

DRAFT FOR

STATE EMPLOYEE REVIEW

11/17/2000

The NIS project requests your assistance.

Please review this RFP and provide your feedback. We are especially interested in examples that will help the bidders understand our requirements. Please include a reference to the section number and heading (e.g. IV.C.4.a) SPECIFICATIONS) with each comment. The requirements section can be found as follows:

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Please send your RFP comments and suggestions via e-mail to Tconroy@notes.state.ne.us no later than Friday December 1, 2000. Our mailing address is NIS Project, Department of Administrative Services, Suite 1315 State Capitol, Lincoln, NE 68509-4664.

We are also seeking your ideas for the scripted demonstrations. The demonstrations will be based on scenarios we provide to each finalist vendor. They will help us assess how the functionality and approach of the vendor fits with our needs.

Thank you for your help. All feedback will be considered.

Nebraska Information System (NIS) Software and Implementation RFP

SCA - 0187

Nebraska Department of Administrative Services
December 8, 2000

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I. SCOPE OF THE REQUEST FOR PROPOSAL

A. INTRODUCTION

The State of Nebraska, Department of Administrative Services is issuing this Request for Proposal, Service Contract Award (SCA) # 0187 for the purpose of selecting a qualified contractor to provide software and implementation services for an integrated finance, procurement and human resources system (commonly known as an ERP system). The new system is currently known as the Nebraska Information System, NIS.

A contract resulting from this RFP will be issued for a period of seven years effective May, 2001 through June 2008, with the option to renew for two additional five year periods as mutually agreed upon by all parties.

In this RFP, the State shall be interpreted to mean the State of Nebraska Department of Administrative Services. Vendor shall be interpreted as the firm or firms that propose to supply the software and services described in this RFP. It is the State's intention that the ERP software manufacturer acts as the prime vendor for this procurement.

The schedule for procurement activities is included in Section I.F.

B. NIS MISSION

1. MISSION

The mission of the Nebraska Information System is to modernize state government administrative business processes and support them with a comprehensive packaged system that integrates information for decision making, analysis and action.

2. VISION

- Nebraska State government will maximize the effectiveness of its administrative processes by implementing "best business practices" in our daily work.
- Electronic transactions will replace paper transactions.
- NIS will enable and support electronic government.
- NIS will facilitate access to information for employees, policy makers and citizens.

3. PRINCIPLES

- NIS is a tool for state employees to improve the effectiveness of their activities.
- All agencies, boards and commissions will participate in the project.
- Electronic transactions are the default; paper transactions are the "backup" approach.
- Approvals and reviews will occur electronically and will be fully audit-able.
- Information will be entered once at the source and stored in the NIS system.
- Authenticated users will have access to NIS from anywhere.
- All interfaced systems and shadow systems will be evaluated.
 - Where NIS functionality is sufficient, interfaced and shadow systems will be retired.
 - Where NIS functionality cannot accommodate legacy systems, they will be interfaced.

4. OBJECTIVES

- Incorporate fully integrated "best business practices" into state government operations.
- Add functionality in human resources, procurement and finance areas.
- Improve the quality and accessibility of information for decision making.
- Reduce redundant data entry, storage and processing.
- Improve employee effectiveness and productivity.

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- Enable electronic commerce.
- Enhance public access to government information.
- Eliminate duplicative administrative systems in state agencies, boards and commissions.
- Retire existing enterprise administrative systems.

C. NIS PROJECT BACKGROUND

State administrative business processes are largely the products of 1960s-era design. These processes are supported by information systems that are nearly as outdated. The Nebraska accounting system (NAS) has its roots in the 1960s. The payroll system (NEIS) dates back to the early 1970s. The NIS project was initiated to modernize State business practices and to replace these existing centralized financial management and payroll systems. NIS scope includes business processes and systems in the following disciplines: Budget & Accounting (General Ledger, Budget Preparation, Financial Control, Performance Measurement); Human Resources (Payroll, Personnel); Purchasing & Payables (Purchasing & Receiving, Inventory, Accounts Payable, Grant Management); Revenues (Accounts Receivable, Grant Accounting) and Fixed Assets.

D. PRIOR WORK

Significant effort has already been performed in earlier phases of the NIS project. A study was performed in the fourth quarter of 1997 by David M. Griffith & Associates, Ltd., and subsequently published in February of 1998.

The study recommended “that the State of Nebraska acquire and implement a commercially available, fully integrated human resource and financial management system that utilizes client/server technology.” Upon completion of the Study, funding was requested in order to begin procurement of the integrated financial management and human resources products. However, the State felt the business justification for the purchase of these products was incomplete.

In 1999, the State contracted with Independent Project Management, Inc. for a Critical Design Review study. This study provided additional supporting information for the business justification. During the same time period, the State Information Technology Consortium completed a risk analysis workshop for NIS.

During the 2000 legislative session, approval was granted to proceed with the NIS project.

E. NIS MANAGEMENT

The Contractor will work closely with the State’s NIS Project Director, Tom Conroy, in clarification, performance and acceptance of deliverables. In addition, the NIS Project Steering Committee will oversee the project and receive monthly project briefings from the Contractor. The State reserves the right to approve, reject or ask for clarification of deliverables throughout the project.

F. SCHEDULE OF EVENTS

The State expects to adhere to the procurement schedule shown below. It should be noted, however, that some dates are approximate and subject to change.

<u>ACTIVITY</u>	<u>DATE/TIME</u>
Release request for proposal	12/8/2000 14:00
Last day to submit written questions	12/15/2000 17:00
Mandatory pre-proposal conference held in the DAS Materiel Division conference room at 301 Centennial Mall South, Lincoln, Nebraska	12/20/2000 9:00

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State responds to written questions through request for proposal addendum	12/22/2000 17:00
Configuration sizing information due	1/2/2001 14:00
Proposal opening held in the DAS Materiel Division conference room at 301 Centennial Mall South, Lincoln, Nebraska	1/19/2001 14:00
Finalist announced	2/15/2001
Scripted demonstrations	3/5/2001 – 3/30/2001
Issue letter of intent to contract	4/10/2001
Contract Award	5/2/2001
Contractor Start Date	5/14/2001

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II. PROCUREMENT PROCEDURES

A. PROCURING OFFICE AND CONTACT PERSON

Procurement responsibilities related to this Request for Proposal reside with the Department of Administrative Services. The point of contact for the procurement is as follows:

Ruth Gray
Department of Administrative Systems Materiel Division
P.O. Box 94847
301 Centennial Mall South
Lincoln, Nebraska 68509-4847
Telephone: 402-471-0974
Facsimile: 402-471-2089

B. GENERAL INFORMATION

The Request for Proposal is designed to elicit proposals from qualified contractors who will be responsible for providing ERP software and services at a competitive and reasonable cost. Proposals that do not conform to the mandatory items provided in Section II.L will not be considered.

Proposals should conform to all instructions, conditions, and requirements included in the Request for Proposal. Prospective contractors are expected to carefully examine all documentation, schedules and requirements stipulated in this Request for Proposal, and respond to each requirement in the format prescribed.

A fixed-price contract will be awarded as a result of this proposal. In addition to the provisions of this Request for Proposal and the awarded proposal, which shall be incorporated by reference in the contract, any additional clauses or provisions required by the terms and conditions will be included as an amendment to the contract.

C. COMMUNICATION WITH STATE STAFF

From the date the Request for Proposal is issued until a determination is made and announced regarding the selection of the contractor, contact between potential contractors and individuals employed by the State is restricted only to written communication with the staff designated specifically to this Request for Proposal.

Once a contractor is selected, that contractor is restricted from communicating with State staff until a contract is signed. Violation of this condition may be considered sufficient cause to reject a contractor's proposal and/or selection irrespective of any other condition.

The following exceptions to these restrictions are permitted:

- written communication with the State Purchasing Bureau staff designated specifically to this RFP or procurement;
- those contacts made pursuant to any pre-existing obligation;
- State staff and/or contractor staff present at the Pre-Proposal Conference when recognized by the State Purchasing Bureau staff facilitating the meeting for the purpose of addressing questions; and
- State-requested presentations, key personnel interviews, clarification sessions or discussions to finalize of contract.

Violations of these conditions may be considered sufficient cause to reject a contractor's proposal and/or selection irrespective of any other condition. No individual member of the State, employee of the State, or member of the Selection Committee is empowered to make binding statements regarding this RFP. The

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Department of Administrative Services Materiel Division will issue any clarifications or opinions regarding the NIS RFP in writing.

D. WRITTEN QUESTIONS AND ANSWERS

Any explanation desired by a contractor regarding the meaning or interpretation of any Request for Proposal provision must be submitted in writing to Ruth Gray in an envelope clearly marked "NIS SCA-0187 Questions." Questions may be transmitted by facsimile to the Materiel Division at (402) 471-2089, but must include a cover sheet clearly indicating that the transmission is to the attention of Ruth Gray, showing the total number of pages transmitted, and clearly marked "NIS SCA-0187 Questions." The State assumes no liability for assuring accurate or complete facsimile transmission or receipt. All correspondence must include the Service Contract Award (SCA-0187) number. Written answers will be provided through an addendum on or before the date shown in the Schedule of Events.

E. PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held on the date, time and location specified in the Schedule of Events. Contractors will have an opportunity to ask questions at the conference and the State will make every reasonable attempt to answer those questions before the end of the conference. Oral responses provided during the pre-proposal meeting shall not be binding on the State of Nebraska. Contractors attending the pre-proposal meeting may submit further questions in addition to those submitted prior to the Request for Proposal deadline, but only if written out and given to the State representative at the close of the pre-proposal meeting. The State will then respond to all written questions through an addendum to be mailed to contractors.

Attendance at the pre-proposal conference is mandatory in order to submit a proposal.

F. ORAL INTERVIEWS AND DEMONSTRATIONS

The Evaluation Committee will require oral interviews and scripted demonstrations in order to determine the successful contractor after the completion of the Technical and Cost Proposal evaluation. All contractors that submitted bids may not have an opportunity to interview and/or demonstrate. The scores from the oral interviews and demonstrations will be added to the scores from the Technical and Cost Proposals to determine the final award. Contractors' key personnel will be required to participate in a structured interview to determine their understanding of the requirements of this proposal, their authority and reporting relationships within their firm, their expertise and their management style. Contractors shall not be allowed to alter or amend their proposals. Only representatives of the State and the presenting contractor will be permitted to attend the oral interviews and demonstrations.

Once the oral interviews and demonstrations have been completed the State reserves the right to make a contract award without any further discussion with the potential contractors regarding the proposals received.

Detailed notes of demonstrations will be recorded and supplemental information (such as briefing charts, et cetera) shall be accepted. Additional written information gathered in this manner shall not constitute replacement of proposal contents.

Any cost incidental to the oral interviews and/or demonstrations shall be borne entirely by the contractor and will not be compensated by the State.

G. SUBMISSION OF PROPOSALS

The following describes the requirements related to proposal submission, proposal handling and review by the State.

To facilitate the proposal evaluation process, one (1) original and ten (10) copies of the entire proposal should be submitted by the proposal due date and time. Proposals must reference the Service Contract

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Award number and be sent to the specified address. Please note that the address label must appear as specified on the face of each container. The State accepts no responsibility for mislabeled/missent mail. Proposals received late will not be accepted and will be returned to the sender unopened. If a recipient phone number is required for delivery purposes, (402) 471-0974 should be used. The SCA number must be included in all correspondence.

Emphasis should be concentrated on conformance to the Request for Proposal instructions, responsiveness to requirements, completeness and clarity of content. If the contractor's proposal is presented in such a fashion that makes evaluation difficult or overly time consuming, it is likely that points will be lost in the evaluation process. Elaborate and lengthy proposals are neither necessary nor desired.

The Technical and Cost Proposals must be presented in separate sections (loose-leaf binders are preferred) on standard 8 ½" by 11" paper, except that charts, diagrams and the like may be on fold-outs which, when folded, fit into the 8 ½" by 11" format. Pages may be consecutively numbered for the entire proposal, or may be numbered consecutively within sections. Figures and tables must be numbered and referenced in the text by that number. They should be placed as close as possible to the referencing text.

The Technical and Cost Proposals shall be packaged separately. The Technical Proposal must not contain any reference to dollar amounts. However, information such as data concerning labor hours and categories, materials, subcontracts and so forth, shall be considered in the Technical Proposal so that the contractor's understanding of the scope of work may be evaluated. The Technical Proposal shall disclose the contractor's technical approach in as much detail as possible, including, but not limited to, the information required by the Technical Proposal instructions.

In addition to the technical and cost proposals, each prospective vendor must provide configuration sizing information on or before the date specified in the schedule.

H. PROPOSAL OPENING

The sealed proposals will be publicly opened and the bidding organizations announced on the date, time and location specified in the Schedule of Events.

I. REJECTIONS OF PROPOSALS

The State reserves the right to reject any or all proposals, wholly or in part and to waive any deviations or errors that are not material, do not invalidate the legitimacy of the proposal and do not improve the contractors competitive position. All awards will be made in a manner deemed in the best interest of the State.

J. PROPOSAL EVALUATION

The State will conduct a fair, impartial and comprehensive evaluation of all proposals in accordance with the criteria set forth below. The evaluation process must comply with the terms and conditions, for competitive proposals. The criteria for determining the responsiveness level of each contractor shall include but not be limited to:

1. The ability, capacity and skill of the contractor to deliver and implement the system that meets the requirements of this Request for Proposal;
2. The character, integrity, reputation, judgment, experience and efficiency of the contractor;
3. Whether the contractor can perform the contract within the specified time frame;
4. The quality of contractor performance on prior contracts;
5. Such other information that may be secured and that has a bearing on the decision to award the contract; and
6. Cost.

K. EVALUATION COMMITTEE

Members of the Evaluation Committee will independently evaluate proposals. This committee will consist of staff with the appropriate expertise to conduct such proposal evaluations. Names of Evaluation

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Committee and any working documents will not become public information. The State reserves the right to share with any third party the RFP and resultant proposals to secure expert opinion.

Contractors are advised that only members of the Evaluation Committee, meeting in their official capacity, can clarify issues or render any opinion regarding this Request for Proposal. No individual member of the State, employee of the State or member of the Evaluation Committee is empowered to make binding statements regarding this Request for Proposal.

