

CONTRACT SUPPLEMENT  
SP-37 Rev. 4/26/12  
Prev. Rev. 7/08

# STATE OF CONNECTICUT

DEPARTMENT OF ADMINISTRATIVE SERVICES

PROCUREMENT DIVISION

165 Capitol Avenue, 5<sup>th</sup> Floor South  
HARTFORD, CT 06106-1659

Jean Del Greco  
AFAO  
(860)713-5623  
Telephone Number

CONTRACT AWARD NO.:

03ITZ0002

Contract Award Date:

21 November 2002

Bid Due Date:

SUPPLEMENT DATE:

10 July 2013

## CONTRACT AWARD SUPPLEMENT #1

**IMPORTANT: THIS IS NOT A PURCHASE ORDER. Do NOT PRODUCE OR SHIP WITHOUT AN AGENCY PURCHASE ORDER.**

DESCRIPTION: **DMV CVISN/PRISM**

**FOR: The Department of Motor Vehicles, All Using State Agencies, Municipalities, Political Subdivisions, Non-Profits, and Education**

**TERM OF CONTRACT / DELIVERY DATE REQUIRED:**

**AGENCY REQUISITION NUMBER:**

CHANGE TO IN STATE (NON-SB) CONTRACT VALUE	CHANGE TO DAS-CERTIFIED SMALL BUSINESS CONTRACT VALUE	CHANGE TO OUT OF STATE CONTRACT VALUE	CHANGE TO TOTAL CONTRACT AWARD VALUE

**NOTICE TO CONTRACTORS:** This notice is not an order to ship. Purchase Orders against contracts will be furnished by the using agency or agencies on whose behalf the contract is made.

**INVOICE SHALL BE RENDERED DIRECT TO THE ORDERING AGENCY.**

**NOTE:** Dollar amounts listed next to each contractor are possible award amounts, however, they do not reflect any expected purchase amounts (actual or implied). They are for CHRO use only.

**NOTICE TO AGENCIES:** A complete explanatory report shall be furnished promptly to the Procurement Manager concerning items delivered and/or services rendered on orders placed against awards listed herein which are found not to comply with the specifications or which are otherwise unsatisfactory from the agency's viewpoint, as well as failure of the contractor to deliver within a reasonable period of time specified. Please issue orders and process invoices promptly.

**CASH DISCOUNTS:** Cash discounts, if any, shall be given SPECIAL ATTENTION, but such cash discount shall not be taken unless payment is made within the discount period.

**PRICE BASIS:** Unless otherwise noted, prices include delivery and transportation charges fully prepaid f.o.b. agency. No extra charge is to be made for packing or packages.

### CONTRACTOR INFORMATION:

REFER TO THE CONTRACT ON THE DAS PROCUREMENT WEB PAGE FOR THE MOST CURRENT CONTRACTOR INFORMATION. (<http://das.ct.gov/mp1.aspx?page=8>)

Company Name: : **Xerox State and Local Solutions, Inc.**

Company Address: **77 Hartland Street East Hartford, CT 06108**

Tel. No.: **860-983-5417**

Fax No.:

Contract Value: \$

Delivery:

Contact Person: : **Phil Conen**

Contact Person Address:

Company E-mail Address and/or Company Web Site:

Remittance Address:

Certification Type (SBE, MBE or None):

Agrees to Supply Political SubDivisions:

Terms: **Net 45 Days**

Cash Discount: % Days

**Name changed from ACS State and Local Solutions, Inc to Xerox State and Local Solutions, Inc**

**NOTE: All terms and conditions not otherwise affected by this supplement remain unchanged and in full force and effect.**

**APPROVED** \_\_\_\_\_

(Original Signature on Document in Procurement Files)

STATE OF CONNECTICUT

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INFORMATION PROCESSING SYSTEMS AGREEMENT  
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This Information Processing Systems Agreement, entered into in East Hartford, Connecticut, hereinafter referred to as the "Agreement" or "contract" is made by and between the **State of Connecticut**, acting by its Department of Information Technology/Contracts & Purchasing Division, hereinafter referred to as the "Customer," located at 101 East River Drive, East Hartford, CT 06108, and **ACS State and Local Solutions, Inc.**, hereinafter referred to as the "Supplier" or "ACS" or "contractor," having a principal place of business at 40 North Central Ave., Suite 2200, Phoenix, AZ 85004.  
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The terms and conditions of this Agreement are contained in the following sections:

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The parties hereto do hereby agree as follows:

1. TERM OF AGREEMENT

a. This Agreement shall become effective upon its approval as to form by the Office of the Attorney General of the State of Connecticut and shall continue until terminated by either party upon ninety (90) days' prior written notification to the other party subject to the provisions of Connecticut General Statutes (C.G.S.) §4d-44.

b. If notification of termination is received from Supplier, Customer agrees to no longer issue Letter Order(s) (defined in Section 2. DEFINITIONS) for any additional Products (defined in Section 2. DEFINITIONS) or associated services under the terms and conditions of this Agreement.

2. DEFINITIONS

a. "Alterations" as used herein, shall mean modifications made by Customer or Department to any installed Product thereby making such Product not in conformance with Supplier design and/or operation specifications.

b. "Department" as used herein, shall mean the Department of Motor Vehicles.

c. "Improvements" as used herein, shall mean Supplier changes made to Products from time to time either to provide additional functions for Department use or to correct errors and other performance deficiencies noted by a Department and reported to Supplier.

d. "RFP" as used herein, shall mean the Request For Proposal No.990-A-23-7055C issued by the Department of Information Technology on February 13, 2001, concerning the CVISN and PRISM Projects, Information Systems and Consultant Services.

e. "Letter Order" as used herein, shall mean a document issued by the Customer's Contracts & Purchasing Division on behalf of a Department for one or more Products in accordance with the terms and conditions of this Agreement. Any such Letter Order must be accompanied by a Department Purchase Order or Purchase Order Amendment, as applicable, and be accepted by the Supplier.

f. "Product" as used herein, shall mean any Supplier furnished operating firmware, Software license, custom developed or enhanced computer software configured and interconnected as a System capable of being operated to process information in accordance with the RFP. Product shall further mean any associated maintenance, training, other associated services, along with all related materials, documentation, and information received by Department from Supplier that is specified in any Customer Letter Order.

g. "System" as used herein, shall mean Supplier furnished license software and other computer program(s) that resides on and instructs or controls the Department's processing unit (PU), or multiple interconnected processing units, to produce reports, other outputs, and provides the Department meaningful use of the System in accordance with the RFP.

h. "Designated PU" as used herein, shall mean any processing unit (PU) or attached processor (AP) complex, including associated peripheral units, specified in the Attachment. The Attachment may designate more than one PU for either different Sites or Site(s) with multiple interconnected PU's.

i. "Product Schedule" as used herein, which is attached to this Agreement, shall mean that document which establishes the Products, licensing period(s), System maintenance and support, training, other services and associated pricing then available to Department under the provisions of this Agreement.

j. "Project Implementation Summary" as used herein, which is attached to this Agreement, shall mean that document which itemizes milestone periods, tasks, and deliverables where checkpoints are to be taken to assure the Department that the development, implementation, and maintenance is proceeding according to schedule.

