REQUEST FOR INFORMATION
Event Number: 2023CARB_AFCIMS_RFI001
ASD Fee Collection and Invoice Management System

For

ASD Fee Collection and Invoice Management System (AFCIMS)

Release: August 22, 2022

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Request for Information

DATE: August 15, 2022

TO: **All Interested Parties**

FROM: California Air Resources Board, Office of Information Services**, hereafter referred to as the State**

SUBJECT: Event Number: **2023CARB_AFCIMS_RFI001, ASD Fee Collection and Invoice Management System (AFCIMS).**

I.   Introduction and Overview

This Request for Information (RFI) is being released by the California Air Resources Board (CARB), Office of Information Services (OIS). The goal of this RFI is to solicit information and best practices from the Vendor community in an effort to assist the State in determining what is currently available in the marketplace based on the objectives and requirements as described herein. To further gather information for this effort, CARB is requesting information from Vendors regarding their ability to meet the proposed project requirements and to provide CARB with Rough Order of Magnitude (ROM) cost estimates. Additionally, CARB is requesting information from vendors regarding potential modifications and improvements to the proposed project scope and requirements that could better meet CARB's project goals. This request is being conducted as part of CARB's business process review and market research efforts to acquire the necessary information technology (IT) and program related services.

A. Purpose of this RFI

The purpose of this RFI is to solicit information, suggestions, best practices, and cost estimates to procure a Customer Relationship Management (CRM) solution to facilitate the Administrative Services Division (ASD) Payment and Invoice Management procedures including streamlining the accounting payment management processes to support current and future growth.

The AFCIMS System will facilitate the following:

- Accept customer information from various Program sources for customer account creation and management.
- Facilitate generation of invoices for customers to submit payment, and process payments with bank merchant or vendors.
- System integration to archive traceability of the payment status.
- Integration with the Financial System for California (FI$Cal), existing bank merchants for payment collections.
- Track status of payment and invoices.
- Associate chart of accounts.
- Provide administration and reporting capabilities to the Administrative Services Division, as well as position the system to support future expansion of CARB programs driven by a variety of regulations and enforcement processes.

1. Implementation Services

In addition to the required software and licenses, the CARB seeks an experienced implementation team to provide the services to install the proposed solution in addition to identifying the duration of time that will be required to successfully go-live with the proposed solution. Any information pertaining to staffing and duration should be identified within the Staffing Matrix.

The staff should include at the minimum three (3) resources, one (1) Engineer, Senior Information Architect, and Project Manager. The proposed team will provide software implementation services and support to develop and execute implementation plans, administrative activities and provide technical support for the term of the agreement.

CARB will look to the Vendor to identify the specifics about how their implementation staff will account for training and implementing the solution across the organization.

Discuss your implementation plan based on the questions provided in the Response Template and account for the cost of the work in the Cost Matrix.

Collected information provided by the Vendor community may be used to develop or identify solution alternatives, specifications, and/or cost estimations necessary to acquire systems, solutions, or software. CARB is asking for cost estimates to be broken down into specific component categories where feasible. For example, instead of providing an overall cost estimate for all the different AFCIMS program components discussed in this RFI, CARB is hoping to understand potential costs specifically related to each proposed component of the program such as building out the required database system, providing maintenance and operation oversite of the database system on a year-to-year basis following the completion of the system, etc. Details regarding the specific program component costs for which CARB is looking for feedback are provided in the Program Environment section. CARB understands that data provided in this RFI is not sufficient to enable detailed analysis and costing by Vendors. Please provide your best advice based on your experience with other organizations and initiatives of this kind. Responses to this RFI should adhere to the questions listed in the Attachments. Also include estimates for items that may need to be sourced to third party vendors if it falls outside of your organization's lines of business.

Additionally, CARB is asking vendors targeted questions related to Payment and Invoice Management. Thus, CARB has prepared a supplemental questionnaire (Appendix B) related to the program concepts discussed in this RFI to obtain feedback from the vendor community on ways that CARB can improve their current proposal and to better understand the current capabilities vendors possess.

Design of the proposed technical environment must consider the high-level technical needs of such a system, including the requirements provided in Attachment F to this RFI.

Vendors are invited to describe potential CRM products and solutions and to suggest strategies to assist CARB in determining if a Commercial Off the Shelf (COTS), Modified Off the Shelf (MOTS), integrated product set (i.e., integration of multiple products), or a custom solution would best address the required functions described in this RFI. Consideration should be given to all available software, platform, and infrastructure as service options (e.g., on-premises or cloud-based), as well as any

available commercial off-the-shelf solutions that could be utilized. Multiple products or solutions may be described in the RFI response.

Completion of this RFI shall be performed at no cost to the State. The intent of this RFI is solely for information and planning purposes and does not constitute a solicitation. **A contract will not be awarded based on this RFI.**

Please read this RFI document thoroughly and adhere to the response submission guidelines.

2. Cloud/Managed Services

The IT groups at the California Department of Technology and CARB provides application support, application development and maintenance, database administration, cybersecurity protection, security administration, project management, desktop support, network/server support, and Help Desk services. All on-site computing equipment and software is owned by CARB.

