times the rating to get your score 4. Total the score for each vendor	<b>Ratings:</b> 0 = Vendor does not meet Requirements (and/or no response); 1 = Uncertain if vendor meets Requirements 2 = Vendor meets some of the Requirements 3 = Vendor Meets Requirements 4 = Vendor Exceeds Requirements	
---	---	--

CATEGORY: OVERALL SCORES	WEIGHTED CATEGORIES	PROPOSER SCORES															
		Buddy		Computer Square		Law Manager		Legal Files		Legal Edge		New Dawn		Speridan		Vendita	
		Scores	Weighted Results	Scores	Weighted Results	Scores	Weighted Results	Scores	Weighted Results	Scores	Weighted Results	Scores	Weighted Results	Scores	Weighted Results	Scores	Weighted Results
Technical	50%	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Functional	20%	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Experience, References	15%	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Value, Cost	15%	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>TOTAL SCORE:</b>	<b>100%</b>		<b>0.0</b>		<b>0.0</b>		<b>0.0</b>		<b>0.0</b>		<b>0.0</b>		<b>0.0</b>		<b>0.0</b>		<b>0.0</b>

By signing below, committee members verify that scoring for each criteria has been reached as consensus.

Name	Agency				
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

<b>Instructions:</b> 1. Weight each category (first column) 2. Evaluate each vendor and give them a rating (based on their proposal and findings from visit) 3. Multiply the weight times the rating to get your score 4. Total the score for each vendor	<b>Ratings:</b> 0 = Vendor does not meet Requirements (and/or no response); 1 = Uncertain if vendor meets Requirements 2 = Vendor meets some of the Requirements 3 = Vendor Meets Requirements 4 = Vendor Exceeds Requirements																	
---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

CATEGORY: TECHNICAL	WEIGHTED CATEGORIES	PROPOSER SCORES															
		Buddy		Computer Square		Law Manager		Legal Files		Legal Edge		New Dawn		Speridan		Vendita	
		Rating	Score	Rating	Score	Rating	Score	Rating	Score	Rating	Score	Rating	Score	Rating	Score	Rating	Score
Project mangement and User training	20%		0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
System performance and easy of use	20%		0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
Business Continuity and Disaster recovery	20%		0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
System security and reliability	10%		0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
Easy implimentation and customer support	10%		0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
Data conversion	10%		0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
System Interface / Integration	10%		0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
<b>TOTAL SCORE:</b>	<b>100%</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>
Sub Categories and Evaluation percentages established prior to RFP review																	





<b>Instructions:</b> 1. Weight each category (first column) 2. Evaluate each vendor and give them a rating (based on their proposal and findings from visit). 3. Multiply the weight times the rating to get your score 4. Total the score for each vendor		<b>Ratings:</b> 0 = Vendor does not meet Requirements (and/or no response); 1 = Uncertain if vendor meets Requirements 2 = Vendor meets some of the Requirements 3 = Vendor Meets Requirements 4 = Vendor Exceeds Requirements															
<b>CATEGORY: VALUE/COST</b>		<b>WEIGHTED CATEGORIES</b>		<b>PROPOSER SCORES</b>													
		<b>Buddy</b>		<b>Computer Square</b>		<b>Law Manager</b>		<b>Legal Files</b>		<b>Legal Edge</b>		<b>New Dawn</b>		<b>Speridan</b>		<b>Vendita</b>	
		Rating	Score	Rating	Score	Rating	Score	Rating	Score	Rating	Score	Rating	Score	Rating	Score	Rating	Score
License cost	50%		0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
Customization cost	30%		0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
Other implementation cost	20%		0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
			0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
			0.0		0.0		0.0		0.0		0.0		0.0		0.0		0.0
<b>TOTAL SCORE:</b>	<b>100%</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>
<i>Sub Categories and Evaluation percentages established prior to RFP review</i>																	



## AWARD SUMMARY

At the conclusion of negotiations resulting in the award of the contract, the Commissioner shall prepare a memorandum setting forth the basis of award including:

- (1) how the evaluation factors stated in the request for proposals were applied to determine the best qualified proposers; and,
- (2) the principal elements of the negotiations including the significant considerations relating to price and other terms of the contract.

All memoranda related to the evaluation shall be included in the contract file.

### 1. How are the evaluation factors stated in the RFP applied to determine the best qualified proposers?

*Example: Evaluation and Scoring took place on 00/00/0000 as consensus by the evaluation team identified on the front page titled "overall scores". Evaluation criteria and scoring criteria have been established by the RFP Evaluation Team prior to the RFP opening.*

### 2. Provide a brief summary that identifies the elements of negotiations that include the significant consideration relating to price and other terms of the contract

*Example:*

- 1. Negotiate pricing that resulted in a 20% decrease from proposed pricing.*
- 2. Negotiated waiving transportation fees associated with on-site delivery*
- 3. Resolved vendor issues with our indemnification language. The state and vendor came to mutual agreement with alternate language.*
- 4. Highest scoring proposer, XYZ Company, refused to agree to indemnification language. Unsuccessful negotiation and moved on to next highest scoring company, ABC Company.*

## **EXHIBIT 9**

## EVALUATION PROCESS

The following outlines the DASP evaluation process:

- DASP is responsible to manage the entire process
- The process has specific steps and format to ensure consistency and the integrity of the process
- The purpose of this process is to ensure an open and fair evaluation that can stand any challenge.
- DASP will provide the participants with specific forms for confidentiality and evaluation.
- The evaluation will be based on the criteria outlined in the RFP ("Selection Criteria") and cannot vary.
- Evaluators must sign the confidentiality forms as well as any person (Commissioner, Director, etc.) who may want to discuss the progress or any aspect of the evaluation.
- Evaluators must perform their analysis independently.
- Any and all notes or documentation that an evaluator compiles is subject to FOI. That includes email, personal notes, etc.
- If a challenge is received, evaluators may be deposed or subject to testifying in open court.
- DASP will call the committee together to review/discuss each person's evaluation and facilitate arriving at a committee consensus score.
- If product demos are required, DASP will schedule based on the evaluation scores.