L. MANDATORY REQUIREMENTS

The proposals will first be examined to determine if all mandatory requirements listed below have been addressed to warrant further evaluation. Proposals not meeting mandatory requirements will be excluded from further evaluation. The mandatory requirement items are as follows:

1. The signed Request for Proposal for Contractual Services form;
2. Executive Summary;
3. Corporate Overview;
4. Technical Approach;
5. Cost Proposal.

The submission of configuration sizing information as described in section V.C. by the scheduled date is also a mandatory requirement.

M. EVALUATION AND SCORING

All responses to this Request for Proposal which fulfill all mandatory requirements will be evaluated. Each category will have a maximum possible point potential. Areas that will be addressed and scored during the evaluation include:

1. The Executive Summary;
2. Corporate Overview;
3. Technical Approach;
4. Project Cost;
5. References;
6. Oral Interviews; and
7. Scripted demonstrations.

Scores from items 1 through 5 will be used to determine finalist contractors who will then be invited to participate in the oral interviews and scripted demonstrations.

N. REFERENCE CHECKS

Information to be requested and evaluated from each reference includes project description and background, job performed, functional and technical abilities, communication skills and timeliness, cost and schedule estimates and accuracy, problems (poor quality deliverables, contract disputes, work stoppages, et cetera), overall performance, and whether or not the reference would rehire the firm or individual.

The State reserves the right to check any other reference(s) that might be indicated through the explicitly specified contacts or that result from communication with other entities involved with similar projects.

O. STATE USE OF PROPOSAL IDEAS

The State reserves the right to use any and all ideas presented in any proposal that is received in response to this RFP unless the Vendor identifies such ideas as proprietary in their proposal. Selection or rejection of any proposal does not affect this right. In no event will an objection be considered valid with respect to the use of such ideas that are not the proprietary information of the Vendor and so designated in the proposal; or which were known to the State before submission of such proposal; or properly became known to the State thereafter through other sources or through acceptance of any proposal.

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III. TERMS AND CONDITIONS

The terms and conditions stated herein are in addition to those stated in the "Standard Conditions and Terms of Contractual Services and Leasing Solicitation and Offer" form and apply in like force to this Request for Proposal and any contract resulting therefrom.

The contractor's signature on the "Request for Proposal for Contractual Services" form is a guarantee of compliance with the provisions stated in this Request for Proposal.

A. GENERAL

The contract resulting from this Request for Proposal shall incorporate the following documents:

1. The signed Request for Proposal form;
2. Any Request for Proposal Addenda, (Questions and Answers);
3. The Contractor's Proposal;
4. Contract Award; and
5. Any Contract Amendments, in order of significance.

Once proposals are opened they become the property of the State of Nebraska and will not be returned. This Request for Proposal does not commit the State to award a contract. The State reserves the right to reject all proposals, and at its discretion, may withdraw or amend this Request for Proposal at any time. If, in the opinion of the State, revisions or amendments will require substantive changes in proposals, the due date may be extended.

By submitting a proposal in response to this Request for Proposal, the contractor grants to the State the right to contact or arrange a visit in person with any or all of the contractor's or subcontractor's clients.

Contractors will be notified, in writing, once an award decision has been determined.

Grievance and protest procedure is available by contacting Ruth Gray. The contractor must file all protests within ten (10) calendar days after the decision is made to award.

B. COMPLIANCE WITH CIVIL RIGHTS LAWS AND EQUAL OPPORTUNITY EMPLOYMENT

The contractor must assure the State that it shall comply with the Nebraska Fair Employment Practice Act and Title VI of the Civil Rights Act of 1964, as amended so that no person shall, on the grounds of age, creed, sex, physical handicap, race or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this contract or under any project, program or activity supported by this contract.

The Federal Rehabilitation Act of 1973, as amended, the Americans With Disabilities Act of 1990 (P.L. 101-336), as amended, Section 5043 of the Rehabilitation Act of 1973, as amended, the Age Discrimination Act of 1975, as amended, and the Nebraska Fair Employment Act, as amended are incorporated herein. The contractor further agrees to include similar provisions in all subcontracts for services allowed in connection with this contract.

C. CLEAN AIR AND WATER ACTS

The contractor shall comply with all applicable standards, orders and requirements issued pursuant to Section 306 of the Clean Air Act (42 U.S.C. 1857(H)), Section 508 of the Clean Water Act (33 U.S.C. 1368), Executive Order 11738, Environmental Protection Agency regulations (40 CFR Part 15) and applicable requirements of OMB Circular A-102.

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D. OWNERSHIP OF INFORMATION AND DATA

The State of Nebraska shall have the unlimited right to publish, duplicate, use and disclose all information and data developed or derived by the contractor pursuant to this contract.

The contractor must guarantee that it has the full legal right of materials, supplies, and equipment necessary to execute this contract. The contract price shall without exception, include compensation for all royalties and costs arising from patents, trademarks and copyrights that are in any way involved in the contract. It shall be the responsibility of the contractor to pay for all royalties and costs, and the State must be held harmless from any claims.

E. PERMITS AND REGULATIONS

The contractor shall procure and pay for all permits, licenses and approvals necessary for the execution of the contract. The contractor shall comply with all laws, ordinances, rules, orders and regulations related to the performance of the contract.

F. COOPERATION WITH OTHER CONTRACTORS

The State may award supplemental contracts for work related to this Request for Proposal or any portion thereof. The State reserves the right to award the contract as a joint venture between two or more potential contractors, if such an arrangement is in the best interest of the State. The contractor shall agree to cooperate with such other contractors, and shall not commit or permit any act that may interfere with the performance of work by any other contractor.

G. INDEPENDENT CONTRACTOR

It is agreed that nothing contained herein is intended or should be construed in any manner as creating or establishing the relationship of partners between the parties hereto. The contractor represents that it has, or will secure at its own expense, all personnel required to perform the services under this agreement. The contractor or other persons engaged in work or services required by the contractor under this agreement shall have no contractual relationship with the State; they shall not be considered employees of the State.

All claims on behalf of any person arising out of employment or alleged employment (including without limit claims of discrimination against the contractor, its officers or its agents) shall in no way be the responsibility of the State. The contractor will hold the State harmless from any and all such claims. Such personnel or other persons shall not require nor be entitled to any compensation, rights or benefits from the State including without limit, tenure rights, medical and hospital care, sick and vacation leave, severance pay and retirement benefits.

H. CONTRACTOR RESPONSIBILITY

The contractor is solely responsible for fulfilling the contract, with responsibility for all services offered and products to be delivered as stated in its proposal. The contractor shall be the sole point of contact regarding all contractual matters.

If the contractor intends to utilize any subcontractors' services, the subcontractors' level of effort, tasks and time allocation must be clearly defined in the contractor's proposal. The contractor shall agree that it will not utilize any subcontractors not specifically included in its proposal, in the performance of the contract without the prior written authorization of the State.

I. CONTRACTOR PERSONNEL

The contractor shall warrant that all persons assigned to the project shall be employees of the contractor or specified subcontractors, and shall be fully qualified to perform the work required herein. Personnel employed by the contractor to fulfill the terms of this contract shall remain under the sole direction and control of the contractor. The contractor shall include a similar provision in any contract with any subcontractor selected to perform work on the project.

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Personnel commitments made in the contractor's proposal shall not be changed without the prior written approval of the State. Replacement of key personnel, if approved by the State, shall be with personnel of equal or greater ability and qualifications.

The State reserves the right to require the contractor to reassign or remove from the project any contractor or subcontractor employee.

In respect to its employees, the contractor agrees to be responsible for the following:

1. Any and all employment taxes and/or other payroll withholding;
2. Any and all vehicles used by the contractor's employees, including all insurance required by state law;
3. Damages incurred by contractor's employees within the scope of their duties under this contract;
4. Maintaining workers' compensation and health insurance to the extent required by governing state law. Evidence of workers' compensation coverage must be submitted annually to the State; and
5. Determination of the hours to be worked and the duties to be performed by the contractor's employees.

Notice of cancellation of any approved insurance policy must be submitted to the State when issued and a new coverage binder shall be submitted immediately to ensure no break in coverage.

The contractor and its employees agree that there is no right of subrogation, contribution or indemnification against the State for any duty owed by the contractor or any judgment rendered against the contractor. The contractor understands that the State is liable for its own actions only to the extent that there is a judgment under the State Tort Claims Act or Nebraska Workers' Compensation Act. The State does not assume liability for the actions of its contractors.

The contractor agrees that it has no right to indemnification or contribution from the State for any judgments rendered against the contractor or the subcontractor.

J. STATE OF NEBRASKA PERSONNEL RECRUITMENT PROHIBITION

The contractor shall not knowingly recruit or employ any State professional or technical personnel who has worked on the project, or who has had any influence on decisions affecting the project for two years following the completion of the services provided pursuant to the contract.

K. CONFLICT OF INTEREST

Prior to award of any contract, the contractor shall certify in writing, if requested by the State, that no relationship exists between the contractor and the procuring or contracting agency that interferes with fair competition or is a conflict of interest, and no relationship exists between the contractor and another person or organization that constitutes a conflict of interest with respect to a state contract. No official or employee of the State who exercises any functions or responsibilities in the review or approval of the undertaking or carrying out of the project shall, prior to the completion of the project, voluntarily acquire any personal interest, either directly or indirectly, in this contract or proposed contract.

The contractor shall provide assurances that it presently has no interest and shall not acquire any interest, either directly or indirectly, which will conflict in any manner or degree with the performance of its services hereunder. The contractor shall also provide assurances that no person having any such known interests shall be employed during the performance of this contract.

L. PROPOSAL PREPARATION COSTS

The State shall not incur any liability for any costs incurred by contractors in replying to this Request for Proposal or in the demonstrations and oral presentations.

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M. ERRORS AND OMISSIONS

The contractor shall not take advantage of any errors and/or omissions in this Request for Proposal and contract. The contractor must promptly notify the State of any errors and/or omissions that are discovered.

N. BEGINNING OF WORK

The contractor shall not commence any billable work until a valid contract has been fully executed by the State and the successful contractor. The contractor will be notified in writing when work may begin.

O. ASSIGNMENT BY THE STATE

The rights of the State under this contract shall be assignable to any other agency of the State with prior notice to and the consent of the contractor. The contractor shall not unreasonably withhold its consent.

P. ASSIGNMENT BY THE CONTRACTOR

The contractor shall not assign or transfer any interest in the contract without the prior written consent of the State.

Q. DEVIATIONS FROM THE CONTRACT

The requirements contained in the Request for Proposal are a part of the terms and conditions of this contract. Any deviations from the Request for Proposal must be clearly defined by the contractor in its proposal, and if accepted by the State, will become part of the contract. Any specifically defined deviations must not be in conflict with the basic nature of the Request for Proposal or mandatory requirements.

The contractor will clearly identify any exceptions to the terms and conditions in the proposal. The contractor's exceptions will be explicitly identified by section number, and will include an explanation as to why the contractor has the exception, and a statement identifying what terms and conditions the contractor would find to be acceptable.

Any term or condition not explicitly listed as an exception by the contractor will be considered acceptable by the contractor. If no exceptions to the terms and conditions are explicitly identified in the contractor's response, all terms and conditions included in this RFP are considered acceptable to the contractor.

R. GOVERNING LAW

The contract shall be governed in all respects by the laws and statutes of the State of Nebraska. Any legal proceedings against the State regarding this Request for Proposal or any resultant contract shall be brought in the State administrative or judicial forums. The contractor must be in compliance with all Nebraska statutory and regulatory law.

S. ATTORNEY'S FEES

In the event of any litigation, appeal or other legal action to enforce any provision of the contract, the contractor agrees to pay all expenses of such action, including attorney's fees and costs, at all stages of said litigation as set by the hearing officer or court if the State is the prevailing party.

T. ADVERTISING

The contractor agrees not to refer to the contract award in commercial advertising in such a manner as to state or imply that the company or its services are endorsed or preferred by the State. News releases pertaining to the project shall not be issued without prior written approval from the State.

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U. STATE PROPERTY

The contractor shall be responsible for the proper care and custody of any State-owned property that is furnished for the contractor's use during the performance of the contract. The contractor shall reimburse the State for any loss or damage of such property, normal wear and tear excepted.

V. SITE RULES AND REGULATIONS

The contractor shall use its best efforts to ensure that its employees, agents and subcontractors comply with site rules and regulations while on State premises.

W. NOTIFICATION

After the award of the contract, all notices under the contract shall be deemed duly given upon delivery in person or upon delivery by Certified Mail, Return Receipt Requested. The contractor shall provide in its proposal the name, title and complete address of the contractor's designee to receive notices.

Either party may change its address for notification purposes by giving notice of the change, and setting forth the new address and an effective date.

X. EARLY TERMINATION

The contract may be terminated as follows:

1. The State and contractor, by mutual written agreement, may terminate the contract at any time.
2. The State in its sole discretion may terminate the contract for any reason upon 30 days written notice to the contractor.

Y. FUNDING OUT CLAUSE OR LOSS OF APPROPRIATIONS

The State may terminate the contract, in whole or in part, in the event funding is no longer available. The State's obligation to pay amounts due for fiscal years following the next fiscal year are contingent upon legislative appropriation of funds for this contract. Should said funds not be appropriated, the State may terminate this contract with respect to those payments for succeeding fiscal years for which such funds are not appropriated. The State will give the contractor written notice thirty (30) days prior to the effective date of any termination, and advise the contractor of the location (address and room number) of any related equipment. All obligations of the State to make payments after the termination date will cease and all interest of the State in any related equipment will terminate. The contractor shall be entitled to receive just and equitable compensation for any authorized work that has been satisfactorily completed as of the termination date. In no event shall the contractor be paid for a loss of anticipated profit.

Z. DEFAULT BY CONTRACTOR

The State may terminate the contract, in whole or in part, if the contractor fails to perform its obligations under this contract in a timely and proper manner. The State may, by providing a written notice of default to the contractor, allow the contractor to cure a failure or breach of contract within a period of thirty (30) days (or longer at State's discretion considering the gravity and nature of the default). Said notice shall be delivered by Certified Mail, Return Receipt Requested or in person with proof of delivery. Allowing the contractor time to cure a failure or breach of contract does not waive the State's right to immediately terminate the contract for the same or different contract breach which may occur at a different time.

AA. ASSURANCES BEFORE BREACH

If any document or deliverable required pursuant to the contract does not fulfill the requirements of the Request for Proposal, the contractor shall deliver assurances in the form of additional contractor resources at no additional cost to the project in order to complete the deliverable, and to ensure that other project schedules will not be adversely affected.