The Vendor will be responsible for providing and maintaining the cloud-based solution implementation. In collaboration with CARB, the Vendor will install, configure, manage and support hypervisors, operating systems, database, and application software.

The Vendor will provide intrusion prevention, detection, log analysis, and anomaly detection and response services. Vendor is responsible for breach monitoring, reporting, and response.

CARB would like Managed Services for a period no less than 3 years to assist with in-depth knowledge transfer. CARB desires that these services assist CARB in understanding their system, configuration options, and rolling out new features.

CARB will be responsible for managing and securing its data, managing user accounts, defining and setting application permissions and auditing application access. Vendor is required to support CARB with IT and business-related issues such as upgrades and configuration changes for a minimum of 3 years. The focus must be on providing CARB with knowledge transfer, not simply performing a service.

3. Integration and Interface Requirements

The addition to the designed integration of the proposed solution, several third-party applications must also be integrated to create a fully functioning system. Detailed interface requirements have been provided in Attachment E of this RFI document. CARB desires the Vendor to fully review these interface requirements and provide a detailed response to accomplish the needed integration.

The interface effort should be well documented within the Response Template, Cost Matrix and the Staffing Matrix.

B. RFI Response Instructions

1. Responses to this RFI must be submitted via e-mail, preferably in the native file format of Microsoft Word, to the State's contact listed in Section I.D. Contact Information and must include the following information in the email subject line: RFI_CARB_AFCIMS_2022.

2. Contact information, including the name, title, address, phone number, and e-mail address of the primary contact person for the RFI.
3. Responses must be submitted by the date and time stated in the Key Action Dates.
4. Vendors must submit a signed cover letter with their response to the RFI that also includes a statement by the individual certifying the information in the response is true and accurate to the best of his/her knowledge at the time of submittal.
5. Vendors should respond to all applicable information in the Attachments A-F:
   a. Attachment A - Vendor Profile
   b. Attachment B - Vendor Questions
   c. Attachment C - Rough Order of Magnitude (ROM) Cost Estimate
   d. Attachment D – Technical Environment
   e. Attachment E - Project Transition Questions
   f. Attachment F – Business Requirements
   g. Attachment G – Project Timeline
6. This RFI shall not be construed as a request or authorization to perform any work. In addition, this RFI does not represent a commitment to purchase, lease, or license any product or software. This request for information does not commit CARB for any applications or services whatsoever.
7. CARB is requesting Voluntary Cost Information from Vendors to this RFI. CARB understands that the costs provided are voluntary and non-binding. Cost information may be used to develop cost estimations and budgets. Vendors are encouraged to provide a general cost value (or range of costs) for each product or solution identified in the RFI Response.
8. CARB is not at this time seeking proposals and will not accept unsolicited proposals. Any work performed by a Vendor to respond to this RFI will be at the Vendors' own discretion and expense.

C. Contact Information

Vendors must submit their written response, via e-mail to the State contact listed below:

Contact: Albert DeLeon
Agency: California Air Resources Board
Email: Albert.DeLeon@arb.ca.gov
Phone: (916) 247-3774

D. RFI Modification/Extension/Cancellation

CARB reserves the right to modify any portion of, or to postpone or cancel this RFI at any time without indicating any reason. CARB will communicate any such action in a formal written notice to all Vendors.

Amendments to the RFI, if any, shall be accomplished via an addendum to the RFI, which will be posted at https://caleprocure.ca.gov.

If revisions and amendments require changes in quantity, price, or scope, the due date set may be extended by such number of days, at CARB's discretion, to enable Vendors to update their Responses.

E. Key Action Dates

Listed below are the RFI Key Action Dates and times (all times noted are Pacific Time) by which actions should be taken or completed.

Event	Date / Time
Release RFI	August 22, 2022
Last Day to Submit Questions **Due**	September7, 2022 by 10:00 a.m. PT
Release of Answers and/or Addenda	September 11, 2022
RFI Response **Due** Date	September 25, 2022 by 12:00 p.m. PT
Confidential Discussions/Demos	TBD

F. Authorization of Proposal

Each Vendor, in submitting a Proposal, represents and warrants to CARB that the execution and delivery of the Proposal, and all terms stated therein, are duly authorized by the individual or organization on whose behalf the Proposal was submitted. Every proposal must be signed by the person or persons legally authorized to bind the Vendor to a Contract for the execution of the work. Upon request of CARB, any agent submitting a proposal on behalf of a Vendor shall provide a current power of attorney certifying the agent's authority to bind the Vendor.

G. Vendors Requests for Clarification

Vendors shall promptly notify the CARB Point of Contact via e-mail of any ambiguity, inconsistency, unduly restrictive specifications, or error that the Vendor discovers upon examining this RFI. This should include any RFI terms or requirements that either precludes the Vendor from responding to the RFI or add unnecessary cost. This notification must be accompanied by an explanation and suggested modification. It must be received by the deadline for inquiries as set forth above in Section E – key action dates.