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k. "Project Implementation Schedule" as used herein, which is attached to this Agreement, shall mean that document which further defines the tasks and associated deliverables of the Project Implementation Summary and may be recognized for the purpose of payment to the Supplier.

l. "Site" as used herein, shall mean a location of a computer system or systems consisting of one processing unit (PU) or multiple interconnected processing units.

m. "PPM" (Prime Period Maintenance) as used herein, shall mean maintenance services and/or technical support performed between 8:00 AM and 5:00 PM Monday through Friday, Eastern Time, exclusive of published Customer holidays. Maintenance services and/or technical support performed during any other time is hereinafter referred to as "Non-PPM" (Non-Prime Period Maintenance).

n. "RFP Warranty Period" as used herein, shall mean the twelve (12) months following acceptance of the System by the Department.

o. "Specifications" as used herein, shall mean the Supplier's published technical and nontechnical detailed descriptions of a Product's capabilities and/or intended use.

3. ACQUIRING PRODUCTS

a. Subject to the terms and conditions of this Agreement Supplier shall sell, transfer, convey and/or license to the Department any Product and to furnish to Department any associated service or Product then available in the Product Schedule that are listed in the Letter Orders, issued by the Contracts & Purchasing Division. The Department hereby receives a limited, non-exclusive, royalty free license to use Supplier software provided under this Agreement for the term of this Agreement. The royalty free license is limited to the period of the contract, does not allow for the transfer or sale of the license and is limited to use by employees, consultants not in competition with Supplier and agents of the State of Connecticut. In the event the Department desires to provide a consultant or agent access to such software, the Department shall first obtain Supplier's approval of a Proprietary Rights Protection Agreement to be executed by the consultant or agent.

b. Any Letter Order that has been accepted by the Supplier shall be immediately attached to this Agreement and shall remain attached until such time as any and all Products, licenses and associated services listed in the Letter Order have been terminated. During the period of attachment, the Letter Order shall be known as an "Attachment" and shall hereinafter be referred to as such.

c. Supplier may supplement the Product Schedule at any time to make additional Products, services and related terms available to the Customer, provided that the effective date of each supplement is stated thereon. Any supplement must be transmitted to the Customer with a cover letter, documenting formal approval of the supplement by a Supplier representative then legally empowered to so act.

d. Upon Customer receipt of ninety (90) calendar days' prior written notice, Supplier may update any Product Schedule pricing by amending the Product Schedule effective July 1 of any State of Connecticut fiscal year, provided: (1) the Product Schedule amendment is transmitted and approved in the same manner as described for supplements in Subsection 3.c., (2) no Product license, or related service, rate is increased within the first year of the Product license or service, and (3) any such resultant price increase shall not exceed five percent (5%) in any State of Connecticut fiscal year. In no case shall any such increase exceed Supplier's published prices then applicable to local governments and other states. Customer shall provide Supplier written acknowledgement, for Supplier's records, of such received amendment.

e. Products ordered prior to the effective date of any Product Schedule pricing increase shall enjoy protection from rate increase during their initial terms.

f. Supplier shall provide Customer with a discount on any Product Schedule pricing according to Supplier's discount policy in effect when a Letter Order is placed or according to the discount shown on the Product Schedule, whichever is greater.

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g. The Department is authorized to use any license software Product to develop and/or enhance said Department's systems, only in the pursuit of its own business interests, on any designated PU specified in a Letter Order and for no other purpose. Any such license shall be nonexclusive and nontransferable. The Department agrees that it shall use its best efforts to prohibit any Product license use in a manner, whether directly or indirectly, which would enable the Department's users to use the Product on any other PU.

h. Notwithstanding the foregoing restrictions on use, the Department may use the license software Product on another PU or Site in the following circumstances:

- 1) If the Department determines that a designated PU or Site cannot be used because of equipment or software inoperability, or initiation of a disaster recovery test or a disaster recovery event.
- 2) If the Department designated PU is replaced by a Department, said Department may designate a successor PU and use the Product on that PU. Prior to such other use, Department shall give Supplier written notice of such intended use and such other use shall be subject to Supplier's written consent. Such consent shall not be unreasonably withheld or delayed.
- 3) If the Department designated PU is removed to another location, a Department may move any license software Product and supporting materials to that location which physically replaces the original location. Prior to moving of such Product and supporting materials, said Department shall give Supplier written notice of such intended movement and such movement shall be subject to Supplier's written consent. Such consent shall not be unreasonably withheld or delayed.

i. Department may make a maximum of five (5) copies of each license software Product and a maximum of five (5) copies of the user manuals/documentation and supporting materials for each such license software Product. The Department shall maintain an accurate record of the location of such copies at all time and such record shall be available to Supplier. All such copies shall be subject to the terms and conditions of this Agreement.

4. RFP PROJECT ADMINISTRATOR

a. The Commissioner of the Department of Motor Vehicles, hereinafter "Commissioner," shall designate an RFP Project Administrator who shall be replaced at the sole discretion of the Commissioner. The RFP Project Administrator shall be the sole authority to act for the Department under this Agreement, solely for any Product(s) initially acquired/installed from Request For Proposal No. 990-A-23-7055C and such sole authority shall continue to be in effect until successful completion of the RFP Warranty Period. Whenever the Department is required, by terms of this Agreement to provide written notice to the Supplier, such notice must be signed by the RFP Project Administrator or, in that individual's absence or inability to act, such notice shall be signed by the Commissioner.

b. The Project Administrator's responsibilities shall include, but not be limited to, the following:

- 1.) Provide Supplier and other project Vendors with ongoing work direction. Ensure that Vendors meet schedule milestone and other responsibilities that impact the performance of Supplier and escalate any failure to perform to Department senior management
- 2.) Attend all meetings, conferences, etc. or have designated substitute attend, and distribute notes of the meeting to all concerned parties. Maintain and monitor master Action item list as needed.
- 3.) Mediate disputes between Vendors or Vendor and Supplier and provide a written decision. In the event the decision fails to resolve the dispute, the parties involved may resort to whatever remedies are available to them
- 4.) Maintain, monitor and distribute master project schedule to all concerned parties.
- 5.) Provide clarification to Vendors and guidance as requested or needed within a reasonable period of time. and ensure that all information is shared with all other impacted Vendors in a timely way
- 6.) Ensure that necessary State personnel is available as required for analysis of requirements, testing, acceptance, and training.