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BB. PENALTY/LIQUIDATED DAMAGES

In the event that the contractor fails to perform any substantial obligation under this contract, the State may withhold all monies due and payable to the contractor, without penalty, until such failure is cured or otherwise adjudicated.

CC. PERFORMANCE BOND

The selected contractor will be required to supply a certified check or a bond executed by a corporation authorized to contract surety in the State of Nebraska, payable to the State of Nebraska. The amount of the certified check or bond must be twenty percent of the proposed fee for the service. The bond will guarantee that the selected contractor will enter into a contract with the State, and will insure the faithful performance thereof. Failure to comply shall be grounds for forfeiture of the bond as liquidated damages. The bond or certified check will be returned when the service has been completed.

The selected contractor will forfeit all or part of the bond or certified check for non-performance. Amount of forfeiture will be determined by the agency based on actual financial loss to the State.

DD. FORCE MAJEURE

The contractor shall not be liable for any excess cost to the State if a failure to perform the contract arises from causes beyond the control and without the fault or negligence of the contractor. Such causes may include, but are not limited to, acts of God, fire, strikes, epidemics and quarantine restriction. The contractor shall take all possible steps to recover from such occurrences and inform the State of status.

EE. PROHIBITION AGAINST ADVANCE PAYMENT

No compensation or payments of any kind will be made in advance of services actually performed and/or goods furnished.

FF. PAYMENT

The State hereby agrees, in consideration of the covenants and agreements specified to be kept and performed by the contractor to pay to the contractor when the terms and conditions of the contract and specifications have been fully completed and fulfilled on the part of the contractor to the satisfaction of the State, the sum of the individual order amount. Payment will be made by the responsible agency in conjunction with the State of Nebraska Prompt Payment Act 81-2401 through 2408.

GG. INVOICES

Invoices for payments must be submitted by the contractor to the agency requesting the services.

HH. AUDIT REQUIREMENTS

All contractor books, records and documents relating to work performed or monies received under this contract shall be subject to audit at any reasonable time upon the provision of reasonable notice by the State. These records shall be maintained for a period of five (5) full years from the date of final payment, or until all issues related to an audit, litigation or other actions are resolved. All records shall be maintained in accordance with generally accepted accounting principles.

In addition to, and in no way in limitation of the obligation of the contract, the contractor shall agree that it will be held liable for any State audit exceptions, and shall return to the State all payments made under the contract for which an exception has been taken or which has been disallowed because of such an exception.

The contractor agrees to correct immediately any material weakness or condition reported to the state in the course of an audit.

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II. TAXES

The State is not required to pay taxes of any kind and assumes no liability as a result of this solicitation. Any property tax payable on the contractor's equipment that may be installed in a State-owned facility is the responsibility of the contractor.

JJ. INSPECTION AND APPROVAL

Final inspection and approval of all work required under the contract shall be performed by the designated State officials. The State and/or its authorized representatives shall have the right to enter any premises where contractor or subcontractor duties under the contract are being performed, and to inspect, monitor or otherwise evaluate the work being performed. All inspections and evaluations shall be at reasonable times and in a manner that will not unreasonably delay work.

KK. CHANGES IN SCOPE/CHANGE ORDERS

The State may at any time with written notice to the contractor, make changes within the general scope of the contract. Changes in scope shall only be conducted with the written approval of the State's project Director. (The State retains the right to employ the services of a third party to perform any change order(s)).

As soon as possible, but no more than ten (10) work days (or another mutually agreed upon time period for large scope change orders) after receiving the written change order, the contractor shall provide a written response that shall include a statement as to whether or not the change has an associated cost or schedule impact. If the change order has an associated cost or schedule impact, the statement shall include the price increase or credit, and the specific impact on the schedule. Any statement of price increase shall be accompanied by sufficient documentation that shows the estimated increase is based solely on the change order rates included in the contractor's Cost Proposal, an allowance was considered for any increase or decrease in the cost of the contractor's performance of the remainder of the contract, and an allowance was considered for any economies to the contractor resulting from the duplication or overlapping of similar work which has been or will be performed under the contract. The cost of analyzing the change order shall be separately identified from the cost associated with the implementation of the change order.

The State's project Director and the contractor shall determine in a timely manner as to the time, manner, price increase or decrease, and schedule of any change orders.

Corrections of any deliverable services or performance of work required pursuant to the contract shall not be deemed a modification requiring a change order.

LL. HOLD HARMLESS

The contractor agrees to hold the State harmless for all loss or damage sustained by any person as a direct result of the negligent or willful acts by the contractor, its employees or agents in the performance of this agreement including all associated costs of defending any action.

MM. CONFIDENTIALITY

All materials and information provided by the State or acquired by the contractor on behalf of the State shall be regarded as confidential information in accordance with Federal and State Law, and ethical standards. The contractor must ensure the confidentiality of such materials or information.

NN. SEVERABILITY

If any term or condition of the contract is declared by a court of competent jurisdiction to be illegal or in conflict with any law, the validity of the remaining terms and conditions shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if the contract did not contain the particular provision held to be invalid.

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OO. PROPRIETARY INFORMATION

Data contained in the proposal and all documentation provided therein, become the property of the State of Nebraska and the data becomes public information upon opening the proposal. Proprietary information must be submitted in separate package and clearly marked. Proprietary information is defined in statute (see Nebraska State Statute 84-712, et cetera).

PP. CERTIFICATION OF INDEPENDENT PRICE DETERMINATION

1. By submission of this proposal, the contractor certifies, and in the case of a joint proposal, each party thereto certified as to its own organization, that in connection with this procurement:

- a) The prices in this proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other contractor or with any competitor;
- b) Unless otherwise required by law, the prices which have been quoted in this proposal have not been knowingly disclosed by the contractor and will not knowingly be disclosed by the contractor prior to opening in the case of an advertised procurement or prior to award; and
- c) No attempt has been made or will be made by the contractor to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.

2. Each person signing this proposal certifies that:

He/she is the person in the contractor's organization responsible within that organization for the decision as to the prices being offered herein and that he/she has not participated, and will not participate, in any action contrary to 1.a through 1.c above;

OR

He/she is not the person in the contractor's organization responsible within that organization for the decision as to the prices being offered herein, but that he/she has been authorized in writing to act as agent for the persons responsible for such decision in certifying that such persons have not participated, and will not participate in any action contrary to 1.a through 1.c above, and as their agent does hereby so certify; and he/she has not participated, and will not participate, in any action contrary to 1.a through 1.c above.

QQ. PRICES

All prices, costs, terms and conditions outlined in the proposal shall remain fixed and valid commencing on the opening date of the proposed until the award of the contract.

Contractor represents and warrants that any or all prices for services, now or subsequently specified are as low as and no higher than prices which contractor has charged or intends to charge customers other than the State for the same or similar products and services of the same or equivalent quantity and quality for delivery or performance during the same periods of time. If during the term of this contract, contractor shall reduce any or all prices charged to any or all customers other than the State for the same or similar products or services specified herein, contractor shall make an equal or equivalent reduction in corresponding prices for said specified products or services.

Contractor also represents and warrants that all prices set forth in this contract and all prices in addition, which contractor may charge under the terms of this contract, do not and will not violate any existing federal, state or municipal law or regulations concerning price discrimination and/or price fixing. Contractor agrees to hold the State harmless from any such violation now and throughout the term of this agreement. Prices quoted shall not be subject to increase throughout the contract period unless specifically allowed by these specifications.

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RR. BEST AND FINAL OFFER

The State reserves the right to conduct discussions with any or all respondents to this request for the purpose of clarification and modification. Discussion and negotiation may include, but is not limited to, the scope of work, schedule, and price.

SS. ETHICS IN PUBLIC CONTRACTING

No contractor shall pay, offer to pay, either directly or indirectly any fee, commission compensation, gift, gratuity, or other thing of value to any State officer, legislator or employee. Contractor shall be prohibited from utilizing the services of lobbyists, attorneys, political activists, or consultants to secure this contract. If the contractor is found to be in non-compliance with this provision of the RFP, they will forfeit the contract if awarded to them or be disqualified from the selection process.

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IV. PROJECT DESCRIPTION AND SCOPE OF WORK

A. PROJECT OVERVIEW

The State intends to contract with the manufacturer of ERP software for a software license, annual maintenance and the implementation services required to install the software. Multiple proposals will be accepted from a software manufacturer who wishes to partner with competing providers of implementation services. It is our intent to procure the best combination of software and services at the most reasonable cost. In all cases, the software vendor will be responsible to the State for all aspects of performance under the contract.

The State desires to complete the full implementation in eighteen months or less. We will, however, consider plans that for good reasons do not fit this timetable. We expect the contractor to recommend a time line and implementation approach that will result in a successful project. The State plans to utilize the acquired software for a minimum of ten years.

The University of Nebraska System is not included in the scope of this procurement. The University completed installation of a SAP system in 1999. Additional information about the University's implementation can be found at <http://asg.uneb.edu/>. State colleges are included in the project.

State government includes agencies of several thousand people as well as some with only two employees. The system must support the needs of each. Information about State government organization, responsibilities and history can be found in the Nebraska Blue Book at <http://www.unicam.state.ne.us/bluebook/index.htm>. Personnel statistics can be found in the Personnel Almanac at <http://www.nlc.state.ne.us/docs/pilot/pubs/PersonnelAlmanac.pdf>. Information about the State's communication network can be found at <http://www.das.state.ne.us/doc/tina/tina.html>. Information about DAS IMServices information systems and services can be found at <http://www.ims.state.ne.us/>.

The current systems have the following number of estimated (non-unique) users:

	CURRENT SYSTEM USER COUNTS
General Ledger	190
Accounts Payable	190
Purchasing	170
Fixed Asset	60
Supplies Inventory	50
Budget Development	150
Human Resources	160
Payroll	170
Total	1140

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The current systems have the following data volumes:

General Accounting	
G.L. - Number of accounts	2,700
G.L. - Number of transactions	560,000
A/P – Number of invoices	N/A
A/P – Number of warrants	1,420,916
A/P – Number of EFTs	1,221,909
Public assistance – Number of warrants	422,223
A/R – Number of customers	N/A
Cash receipts – Number of deposits	38,342
Journal entries	35,681
Purchasing	
Number of purchase orders	
Number of vendors	
Number of purchase order transactions	
Number of purchase requisitions	
Supplies Inventory	
Number of locations	300
Number of inventory items	140,000
Property Management	
Number of fixed assets	
Personnel/Payroll	
Number of employees paid biweekly	12,168
Number of employees paid monthly	8,857
Number of budgeted positions	18,350

The current NEIS and NAS systems have the following monthly transaction volumes:

MONTH	VOLUME
July 1999	1,098,825
August 1999	1,059,563
September 1999	994,638
October 1999	953,045
November 1999	908,141
December 1999	951,688
January 2000	1,121,960
February 2000	910,097
March 2000	963,028
April 2000	806,132
May 2000	896,542
June 2000	1,015,515
Total	11,678,634

Peak transaction counts for a typical month occurred during the following times:

DATE	HOUR PERIOD ENDING AT	TRANSACTION VOLUME
January 4	4:00 p.m.	5,046
January 5	9:00 a.m.	5,975
January 5	12:00 p.m.	5,256
January 6	10:00 a.m.	5,924
January 6	12:00 p.m.	6,172
January 6	2:00 p.m.	5,636

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January 6	3:00 p.m.	5,692
January 6	4:00 p.m.	5,461
January 6	5:00 p.m.	6,201
January 7	10:00 a.m.	5,669
January 7	5:00 p.m.	5,668
January 19	9:00 a.m.	6,166
January 19	10:00 a.m.	6,365
January 19	11:00 a.m.	5,505
January 19	12:00 p.m.	6,019
January 19	3:00 p.m.	8,109
January 19	4:00 p.m.	6,983
January 19	5:00 p.m.	6,828
January 20	10:00 a.m.	6,161
January 20	12:00 p.m.	5,761
January 20	2:00 p.m.	5,755
January 20	3:00 p.m.	6,125
January 20	4:00 p.m.	6,303
January 20	5:00 p.m.	6,289
January 21	9:00 a.m.	6,369
January 21	10:00 a.m.	5,879
January 21	11:00 a.m.	5,794
January 21	2:00 p.m.	5,536
January 21	3:00 p.m.	5,656
January 21	4:00 p.m.	8,042
January 21	10:00 a.m.	6,010
January 22	11:00 a.m.	4,233
January 22	12:00 p.m.	5,030
January 22	2:00 p.m.	5,208
January 22	3:00 p.m.	5,178

Note: The information in this table is not directly comparable with the previous table as the information is collected from different sources for different purposes.

B. PROJECT CONTEXT

The Nebraska Accounting System (NAS) is a custom developed governmental accounting system. NAS provides the State's core financial processing and chart of accounts. It is a batch system that was later modified to support online CICS functions. The NAS manual can be found at <http://www.das.state.ne.us/accounting/nasman/nascon.htm>

The Nebraska Employee Information System (NEIS) was also custom developed. NEIS supports payroll and position control. The NEIS manual can be found at <http://www.das.state.ne.us/accounting/neisman/index.htm>
As noted above, the State currently maintains two payroll cycles. In addition, cutoff days may vary by agency.

The State recognizes that the involvement of State employees in decisions is critical to the success of NIS. The State intends to contribute a reasonable number of people, both full time and part time, to assist with NIS. Precise numbers and skill requirements will be determined as part of the response to this RFP.

The State will provide office space, network connections, copy facilities, telephones and personal computer workstations for the project team. The State will select the hardware and operating system for NIS based on configuration information provided by each contractor as described in section V.C.

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C. PROJECT REQUIREMENTS

1. COMMON CHARACTERISTICS

a) SELF SERVICE

The State desires to provide employees, agencies, businesses and the public with convenient options for access via a web browser from a variety of devices. Information is to be available 7 days per week, 24 hours per day. The system should allow authorized users to obtain and update information through self-service applications that require little or no training.

b) INTEGRATION

The NIS software will support modern “best business practices”, with data located in one integrated system shared across all state agencies. The software must support enterprise-wide business processes with a goal of eliminating multiple handling of data and increasing accuracy. The software must also support external collaboration with state business partners and other third parties. Examples of such integration include electronic interfaces with benefits providers, supplier networks and the State’s procurement card vendor. External integration should incorporate recognized standards such as ANSI X.12, XML formats and federally specified data interchange formats.