Any requests for clarification related to this RFI must be submitted on or before the last day for questions and in accordance with the provisions outlined in this RFI. CARB will not interpret the meaning of any provisions, nor correct any apparent ambiguity, inconsistency, or error, or any other matter pertaining to this RFI unless the Vendor makes such a request in writing to the CARB Point of Contact. Oral and other interpretations or clarifications shall be without legal or contractual effect.

The Purchasing Department will make any final determination concerning changes to the RFI. It is the responsibility of each Vendor to ensure CARB has their correct business name, address, phone number, and email on file.

Interpretations or clarifications considered necessary in response to questions will be issued by addenda. All addenda will be issued on CARB's website.

H. Pricing

Attachment C - Cost Matrix is provided to present the proposed pricing for the entire project. CARB will require the Vendor to specify the number of months for the duration of the project and at a minimum three (3) additional months on-site providing post go-live support. Included in the pricing

shall be: all services for a full implementation based on Vendors recommended timeline; the additional three (3) months on-site post go-live; seven (7) years of hosting services starting at go-live.

The Vendor shall provide a detailed breakdown of all costs required for the successful implementation and ongoing operation of the proposed solution utilizing the Cost Matrix distributed with the Response Template of this RFI**.**

CARB reserves the right to determine what a valid cost is. Cost must be submitted in U.S. dollars.

If additional information or items need to be added within the Cost Matrix, space has been provided for the use of Vendors. It is imperative that the Cost Matrix reflect the **full cost of the solution** and be fully completed and returned with the Proposal in order for the Proposal to be considered responsive.

<u>**FIXED PRICING IS REQUIRED IN ALL AREAS.**</u>

Responses shall include the estimated number of hours required for the identified work. Vendors shall provide an estimated number of hours and cost range where indicated on the Cost Matrix for any work quoted for the implementation of the stablished RFI requirements.

I. Key Statistics for Cost Calculations

There are up to 20 system users for a minimum of 15,000 transactions. Transactions are processed via 8,700 credit cards, 5,300 Checks and 400 wire transfers annually.

J. Product Demonstration

The CARB may elect to have a demonstration of the vendor's CRM system to show case the best competitive advantage of the system and the vendor as a supplier, based on knowledge of the CRM market and our expressed needs in this document.

Demo Agenda

- 5 min: Welcome/Introduction
- 20 min: Supplier/system presentation (Information needed to support the demo)
- 60 min: Business System demonstration (Use cases) run through
- 30 min: Wrap Up (Question and Answers)

K. Vendor Questions

Vendors must submit questions regarding this RFI, via e-mail, by the specified date and time stated in the Key Action Dates to the email contact stated in Section D. Contact Information.

<u>What to Include in an Inquiry</u>
1. Include in the subject line of the e-mail: **2023CARB_AFCIMS_RFI001,** and "Question(s)."
2. Vendor name and contact, telephone number, e-mail address.
3. A description of the subject or issue in question, or discrepancy found.
4. RFI section, page number, or other information useful in identifying the specific problem or issue stated in the question.

5. All questions will be responded to in writing (via e-mail) to all parties that have expressed an intent to respond to the RFI.

L. RFI Disclaimer

This RFI is strictly informative for CARB, and it is not a competitive bidding process. CARB is under no obligation to vendors in any manner whatsoever. Neither this RFI nor any information provided by any vendors hereto shall be deemed to create any legally binding agreement or obligations upon CARB. A response to this RFI is not an offer and cannot be accepted by CARB to form a binding contract. This RFI is solely designed to provide CARB with meaningful information to assist CARB with developing or identifying solution alternatives, specifications, and/or cost estimations necessary to acquire systems, solutions, or software.

This RFI is issued for information and planning purposes only, and it does not constitute a solicitation. Responses to the RFI will not be returned. Vendors are solely responsible for all expenses associated with responding to this RFI. The State is not responsible for any expenses associated with responding to this RFI. CARB may consider vendor responses in developing specifications and requirements for development of the future solicitations for the AFCIMS project, such as, but not limited to, a Request for Offer (RFO), Request for Quotation (RFQ), Invitation for Bid (IFB), Request for Proposal (RFP), or other action.

The submission of a response does not constitute any commitment on the part of the Vendor. However, the vendor agrees that the submitted information is correct to the best of the vendor's knowledge. Also, the right to compete in future procurements is not affected in the event that the party chooses not to submit a response to this RFI. CARB is also interested in learning the reasons for not submitting a response and may reach out to Vendors who did not submit a response in this regard.

Vendors are advised that all documents submitted in response to this RFI will become the property of the State of California and may be regarded as public records under the California Public Records Act (CPRA) pursuant to Government Code Section 6250 et seq. and subject to review by the public. The intent of this RFI is to validate project objectives and requirements for possible future solicitations. Do not include any confidential or proprietary information in responses to this RFI as it may be disclosed pursuant to the CPRA.

II.   PROJECT DESCRIPTION

A. Background

CARB is growing and transforming with several regulations being put forward increasing the demand for an automated, efficient, and scalable payment and invoice management system.