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- 7.) Provide workspace for three ACS employees with desk, telephone, Internet access, and access to relevant IT systems subject to state regulation as to use, fax, copying, and
- 8.) Ensure that the relevant data Vendors provide personnel as needed to troubleshoot, perform system tests, and provide timely notice of any anticipated delay affecting overall project schedule.

c. The milestones and deliverables that are defined in the Project Implementation Schedule will be recognized for the purposes of RFP payment to the Supplier. For each of these milestones and all associated deliverables, the Supplier will submit a standard State invoice, CO-17 "INVOICE – VOUCHER FOR GOODS OR SERVICES RENDERED TO THE STATE OF CONNECTICUT", along with a copy of the Department's "Notice of Acceptance" letter for that milestone and all associated deliverables to the RFP Project Administrator.

d. Any additions to or reductions in the deliverables and prices for work completed in the performance of the Project Implementation Schedule must be executed according to the provisions of Section 5. CHANGE ORDERS.

5. CHANGE ORDERS

a. The Department may at any time, with written notice to Supplier, request changes within the general scope of the Project Implementation Schedule. Such changes shall not be unreasonably denied or delayed by Supplier. Such changes may include modification in the functional requirements and processing procedures. Other changes might involve the correction of system deficiencies after the operations phase has begun, or other changes specifically required by new or amended State laws and regulations. Any corrections, changes, modification or other alterations of or to the Product(s) shall be made by Supplier, without charge to the Department or Customer prior to successful completion of the RFP Warranty Period, due to System deficiencies or if the System does not fully perform in accordance with this Agreement and the RFP. Any investigation necessary to determine the source of the problem requiring the change shall be done by Supplier at Supplier's sole cost and expense.

b. The written change order request shall be issued by the Department. As soon as possible after Supplier receives a written change order request, but in no event later than fifteen (15) calendar days thereafter, the Supplier shall provide the Department with a written statement that the change has no price impact on the Supplier or that there is a price impact, in which case the statement shall include a description of the price increase or decrease involved in implementing the change. The cost or credit to the Department resulting in a change in the work shall specify the total cost by the number of staff-hours (Labor Category) times the applicable hourly rate as specified within the Product Schedule.

c. No change order shall become effective nor shall there be any change in the Project Implementation Schedule until Supplier's receipt of an applicable Letter Order with an accompanying Purchase Order (CO-94) or Purchase Order Change Notice (CO-95). No employee, officer, or representative of the Department, including the Department RFP Project Administrator, or the Supplier shall circumvent the intent of this section.

6. DELIVERY, INSTALLATION & DEINSTALLATION

a. Department shall undertake at its own expense to prepare and make available any PU for installation of any Product in accordance with Supplier-furnished Specifications.

b. Supplier represents and warrants that it shall complete installation of the System in accordance with the Project Implementation Summary and Product Implementation Schedule.

c. Department ordered deinstallation, relocation and reinstallation of any Product previously installed at a Department site or the Department's designated site shall be at Department's expense according to Supplier's prices then in effect for such services

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7. PRODUCT EVALUATION & ACCEPTANCE

a. Except as may be stipulated within Section 4. RFP PROJECT ADMINISTRATOR, any Product furnished by Supplier under the terms of this Agreement shall be subject to an evaluation and acceptance period at the Department installation site. For a Product installed by Supplier, said period shall commence on the Department work day next following written Supplier notification to the Department that the Product is installed and ready to undergo evaluation and acceptance testing, defined as follows:

- 1) For the release of a Product that has not previously undergone evaluation and acceptance testing, the evaluation and acceptance period shall be thirty (30) contiguous days.
- 2) For the release of a Product which has previously undergone Product evaluation and acceptance testing as required in 7.a.1) above, the evaluation and acceptance period shall be five (5) consecutive Customer business days.
- 3) The applicable evaluation and test period of Product performance and Supplier service must satisfy Customer criteria specified in Section 9. MAINTENANCE & SUPPORT and Section 12. WARRANTIES. For a Product installed by a Department, said period shall commence on the Department work day next following receipt of the Product by said Department.

b. One thirty (30) day or five (5) day, as applicable, evaluation and acceptance period need not expire before another thirty (30) day or five (5) day, as applicable, evaluation and acceptance period begins. Should any Product or associated service fail to be satisfactory as specified in Subsection 7.a., the evaluation and acceptance period then shall be immediately initiated. The acceptance period for Supplier will not be delayed or extended due to problems beyond the control of Supplier.

c. Successful completion of the Product evaluation and acceptance period shall be determined by Department and verified on Customer Form SDP-6 "Data Processing Installation/Removal." The license shall be effective commencing on the Customer's SDP-6 "Acceptance Date" which shall be considered to be the first day of the successful Product evaluation and acceptance period. If the Department fails to notify the Supplier within five (5) days after the completion of a successful evaluation and test period, the Supplier may consider that the Product undergoing evaluation and testing has been accepted by said Department. The Department agrees to complete any required Supplier acceptance certificate.

d. If the Department does not accept any Product within sixty (60) days of installation, due to the Product or associated service failure to be satisfactory as specified in Subsection 7a., department may then release the Product to Supplier and be relieved of all financial obligations therefor.

e. Notwithstanding Subsection 7.c., any Product acquired from an RFP, the "Acceptance Date" shall mean the first day of the successful System evaluation and acceptance period.

8. PAYMENTS & CREDITS

a. The Department shall pay any service charges shown in each Letter Order promptly after receipt of the Supplier invoice applicable to the calendar month or other period during which Supplier has the obligation to provide the Product or service to the Department (hereinafter referred to as the "Due Date"). Any such charges for a partial month or period shall be prorated. Charges for licenses shall apply starting with the relevant Acceptance Date; charges for associated services shall apply starting with the relevant dates specified in the pertinent Attachments.

b. Supplier may assign any license payments (but not any associated service payments), in whole or in part, upon prior written notice to the Department and compliance with the requirements of the State's Comptroller's Office concerning such assignments. Notwithstanding any such assignment, Supplier agrees that the Department shall quietly have and enjoy use of the license Product, free of any repossession or any claims by Supplier or its successors and assigns, subject to the terms and conditions of this Agreement, provided the Department is not in default hereunder. No Product assignment by

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Supplier shall relieve Supplier of any obligations under this Agreement without prior written Department consent in each such instance.

c. The Department shall be liable to Supplier for a charge for an item that is not listed on the Product Schedule only if the related order has been placed by an authorized representative of Customer. Any Supplier time and materials charge shall reflect only reasonable expenditures actually incurred by Supplier in rendering Department services at the Product installation site.

d. Supplier shall furnish separate invoices for each Letter Order; and each Product, , maintenance and support charge or other charge shall be included as separate line items on such invoices.

e. When the license term specified in the Attachment is less than perpetual, all charges for maintenance and support are included in the contract compensation fees.

f. It shall be the responsibility of the Department to pay any charges due hereunder within forty-five days after the acceptance of the applicable Software and Documentation or services being rendered, as applicable, after having received the Supplier invoice.