## **RFP Evaluation Agenda, April 11, 2012**

1. Introductions of Team Members
2. Role of Team: Confidentiality, No contact with vendors
3. Review # of RFP's received
4. Evaluation Process:  
Clarify who focuses on specific sections of RFP  
Reviewing Functional, Financial, Cost and Other Sections of RFP  
Use of expertise in answering questions
5. Overview of RFP and Selection Process:
  - RFP electronic submission
  - DAS review for completeness-removal of Cost section in RFP
  - RFP comes to Team for Review by placing on secure network drive
  - Each member reviews entire RFP, with members paying particular attention to areas of expertise.
  - Each member keeps notes on their own ideas to prompt discussion for team discussion
  - Team meets to review RFP Scoring; one working version of scoring document is kept
  - Once proposals are reviewed for Functional areas, it's reviewed for Cost
  - Demonstration of Product of up to 3 top vendors
  - Review and checking references, Meeting implementation Staff from Vendor
  - Initiate contract discussion with top vendor; one at a time.
6. Review Evaluation Tool
7. Other Questions or Issues

## **EXHIBIT 10**

# Department of ADMINISTRATIVE SERVICES State Procurement Marketplace

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## Learn How to Create and Manage your own DAS Business Account and Company Profile!

Recently it has become a requirement of DAS/Procurement Services that suppliers and potential suppliers create a Business Network Account (BizNet) and add your company profile into our BizNet system.

The BizNet system allows suppliers to maintain and manage their own business account and profile information, such as contact names, business address, email address and much more. As of October 1, 2011 vendors will also be able to upload Affidavits and Non Discrimination forms through your company BizNet account.

### To create a BizNet account (You need to have a valid email address):

1. Login to BizNet at this location: <https://www.biznet.ct.gov/AccountMaint/Login.aspx>
2. Select the link "Create New Account" (Continue through all the screens until completed)

### Once you have created your account, you then create your company profile.

To create Your Company Profile (You must be logged into BizNet)

1. From the BizNet Menu select "CT Procurement"
2. From the CT Procurement Menu select "Company Information"
3. Select "Add Another Company"
4. Continue through all the screens until completed. **Note:** When entering your Company Identification Number, if the BizNet system recognizes your Company Identification Number, please contact Procurement Services at 860-713-5095 for assistance.

**VETERANS**.ct.gov

Log On to BIZNET

Subscription Center

Subscribe to receive a daily e-mail alert when new bids/RFP's are issued.

Subscribe to DAS' BuyLines newsletter: A biweekly publication with information on state contracts, news, and procurement information.

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### Quick Links

- Business Friendly Initiatives
- General Procurement Info
- Resident Bidder Program
- Standardization Transactions
- Core CT Home Page
- Core CT Supplier Kit
- CT Recovery Solicitations
- Food Distribution Program
- Forms
- Federal Surplus Property
- E-Surplus
- Vendor Information
- State Contracting Portal
- BizNet
- Vendor Performance
- Directory

### FAQs

- Solicitations/Contracts FAQs
- Bond/Insurance FAQs
- Contractor Prequal FAQs
- EPP FAQs
- General Letter 71 FAQs
- Purchasing Card/Fuel Card
- FAQs
- State Surplus Property FAQs
- Supplier Diversity FAQs
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**EXHIBIT 11**

## EVALUATION PROCESS

The following outlines the DASP evaluation process:

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- Evaluators must perform their analysis independently.
- Any and all notes or documentation that an evaluator compiles is subject to FOI. That includes email, personal notes, etc.
- If a challenge is received, evaluators may be deposed or subject to testifying in open court.
- DASP will call the committee together to review/discuss each person's evaluation and facilitate arriving at a committee consensus score.
- If product demos are required, DASP will schedule based on the evaluation scores.

## **EXHIBIT 12**



# **EXHIBIT 13**

## DEMONSTRATIONS

- If product demonstration are required, DASP will schedule in the order of the team consensus scoring.
- The purpose of a demo is for the committee to determine if the vendors' product meets their requirements and to clarify any questions that the committee may have.
- The vendor can only demonstrate what they have proposed in their response to the RFP. They cannot introduce any additional information/product.
- After each demo DASP will require the committee to review and if necessary revise their "technical" scoring. Vendors can only "lose" points if the product does not meet the requirements, they cannot gain points.
- When all of the demos and revised scores are completed, DASP will contact the highest scoring proposer to enter into negotiations.

## **EXHIBIT 14**

## NEGOTIATIONS

- Prior to meeting with the vendor, DASP will schedule a strategy discussion with the stakeholders. The purpose of the discussion is to determine the agency's needs.
- The agency will determine what we must have, what we would like to have, what we give and any "red line" items which are not negotiable.
- DASP will ask the agency to select a "business" representative and a "technical" representative to participate in the negotiation.
- DASP will manage the negotiation and call on the agency representatives to address questions concerning the product.
- The negotiation will be based on the "haves, likes and gives" previously determined by the agency.
- Negotiations usually require multiple "face to face" discussions.
- Based on the outcome of the negotiations DASP will finalize the specifications for review and comment by the agency.
- A draft of the document with the agency comments will be sent to the DASP counsel for review and comment.
- The DASP counsel will address any legal concerns directly with the vendors' legal counsel.
- The completed document will be sent to the vendor for signature.
- DASP will forward the signed document to the Office of the Attorney General for their review/comment/approval.