CARB currently processes fees and payments for over 25 various regulatory programs. As a result of the new regulations demand will increase to more than 500,000 collections per year increasing the urgency for CARB to invest in a robust, automated, and scalable payment and invoice management System.

B. Current Environment

The current AFCIMS processes are manual and very labor intensive. These manual processes are not scalable to support the increased volume of transactions driven by the new fees required by new regulations being implemented (e.g., SB 854 and SB 210).

C. Proposed Environment

With the new regulation there is a need for a Payment and invoice management system that will automate invoice generation, integrate with existing bank merchants for payment collections, generate invoices, track status of invoices, associate chart of accounts to invoices, provide invoice administration and reporting capabilities to the Accounting team, integrate with state accounting system (FI$CAL), as well as position the system to support future expansion of CARB programs driven by a variety of regulations and enforcement processes.

Therefore, CARB seeks to automate the AFCIMS and streamline the accounting management processes to support the growth and expansion, and to be able to receive payments from US and international manufacturers.

There is a need for a robust Payment and invoice management system that will automate invoice generation, integrate with existing bank merchants for payments, track status of invoices, provide invoice administration and reporting capabilities, integrate with the state accounting system (FI$CAL), as well as position the system to support future expansion of CARB programs driven by a variety of regulations and enforcement processes. It will also help to facilitate data communication with the Programs. See figure 1 and attachment D for the proposed revenue and invoice management system process flow.
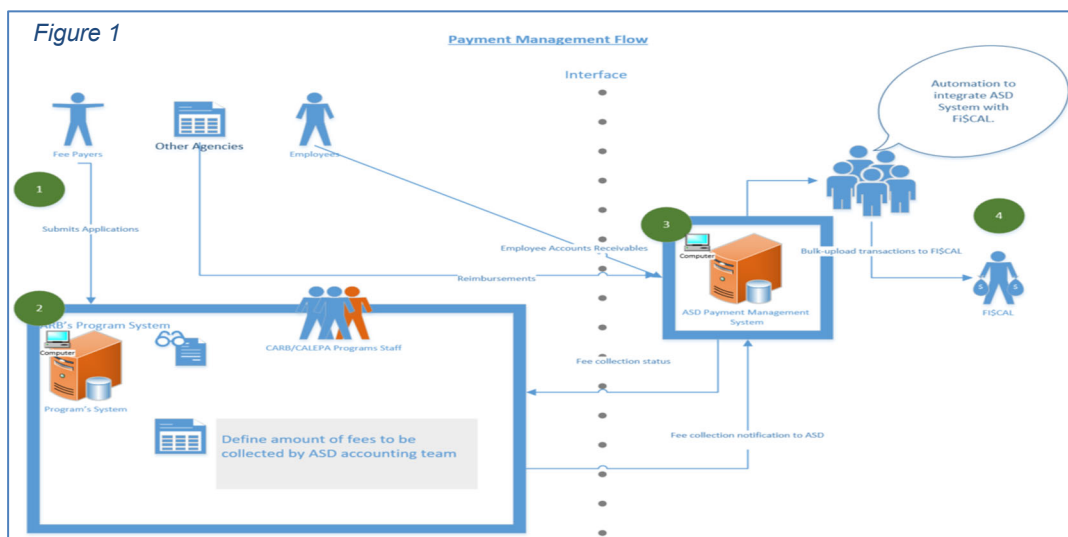
The project includes implementing a fully customizable, and scalable cloud-based Payment and invoice management software program that will meet the requirements and use cases put forward for the ASD Fee Collection and Invoice Management System including a customer interface for submitting payments and verifying payments against the associated invoice.

The new system will help facilitate data communication between ASD and the regulatory Programs.

Note that the detailed requirements listed here are preliminary and likely do not represent all requirements that will eventually be determined for this system. They are included in this RFI for informational purposes only in order to provide additional context and promote subsequent questions and clarifications.

III.   Projected System Deployment Plan and Timeline

The AFCIMS Implementation Contractor will be expected to roll-out their AFCIMS program responsibilities based on the Timeline in Attachment G. CARB staff would also like to ask vendors their thoughts on the feasibility of such a timeline and whether rollout timeframes should be adjusted including the development Timeline.

CARB is proposing an aggressive rollout of the program architecture and implementation contractor roles. CARB staff is seeking feedback from vendors on whether such a rollout timeframe is realistic, and if not, what is a more realistic timeline and how would this new timeframe impact the expected costs of development?