g. Failure by a Department to make payment within the forty-five (45) day period after which services have been rendered and an undisputed invoice provided shall not constitute a default or breach, but rather, shall entitle Supplier to receive interest on the undisputed amount outstanding after said forty-five (45) days in accordance with State of Connecticut statutes.

h. Notwithstanding this Section 8., whenever Product(s), Product license(s), or associated services specified in the applicable Attachment is resultant of an RFP, payments to Supplier shall be as follows:

- 1) The Department shall pay within forty-five (45) days after the period for which Project Implementation Schedule deliverables (as set out in Section 2. k. above, have been accepted by the Department and an applicable invoice received. If acceptance of Suppliers work is delayed due to reasons beyond its control and without its fault, payment shall not be withheld if delay exceeds thirty (30) days from planned acceptance. Charges for all other services shall be based upon actual billable time incurred for such deliverables, however, such charges shall not exceed the associated "not-to-exceed cost" in accordance with the Product Implementation Schedule.
- 2) There shall be a twenty percent (20%) holdback from the monies that are due for each such deliverable accepted by the Department. Retainage shall not apply to maintenance and support invoices.
- 3) Upon successful completion of the 30 day System evaluation and acceptance period set out in article 7.b. above as determined by the Department and verified on Customer Form SDP-6, Department shall pay Supplier one-half of the holdback monies.
- 4) Upon successful completion of the RFP Warranty Period the remaining one-half of the holdback monies will be paid to the Supplier.

9. SECURITY

For the term of this Agreement, Vendor(s) will provide ACS with the information necessary to maintain and synchronize security IDs and Business Rules from the CI through to the legacy system. The Department shall be responsible for providing and maintaining security levels and authentication of User/Carriers.

10. MAINTENANCE & SUPPORT

a. After acceptance of any Product by the Department and subject to the terms, conditions, and charges set forth in this Agreement, Supplier represents and warrants that maintenance and support services for any Product shall be provided to the Department as follows:

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- 1) Supplier shall provide such reasonable and competent assistance as necessary to cause the Product to perform in accordance with applicable portions of the Specifications; and
- 2) Supplier shall provide Improvements which may be available to Supplier to any Product; and
- 3) Supplier shall update any license Product, if and as required, to cause it to operate under new versions or releases of the operating system(s) specified in the Attachment.

b. Supplier shall provide maintenance and support services on an annual basis. Such maintenance and support services shall automatically renew for successive twelve (12) month periods unless thirty (30) days' prior written notice of termination is provided to the Supplier by the Department before the end of the initial term or any renewal term.

c. Supplier shall maintain sufficient and competent Product support services staff, replacement products and ancillary products to satisfy the Supplier obligations specified herein for any Product.

d. Supplier shall have full and free access to any Product to provide required services thereon.

e. If any license Product becomes not usable due to the computer manufacturer's release and the installation of (1) a new PU operating system or (2) an updated version of the present PU operating system or (3) a change to the present PU operating system and the Supplier is unable to provide changes to the Product to cause it to operate according to Specifications within thirty (30) days of written notification by the Department to Supplier of such failure to operate, any such Product so affected shall have its paid maintenance and support period, or limited term license period extended an additional period of time equal to the period of time the Product was not usable. If, after the expiration of thirty (30) days from the date of said notification, the Product remains not usable, then the applicable license may be terminated at the option of said Department without further obligation or liability.

f. Supplier shall typically respond to the Department's telephone requests for technical support relative to any installed Product within two (2) hours of such requests during Department weekday working hours (Monday through Friday, 8:00 A.M. to 5:00 P.M. Eastern Time and any additional hours covered by this Agreement). Failure to provide reasonable and competent telephone assistance, in the Customer's sole determination within the two (2) hour period, shall entitle said Department to a reasonable credit against the applicable Product invoice not to exceed ten percent (10%) of the monthly and maintenance support fee for each succeeding two (2) hour period that said reasonable and competent assistance is not provided by Supplier. Supplier will not be held responsible in the event the Department's CI does not function adequately, or in the event Supplier's response time is adversely affected due to problems/events beyond the control and without the fault of Supplier.

11. RELIABILITY

a. The reliability, at any point in time, of the System shall be determined by the System's operational capability for productive Department use as configured and installed within the Department's operating environment. Continued acceptability of such System performance reliability shall be based on the Department's experienced rate of recoverable and nonrecoverable System operating errors or failures that preclude productive Department use of said System according to the applicable RFP and Supplier operating specifications.

b. The required reliability (Computed % Reliability) for the System during any calendar month is ninety-nine percent (99%) uptime availability for aforesaid productive Department use, computed as follows:

$$\text{Computed \% Reliability} = \frac{(\text{Available-Time-per-Month}) - (\text{Downtime-per-Month})}{(\text{Available-Time-per-Month})}$$

with Available-Time-per-Month equated to one hundred eighty (180) hours, which shall be deemed to correspond to

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PPM during each calendar month (plus any additional hours of said System use by Department during said month wherein those hours are covered by this Agreement), and Downtime-per-Month equated to those hours of Available-Time-per-Month during which the Department or any specific site is precluded from aforesaid productive System use.

EXAMPLE:

Given: Available-Time-per-Month was 180 hours.  
Downtime-per-Month was 1.80 hours.

$$\frac{(180 - 1.80)}{180}$$

Then: Computed % Reliability for a specific site = 99%

c. A given instance of System downtime shall start after receipt by the Supplier of a bona fide Department service request to remedy any operational System deviation, error, or failure condition(s), and end with documented proof by Supplier to the Department that such System status has been fully restored to the applicable RFP and Supplier's operational specifications and made ready for productive Department use. However, the calculated time period of a given such instance of System downtime shall exclude the following periods: (1) any nonproductive System use time caused by the Department or the Department's authorized third party; (2) any non-productive System use time during Non-PPM, unless Department orders its maintenance during Non-PPM at the then applicable additional charges for such service; (3) any time during which the Department fails to make the System available for Supplier's remedial service, and (4) scheduled maintenance.

12. RFP SYSTEM WARRANTIES

a. Supplier represents and warrants that the Products and System shall conform to the terms and conditions of this Agreement, the issued RFP and Supplier's proposal, and be free from defects in material and workmanship upon acceptance of the System by the Department and for a period of twelve (12) months from system acceptance. During this RFP Warranty Period, all Products and the System shall function according to this Agreement, the RFP and Supplier's provided documentation. Supplier shall modify, adjust, repair and/or replace such Product(s) as necessary, at no charge to the Department, to maintain ongoing System and Product reliability according to Section 10. MAINTENANCE & SUPPORT and Section 11. RELIABILITY.

b. If the ongoing performance of Supplier maintenance and support of the System or if any Product of the System does not conform to Section 10. MAINTENANCE & SUPPORT and Section 11. RELIABILITY, the Department shall give Supplier written notice of performance deficiencies. Supplier shall then have not more than a thirty (30) calendar day period to correct the applicable Product or service deficiency and restore the functioning of the Product and System to a level of operation that meets or exceeds the terms of this Agreement, the RFP and Supplier's proposal specifications. If during this period such Product or System performance, or service level, continues to fail to meet these specifications due to the fault of Supplier, then the Supplier shall be in material default of this Agreement.

c. In addition to as may be otherwise provided in this Agreement, any material default by the Supplier during the RFP Warranty Period, the Customer may, by written notice to Supplier shall reimburse Department of all monies paid by Department to Supplier under this Agreement.