To increase consistency and streamline research efforts, the system should provide links to external sources for information such as Federal regulation changes and new Federal legislation, census data and state legislation (including projected fiscal impacts). The system should also provide for accessibility to third party information, such as checking educational records at educational institutions or employment references.

c) TAILORING

The State desires to procure a system that will not require software modification to meet our business requirements. However, the software should allow for easy tailoring to meet those requirements without changing software code. Changes to parameters, software switches, processing rules, and other tailoring approaches may be acceptable. The tailoring must be accomplished in a way that does not adversely impact the future installation of system upgrades released from the vendor. The software must be flexible enough to allow easy re-tailoring as business requirements change.

d) TECHNOLOGY INTERFACES

The system should provide the ability to seamlessly interface with legacy applications that will not be replaced as part of this initiative. Such interfaces must provide for two-way passage of data between the system and the legacy application. The interfacing must be accomplished in a way that does not adversely impact the future installation of system upgrades released from the vendor.

e) SECURITY

The system must support multiple levels of security. This includes protecting certain fields (e.g. social security number) from public access. In addition, access to certain functions and data must be protected until they are approved by policy makers (e.g. budget scenarios that are created for analysis prior to publishing a formal recommendation.) Application security should be integrated with database security. Templates or group functions should be provided to facilitate maintenance. In addition, provisions should be included for distributed or localized security administration within state agencies. Changes in assignment or termination should automatically trigger a review of the employee’s security privileges. Comprehensive logs of transactions and security incidents must be maintained for auditing purposes.

f) USER INTERFACE

The system should provide an intuitive, user-friendly, and easy-to-use interface that minimizes the need for training. Online help should be available for all applications. The system must address the needs of

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infrequent or low volume users as well as those who use the system several hours each day. A “fast path” should be available to enable uncomplicated transactions to be quickly executed. The State anticipates that the primary interface for most system users will be a Microsoft Internet Explorer browser. The system must support reasonable accommodations for accessibility by disabled persons per the State’s proposed standards. See <http://www.nitc.state.ne.us/tp> for detailed information about technology access requirements.

g) REPORTING

The system should include comprehensive reporting tools that allow for easy access to authorized data. Executive interfaces to the data with “drill down” capability to examine details should be included in the reporting tools. It should also be possible to create reports that reflect status as of a specified point in time (e.g. list departmental salaries as of 7/1/2000). Standard reports should be included that will serve as models for customized reporting as well as provide for basic functional reports. Reporting activities shall not compromise the responsiveness of the interactive system.

The system must support state and federal reporting requirements. Examples include EEO reports, 104S, W2, 1099,

*** This section is not yet complete ***

State agencies: Please suggest example federal report formats by federal identifier and federal agency name.

Reports should be formatted to print on local PC attached printers as well as on centralized high-speed printers. It should be possible to deliver fixed reports to users on a pre-determined schedule to be reviewed online, to be retained online or to be printed at the user’s discretion.

The system should be able to demonstrate useful demographic and forecasting capabilities, support text based searches and provide agencies the ability to develop ad hoc reports at their discretion.

h) ANALYTIC TOOLS

The system should support the easy movement of data to specialized analysis tools such as SAS and Microsoft Office.

The system should include the ability to locate information or text through a search capability.

The system should provide automatic notification when an agency’s line item expenditures have reached a trigger level specified by the agency.

i) WORKFLOW

The system must support the automated distribution of electronic documents to individuals in an efficient manner. The system must replace paper-based processes like expense reports and automate communication processes such as error or deadline notifications and approvals. The system must easily accommodate both enterprise business rules to define the flow of work as well as agency specific policies. Information about the status of workflow transactions should be available so that participants can determine where information or actions may be bottlenecked. Standard approval timeframes and alternative approval paths should be built into the system along with reminders for overdue tasks.

The system should capture non-textual information where necessary to support the business process (for example, a scanned image of a vendor invoice).

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j) COMMUNICATION

The system should foster information sharing at all levels of the organization. For example, policy directives and goals should be incorporated into the budget planning process; agencies should be able to share purchasing intentions and specifications and “best business practices” should be readily available for consultation. In addition, the system should provide a single place for users to quickly access information and updates on state government news and policies.

k) FLEXIBILITY

The system must be easily reconfigured to respond to changes in business practices, policy directives, organization structure, statutes and regulations. As business requirements change, the system must also change to support the new requirements. Flexibility should extend both to enterprise-wide as well as agency specific practices.

l) USER ACCESS

The system must be available for access by authorized personnel from anywhere at any time of the day or night. The system must be equally usable from remote locations as from Lincoln. Web-based access should be supported from a wide variety of user devices, potentially including wireless PDAs and interactive voice response units. The system must meet state standards for technology access as described at <http://www.nitc.state.ne.us/tp>.

m) TRANSACTION TIMING

The system must support real time operations. Changes to data or the status of processes should be immediately available in the system. System operations should not artificially constrain the business processes supported by the system.

The system must support effective dating for transactions, including both future and retroactive changes. The authority for such transactions must be included in the security capabilities of the system. The assignment of a retroactive date must generate the changes required to bring the system up to the current date (e.g. a retroactive change in pay must result in the processing that would have occurred if the change had been made in real time.)

The system must support mass changes to definable groupings of transactions (e.g. process a reduction in all excess leave balances on January 1.)

n) ONLINE DOCUMENTATION AND TRAINING

The system must include online documentation and training materials such as context-specific help, search capability, business process documentation and process maps. Wherever possible, the system user should have immediate access to documentation that supports the activity they are using the system to accomplish. Provisions for obtaining additional help or training should also be included.

o) STORAGE/RECORD RETRIEVAL

Record collection and retention is an important government requirement. The system must provide a scanning/imaging tool as well as optical character recognition capabilities. The ability to easily archive, retain and access records is required. Records retention procedures must conform to state law must allow information to be stored in a way that can be accessible indefinitely.

2. BUDGET DEVELOPMENT, OPERATING AND CONTROL

a) SUMMARY OF THE CURRENT BUDGET PROCESS

The State’s biennial budget cycle ends on June 30 of the odd-numbered years. On July 15 of even numbered years, the Department of Administrative Services Budget Division issues instructions to be used by State agencies for their upcoming budget. By September 15, prior to a biennium, all State agencies,

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including colleges and universities, must submit their budget requests for the biennium beginning the following July 1. The requests show estimated funding requirements by programs, subprograms, and activities. The Governor reviews the agency requests, establishes priorities, and presents the Legislature with one or more pieces of legislation covering the biennium. The Legislature holds hearings on the Governor's proposed budget, adopts changes and presents final legislation to the Governor. The Governor can either: a) approve the appropriation bill in its entirety, b) veto the bill, or c) line item veto certain sections of the bill. Any vetoed bill or line item can be overridden by a three-fifths majority of the Legislature.

The approved appropriations set spending limits by fund type for programs within each agency. These limits may include up to five budgetary fund types. Thus, the legal level of control is fund type within program within agency. The central accounting system maintains this control. A separate publication titled "Annual Budgetary Report" shows the detail of this legal level of control. A copy can be found at <http://www.das.state.ne.us/accounting/budrept/contents.htm>.

Appropriations are made for each fiscal year of the biennium; balances at the end of the first fiscal year are carried over into the second fiscal year, unless directed otherwise by the Legislature. For most appropriations, balances lapse at the end of the biennium

All State budgetary expenditures for the general, cash, construction, federal, and revolving fund types are made pursuant to appropriations which may be amended by the Legislature, upon approval by the Governor. State agencies may allocate appropriations between object of expenditure accounts, except that personal service expenditures that exceed limitations contained in the appropriations bill require Legislative amendment. Any changes in appropriations are made through an annual deficit bill or other legislation. Appropriations from the federal fund type are considered to be estimated and the Legislature has approved an administrative procedure for changing them.

The Nebraska Accounting System (NAS) uses the cash basis of accounting. This means that revenues are recognized when cash is received and expenditures are recognized when cash is disbursed. The budgetary fund types are similar to the fund types recommended in General Accepted Accounting Principles (GAAP). The budgetary funds are listed below. Of these seven fund types, only the first five are subject to the spending limits set by the appropriations bills.

1. **General Fund (Fund Series 1000)** accounts for activities funded by general tax dollars, primarily sales and income taxes.
2. **Cash Reserve and Cash Funds (Fund Series 2000)** account for financial resources used as a reserve for the General Fund if the General Fund balance should become inadequate to meet current obligations, to account for the financing of goods or services provided by a State agency to individuals or entities outside State government on a cost-reimbursement basis, and to account for the revenues and expenditures related to highway construction.
3. **Construction Funds (Fund Series 3000)** account for financial resources to be used for the acquisition or construction of major capital facilities.
4. **Federal Funds (Fund Series 4000)** account for the financial resources related to the receipt and disbursement of funds generated from the federal government as a result of grants and contracts except for federal highway monies accounted for in the Cash Funds.
5. **Revolving Funds (Fund Series 5000)** account for the financing of goods or services provided by one State agency to another State agency on a cost-reimbursement basis.
6. **Trust Funds (Fund Series 6000)** account for assets held in a trustee capacity.
7. **Distributive Funds (Fund Series 7000)** account for assets held as an agent for individuals, private organizations, and other governments and/or other funds.

b) GENERAL BUDGET REQUIREMENTS

The system should support the online development and publication of budget request instructions and guidelines to be followed by user agencies.

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The system must capture data and textual information used to complete the following budget request components:

1. Biennial Operating and State Aid budget requests;
2. Capital construction and building renewal requests; and
3. Modification budget requests.

Biennial Operating and State Aid budget requests should capture and allow for reporting (by producing high quality camera-ready reports and web pages) on the following information in accordance with current State of Nebraska budget instructions:

1. Agency Narrative, including descriptions of statutory authority, agency vision, mission and principles, goals, agency organization (including ability to attach an organization chart), management process and service delivery areas, request priorities and significant issues;
2. Current year, continuation request, and adjusted request data at the sub-program level for all agency sub-programs;
3. Fund analysis for each of the agency's cash, federal and revolving funds and for miscellaneous revenue to the general fund;
4. Employee information for permanent positions by bargaining units;
5. Program narrative;
6. Program objectives, including performance measures (inputs, outputs, efficiency, outcomes and quality); request priorities and significant issues;
7. Detailed breakdown of permanent salaries and wages by position; and
8. Budget adjustment narrative, including summary description of budget adjustment; research, analysis, and justification; implementation plan for budget adjustment agency organization detailed description request priorities and significant issues.

Capital construction and building renewal requests are required for new projects and for changes or renovations to existing facilities if the work transcends routine maintenance. Capital construction and building renewal requests must capture and allow for reporting (by producing high quality camera-ready reports and web pages) on the following information in accordance with current State of Nebraska budget instructions:

1. Capital construction re-affirmations including statutory authority, justification for any deviation in the scope of funding of a re-affirmation project from the original appropriation, project costs (prior and current expenditures, and future funding needs) and project financing history with proposed changes;
2. Building renewal request including agency, building name and number, project name, description, and justification, total project costs, sources of financing (including amount requested from general funds and agency cooperative funding), project prioritization and "combination" project identifier;
3. Capital construction project request including agency, building name and number, project name, description, and justification, project status and time schedule, project prioritization, total project costs for all fiscal years, including cost components (professional fees, construction, movable furniture and equipment, land acquisition, art works and other);
4. Ongoing operating costs, including personnel costs; and
5. Sources of financing.

The budget modification process is based on a "what if" analysis to determine if an agency's level of appropriation is to be less than the current level (e.g. 90% of current appropriation), what services or activities will not be provided. Budget modification requests must capture and allow for reporting (by producing high quality camera-ready reports and web pages) on the following information in accordance with current State of Nebraska budget instructions (currently at agency and not program level):

1. Operations modifications including a description of each specific operation modification, the rationale for modification, priority, impact of modification, statutory change, implementation costs if modification not funded (accumulated vacation payments, unemployment), total current year cost of specific service or function, total request for specific service or function offered as modification by fiscal year and account expenditure code and means of financing; and

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2. Government aid modifications including description of each specific government aid modification, rationale for modification, priority, impact of modification and statutory change, implementation costs if modification not funded, total current year cost of specific aid program, total request for specific aid program offered as modification by fiscal year and account expenditure code and means of financing.

The system should support the use of budget categories or summary objects (e.g. defined expense objects would roll up to a specific budget category).

The system must provide the ability to segregate and separately forecast salary and fringe benefit costs of filled personnel positions and vacant personnel positions at any point in time.

The system should provide the ability for agency users to attach supporting text, notes, spreadsheets, graphs and database information to their budget requests.

The system should provide the ability to apply cost of living increases to personnel-related budgeted amounts to one, some, or all salary and personnel related costs, including special pays (e.g., hazardous duty pay).

The system must provide the ability to process global salary adjustments prior to budget adoption based on varying increases offered to each bargaining group. More than one bargaining group may cover employees within a single program.

The system should provide the ability to apply inflation factors (including 0% and negative capability) to non-personnel related costs, with differing inflation adjustment factors being applied to each high level object of expense in the budget.

The system should provide for an unlimited number of "what if" budget iterations or versions using the full capabilities of the budget development process, including the development of a new version from a previous version.

Subsequent to the establishment of the final approved budget, all versions used during the budget preparation process should still be available for online inquiry and hard copy reporting by authorized users. All versions must be uniquely identified.

The system should provide an audit trail of all budgetary transactions, approvals, and electronic signatures associated with the budget development process.

The system should provide the ability to capture and report on the legal authorizations (appropriations) associated with all budgetary processes.

The system should allow user agencies to request appropriation and budgetary increases for additional funds secured during the biennium, as appropriate (e.g., a new federal grant is awarded). The system should track all such requests, and integrate with the system's grants tracking functionality, to ensure that the sum of the grant budget entries does not exceed the amount of the grant award.

The system should provide full integration to support the automatic loading of the final Legislative Authorized Budget amounts, Agency budget amounts, grant budget amounts, project budget amounts, funding designations, and structures and the annual operating budget functionality for both fiscal years appropriated.

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c) BUDGET DEVELOPMENT

The system should automatically create an annual budget baseline based on the most recent annual operating budget (with or without inflation factors and salary changes).

The system should support biennial budget analysis and development in at least the following four distinct phases:

- (1) Historical (actual expenditures and current budgeted)
- (2) Agency Request
- (3) Executive Recommended Budget
- (4) Legislative Recommended Budget.