IV.   Security

i. System shall comply with the NIST 800-53 (current version) requirements.
ii. Application components should be segregated from each and only specified protocols allowed to communicate between them. (See NIST SP 800-53).
iii. There are no security constraints on the amount of data that may be downloaded, as long as the system remains available.
iv. Data classifications and general security considerations are as follows:

Data Classification	Comments
Public (least secure)	• Public data is available to everyone • Data may be non-secured • Vendor may have access to public data • Anonymous users may have access to public data • Public data is subject to the California Public Records Act (PRA)
Confidential	• Confidential data has limited access due to reasons defined by the business • Access to data may be limited by user role(s) that are defined by the business • Confidential data does not have specific encryption requirements; however, confidential data is to be encrypted in transit in order to prevent users from maliciously modifying the data

Data Classification	Comments
	• Vendor may have access to confidential data under a Non-Disclosure Agreement (NDA)
Sensitive (most secure)	• Data is encrypted in transit and at rest • PII is a subset of sensitive data • For testing purposes, the Vendor may not have access to sensitive production data and must generate their own test data. • For data conversion purposes, the Vendor may have access to sensitive data under an NDA

Attachment – A

Vendor Profile

Company/Firm Legal Name: _____

1. List all alternative business names used by this vendor, including but not limited to fictitious business names. If not applicable, write "N/A".

    _____

2. Business address (Street, City, State, Zip) for number 1 above.

    _____

3. Name and title/position of the individual submitting the response for number 1 above.

    _____

4. Is number 3 an owner or employee of number 1? Check one:
    ☐ **YES**   If you checked "Yes", continue to number 6 below.
    ☐ **NO**   If you checked "No", stop. Do not continue and do not submit a response for the entity in number 1 above.

    _____

5. Contact information including a telephone number(s) and email address for number 4 above.

    _____

6. In bullet format, very briefly describe company's products and/or services focus.

    A.   Products
    B.   Services

    _____

7. In bullet format, list and briefly describe the projects and/or activities the company was engaged within the last ten (10) years that are similar to the project description identified in the RFI, Section 2, Project Description.

    _____

8. In bullet format, list all government clients in the past ten (10) years and indicate whether (A) State of California Department, (B) University of California, (C) California State University, (D) California County, (E) California City, (F) State Department (outside of California, identify the state), (G) University (outside of California, identify the state), (H) Local Governmental Agency (City or County outside of California, identify the state and the city/county), or (I) United States Government:

    _____

Attachment - B

Vendor Questions

I.   General Questions
1. What scale of operation would be required for our concept to be attractive to potential bidders on any future RFP? Is there a critical mass below which you would not be interested in bidding on a proposal for this approach? What metrics are pertinent to that decision?
2. Please provide a copy of your optional and standard Service Level Agreement (SLA), or equivalent.
3. Please highlight any unique strategies or capabilities that you would provide to make your proposal and/or RFO response successful.
4. Describe the overall solution including all possible functions as well as the technologies required for implementation.
5. Describe hosting option for the solution (e.g., cloud, in-house managed, etc.)
6. List the equipment (hardware and software) the proposed solution requires.
7. Describe how the solution would support individual agency procedures such as varying layers of review, inspection and sign-off requirements, data retention requirements, etc.
8. Describe what/how the solution would store and extract data from various file formats (e.g., Microsoft Word, Microsoft Excel, PDF) for uploads into FI$CAL.
9. Describe similar solutions that have been implemented by other government entities, if any.
10. Describe how the solution would handle data retention, including archiving and restoring historical data.

II. Accessibility
1. Describe the access requirements for various users of the proposed solution, including, but not limited to, CARB, customers (regulatory agencies), and the State Controllers' Office.
2. Describe backup and recovery for the proposed solution.
3. Describe how the solution would handle remote access from outside CARB firewalls.
4. Describe the scalability of the proposed solution, including scenarios for which implementation would be phased by agency or by contract funding type (expense, capital funding).

III. Customer Service/Support
1. Please discuss your model for providing customer support, including charges for support contacts if proposing a pay-per-use model.
2. Describe your incident/problem reporting and tracking systems and the ability for authorized customer staff to access those systems directly.
3. What types of access to your customer support are available (website, email, chat, telephone)?
4. What level of automatic alerting can you provide to customer staff in the event of failure, degraded service, or exceeded planned utilization?

IV. Feedback
1. Provide input on the requirements or areas in the attachments. Specifically, CARB is looking for:

      a. Availability of current systems that perform all or a portion of the system functions listed in Attachment E and F. Alternatively, ability to build a system that meets the functions in Attachment E and F.

      b. Questions, suggested modifications, or additions to the System Concept listed in Attachment E and F that would allow CARB to more effectively implement the AFCIMS System. Include the justification for any suggested changes and concept modifications.

2. Cost and Timeframe

      a. Include the prospective cost to design or put in place a system according to Attachment F. This includes:

         i. Anticipated costs for complete solution.

         ii. Anticipated costs for ongoing maintenance and operations of the system.

         iii. Include any key assumptions used to craft the potential costs.

      b. Expected time needed to put into service the outlined system under the cost.

V. Payment and Invoice Management and Handling

1. Can your product provide the capability to process ACH/ Wire payments?
2. Can your product provide the capability to generate invoices?
3. Can your product provide the capability to process Credit payments?
4. Does your product provide workflow automation such as create tasks for review/approval/deny?
5. Can your product interface with legacy payment system to match invoice amounts to payments?
6. Can your product generate letters at certain intervals of time such as 30/60/90 days?
7. Can your product generate accounting reports, specifically, display outstanding balances?
8. Describe how your product capabilities to generating revenue collection reports.?
9. Can your product interface with statewide financial system, Fi$cal?
10. Can your product be a repository of payments and invoices?
11. Describe how vendors would use the solution to electronically submit invoices and any required support documentation.
12. Describe how attachments would be handled.
13. Describe how signatures and electronic signatures would be handled and validated.
14. Describe what unique identifiers can be assigned to an invoice submission.