3. WARRANTIES

a. Supplier hereby warrants its ownership and/or marketing rights to the license software Products. Unless stated otherwise in an Attachment, Supplier hereby warrants that a Product installed by Supplier, or installed by the Department in accordance with Supplier's instructions, shall function according to the Specifications on the Acceptance Date for such

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Product and Supplier shall modify and/or replace such Product as necessary to maintain ongoing Product reliability according to Section 10. MAINTENANCE & SUPPORT. This latter warranty shall not apply to any Product deficiency caused by maintenance by a person other than the Supplier or its representative.

b. If the ongoing performance of a Product does not conform to the Section 10. MAINTENANCE & SUPPORT provisions of this Agreement, the Department shall give Supplier written notice of performance deficiencies. Supplier shall then have not more than a ten (10) calendar day cumulative cure period per twelve (12) month period to correct such deficiencies. If the cumulative number of days in a twelve (12) month period is exceeded, and said performance continues to be in nonconformance with said Section 9., due to the fault of the Supplier, and the Department is denied beneficial use of the system, the Supplier shall be in material default of this Agreement and the Customer at its option may thereupon:

- 1) in addition to the options listed below, if during the RFP Warranty Period, terminate this Agreement in accordance with Subsection 11.c.
- 2) request Supplier to replace said Product or service resource at Supplier's expense with a functional Product or competent service.
- 3) terminate the Product license or service without Department penalty, further obligation or financial liability. In the event of such Product license termination, the Department shall be entitled to a refund according to the following schedule:

c. The Supplier neither excludes nor modifies the implied warranties of merchantability and fitness for a particular purpose concerning the Products and services offered under the terms and conditions of this Agreement.

14. PATENT, COPYRIGHT, LICENSE & PROPRIETARY RIGHTS

a. Supplier hereby grants the Department, at no additional cost, rights to copy and modify and use any patented, copyrighted, licensed or proprietary software Product solely in the pursuit of its own business interests. The Department shall promptly affix to any such copy a reproduction of the patent, copyright, license or proprietary rights information notice affixed to the original Product. The Department shall maintain the confidentiality of any such license software Product consistent with its privileged nature, and shall not divulge the license software Product or make it available to any third party, except as may be noted elsewhere in this Agreement. This obligation survives termination of this Agreement.

b. Supplier agrees to indemnify, hold harmless and defend the Customer and any Department from and against any patent, copyright, license or proprietary rights infringement claim or proceeding pertaining to Department use of any Product, except where the Department modifies or adapts the license Product without Supplier consent. Supplier agrees to satisfy any final award arising from any said claim or proceeding. Customer or the Department agrees to give Supplier prompt written notice of any impending said claim or proceeding, and agrees to Supplier's right to conduct any defense thereof.

c. In the event any license software Product becomes the actual or prospective subject of any said claim or proceeding, Supplier may, at its discretion: (1) modify the Product or substitute another equally suitable Product (providing such alternative does not degrade the Department's Product dependent performance capability), or (2) obtain for said Department the right to continued Product use, or (3) if Product use is prevented by injunction, take back the Product and credit the Department for any charges unearned as a result of enjoined use as follows:

- 1) Where the license specified in the applicable Attachment is less than perpetual, Supplier shall promptly refund the Department the amount of the fees paid for the portion of the applicable term found to be infringing.
- 2) Where the license specified in the applicable Attachment is perpetual:

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a) Periodic Payment License. Supplier shall promptly refund the Department the amount of the fees paid for the portion of the applicable term found to be infringing.

b) Lump-Sum Payment License. Supplier shall promptly refund the Department any Product maintenance and support charges paid by the Department applicable to the infringement period plus a sum computed as follows:

Period license of infringing Product has been in effect starting with Acceptance Date:

1st - 12th month – 100% of license fee paid

13th - 24th month - 75% of license fee paid

25th - 36th month - 50% of license fee paid

37th month and over- 25% of license fee paid

d. Supplier shall have no liability for any infringement claim or proceeding based on the Department's use of a license software Product for which it was neither designed nor intended and Supplier has provided written notification to said Department of such inappropriate use.

15. CONFIDENTIALITY; NONDISCLOSURE

a. The Department shall exercise at least the same degree of care to safeguard any license software Product as the Department does its own property of a similar nature and shall take reasonable steps to assure that neither the license software Product nor any part thereof received by Department under this Agreement shall be disclosed for other than its own business interests. Such prohibition on disclosures shall not apply to disclosures by the Department to its employees or its representatives, provided such disclosures are reasonably necessary to Department's use of the Product, and provided further that Department shall take all reasonable steps to insure that the Product is not disclosed by such parties in contravention of this Agreement.

b. The Department shall use any license software Product only in the pursuit of its own business interests. Customer shall not sell, lease, license or otherwise transfer with or without consideration, any such Product to any third party (other than those nondesignated third parties that have need to know and agree to abide by the terms of this Section 14.) or permit any third party to reproduce or copy or otherwise use such Product. Customer will not create derivative works, translate, reverse engineer or decompile the software Product, in whole or in part, nor create or attempt to create, by reverse engineering or disassembling of the design, algorithms or other proprietary trade secrets of the license software Product.

c. Supplier hereby agrees that:

1) All Department information exposed or made available to Supplier or its representatives is to be considered confidential and handled as such.

2) Any such Department information is not to be removed, altered, or disclosed to others in whole or in part by Supplier and its representatives.

3) Department security procedures shall be adhered to.

It is expressly understood and agreed that the obligations of this Section 14. shall survive the termination of this Agreement.

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16. PRODUCT REPLACEMENTS & UPGRADES

a. Customer may order replacement of any license software Product with any other license software Product then available to Customer. Supplier shall provide Customer with a discount or credit according to Supplier's policy then in effect or according to the credit shown below, whichever is greater:

1) Replacement Product that was provided under a lump sum payment perpetual license

Period license of replaced Product has been in effect starting with Acceptance Date:

1st - 12th month - 75% of license fee paid shall be credited toward fee for Replacement Product

13th - 24th month - 50% of license fee paid shall be credited toward fee for Replacement Product

25th - 36th month - 25% of license fee paid shall be credited toward fee for Replacement Product

37th month and over - No credit toward fee for Replacement Product

2) Replaced Product that was provided under a periodic payment license

License fee payments for a replaced Product shall terminate on the Acceptance Date of the replacement Product.