The system must support confidential analysis and decision making of the “owners” in each of phases (2) through (4). The “owners” are the user agencies (2), the Governor acting through the Budget Office (3), and the Legislature’s Appropriations Committee acting through the Legislative Fiscal Office.

The system should support the development of the statewide budget using both the current traditional model (changes to the current modified budget creating requests and recommendations for the future biennium) and alternative models such as performance based budgeting.

The System should retrieve historical appropriated, budgeted (funded), and actual financial data for use in preparing the initial baseline budget amounts for prior year and current year appropriations and prior year expenditures.

The system must allow for a single program or capital project budget item to have multiple funding sources (i.e. general and special revenue, proprietary, or trust funds).

The system should provide ability to establish budgets at multiple pre-defined “change” levels per budget development instructions in addition to the base level, and allow for excluding certain budget categories or expense objects / line items in operating budgets.

The system should record online Executive vetoes and Legislative overrides, if any, and should maintain a permanent record of originally enacted budget, vetoes, and veto overrides by bill, fiscal year, agency, budget, appropriations, budget item, and date of each action.

The system must allow for distinct identification of agency budget request, Governor’s recommended budget, and final legislature approved budget. The system should retain audit trail history of budget actions taken at each level, including approvals.

The system should store enacted budget special language sections from each biennium’s appropriations. These sections will be used as the basis for developing appropriate language sections for the next budget cycle where they may be edited or deleted.

The system should provide the ability to drill down or link to all budget requests that are related to an enacted appropriation.

The system must provide the ability to establish and monitor personal services limitation by program.

The system should support entry of deficit appropriations for tracking.

d) OPERATING BUDGET

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The system should support the preparation of an annual operations plan for each State agency. The plan identifies the proposed expenditures on a monthly basis and anticipated resources to support expenditures for the next fiscal year. It is typically developed at a lower level than the Biennial Budget.

The system should allow user agencies the option to select the initial level of their annual operating budget formulation based on no less than four options, including:

- 1) Structure and amount of the current fiscal year;
- 2) Blank (no predefined structure or amount);
- 3) Structure of the current fiscal year, with amounts equal to most recent year-to-date expenditures; or
- 4) As defined by the user.

The system should provide each user agency with the option of selecting the levels at which to develop and locally control its annual operating (or agency) budget (e.g. character of expense, object of expense, sub-object of expense, etc.). Agencies may elect to use different levels in different parts or portions of their budget. However, in no case can the selection be more summarized than is appropriated. This function allows the user agency to organize its operating budget differently than authorized in its biennial budget through the use of translation tables or other authorizations by law.

The system should provide an automated means for user agencies to certify anticipated revenues supporting appropriations and available budget amounts, and should ensure that total certified income for each revenue/fund is equal to or greater than the sum of the available budget amounts supported by that revenue/fund.

The system should provide the means for an agency to create a budget for each grant or part of a grant it receives. In the case of statewide grant awards that support appropriations in more than one agency, the sum of all agency grant budgets for the grant may not exceed the statewide award amount.

The system should provide online inquiries at the summary level of current fiscal year expenditures against appropriation and budget amounts. At a minimum, summary inquiries and reports must be provided at multiple levels, including statewide by fund and by agency and fund. Summary inquiries and reports must also be provided by agency, appropriation, budget, line item, character, and cost center. Capital budget summary inquiries and reports should include inception to date information by project, project type, and project phase for each agency, and statewide.

The system should provide detailed reports and inquiries as necessary to assist agency and central budget staff in monitoring the expenditure of budgeted amounts.

The system should allow departments to specify level of detail for tracking (e.g. line item and organizational decomposition of program budget) for budgetary expenditure reporting.

e) CONTROL

The system should provide for user-defined budgetary controls by:

- Organization
- Object (centrally established)
- Appropriation (centrally established)
- Fund (centrally established)
- Strategic program
- Grant (established by user agency)
- Project (established by user agency)
- Allotment (centrally established)

The system should edit all transactions to ensure that appropriation (budget and estimated revenue) and funding (cash) is available before posting the transaction.

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The system should prevent transactions not meeting available budget and funding edits from being transmitted to the next approval stage.

3. ACCOUNTING AND FINANCE

(Need paragraph on current system here)

a) FINANCIAL REPORTING

The system must meet the State's financial reporting requirements in accordance with GAAP.

The system should be flexible enough to comply with present and future-reporting requirements, as established by the Governmental Accounting Standards Board, the Governmental Finance Officer's Association, and other governmental standards boards and associations.

The system should provide ability to drill down from summary balances to the supporting detail transactions and drill up from the detail transaction to the summary balance.

The system should support all fund accounting and accounting standards promulgated by the Governmental Accounting Standards Board.

The system should provide the ability to generate financial reports (i.e., trial balance, income statement, and balance sheet) based on user defined criteria.

The system should present financial statements on an accrual, modified accrual and cash basis.

b) DATA CLASSIFICATION STRUCTURE

The system should provide the ability for authorized users to establish and maintain a standard chart of accounts to meet statewide and user agency accounting and financial reporting needs, using tables which do not require programming knowledge to establish or modify.

The system must provide the ability to record transactions by:

- Organization (agency, division, section, unit)
- Fund
- Strategic program
- Appropriation
- General Ledger Account
- Grant
- Project
- Contract
- Object Code (Activity)
- Location

The system should provide an option for coding reduction techniques or tools to significantly reduce the amount of data entry required on a transaction and the likelihood of data entry errors. Creation and editing of these reduction codes would be at the user agency level, and use would be an agency option. A coding reduction value or code references specific combinations of fund, appropriation, strategic program, activity, grant number and phase, project number and phase, and organization. Data entry of this specific coding reduction value on a transaction would infer or "look up" the combination of elements instead of requiring data entry of each of these elements on the transaction.

The system should provide ability to establish effective start and end dates for data classification elements.

The system should allow the user to upload classification structure records from third party products.

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c) GENERAL LEDGER

The system must provide all procedural functions of a fund accounting system in conformity with GAAP and GAAFR standards and guidelines, and cash basis reporting requirements.

The system should simultaneously support the following bases of accounting for the appropriate fund types:

- Cash basis
- Modified accrual basis
- Accrual basis

The system should provide capability to report expenditure activity on a cash basis (budgetary compliance and reporting) and accrual basis (CAFR reporting) within the same fund, and to provide reconciling transaction reports as needed, including the transactions that may end up in different fiscal years based on the method of reporting.

The system should provide ability to split a single transaction over multiple coding line distributions (fund, appropriation, object code, project, grant, etc.) based on agency- defined criteria.

The system should provide online validation and editing for error identification and correction before actual posting occurs, including the notification of out-of-balance batches with correction capability prior to posting at the detail level.

The system should provide subsidiary ledgers for balance sheet accounts as needed. These subsidiaries must generate reports of open transactions that accumulate to the balance sheet account totals.

d) ACCOUNTS RECEIVABLE

The system should provide ability to bill other State agencies or internal organizational units for services or commodities rendered, obtain proper electronic approvals, process a transfer of funds in accordance with GAAP, and provide a method for the state to recognize intragovernmental transactions.

The system should generate customer invoice and provide agency defined sequentially numbered invoices to ensure proper accounting control and prevent duplicate invoice numbers.

The system should support automatic periodic billings to selected customers (e.g., monthly rental billings).

The system should provide for agency defined and dynamically maintained charge and payment codes.

The system should provide option of billing by type of charge and/or type of customer.

The system must perform the usual functions of aging, collection activities, bad debt management, deferred payment arrangements, installment payment arrangements, and late payment charges.

e) CASH RECEIPT AND REVENUE PROCESSING

The system should provide for proper recording of revenue to the revenue coding structure and monitoring against budgeted revenues to meet statewide and agency-specific reporting and control requirements.

The system should allow for applying payments on receivables to multiple funds and accounts.

The system should provide for receipts via electronic funds transfers (EFT), "lock box", credit card, and other electronic receipts for payment.

f) ACCOUNTS PAYABLE

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The system should allow for access to the statewide vendor file (*see Purchasing requirements*) which maintains payment and procurement information for each vendor.

The system should support the recording of pre-encumbrances and encumbrances against all elements in the data classification structure.

The system should provide mechanism for “holding” payment to vendors which have outstanding liabilities to the State, due to unresolved contractual problems, due to court-ordered garnishments, or for other reasons as dictated by State law (e.g., failure to pay child support).

The system should provide ability to automatically split a single transaction into multiple account coding distributions based on user-defined criteria.

The system should provide ability to pay multiple vendors from a single payment voucher (e.g., multi-payee voucher).

The system should support electronic banking.

The system should allow unique voucher numbers to be automatically generated by and within each agency.

The system should provide a flexible hierarchical approval process.

The system should be capable of accepting memo information related to an invoice and pass that information along to the vendor in the form of a remittance advice associated with a check, warrant or ACH payment.

The system should provide ability for State employees to initiate reimbursement for their travel expenses through direct entry of travel expenses into the System, and to query on the status of their pending travel reimbursements. Travel expense entry should utilize web technology.

The system should allow the user to enter the to and from location and have the system automatically calculate the mileage between the two locations.

The system should provide a flexible hierarchical approval process for approving employee travel.

The system should edit transactions to ensure that the state maximum for meals and lodging is not exceeded without appropriate approvals.

g) PAYMENT PROCESSING

The system should generate vendor payments based on due date and discount date (whichever is earliest) to maximize interest earned and discounts received by the State.

The system should provide edits to ensure duplicate invoices from the same vendor are not processed.

The system should provide ability to accept electronic billings from vendors and process appropriate payments (electronic or warrant) to vendors.

The system should support printing warrants at each agency site or agency sites.

h) BANK RECONCILIATION

The system should provide for an automated reconciliation of bank activity to bank transactions received electronically from the State’s bank accounts.

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i) GRANT ACCOUNTING

The system should track and report grant operations (i.e., budget, expenditures, encumbrances, revenue) over several different periods including state fiscal year, federal fiscal year, multiple-year grant period, and any specified period within the grant period.

The system should provide ability to uniquely identify each sub-grantee for grants and all grant financial activity related to sub-grantees, including the following:

- Ability to record awards made to sub-grantees
- Ability to record funds received from federal government (or other sources) for pass-through purposes as either revenue or as non-revenue liabilities
- Ability to record funds disbursed from the agency as transfers or as reductions of liabilities
- Ability to record sub-grantee budget by categories as defined by the grant and/or sub-grant contract
- Ability to enter as memo entries sub-grantee actual expenditures by categories as defined by the grant and/or sub-grant contract
- Ability to capture the effective beginning and end date of the sub-grant
- Ability to warn user if draw-down or reimbursement request exceeds grant award

The system should provide ability to record direct and indirect costs associated with a grant as memo or actual entries, both for fixed dollars and for applied rates to labor or allowable expenses.

The system should allow for establishing *reimbursable* budgets for grants at the grant, grant phase or function, and object level at the user discretion. Reimbursable budgets control expenditures available for grant billing.

The system should allow for establishing *expendable* budgets for grants at the grant, grant phase or function, and object level at the user's discretion. Expendable budgets control total expenditures and encumbrances charged to the grant.

The system should provide grant budgetary control options as follows:

- Absolute control – prevents transaction from processing without override approval;
- Warning - provides warning message but allows transaction to process; and
- No control - allows transaction to process without warning.

The system should track federal, state, and local grant matching requirements.

- Ability to track federal, state and special funding sources by individual cost centers for direct and indirect costs
- Ability to post to more than one federal fiscal year
- Ability to track maintenance of effort

j) CASH MANAGEMENT IMPROVEMENT ACT

The system should comply with Federal Cash Management Improvement Act:

The system should provide for generation of "cash profiles" for specified grants, projects, or programs for specified time periods. Profiles will detail and summarize all transaction types which directly or indirectly reflect cash usage or receipts by specified grants or programs and the cash transaction effective dates.

The system must calculate ending daily federal cash balances by CFDA number, including disbursements with matching percentages that are recorded as accounts payable, and collections of federal funds recorded as receivables.

The system should provide ability to calculate interest liability based on clearance pattern analysis and daily cash balances.

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The system should provide forecasting capabilities, which must take into consideration all sources of 1) actual cash receipts and cash disbursements; 2) the timing of anticipated cash receipts and disbursements; and 3) retainage.

The system must be able to create and track drawdown of federal funds for Line-of-Credit draws.

k) PROJECT ACCOUNTING

The system will provide the ability to track project costs, timelines, and resource allocations. It will provide the ability to accumulate and allocate costs, and if necessary to produce billings for labor and materials, either at cost or at a markup.

l) CONTRACTS

The system should allow user agencies to maintain descriptive information on contracts including a reference to the vendor in the central vendor file.

The system should allow user to establish budgets for particular contracts, track expenditures and encumbrances against the budgets, and ensure expenditures plus encumbrances do not exceed contractual amounts (this edit must cross fiscal years if necessary to edit against total contract amount).

The system should allow for establishing and tracking contingency and retainage amounts associated with a particular contract.

The system should provide a flexible hierarchical approval process for approving contracts before the contract number becomes a valid system code.

The system should allow the user to establish budgets for particular contracts, track expenditures and encumbrances against the budgets, and ensure expenditures plus encumbrances do not exceed contractual amounts (this edit must cross fiscal years if necessary to edit against total contract amount).

m) ALLOCATION

The system should support full costing for providing State services and carrying out programs, and provide allocation processing to distribute overhead or indirect costs that cannot be directly assigned to a direct cost pool at the time incurred.

The system should capture cost allocation factor information and statistics that will control the accounting and allocation of indirect and direct costs to activities through the use of cost pools.

n) LABOR DISTRIBUTION

The system should distribute labor costs (and related fringe benefit costs) back to cost centers for which an employee works during any given pay period, including to specific grants and contracts.

o) RECURRING TRANSACTIONS

The system should provide ability to generate user-defined recurring transactions (e.g., building rent) on a periodic basis on a fixed, open, or percentage allocation amount. The system should support the use of coding block templates for transactions that use a common coding block, but differing transaction amounts.

p) CASH INVESTMENTS

The system should maintain information identifying the investment, the bank or brokerage invested with, credit risking information, and histories of investment amounts, interest rates, and interest or dividend payments.

The system should also maintain information as to the fund or funds that "own" the investment and the fund or funds that are entitled to income from the investments, whether or not those funds differ.

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The system should generate appropriate transactions when investments are purchased or sold and when interest or dividend income is received.

The system should properly amortize premiums or discounts, if necessary.