VI. Payment and Invoice Review

1. Describe how the solution would handle communication between CARB staff and/or customers staff during the review process, including when additional documentation is requested.
2. Describe how the solution would support one payment for multiple invoices from one vendor.
3. Describe how the solution would support and/or handle partial payments from customers?
4. Describe how the solution would provide reporting outputs?

VII. Status Alerts

1. Describe the solution's capacity to generate e-mail alerts for customers at various milestones such as successful payment submission, invoice approval etc.
2. Describe the solution's capacity to allow System users to customize how and when alerts are generated and transmitted.

3. Describe the solution's capacity to allow System users to view real time status updates.

VIII. Infrastructure/Architecture Model

Identify the infrastructure/architecture model(s) you provide and support, and whether they are on- premises, hosted off-premises, or Software-as-a-Service (SaaS) models.

Supplement this request with an interoperable architectural diagram outlining each OSI layer requirement for enablement, sustainment, reliability, redundancy, and growth. Highlight your anticipated annual upgrade and patch release schedule.

IX. Key Features

Identify best of breed features included in the proposed COTS solution(s), including, at a minimum, the Key Features in Section VI. Anticipated Project Requirements.

X. Support and Maintenance Model

Provide the anticipated ongoing software maintenance and support services required to sustain the solution including frequency of upgrades and patches/bug releases and the estimated timeframes to complete. Outline the services in your support model including available service level agreements.

XI. Training Model

Outline the services in your training model for administrative and end user training including the training services, methodology, and typical schedule. Include the pricing model for training services and the methodology and schedule.

XII. Reporting and Key Performance Indicators (KPIs)

Provide the standard and custom reporting included in your solution and the available KPIs. Include information on data input and export capabilities, security and auditing, and dashboards and metrics.

XIII. Pricing/Licensing Model

Include a general pricing model and costs for the software based upon the information provided in this RFI. This pricing should also indicate the licensing model, (i.e., licensing by individual users, by core, by seat etc.), descriptions of the hosting models available, and estimates of associated costs. Include cost estimates for ongoing support and maintenance for three years, and when those support and maintenance costs begin (i.e., at time of purchase, after implementation, etc.). If applicable, include a list of additional items or services/software needed to operate the system that are not included and must be provided/purchased by CARB.

1. Describe the cost associated with each of the solutions proposed in response to the above topics.
2. Describe options where cost savings may be achieved by omitting or revising one or more of the above desired functions.

XIV. Interface with Other Systems

1. Describe how the solution integrates with FI$CAL and other financial management and accounts receivables, or other or other vendor portal applications. i.e., Salesforce
2. Describe the level of effort, including cost, of building interfaces to other systems.

XV.   Security
         Describe how the solution would secure and protect CARB including the States data.

Attachment - C

Rough Order of Magnitude (ROM) Cost Estimate

Level of Effort/Rough Order of Magnitude (LOE/ROM)				
Check the appropriate LOE/ROM designation (all are expressed in terms of person-hours for the combined roles detailed below):				
Small 0 – 4,999	Medium 5000 – 9,999	Large 10,000 – 19,999	Jumbo 20,000 – 30,000	Vendor Defined *Please enter LOE/ROM*
Implementation and Initial Configuration Labor/Services/Fees *Insert additional lines as needed. Information below is suggested information only.*				
List the major roles/tasks needed to implement the Solution. Insert additional lines as needed.				
Estimated Range of cost for total implementation services, based upon metrics below.	$			
ROLE/TASKS (Please add Task lines for each Role and estimate the number of hours needed per Task and by Role. The Roles provided below do not necessarily represent all Roles that may be required to perform the necessary work; please add, remove and elaborate with Tasks as needed.)	Estimated range of labor hours for project			
Project Manager				
Business Analyst				
Database Administrator				
Systems Architect				
Trainer				
Front End Developer (User Interface Modules, System Admin Module)				
Back End Developer (DBA, Middleware)				
Interfaces for CARB side build out (ARB systems, DMV, Enforcement System ~12 interfaces identified)				
Network / Infrastructure Engineering				
Security and Identity Management				
Testing QA/QC and User Acceptance Testing (UAT preparation and execution, UAT testers provided by CARB)				
Other: Please Describe				

Answers and Assumptions Used in Cost Estimate

Please answer, in as much detail as possible, CARB's questions (1-5) below.
Also, please provide details pertaining to the assumptions, expectations, and/or performance parameters used as the basis of the cost estimate.

**CARB's QUESTIONS and VENDOR'S RESPONSE/ANSWERS:**

1. What is the estimated timeframe that the solution will take to build and implement, based on the cost estimates and stages outlined in section 3 above? Are the stage durations feasible?