3) Replaced Product that was provided under a lump-sum payment nonperpetual license

There shall be a prorata adjustment of the license fee payment for a replaced Product as of the Acceptance Date of the replacement Product.

The license fee for any replacement Product applies commencing on the Acceptance Date of such Product.

During the term of this Agreement, Supplier shall keep current any installed license software Product throughout its license term by delivering to the Department, at no cost or expense to a Department, any modification of said Product made by Supplier that is generally provided to Supplier's other clients at not cost, provided that said Department has paid or will pay the most recent applicable annual maintenance charges.

17. RISK OF LOSS & INSURANCE

a. The Department shall not be liable to Supplier for any risk of Product loss or damage while Product is in transit to or from a Department installation site, or while in a Department's possession, except when such loss or damage is due directly to Department gross negligence.

b. In the event Supplier employees or agents enter premises occupied by or under control of Department in the performance of their responsibilities, Supplier shall indemnify and hold said Department harmless from and defend it against any loss, cost, damage, expense or liability by reason of tangible property damage or personal injury, of any nature or any kind, caused by the performance or act of commission or omission of said employees or agents. Without limiting the foregoing, Supplier shall maintain public liability and property damage insurance within reasonable limits covering the obligations contained herein, and shall maintain proper workers' compensation insurance in accordance with Section 31. WORKERS' COMPENSATION.

18. PRODUCT ALTERATIONS

a. Alterations of any license software Product may be made only with the prior written consent of Supplier. Such consent shall not be unreasonably withheld or delayed.

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b. If any Product alteration interferes with the normal and satisfactory operation or maintenance and support of any Product, or increases substantially the costs of maintenance and support thereof, or creates a safety hazard, the Department, upon receipt of written notice from Supplier, shall promptly restore the Product to its pre-altered condition.

c. Any Alteration of a Product by the Department without written consent of Supplier shall void the obligations of Supplier under Section 9. MAINTENANCE & SUPPORT for the Product. Supplier shall indicate in any written consent which parts of the Product being altered will continue to be subject to Section 9. MAINTENANCE & SUPPORT and which will not.

19. LIMITATION OF LIABILITY

In no event shall either party be liable for special, indirect or consequential damages except as may otherwise be provided for in this Agreement. Supplier shall indemnify, defend and hold harmless the Department and Customer from and against all: (1) actions, suits, claims, investigations or legal or administrative or arbitration proceedings pending or threatened, whether at law or in equity in any forum (collectively, "Claims") arising, directly or indirectly, in connection with Supplier's actions in connection with this Agreement including, but not limited to, acts of commission or omission, (collectively, the "Acts") by the Supplier or any of its members, directors, officers, shareholders, representatives, agents, servants, consultants, employees or any other person or entity with whom the Supplier is in privity of oral or written contract (collectively, "Supplier Parties"); (2) liabilities arising, directly or indirectly, in connection with this Agreement, out of the Supplier's or Supplier Parties' Acts concerning its or their duties and obligations as set forth in this Agreement; and (3) damages, losses, costs and expenses, including but not limited to, attorneys' fees that may arise out of such Claims and/or liabilities for bodily injury and/or property damage.

20. FORCE MAJEURE

Neither party shall be responsible for delays or failures in its obligations herein due to any cause beyond its reasonable control. Such causes shall include, but not be limited to, strikes, lockouts, riot, sabotage, rebellion, insurrection, terrorist acts, acts of war or the public enemy, unavailable raw materials, telecommunication or power failure, fire, flood, earthquake, epidemics, natural disasters, and acts of God.

21. SOURCE CODE ESCROW

a. Supplier agrees to store during the term of this Agreement at a third party site a copy of the most current source code, and any documentation and written instructions required to interpret said source code, for all license software Products. Said third party site, source code, documentation and instructions will be affirmed to the Department in writing by Supplier within fourteen (14) days of a request of the Department. Supplier shall immediately arrange for the deposit of such source code, documentation and instructions to Department:

1) If Supplier becomes insolvent or commits any act of bankruptcy or makes a general assignment for the benefit of creditors;

OR

2) If Supplier or its successors or assignees discontinues support of the Products for any reason

b. Supplier shall arrange so that the Department shall have the right at any time to contact the so identified third party and shall also arrange so the Department's audit personnel shall have full and free access to examine any such source code, documentation and written instructions, for the purposes of ascertaining the existence of the source code and related documentation and instructions and for the

verification of the continued validity of the instructions from the Supplier to the third party to release the source code, documentation and instructions to the Department under the circumstances specified in this section.

c. In no event shall a Department use the source code, documentation and written instructions for purposes other than satisfying Department needs. Title to any source code released to Customer in compliance with this Section 20. shall remain with Supplier and Customer shall continue to treat the released materials as valuable and proprietary trade secret

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information of Supplier in accordance with the terms of this Agreement, which terms shall expressly survive the termination or expiration of this Agreement. Customer agrees that any released source code shall be used solely for the business purposes of Department and shall not be disclosed to any third party pursuant to this Agreement and per an Escrow Agent Agreement to be mutually agreed to by the Department, the Supplier and the Escrow Agent.

22. TERMINATION OF AGREEMENT

This Section 21. TERMINATION OF AGREEMENT shall become effective upon approval of this Agreement and shall survive until successful completion of the RFP Warranty Period. During the time this Section 21. remains in force, this Agreement shall be subject to termination according to the following and as otherwise provided in this Agreement.

a. Mutual Agreement

This Agreement may be terminated by mutual agreement, in writing, of the parties. The effective date of such termination and the responsibilities of the parties shall be set forth as a part of that Agreement.

b. Default by the Supplier

The Customer may, by written notice to Supplier, signed by the RFP Project Administrator, terminate the Supplier's right to proceed under this Agreement if the Supplier:

1. Materially fails to perform the services within the time specified or any extension thereof; or
2. so fails to make progress as to materially endanger performance specified in this Agreement in accordance with its terms; or
3. otherwise fails to perform any other material provisions of this Agreement; provided, however, that in such event the Customer, through the RFP Project Administrator, shall give the Supplier at least thirty (30) days' prior written notice.

Termination for default at the option of the Customer shall be effective thirty (30) days after receipt of such notice, unless the Supplier corrected said failure(s) within thirty (30) days after receipt by the Supplier of such written notice. In the event of such Agreement termination, the Supplier shall reimburse Department of all monies paid by Department to Supplier under this Agreement and shall be liable to compensate the Department for any additional costs reasonably incurred by the Department in obtaining such services, provided that the failure to perform under this Agreement which results in termination pursuant to this Subsection 21.b. arises out of cause or causes other than those described in Section 19. FORCE MAJEURE.

c. Termination by the RFP Project Administrator

The RFP Project Administrator, by thirty (30) days' prior written notice to the Supplier, may terminate performance of work under this Agreement, in whole or in part, when it is in the best interest of the Department to do so. In the event of such termination, the Department will compensate the Supplier for work performed prior to such termination date and for all reasonable costs to which the Supplier has, out of necessity, obligated itself as a result of this Agreement.