4. PROCUREMENT

The DAS Materiel Division centrally administers procurement and lease functions for the State of Nebraska. The State requires a comprehensive purchasing system that will automate the entire procurement process, thereby improving the efficiency and effectiveness of state procurement. The term "procurement" represents the entire process of obtaining goods and services and involves purchasing, requisition, and inventory control functions. The Materiel Division maintains a central inventory function and administers the State's central mailing service, surplus property and recycling programs. The Division is also responsible for the printing of state documents. The State of Nebraska represents a diverse environment consisting of 75 agencies and procurement activity can take place in any one or combination of any of these agencies. The system must address the procurement management needs of various levels of government and vendors desiring to do business with the state.

In addition to satisfying the "*Common Characteristics*" as specified in section IV.C.1, the following requirements for the procurement function must be addressed by NIS.

a) SPECIFICATIONS

The system should provide the ability to standardize and catalog commodity and service specifications ("specs") in a manner that would permit them to be easily referenced and "reused" in a template fashion. Specifications should be easily attachable to electronic documents such as (but not limited to) purchase orders and requisitions.

b) VENDOR FILE

The State desires a central vendor database to support purchasing and accounts payable activities. This information will be the foundation for the State's 1099 reporting. The NIS system's vendor file must be integrated into all aspects of the system. The file will contain names, addresses, contacts and appropriate vendor information (e.g. electronic banking data) for all vendors doing business with the State of Nebraska. The file must be capable of being presented on screen or on paper in various sort sequences and subset formats. The system should contain the functionality to select vendors randomly if desired. Vendors must have the capability of being flagged on the file should their services prove unwanted, unresponsive or unsatisfactory.

c) STATUS DETERMINATION

The system must provide the ability to allow authorized users to enter requests for goods and services online, and to query on the status of those requests. Requisition and Purchase Order documents that have been initiated should be permitted to be partially completed and then left intact in that uncompleted state or status. These uncompleted documents can then be completed and processed at any later point in time.

d) OPPORTUNITY TO REVISE DOCUMENTS (WORKFLOW)

At any point in the Requisition or Purchase Order document initiation process, modifications to these documents must be allowed to take place. These changes may affect elements such as description text, quantities, additional line items, or vendor selection changes. Depending on our workflow definition process, such modifications could result in the re-routing and/or re-notification for approval of these respective documents.

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e) VENDOR PERFORMANCE INFORMATION

The system should have the ability to track vendor performance data (automatically) in terms of goods and services delivered on time, dollar amounts and number of returns. Additionally, performance data such as customer complaints and resolutions should also be tracked and be made easily accessible for review.

f) VENDOR CATALOGS

The system must make sourcing more efficient for state agencies by recognizing products available from state contracts, state inventories, surplus property, prison industry products, and online vendor catalogs. The system should support electronic cataloging and direct ordering from vendors through web-enabled functions.

g) SURPLUS PROPERTY

The system should have the capability to conduct a "surplus property auction" via the Internet. Digital images of commodities should be easily attachable to documents that describe the items to be auctioned.

h) FIXED ASSETS

The State desires a fixed asset system with an integrated asset management system that not only maintains pertinent information about the State's fixed assets, but also automatically collects data and begins to generate a fixed asset record as the asset is purchased and/or constructed. The business rules that determine whether the item is included in the inventory should accommodate individual agency and division practices as well as the overall state policy.

i) SECURITY OF CONFIDENTIAL CONTRACTS

The system should have the ability to secure the viewing of both requisitions and purchase orders that contain confidential or sensitive information, as is the case in some professional service contracts. Documents of such a sensitive nature should be processed through normal procedures but viewing the content of these documents must be restricted.

j) PAPERLESS ENVIRONMENT

The goal of the system is to be paperless in terms of transactions, screens, reports, specifications, purchasing documents, bidding documents and receiving documents. Paper, however, may be the communication medium by necessity for vendors who have limited or non-existent electronic commerce capabilities. Alternative methods of data collection must be available to assure accessibility.

k) INVENTORY CONTROL

Inventory Control must be integrated with the purchasing and requisition functionality. The system must support a multiple warehouse location environment with appropriate transactions to maintain inventory control. The inventory transaction processing must be bar code compatible and should include the ability to properly account for inventory items utilizing industry accepted standard transactions to issue, receipt, write-off, return, physically inventory, adjust, and maintain physical inventory item records. The system must incorporate the National Institute of Government Purchasing commodity code concept throughout and across all components and functionality. The system should provide for automatic reordering and warehouse replenishment of stock utilizing reorder points and associated factors such as vendor lead times, safety stock, usage, carrying costs, and purchase order lead-times.

l) IMPROVED VENDOR NOTIFICATION

The system must automate the vendor participation process such as vendor registration, notification of bids, receiving bid documents, submission of bids, and receipt of purchase orders. The system must have the capability to issue, maintain, and receive bids for commodities and/or services electronically. The system should provide adequate controls to open and close the bidding period. The bid, tabulations and attached

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comments must be capable of being communicated electronically throughout the system. All data with regard to requisitions, purchases, quotation requests, bids, bid tabulations, purchase orders and vendor performance must be integrated and capable of being cross referenced in the system.

m) VENDOR RETURNS

The ability to return goods to a vendor should be an easy to use, straightforward process. The process should accommodate the adjustment to appropriate inventory and accounting data.

n) INTEGRATION

The system should be fully integrated with the State's accounting functionality to edit for account coding block and available funding, and automatically generate financial transactions associated with the purchasing document being processed (e.g. pre-encumbrance for requisition, encumbrance when purchase order is issued, and voucher payable upon successful match).

The system should be able to accept electronic files from external systems (e.g. credit card companies for the State procurement card) and generate purchasing history information on individual line items containing description, unit, quantity, price, vendor identification and merchant category classification information. These detailed purchasing line items also need to be assigned the appropriate accounting code information for proper classification.

5. HUMAN RESOURCES AND PAYROLL

The State views Human Resources as a strategic function that requires new processes and information support. A successful Human Resources function must support a holistic and integrated approach to human capital management. Currently, many functions are centralized but agencies often operate independently as well. These efforts are not today well coordinated and often do not effectively share information.

Human Resources professionals are united in their vision for a dynamic, integrated system that provides the ability to readily incorporate technological advances, provides consistency in application, and allows for standardization of business processes in the area of people management. Although standardization is a key element, HR professionals also desire a system that is flexible enough to meet agency specific needs.

a) EMPLOYEE TRACKING

The system should be name driven using social security as a secondary value for tracking employees. Complete employee history must be traceable. This includes skills and competencies inventory, training history, performance history, reasons for leaving, retirement qualifications and years of service. The ability to develop a reporting structure or organizational chart should also be present. Comment fields that allow for narrative input must be searchable. A dynamic audit capability such that every access and change to the system may be logged to include date, time, user, and transaction details is necessary. The system should enable integration with other employee-based information bases such as the telephone directory.

b) POSITION CONTROL

The system must provide a means for tracking positions including the ability to store and retrieve historical data, extract up-to-the-minute vacancy reports, trace vacancy and longevity trends by classification or position, and provide open text fields for documentation and comments. The system must be able to define, modify, and apply rules that provide updates, electronic alerts, or other actions in response to position-related transactions. The system must be able to set permissions so those HR professionals within agencies that have delegated authority over positions are able to make changes that correspond to the limit of that delegation.

c) EMPLOYEE SELF SERVICE

The employee self-service module should provide easy to follow instructions and/or built in decision logic for ease of employee entry. Functions containing benefits enrollment and claims processing; accessibility

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to flexible spending and retirement account balances; automated time and attendance reporting; and the ability to check leave balances and request leave authorization are necessary. The employee self service component must support alternative input and output methods of entering or retrieving data (e.g. IVR, TTY, kiosk, palm pilots) for the transfer and communication of information. Within the employee self-service component, the system must also provide for an agency level review of employee entered information.

d) SECURITY OF CONFIDENTIAL EMPLOYEE RECORDS

The system should have the ability to secure the storage and viewing of employee records and fields that contain confidential or sensitive information. Documents of such a sensitive nature should be processed through normal procedures but viewing the content of these documents must be restricted. Security shall be able to be defined at different levels: organizational, role-based and by field. These levels of control must be present at the agency as well as the central administrative level.

e) APPLICANT TRACKING

The system shall recognize that staffing an organization today is a joint responsibility that involves not only the HR department, but also hiring managers and interview team members as well. To achieve maximum productivity in recruitment and selection, a system must include on-line access to applications, job requisitions, and provide a position status update component. The system must assist us in changing our focus from "paperwork" to "peoplework" and follow a logical workflow from the applicant phase to becoming an employee. The system must provide the ability to capture complete information electronically, store and retrieve information through sophisticated file searching capabilities, include electronic referral to HR managers with an interview scheduling component, as well as, a source history capture and reporting tool. The ability to post job requisitions to external electronic job boards simultaneously, data collection and reporting capabilities in the areas of Affirmative Action and EEO, criminal history, reference and drug checks, must be present. Ability to conduct continuous database "agent" searches for specified talent is needed including a notification tool once an applicant meets those specified criteria.

In the area of employee selection, the system should include:

BASIC

- Interview Questions
- Questionnaire questions
- Statistics on item responses tied to:
 - AA data
 - Other applicant data
 - Other position data
 - Questionnaire data
- Retrieve questions
- Enter new questions
- Do searches
- Assemble questionnaires
- Assemble interviews
- Statistics on scores by:
 - Position
 - Class
 - Demographic Group

ADVANCED

- Database of answers by applicant
- Database of answers by position
- Database of information from answers
- Generate questions to fill data gaps
- Notice of what a search needs to include
- Ask only the data that is missing for each applicant
- Score questionnaire responses and add scores and responses to applicant and position databases and generate statistics

f) CLASSIFICATION/COMPENSATION

The system should provide the means to ensure equitable pay of employees performing similar job functions across agency lines. A successful classification function will support multiple classification and pay structures (classified, non-classified, step, etc.); provide the ability to include common

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language/themes used in job comparisons both internally and externally; collect and store salary survey data; create and maintain broad classification categories; house variable salary grade tables; provide the capability to identify and control authorized positions by full-time equivalency while allowing for split positions; and include templates for writing job specifications. The system, using a strong reporting tool, must be able to create structures of like job families organized by similar work and responsibilities, competencies necessary to perform the job, complexity and uniqueness of task. Classification work must be supported by an automated evaluation component to improve standardization, eliminate subjectivity and individual relative ranking.

g) WORKFORCE PLANNING

HR professionals must have the ability to profile any given position or classification. A system should provide the ability to measure data such as time to fill a vacancy, number of requisitions posted and demographics of applicants (age, average salary, years of service, retirement eligibility) The system should be able to identify current trends and forecast future trends. A performance management module with the ability to monitor career growth as well as track turnover is necessary.

h) PAYROLL/TIME AND ATTENDANCE

The payroll and time reporting functionality must include the ability to manage a multitude of tasks and business processes in accordance with Federal laws, State statutes, and union agreements when processing employee's time and attendance records and determining gross pay for time worked. The payroll function must be fully integrated with the accounting function. Payroll should provide electronic alerts to State professionals responsible for payroll processing. The system must allow proper reporting to governmental and other entities, in prescribed formats (e.g. reporting to the IRS via tape).

Specific requirements include:

- Process multiple pay cycles (monthly, bi-weekly, weekly)
- Incorporate differing pay plans and bargaining units as well as other variables
- Automate the employee leave calculations and reductions at the end of each year
- Produce leave usage reports including leave accrual and negative leave balance tracking
- Provide for fiscal-year-end and calendar-year-end processing including the ability to track, report, and project the loss of leave prior to actual loss and to notify the employee
- Allow supervisors to schedule, plan and update employee work schedules on a temporary or permanent basis
- Provide a searchable, required text comment field that identifies reasons for changes to an employee record.
- Capture hours on an exception and positive time basis
- System controlled wage garnishments
- Automatic pro-rating for part-time employees
- Process direct deposits into multiple employee accounts
- Incorporate electronic signatures
- Allocate employee time worked to specified funding source(s)
- Provide for system wide updates (supplemental payroll issues, across the board increases for example).
- Automated ability for managers to view earnings and leave registers for their areas of responsibility
- Ability to set default hours for the employee's pay period and then allow the employee to enter exceptions to each pay period
- Provide for automated electronic alerts, action prompts, and/or warnings if an employee is entering something incorrectly or should be notified of a situation
- Ability to pay overtime in the same pay period in which it is earned
- The system shall have the capability to make and process adjustments to current and previous pay periods
- The system shall be able to identify employees eligible for pay differential and/or premium pay and to automatically calculate the amount owed
- The system shall provide the ability to track worker's compensation claims/pay outs

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- The system should generate emergency payroll warrants within thirty minutes of authorization.
- The system must be able to process benefits for selected individuals who are not State employees.

i) EMPLOYEE DEVELOPMENT

The system shall enable employees to create and view their career development plan, notify employees of training opportunities, include an on-line training catalog, assign employees to and manage wait lists for training courses and include an on-line course registration component. Methods for evaluating the training course and instructors should be available via the system.

6. TECHNOLOGY

a) AUTHENTICATION

The system must support authentication methods that will assure that only authorized users are able to access protected data and transactions. The system must support Nebraska's requirements for digital signatures as described at <http://www.nol.org/home/SOS/digitalsig/digsig.htm> and <http://www.nol.org/home/SOS/digitalsig/t437.pdf>.

b) NEW TECHNOLOGY

The system should be designed in such a way as to easily allow the incorporation of new technologies, as they become available.

c) MULTIPLE ENVIRONMENTS

In addition to the production environment, the system must support independent copies for training, development, acceptance testing and systems programming activities. These environments must be sufficiently isolated from production and from each other so that operations in one environment will not affect those of another.

The environments will be employed as follows:

1. Training – provides an isolated environment for all those who need to train on the use of NIS.
2. Production – all production processing will be performed in this environment.
3. Development – all development activities including unit and system testing will be conducted in this environment.
4. Acceptance testing – after all development unit and system testing has been completed, this environment will provide a system for agencies to test enhancements/modifications before they are “accepted” into production.
5. Systems programming – this environment provides a place for systems programming and administration staff to test new releases of the hardware/software configuration before being moved to the other environments.