2. What dependencies are there for this implementation?

3. Is the cost estimate based on an agile, phased, waterfall or hybrid development and implementation methodology? Explain the SDLC that would be used.

4. Are there any requirements that would preclude you from competing should an RFP be released? If yes, what suggested changes would allow you to compete?

5. Are the goods, products or services you've identified in your RFI response available on a Federal GSA or State of CA LPA? If yes, please identify the contract type, name and number.

VENDOR'S ASSUMPTIONS:

What assumptions has the Vendor made in preparing a response to this RFI?

Attachment – D

Technical Environment – Proposed Fee Collection Process Diagram
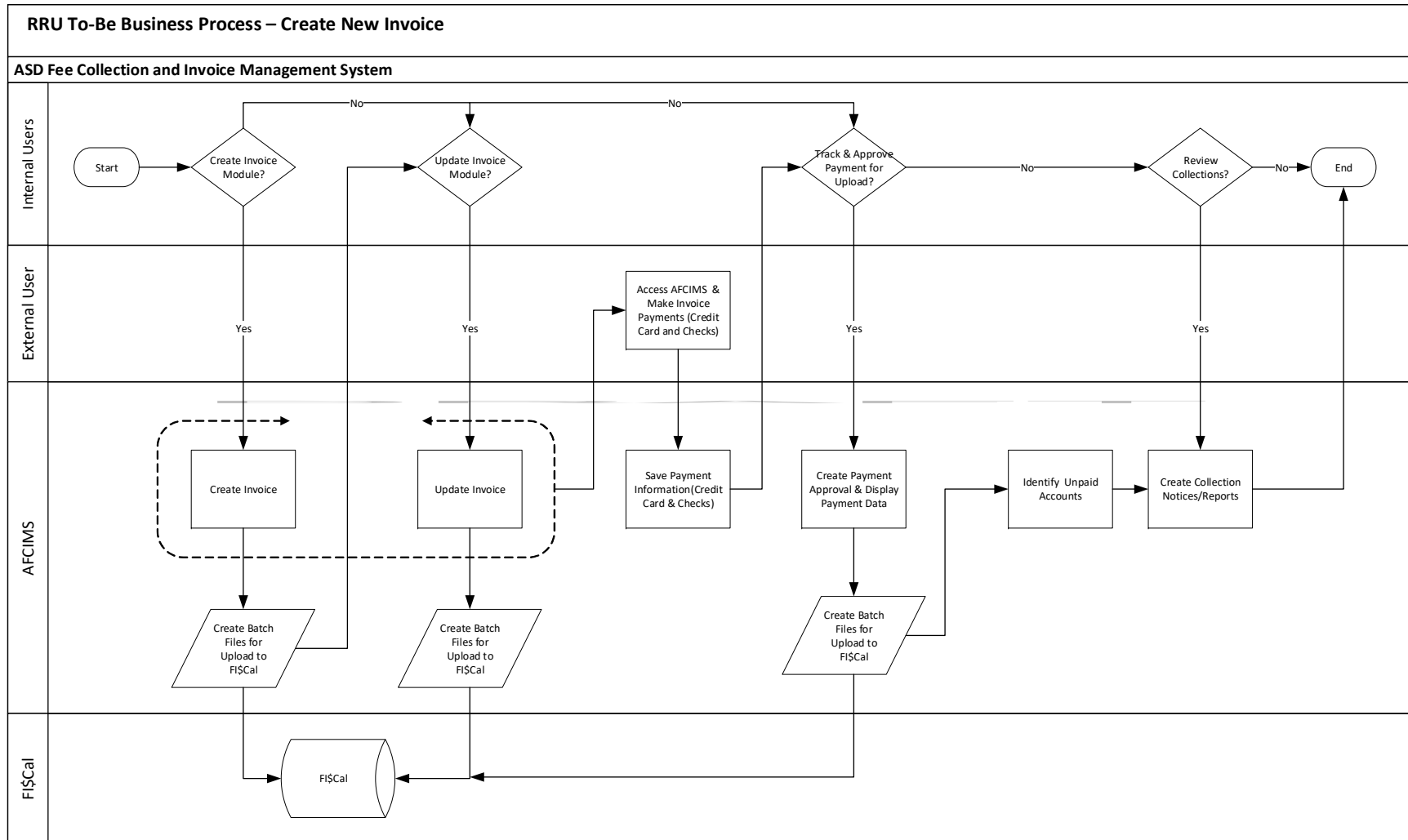
Attachment – E

Project Transition Questions Vendor Response

Project Transition Question	Vendor Response
1. Please describe the approach to facilitate different levels of testing from unit, regression, performance, and user acceptance test. Would you facilitate testing tools or another method to demonstrate the solution is delivered with quality while meeting the requirements put forward in this RFI?	
2. Please describe how the solution addresses disaster recovery implementation and procedures	
3. Please provide information on the approach you follow for ensuring proper system installation, deployment, and how system upgrades are handled.	
4. Please provide the execution approach you follow when facilitating usability, administrative, and support training on the solution?	