23. TERMINATION OF LETTER ORDERS

In addition to as otherwise may be provided in this Agreement, the Department may terminate early and without penalty, and without default on the part of the Supplier, any license or associated service on any Attachment by releasing Supplier from further responsibility to provide the Product or service, under the following conditions:

a. Termination in the Interest of Department

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Upon thirty (30) days' prior written notice to Supplier, a Department may terminate any service and/or applicable Letter Order(s), in whole or in part, when it is in the best interest of the Department to do so. In the event such termination pertains to associated service, the Supplier will be compensated for all work performed prior to such termination date.

b. Lack of Continued Funding

Upon ninety (90) days' written notice to Supplier, a Department may terminate any Product license or associated service as of the first day of the period for which sufficient funds to meet its obligations under this Agreement are not appropriated or allocated. The Department shall pay any Product or service charges due prior to the nonfunded period. If the necessary funding becomes available within ninety (90) days of such termination, Department and Supplier agree to resume said license or associated service, upon such funding becoming available, under the terms applicable to such license or associated service just prior to termination, unless such resumption is mutually declined.

Upon the termination of any such Product license, the license and all other rights granted hereunder to the Department shall immediately cease, and said Department shall immediately upon receipt of written request from Supplier:

- 1) Return the Product to Supplier; and
- 2) Purge all copies of the Product or any portion thereof from all PU's and from any computer storage medium or device on which the Department has placed Product.

24. GENERAL PROVISIONS

a. Section headings and document titles used in this Agreement are included for convenience only and shall not be used in any substantive interpretation of this Agreement.

b. If any term or condition of this Agreement is decided by a proper authority to be invalid, the remaining provisions of the Agreement shall be unimpaired and the invalid provision shall be replaced by a provision which, being valid, comes closest to the intention underlying the invalid provision.

c. The terms of all Product and associated service offerings in this Agreement are equivalent to or better than those for comparable Supplier offerings to any other state or local government customer under like terms and conditions. If during the life of this Agreement Supplier provides more favorable terms for said offerings to another such customer, this Agreement shall thereupon be deemed amended to provide same to Customer.

d. The failure at any time by either party to this Agreement to require performance by the other party of any provision hereof shall not affect in any way the full right to require such performance at any time thereafter. The waiver by either party of a breach of any such provision shall not constitute a waiver of the provision itself, unless such a waiver is expressed in writing and signed by a duly authorized representative of the waiving party.

e. In any case where the consent or approval of either party is required to be obtained under this Agreement, such consent or approval shall not be unreasonably withheld or delayed. No such consent or approval shall be valid unless in writing and signed by a duly authorized representative of that party. Such consent or approval shall apply only to the given instance, and shall not be deemed to be a consent to, or approval of, any subsequent like act or inaction by either party.

f. This Agreement shall be deemed to have been made in the State of Connecticut and shall be governed in all respects by the laws of said State without giving effects to its conflicts of law provisions.

g. The Department agrees not to remove or destroy any proprietary markings or proprietary legends placed upon or contained within any license software Product.

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h. Except as may be otherwise provided for in this Agreement, the Department shall not assign, mortgage, alter, relocate or give up possession of any license software Product without the prior written consent of Supplier.

i. If the Department desires to obtain a version of the license software Product that operates under an operating system not specified in the Attachment, Supplier shall provide Department with the appropriate version of the Product, if available, on a 60-day trial basis without additional charge, provided Department has paid all applicable maintenance and support charges then due. At the end of the 60-day trial period, a Department must elect one of the following three options:

1) Department may retain and continue to use the old version of the license Product and return the new version to Supplier and continue to pay the applicable license fee and maintenance and support charge for the old version;

OR

2) Department may retain and use the new version of the license Product and return the old version to Supplier, provided that any difference in the applicable license fee and maintenance and support charge for the new version and such fee and charge for the old version is paid or refunded to the appropriate party;

OR

3) Department may retain and use both versions of the license Product, provided Department pays Supplier the applicable license fees and maintenance and support charges for both versions of the Product.

j. Supplier covenants and agrees that it will not, without prior written consent from Customer, make any reference to Customer in any of Supplier's advertising or news releases. This provision shall not apply to generic references to this project in company promotional literature and/or news releases.

k. Any product developed under this Agreement shall be the sole property of the Customer and the Customer shall have sole proprietary rights thereto.

l. Any forthcoming transactions against this Agreement shall be in accordance with applicable Connecticut statutes, if any, pertaining to the Department of Information Technology.

m. The following items are hereby incorporated into this Agreement by reference:

- 1) The RFP No. 990-A-23-7055C issued on February 13, 2001
- 2) Amendment #1 dated March 23, 2001
- 3) Amendment #2 dated April 10, 2001
- 4) Amendment #3 dated April 18, 2001
- 5) Amendment #4 dated May 4, 2001
- 6) Amendment #5 dated May 15, 2001
- 7) Amendment #6 dated May 22, 2001
- 8) Amendment #7 dated May 24, 2001
- 9) ACS Response dated December 18, 2001 to DOIT's Request For Clarification of December 13, 2001,
- 10) DOIT's Letter of Request For Clarification, dated December 13, 2001
- 11) ACS Response dated November 16, 2001 to DOIT's Request For Clarification of November 8, 2001,
- 12) DOIT's Letter of Request For Clarification, dated November 8, 2001
- 13) Supplier proposal dated June 7, 2001 in response to the RFP No. 990-A-23-7055C

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25. ORDER OF PRECEDENCE

In the event of conflict of terms and conditions between or among the RFP, the Supplier proposal and this Agreement, the order of precedence is:

- 1) This Agreement (Reference No. B-00-010)
- 2) Amendment #7 dated May 24, 2001
- 3) Amendment #6 dated May 22, 2001
- 4) Amendment #5 dated May 15, 2001
- 5) Amendment #4 dated May 4, 2001
- 6) Amendment #3 dated April 18, 2001
- 7) Amendment #2 dated April 10, 2001
- 8) Amendment #1 dated March 23, 2001
- 9) The RFP No. 990-A-23-7055C issued on February 13, 2001
- 10) ACS Response dated December 18, 2001 to DOIT's Request For Clarification of December 13, 2001,
- 11) DOIT's Letter of Request For Clarification, dated December 13, 2001
- 12) ACS Response dated November 16, 2001 to DOIT's Request For Clarification of November 8, 2001,
- 13) DOIT's Letter of Request For Clarification, dated November 8, 2001
- 14) Supplier proposal dated June 7, 2001 in response to the RFP No. 990-A-23-7055C

26. YEAR 2000 COMPLIANCE

The contractor warrants that each hardware, software, and firmware product ("product") or each developed, modified or remediated item of hardware, software, firmware ("item") or each service delivered under this contract shall be able to:

- (1) accurately assess, present or process date/time data (including, but not limited to, management, manipulation, processing, comparing, sequencing and other use of date data, including single and multi-century formulae and leap years) from, into, and between the twentieth and twenty-first centuries, and the years 1999 and 2000 and leap year calculations;
- (2) properly exchange date/time data when used in combination with other information technology;
- (3) perform as a system, if so stipulated in the contract, and the warranty shall apply to those items as a system.