Where possible, the servers will be housed in the DAS IMServices climate- and power-controlled processing center. The production configuration will include redundant (RAID) data storage, multiple processors and redundant high-speed gigabit Ethernet connections. In addition, scalability will be an important consideration in the State's choice of a processing platform.

d) SYSTEM PERFORMANCE

The system must be responsive and available. Online response time must be two seconds or less for ninety-five percent of all transactions (measured from the client workstation). The system should support rapid fail-over or redeployment in the event of problems or planned maintenance. Ninety-nine percent of all fail-over events must take place in less than five minutes. Any volume (batch) processing must not interfere with online responsiveness or availability.

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e) ARCHIVE AND PURGE

The system must support the periodic archival and purging of unused or obsolete information in conformance with State records retention requirements as described at <http://www.nol.org/home/SOS/RecordsMgmt/recmenu.htm>. Archived information should be available for historical reporting.

f) RECOVERY

The system must automatically recover to the last complete prior transaction in the event of a failure. The system must clearly indicate to the user that a transaction failed and that it must be re-entered. Recovery must occur without operator intervention.

g) BACKUP AND REORGANIZATION

The system must provide for the unattended daily backup of all information and data to a media that can be stored offsite for disaster recovery purposes. Backups must not prevent the system from being available at all times and must not disrupt system operations. Database reorganizations, if required, should occur no more than once per month for no more than one hour.

D. SCOPE OF WORK

1. SOFTWARE VERSION

All proposed software versions must be generally available from the software manufacturer on or before January 19, 2001.

2. EMPLOYEE INVOLVEMENT AND EDUCATION

The State recognizes that the involvement, understanding and commitment of employees is key to the successful implementation of NIS. State employees must make all key process design and configuration decisions. Specific provisions must be made for small agency participation in decision making without disrupting agency operations (e.g. avoid disruptions caused by removing people from their jobs for extended periods). The contractor must have a proven, successful methodology for introducing change into organizations. The change methodology should incorporate education, expectation management, employee understanding, motivation and problem solving. Education should include not just training on how to use the software but also promote understanding of the new business processes. Education materials should include summary cards or other reference aids for users.

The State is prepared to contribute business and technical resources to the project. The contractor must identify the number of people required and the assignments that will most effectively utilize these resources along with a description of the skills that they require.

3. PROCESS EVALUTION AND DESIGN

The State intends to alter current business practices in order to maximize the benefits of the new NIS system. The contractor must provide a detailed fit/gap analysis of current State business practices compared with the best business practices supported by the system. The analysis must include establishment of NIS targets with comparisons to best practice benchmarks as achieved in other contractor engagements.

The contractor must review the existing State chart of accounts and prepare an evaluation of changes required to support NIS. This review must be conducted by a consultant who is experienced in the design of government charts of accounts.

The contractor must review each of the existing interfaces to NEIS and NAS and prepare an evaluation of changes required by NIS. The evaluation must include an assessment of the amount of duplication between

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NIS and the system that is currently interfaced. If a new interface is recommended, the cost of the interface to NIS must be estimated.

4. RISK MANAGEMENT

The State Information Technology Consortium prepared an initial risk assessment in 1999. This risk assessment must be updated and maintained throughout the project.

5. IMPLEMENTATION

The contractor, with appropriate involvement from State employees, must perform all tasks required to implement the NIS system, including constructing interfaces where required. Skill transfer to state staff for support and maintenance must be included.

6. POST-IMPLEMENTATION SUPPORT

The contractor, with appropriate involvement from State employees, must provide ongoing support for six months after the date of the final successful implementation. In addition, the contractor must recommend a plan for continuing support by State employees including a description of skill requirements and staffing numbers required after the six month period is complete. The State's intent is to establish a smooth transition from the project activities to the ongoing support activities.

The software manufacturer must provide telephone support twenty-four hours per day, seven days per week including holidays. Telephone response time must not exceed one hour for critical problem calls.

7. DATA CLEANSING AND MIGRATION

The contractor will be responsible for the cleansing and migration of data from the current systems to the new NIS system.

8. PROJECT PLANNING AND MANAGEMENT

The contractor must employ the existing Niku suite of project management software (formerly ABT Results Management) currently installed at DAS/IMServices. This includes the use of Niku Team to record the time expended by project participants. The IMServices Project Office will provide support for the Niku suite, including conversion assistance for MS Project plans.

The contractor must produce a comprehensive project plan. An approach that incorporates frequent, phased deliverables is preferred. Regular reporting on the progress of the project is required.

The contractor shall propose a team structure that will most effectively utilized both contractor and State resources. Team member roles and reporting relationships must be clearly defined.

E. COST

Financial resources available for the implementation and operation of NIS are limited. Both initial and ongoing costs will be major evaluation criteria for contractor selection. The contractor must supply all requested cost and configuration sizing information, except for configurations that are not supported by the software manufacturer. Annual maintenance costs must be specified for the duration of the contract. Maintenance charges must not commence before the State accepts the system.

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V. PROPOSAL INSTRUCTIONS

This section documents the mandatory requirements that must be met by contractors in preparing the Technical and Cost Proposal. Contractors should identify the subdivisions of this section clearly in their proposals; failure to do so may result in disqualification. Failure to respond to a specific requirement may be the basis for elimination from consideration during the State's comparative evaluation.

Proposals are due by the date and time shown in the Schedule of Events. Content requirements for the Technical and Cost Proposal as well as for the configuration sizing information are presented separately in the following subdivisions:

A. TECHNICAL PROPOSAL

The Technical Proposal shall consist of four (4) sections:
The "State of Nebraska Request for Proposal for Contractual Services" form;
Executive Summary;
Corporate Overview; and
Technical Approach.

1. REQUEST FOR PROPOSAL FORM

By signing the Request for Proposal for Contractual Services form, the contractor agrees to the Standard Terms and Conditions of Contractual Services and Leasing Solicitation.

The Request for Proposal for Contractual Services form must be signed in ink and returned by the stated date and time in order to be considered for an award.

2. EXECUTIVE SUMMARY

The Executive Summary shall condense and highlight the contents of the solution being proposed by the contractor in such a way as to provide the Evaluation Committee with a broad understanding of the contractor's Technical Proposal.

Contractors must present their understanding of the problems being addressed by implementing a new system, the objectives and intended results of the project, and the scope of work. Contractors shall summarize how their Technical Proposal meets the requirements of the Request for Proposal, and why they are best qualified to perform the work required herein.

3. CORPORATE OVERVIEW

The Corporate Overview section of the Technical Proposal must consist of the following subdivisions. Items a) through k) must be answered for both the contractor as well as for each proposed subcontractor.

a) CONTRACTOR IDENTIFICATION AND INFORMATION

The contractor must provide the full company or corporate name, address of the company's headquarters, entity organization (corporation, partnership, proprietorship), state in which the contractor is incorporated or otherwise organized to do business, year in which the contractor first organized to do business and whether the name and form of organization has changed in the interim and Federal Employer Identification Number.

b) FINANCIAL STATEMENTS

The contractor must provide financial statements applicable to the firm. If publicly held, the contractor must provide a copy of the corporation's most recent audited financial reports and statements, and the

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name, address and telephone number of the fiscally responsible representative of the contractor's financial or banking organization.

If the contractor is not a publicly held corporation, either the reports and statements required of a publicly held corporation, or a description of the organization, including size, longevity, client base, areas of specialization and expertise, and any other pertinent information must be submitted in such a manner that proposal evaluators may reasonably formulate a determination about the stability and financial strength of the organization. Additionally, a non-publicly held firm must provide a banking reference and a complete Dun & Bradstreet report.

The contractor must disclose any and all judgments, pending or expected litigation, or other real or potential financial reversals, which might materially affect the viability or stability of the organization, or warrant that no such condition is known to exist.

c) CHANGE OF OWNERSHIP

If any change in ownership or control of the company is anticipated during the twelve (12) months following the proposal due date, the contractor must describe the circumstances of such change and indicate when the change will likely occur.

d) OFFICE LOCATION

The contractor's office location responsible for performance pursuant to an award of a contract with the State of Nebraska must be identified.

e) RELATIONSHIPS WITH THE STATE

The contractor shall describe any relationships it may have had with the State during the past five years.

f) PRIOR AND EXISTING CONTRACTS

If the organization, its predecessor, or any party named in the contractor's proposal response has contracted with the State, the contractor shall identify the contract number(s) and/or any other information available to identify such contract(s). If no such contracts exist, so declare.

g) CONTRACTOR'S EMPLOYEE RELATIONS TO STATE

If any party named in the contractor's proposal response is or was an employee of the State within the past twenty-four months, identify the individual(s) by name, Social Security Number, State agency with whom employed, job title or position held with the State, and separation date. If no such relationship exists or has existed, so declare.

If any employee of any agency of the State of Nebraska is employed by the contractor or is a subcontractor to the contractor, as of the due date for proposal submission, identify all such persons by name, position held with the contractor, and position held with the State (including job title and agency). Describe the responsibilities of such persons within the proposing organization. If, after review of this information by the State, it is determined that a conflict of interest exists or may exist, the contractor may be disqualified from further consideration in this proposal. If no such relationship exist, so declare.

h) CONTRACT PERFORMANCE

If the contractor or any proposed subcontractor has had a contract terminated for default during the past five years, all such instances must be described as required below. Termination for default is defined as a notice to stop performance delivery due to the contractor's non-performance or poor performance, and the issue was either not litigated due to inaction on the part of the contractor, or litigated and such litigation determined the contractor to be in default. Contracts that are unresolved pending litigation must also be disclosed.

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It is mandatory that the contractor submits full details of all termination for default experienced during the past five years, including the other party's name, address and telephone number. The response to this section must present the contractor's position on the matter. The State will evaluate the facts and will score the contractor's proposal accordingly. If the contractor has experienced no such termination for default in the past five years, so declare.

If at any time during the past five years, the contractor has had a contract terminated for convenience, non-performance, non-allocation of funds, or any other reason which termination occurred before completion of all obligations under the initial contract provisions, describe fully all such termination including the name and address of the other contracting party, and the circumstances surrounding the termination. If no such early termination has occurred, so declare.

i) SUMMARY OF CONTRACTOR'S CORPORATE EXPERIENCE

The contractor shall provide a summary matrix that lists the contractor's previous projects similar to this in size, scope and complexity. The contractors must address the areas listed in subsection j) below. Contractors must also provide narrative descriptions of four projects to highlight the similarities between their experience and the Request for Proposal in question. Contractor and subcontractor(s) experience must be listed separately. The contractor must identify projects on which they gained experience relevant to this proposal. At least two of the projects should be comparable government engagements. At least two of the projects must be similar in size and scope to NIS. In addition, the contractor shall identify any vendor certifications that are relevant for this project.

j) PROJECT NARRATIVE DESCRIPTIONS

For each of the projects offered as experience related to the requirements, the contractor shall provide a narrative description of the work performed, the time period of the project, the staff-months expended, the scheduled and actual completion dates, the contractor's responsibilities and a customer reference (including a current telephone number and a facsimile number). If a contractor performed as the prime contractor, the description must provide the originally scheduled completion date and budget, as well as the actual (or currently planned) completion date and actual (or currently planned) budget. Narrative descriptions submitted for subcontractors must be specifically identified as subcontractor projects.

Each project description shall identify whether the work was performed as the prime contractor or as a subcontractor. If the work was performed as a subcontractor, the description shall identify what share of contract costs, project responsibilities, and time period were performed as a subcontractor. Current projects shall include a brief statement of the scope of the project, including length of the contract period and staffing levels committed. For each project, the name, address and telephone number of a reference who can attest to the competence and performance of the contractor must be included.

If a contractor submits more than four narrative project descriptions only the first four descriptions will be used by the State during its evaluation of the proposal.

k) STAFF QUALIFICATIONS

The contractor shall provide a staff skill matrix to summarize relevant experience of the proposed staff. Additionally, the contractor must provide a narrative description of experience each key staff member has in the areas relevant to this proposal. Contractor and subcontractor staff experience shall be shown separately. Descriptions shall focus on key staff experience.

The project staff qualification section shall include the contractor's proposed project team organization charts, descriptions of key positions, and resumes of the proposed personnel.

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l) SOFTWARE INSTALLATIONS

The vendor shall disclose the total number of customers that are running production systems using the software version specified in this proposal as well as the number running their production systems on the most recent prior version. Similarly, the vendor shall disclose the number of government customers running production systems with the proposed version as well as the next most recent version.

For each of the last three software versions for which a date that vendor support will end has been announced, the vendor shall list the date the software version was first generally available for deployment, the date that the announcement was made that support would be discontinued and the date that software support for the version was (or will be) discontinued.

The vendor shall also disclose their policy for determining when support of old software versions shall be discontinued and the lead-time that will be given to customers between the dates of such announcements and the actual discontinuation of support.

m) PROJECT ORGANIZATION CHARTS AND NARRATIVES

The vendor shall produce proposed project organization charts. The project organization charts shall depict the project organization at the team leader level, functional responsibilities, and key personnel.

Following the organization chart, the contractor shall describe the functional responsibilities, interactions and reporting requirements of each organizational unit at each level. Numbers of state staff and their functional responsibilities shall be clearly identified.

n) KEY PERSONNEL AND RESUMES

At a minimum, resumes shall be required for the key personnel positions of project manager and team leaders.

In addition to assessing the experience of specific individuals, the State will consider the resumes as a key indicator of the contractor's understanding of the skills required to carry out the requirements of this Request for Proposal.

If project management or other listed key person responsibilities are assigned to more than one individual during the project, resumes must be provided for each person proposed. Conversely, if one individual is going to fill multiple roles only one resume for that individual should be provided.

Resumes must not be longer than three pages. Resumes shall include, at a minimum, academic background and degrees, professional certifications, description of relevant experience, and at least three references (name, address and telephone number) who can attest to the competence and skill level of the individual.

o) PROJECT MANAGEMENT PLAN

The contractor must present a clear description of its proposed approach to the management of the project. A summary narrative, high level plan and proposed timelines should be included.

p) SUBCONTRACTOR(S)

If the contractor intends to subcontract any part of its performance hereunder, the contractor must provide the total percentage of subcontractor(s) performance hours, the name, address and telephone number of the subcontractor firm(s), the percentage of performance hours intended for each subcontractor, and the specific tasks each subcontractor will work on.

4. TECHNICAL APPROACH

The technical approach section of the Technical Proposal must consist of the following subsections.