Attachment – F
Business Requirements

Attachment F is an excel spreadsheet of the business requirements.   Please complete the workbook as follows:

Column L: Available in System – Indicates whether the requirement is:
B – Out of the Box feature of your product/solution including system configuration
C – Update to code required
F – Functionality to be added in the future as part of your product roadmap
T – Provided by third-party software integration
U – Unable to meet requirement

If requirement availability is F above, provide the anticipated release date.
If requirement availability is T above, please identify the third-party software used.
If requirement availability is C above, complete Column M.
If requirement availability is U above, please provide an explanation in the comments.

Column M: Level of Effort – Provide a rough order of magnitude effort to meet requirements marked M or S.
L – Minimal level of effort, i.e., < 8 hours including testing. An example might be a few lines of code changed in a single module or a simple Graphical User Interface (GUI) update.
M – Moderate level of effort, i.e., < 40 hours including testing and documentation.   An example might be a code change in one or two modules plus the addition of new attributes to existing database tables and GUI updates to reflect the new attributes.
H – High level of effort, i.e., < 160 hours including design reviews, testing and documentation. An example might be code changes in multiple modules plus the addition of new attributes to existing database tables and the creation of new database tables and GUI updates to reflect the new attributes.
XH – Extremely high level of effort, i.e., > 160 hours of effort including design reviews, impact analysis, demonstrations, testing and documentation. An example   might be addition of a function that has an impact on the architecture of the product/solution including creation of new modules, new data base tables, and new GUI screens.

As part of the California Department of Technology (CDT) Project Approval Lifecycle (PAL) process, CARB staff h a v e developed a list of requirements necessary to accomplish the project's high-level goals. Note that these requirements are preliminary and likely do not represent all requirements that will eventually be determined for the AFCIMS system. Prior to the full implementation of the AFCIMS

system, CARB will work with the extended project team of CARB, Fi$cal and Vendor staff, while also considering responses from this RFI, to finalize the complete set of detailed requirements and design specifications for the AFCIMS system. The business requirements are included in this RFI for informational purposes only, in order to provide additional context and promote subsequent questions and clarifications.

Legend for Requirements

The requirements are categorized as shown below.

Category	Abbreviation
Functional Mandatory	FM
Non- Functional Mandatory	NFM
Functional Desirable	FD
Non- Functional Desirable	NFD

Business Requirements

Functional Requirements	
1.1 Deliver an external facing website for customers that will allow for payments of application fees, invoices, and penalties.	1.8 All Payments transactions will then get systematically stored into an the ASD system to keep track of all the payment transactions and actions executed through vendors or merchants when processing a payment.
1.2 Payment options will include Electronic Fund Transfers (EFT), ACH (Automated Clearing House) Debit, Credit Cards or manual payments (Check).	1.9 Ability for this database to extract selected fields into a worksheet that could then be used to upload into Fi$Cal.
1.3 Facilitate separate external vendors or merchants (E.g. First Data) that would handle different types of payment such as EFT, ACH, or credit card payment activities. This system would need to be able to communicate with outside payment systems to trace payment status and hold confidential information regarding the customers (SS#, CDL, bank account #s).	1.10 Ability to generate reports to serve various requests such as view status of payments and invoices.

1.4 Ability to set up accounts for customers whom execute routinely or a one-time payment. Associate accounts to payments, invoices, and programs. Capture customer's confidential information such as business name, address, contact phone numbers, contact email and contact names.	1.11 Position the system to onboard divisions' fees, invoices, and payments as an enterprise solution for CARB.
1.5 To use this system, the customer would need to have/know what they are paying for (i.e. fee, invoice, penalty) and the program (i.e. regulatory fee) and the type of payment they are making (Direct draw from checking/savings Account #, Bank routing #, /credit card/check/money order or wire) A unique number or ID that associates the payment back to the program and the invoice number will facilitate reconciliation to the programs database on what the customer is paying for).	
1.6 Customer will validate or enter payment information including the invoice amount, partial payment amount (if applicable), total payment amount, and selection of debit date if different than today's date.	
1.7 Ability of the system to issue a receipt of payment which would include name of the customer, amount, , and service charge.	

Attachment – G
Project Timeline

Please provided an estimate of the time required to complete the highlighted tasks and activities. If your project implementation work follows a different model – please provide a timeline for the required task and activities.

	ⓘ	Task Name
1		⊿ ASD Revenue and Invoice Management System
2		▷ Planning and Initiating
7		▷ Alternatives Analysis S2AA
62		▷ STAGE 3 Solution Development S3SD
101		▷ STAGE 4 Project Readiness and Approval S4PRA
116		⊿ Project Implementation
117		▷ Initiation
120		▷ Joint Application Design
127		⊿ Build
128		Create environments and configuration management platform
129		▷ Modeling
134		▷ Code units, unit test via sprints
138	📅	Data Migration
139		⊿ Test
140		▷ System Test
144		▷ Integration Test
148		▷ Regression test (during final system test run and during UAT)
152		▷ UAT
158		Training curriculum development
159		⊿ Implementation
160		Set up/configure Production Environment
161		Post Go-Live Improvement iteration

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