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a) UNDERSTANDING OF THE PROJECT REQUIREMENTS

The contractor must address each element of section IV.C with a detailed description of how the proposed solution addresses each requirement. The response should clearly identify each element by name and by number (e.g. IV.C.1.a) SELF SERVICE). For each element, the contractor must specifically state if any element of their proposed solution goes beyond tailoring to include changing software code. For each element, the contractor must specifically state which, if any, portions of the requirements are not addressed by the proposed solution. Additional information that will increase the State's confidence in the contractor's understanding of the project are permitted.

b) PROPOSED IMPLEMENTATION APPROACH

The contractor must address each element of section IV.D with a detailed description of how the contractor intends to address the requirements. Discussions of methodology, contractor philosophy, benefits and drawbacks of various approaches are encouraged. The response should clearly identify each element by name and number. Additional sections that will increase the State's understanding of the contractor's approach are permitted.

c) TECHNICAL CONSIDERATIONS

The contractor must define clearly the proposed product architecture and delivery environment. The contractor must also address any technology issues that are important to the contractor's proposed approach.

The contractor must specifically identify any apparent deficiencies in the State's current network infrastructure that must be addressed for the NIS project to succeed. Similarly, any required investments in other technology areas (e.g. desktop workstations, remote servers, scanning equipment, etc.) must be noted.

d) DETAILED PROJECT WORK PLAN

The contractor must include a detailed project work plan showing the every level of the work breakdown structure. Tasks and hours associated with State employee efforts must be clearly identifiable.

e) KEY DELIVERABLES AND DATES

The contractor must list each key project deliverable and its due date.

f) PRODUCT VISION

The contractor shall describe its vision for the continuing evolution of the product. Statements made in this section of the RFP response shall not be construed to be a contractual commitment to deliver future functionality to the State beyond that which is included in the other sections of this proposal. The contractor shall disclose the evolution of the software functionality. At least two prior versions and two future versions should be discussed in addition to the proposed version. Government-specific functionality should be highlighted. The description should also include anticipated deliverables for at least the next twelve quarters.

The vendor should information about current and anticipated research and development expenditures. This information should include specifics about the government sector as well as break downs by product function.

If the product architecture is anticipated to change for the versions described above, a description of the changes must be included. In addition, the vendor must describe how long the current architecture will be supported as well as the anticipated total cost to migrate to the new architecture. If the architecture is not expected to change, so state.

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g) SERVICE AND SUPPORT

The contractor must describe their approach to service and support of the software. The description must include support hours, methods, committed response times and escalation procedures. Differences in support provided during the implementation of NIS from the support provided after implementation must be clearly described. Additional support resources that may be available to assist with the implementation of future software releases should also be described.

The contractor must describe any organized user groups that exist for the software product. The description must include user group structure, meeting schedule, governance and degree of independence from the software manufacturer. The vendor must describe the process used to incorporate user group direction into future product releases, along with examples of current product functionality that originated with the user group.

If the user group includes a government special interest group, list the members of the group.

h) SYSTEM DOCUMENTATION

The contractor shall provide one complete set of system documentation with the proposal. Documentation sets provided by unsuccessful bidders will be returned at their expense upon written request to the NIS project Director.

5. ALTERNATIVE PROPOSALS

The State, at its sole discretion, may entertain alternative proposals, or proposals which deviate from the Request for Proposal requirements, provided the contractor also submits a proposal for the work described herein. Alternative proposals may be considered if overall contract performance would be improved but not compromised, and if in the best interests of the State of Nebraska. Alternative proposals must be accompanied by a separate Technical Proposal that clearly identifies deviations from the primary proposal, and allows such deviations to be fully evaluated. A full cost proposal for each alternative proposal must be submitted in accordance with the requirements of this Request for Proposal. Alternative proposals will be evaluated only after the primary proposal has been evaluated.

B. COST PROPOSAL REQUIREMENTS

This section describes the requirements to be addressed by contractors in preparing the Cost Proposal. The Cost Proposal must be submitted according to the instructions and must comply with the requirements presented in this section. The State reserves the right to review all aspects of the Cost Proposal for reasonableness and to request clarification of any proposal where the cost component shows significant and unsupported deviation from industry standards or in areas where detailed pricing is required.

The contractor must submit its Cost Proposal in a section of the proposal that is separate from the Technical Proposal section. The Cost Proposal section shall include:

1. Pricing Summary;
2. Other Costs; and
3. Payment Schedule

1. PRICING SUMMARY

The component costs of the firm, fixed price proposal for providing the services set forth in the Request for Proposal must be provided by submitting forms substantially equivalent to those described below.

The pricing summary shall present the total firm fixed price to perform all of the requirements of the Request for Proposal. The State recognizes that each contractor may have a unique pricing methodology. The contractor has the flexibility to apply the pricing model that meets the requirements of this RFP and minimizes the cost to the State. All labor rates must be "fully loaded" to represent services provided at the project site in Lincoln, Nebraska. The contractor must, in addition to providing the total cost for each of

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the following categories, break down the total cost into component parts where possible. For example, implementation costs should be broken down by project phase and labor categories.

The categories are:

1. Initial software license fees;
2. Annual maintenance fees for the initial term of the contract;
3. Annual maintenance fees for the first five-year renewal period;
4. Annual maintenance fees for the second five-year renewal period;
5. Software tools and utilities costs;
6. Implementation costs;
7. Change rates; and
8. Education & Training.

2. OTHER COSTS

Any costs included in the firm, fixed price that are not covered in the pricing summary must be summarized and labeled "Other Costs". The contractor must include details in the Cost Proposal supporting any and all other costs. These details must include, at a minimum, detailed descriptions and/or specifications of the goods and/or services to be provided, quantities, and timing and unit costs, if applicable.

3. PAYMENT SCHEDULE

The contractor shall propose a payment schedule for the project that is tied to specific dates and deliverables. The contractor may submit invoices on specific dates based on the completion and acceptance of the related deliverables. No invoice will be approved unless the associated deliverable(s) have been approved. Fifteen percent of each payment will be held back until the State formally accepts the entire NIS system at the end of the post implementation support period. A payment schedule for subsequent annual software maintenance should also be included.

C. CONFIGURATION SIZING INFORMATION

State intends to select the NIS operating environments from multiple hardware configurations and potential suppliers. The contractor must provide all information below as well as supplemental information that will aid in the choice of an appropriate configuration for NIS. Any additional information that is required to properly configure the NIS operating environment must be provided.

For each possible configuration, the contractor must also provide contact information at the hardware vendor's competency center for the vendor software. The State intends to work with the software manufacturers and hardware vendors before making a deployment decision.

The recommended server configurations must include at least 40% margin for growth after date of system implementation.

The contractor must disclose the proportion of its currently customer base that utilizes each of the target configurations for their production system.

The State recognizes that all the categories below will not apply to all contractors. If a particular configuration choice is not supported or is unnecessary, so indicate. If more than one environment should be housed on the same hardware, indicate which environments should share hardware.

1. DATA SERVER PLATFORM

State the optimal data server platform for each of the alternatives listed below. Include number of processors, processor speed, memory size, disk space and any other unique components required. Additionally, state the optimal number of data servers (for each alternative listed below) required to support NIS processing. The response must be in the spreadsheet format shown below.

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a) TRAINING

OPERATING SYSTEM – DBMS	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390 – DB2					
S/390/LINUX - UDB					
S/390/LINUX – ORACLE					
OS400 – UDB					
RS/6000 – UDB					
SUN – UDB					
SUN – ORACLE					
HP – UDB					
HP – ORACLE					
INTEL/WIN2K or NT – UDB					
INTEL/WIN2K or NT – ORACLE					
INTEL/LINUX – UDB					
INTEL/LINUX – ORACLE					

b) PRODUCTION

OPERATING SYSTEM – DBMS	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390 – DB2					
S/390/LINUX - UDB					
S/390/LINUX – ORACLE					
OS400 – UDB					
RS/6000 – UDB					
SUN – UDB					
SUN – ORACLE					
HP – UDB					
HP – ORACLE					
INTEL/WIN2K or NT – UDB					
INTEL/WIN2K or NT – ORACLE					
INTEL/LINUX – UDB					
INTEL/LINUX – ORACLE					

c) DEVELOPMENT

OPERATING SYSTEM – DBMS	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390 – DB2					
S/390/LINUX - UDB					

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S/390/LINUX – ORACLE					
OS400 – UDB					
RS/6000 – UDB					
SUN – UDB					
SUN – ORACLE					
HP – UDB					
HP – ORACLE					
INTEL/WIN2K or NT – UDB					
INTEL/WIN2K or NT – ORACLE					
INTEL/LINUX – UDB					
INTEL/LINUX – ORACLE					

d) ACCEPTANCE TESTING

OPERATING SYSTEM – DBMS	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390 – DB2					
S/390/LINUX - UDB					
S/390/LINUX – ORACLE					
OS400 – UDB					
RS/6000 – UDB					
SUN – UDB					
SUN – ORACLE					
HP – UDB					
HP – ORACLE					
INTEL/WIN2K or NT – UDB					
INTEL/WIN2K or NT – ORACLE					
INTEL/LINUX – UDB					
INTEL/LINUX – ORACLE					

e) SYSTEMS PROGRAMMING

OPERATING SYSTEM – DBMS	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390 – DB2					
S/390/LINUX - UDB					
S/390/LINUX – ORACLE					
OS400 – UDB					
RS/6000 – UDB					
SUN – UDB					
SUN – ORACLE					

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HP – UDB					
HP – ORACLE					
INTEL/WIN2K or NT – UDB					
INTEL/WIN2K or NT – ORACLE					
INTEL/LINUX – UDB					
INTEL/LINUX – ORACLE					

2. APPLICATION SERVER PLATFORM

State the optimal application server platform configuration for each of the alternatives listed below. Include number of processors, processor speed, memory size, disk space and any other unique components required. Additionally, state the optimal number of application servers (for each alternative listed below) required to support NIS processing. . The response must be in the spreadsheet format shown below.

a) TRAINING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
OS400					
RS/6000					
SUN					
HP					
INTEL/WIN2K or NT					
INTEL/LINUX					

b) PRODUCTION

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
OS400					
RS/6000					
SUN					
HP					
INTEL/WIN2K or NT					
INTEL/LINUX					

c) DEVELOPMENT

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
OS400					
RS/6000					
SUN					
HP					

DRAFT

INTEL/WIN2K or NT					
INTEL/LINUX					

d) ACCEPTANCE TESTING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
OS400					
RS/6000					
SUN					
HP					
INTEL/WIN2K or NT					
INTEL/LINUX					

e) SYSTEMS PROGRAMMING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
OS400					
RS/6000					
SUN					
HP					
INTEL/WIN2K or NT					
INTEL/LINUX					

3. FILE SERVER PLATFORM

State the optimal file server platform configuration for each of the alternatives listed below. Include number of processors, processor speed, memory size, disk space and any other unique components required. Additionally, state the optimal number of file servers (for each alternative listed below) required to support NIS processing. . The response must be in the spreadsheet format shown below.

a) TRAINING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
INTEL/WIN2K or NT					
INTEL/LINUX					

b) PRODUCTION

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
INTEL/WIN2K or NT					

DRAFT

INTEL/LINUX					
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c) DEVELOPMENT

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
INTEL/WIN2K or NT					
INTEL/LINUX					

d) ACCEPTANCE TESTING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
INTEL/WIN2K or NT					
INTEL/LINUX					

e) SYSTEMS PROGRAMMING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
INTEL/WIN2K or NT					
INTEL/LINUX					

4. PRINT SERVER PLATFORM

State the optimal print server platform configuration for each of the alternatives listed below. Include number of processors, processor speed, memory size, disk space and any other unique components required. Additionally, state the optimal number of print servers (for each alternative listed below) required to support NIS processing. The response must be in the spreadsheet format shown below.

a) TRAINING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
INTEL/WIN2K or NT					
INTEL/LINUX					

b) PRODUCTION

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
INTEL/WIN2K or NT					

DRAFT

INTEL/LINUX					
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c) DEVELOPMENT

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
INTEL/WIN2K or NT					
INTEL/LINUX					

d) ACCEPTANCE TESTING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
INTEL/WIN2K or NT					
INTEL/LINUX					

e) SYSTEMS PROGRAMMING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE	NUMBER OF SERVERS
OS/390					
S/390/LINUX					
INTEL/WIN2K or NT					
INTEL/LINUX					

5. DESKTOP PLATFORMS

State the optimal desktop platform configuration for each of the alternatives listed below. Include number of processors, processor speed, memory size, disk space and any other unique components required. The response must be in the spreadsheet format shown below

a) TRAINING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE
INTEL/WIN2K, NT OR 9x				
INTEL/LINUX				

b) PRODUCTION

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE
INTEL/WIN2K, NT OR 9x				
INTEL/LINUX				

c) DEVELOPMENT

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE
INTEL/WIN2K, NT OR 9x				

DRAFT

INTEL/LINUX				
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d) ACCEPTANCE TESTING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE
INTEL/WIN2K, NT OR 9x				
INTEL/LINUX				

e) SYSTEMS PROGRAMMING

OPERATING SYSTEM	NUMBER OF PROCESSORS	PROCESSOR SPEED	MEMORY SIZE	DISK SIZE
INTEL/WIN2K, NT OR 9x				
INTEL/LINUX				

6. ADDITIONAL INFORMATION

a) DESKTOP PLATFORMS

For all supported desktop platforms, please state the following:

- The versions of Netscape that are supported.
- The versions of Internet Explorer that are supported.
- The optimal local area network bandwidth for use of the application software.
- The optimal speed for a dial up connection at the desktop workstation required to meet the responsiveness requirements stated in this document.
- The optimal wide area network bandwidth per connected workstation required to meet the responsiveness requirements stated in this document.
- Describe any additional software or “browser plug-ins” must be installed on the desktop in order to use all system functions at the desktop. Explain the function of this software.

b) SCANNING AND IMAGING HARDWARE/SOFTWARE

Identify the scanning and imaging hardware and software that are required to make the NIS system optimally effective.

c) UTILITY HARDWARE AND SOFTWARE

Describe any utility software and hardware that will help the State monitor, manage and tune application and database processing.

Describe any hardware and software that will help the State monitor, manage and tune the data and application servers, desktops and the network

Describe the effort in hours per month that is typically spent by subject matter experts (supplied by the contractor) monitoring, managing and tuning application processing, data base processing and network traffic. Please state the number of hours required for each subject matter expert for each function.

d) SOFTWARE DISTRIBUTION

Describe the software distribution processes used to migrate software to all servers and desktops. List the hardware and software required to execute the described software distribution.