Notwithstanding any provision to the contrary in any vendor warranty or warranties, the remedies available to the State under this Year 2000 warranty shall include repair or replacement of any listed product and/or item whose non-compliance with the Year 2000 warranty is discovered and made known to the contractor in writing. This warranty remains in effect through December 31, 2000 or 365 days following the RFP Warranty Period, whichever is later.

Nothing in this warranty shall be construed to limit any rights or remedies the State may otherwise have under this contract with respect to defects other than Year 2000 compliance.

In addition, the contractor warrants that products or items modified or remediated to achieve Year 2000 compliance will remain unaffected with respect to their functioning or performance except for processing and exchanging date/time data. The contractor warrants that products or items not being modified or remediated directly will remain unaffected with respect to their normal functioning or performance.

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27. COMMUNICATIONS

Unless notified otherwise by the other party in writing:

Correspondence, notices, and coordination between the parties to this Agreement as to general business matters or the terms and conditions herein should be directed to:

Customer: Connecticut Department of Information Technology  
Contracts & Purchasing Division  
101 East River Drive  
East Hartford, CT 06108

Supplier: Connecticut CVISN/PRISM Project Manager  
ACS State and Local Solutions, Inc.  
40 North Central Avenue, Suite 2250  
Phoenix, AZ 85004

Details regarding Supplier invoices and all technical or day-to-day administrative matters pertaining to any Product and related service should be directed to:

Department: Connecticut CVISN/PRISM Project Manager  
Commercial Vehicle Safety Division, Room 263  
CT Department of Motor Vehicles  
60 State Street  
Wethersfield, CT 06161-5070

Supplier - Connecticut CVISN/PRISM Project Manager  
ACS State and Local Solutions, Inc.  
40 North Central Avenue, Suite 2250  
Phoenix, AZ 85004

Notices sent by United States mail with postage prepaid shall become effective when mailed.

28. NONDISCRIMINATION AND AFFIRMATIVE ACTION PROVISIONS

This section is inserted in this contract in connection with Subsection (a) of Section 4a-60 of the General Statutes of Connecticut, as revised.

a. For the purposes of this section, "minority business enterprise" means any small contractor or supplier of materials fifty-one per cent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) Who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise and (3) who are members of a minority, as such term is defined in Subsection (a) of Conn. Gen. Stat. Section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements.

For the purposes of this section, "commission" means the commission on human rights and opportunities.

For the purposes of this section, "public works contract" means any agreement between any individual, firm or corporation and the state or any political subdivision of the state other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or

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which is financed in whole or in part by the state, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

b. (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut. The contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved; (2) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission; (3) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the contractor agrees to comply with each provision of this section and Conn. Gen. Stat. Sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to Conn. Gen. Stat. Sections 46a-56, 46a-68e and 46a-68f; (5) the contractor agrees to provide the commission on human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor as relate to the provisions of this section and Conn. Gen. Stat. Section 46a-56. If the contract is a public works contract, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project.

c. Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: The contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

d. The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

e. The contractor shall include the provisions of Subsection b of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Conn. Gen. Stat. Section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

f. The contractor agrees to comply with the regulations referred to in this section as they exist on the date of this contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.

7. NONDISCRIMINATION PROVISIONS REGARDING SEXUAL ORIENTATION

This section is inserted in this contract in connection with Subsection (a) Section 4a-60a of the General Statutes of Connecticut, as revised.

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a. (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the state of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission on human rights and opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56 of the general statutes; (4) the contractor agrees to provide the commission on human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor which relate to the provisions of this section and section 46a-56 of the general statutes.

b. The contractor shall include the provisions of Subsection a of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56 of the general statutes; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

c. The contractor agrees to comply with the regulations referred to in this section as they exist on the date of this contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.

30. EXECUTIVE ORDER NO. THREE

This contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill promulgated June 16, 1971 and, as such, this contract may be cancelled, terminated or suspended by the state labor commissioner for violation of or noncompliance with said Executive Order No. Three, or any state or federal law concerning nondiscrimination, notwithstanding that the labor commissioner is not a party to this contract. The parties to this contract, as part of the consideration hereof, agree that said Executive Order No. Three is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the state labor commissioner shall have continuing jurisdiction in respect to contract performance in regard to nondiscrimination, until the contract is completed or terminated prior to completion.

The contractor agrees, as part consideration hereof, that this contract is subject to the Guidelines and Rules issued by the state labor commissioner to implement Executive Order No. Three, and that he will not discriminate in his employment practices or policies, will file all reports as required, and will fully cooperate with the State of Connecticut and the state labor commissioner.

31. EXECUTIVE ORDER NO. SIXTEEN

This contract is subject to the provisions of Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, and, as such, this contract may be canceled, terminated or suspended by the contracting agency for violation of or noncompliance with said Executive Order No. Sixteen.

The parties to this contract, as part of the consideration hereof, agree that Executive Order No. Sixteen is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the contracting State shall have jurisdiction in providing its employees a reasonably safe and healthy working environment, free from intimidation, harassment, threats, and /or violent act.

STATE OF CONNECTICUT

\*\*\*\*\*  
INFORMATION PROCESSING SYSTEMS AGREEMENT  
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Reference No. B-03-002

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32. EXECUTIVE ORDER NO. SEVENTEEN

This contract is subject to the provisions of Executive Order No. Seventeen of Governor Thomas J. Meskill promulgated February 15, 1973, and, as such, this contract may be cancelled, terminated or suspended by the contracting agency or the State Labor Commissioner for violation of or noncompliance with said Executive Order No. Seventeen, notwithstanding that the Labor Commissioner may not be a party to this contract. The parties to this contract, as part of the consideration hereof, agree that Executive Order No. Seventeen is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the contracting agency and the State Labor Commissioner shall have joint and several continuing jurisdiction in respect to contract performance in regard to listing all employment openings with the Connecticut State Employment Service.

33. WORKERS' COMPENSATION

Supplier agrees to carry sufficient workers' compensation and liability insurance in a company, or companies, licensed to do business in Connecticut, and furnish certificates if required.

34. CONTINUITY

The Parties agree to enter an amendment to this Agreement to more fully set out the provisions necessary to comply with C.G.S. §4d-44.

5. REPORTS TO THE AUDITORS OF PUBLIC ACCOUNTS

This contract is subject to the provisions of §4-61dd Connecticut General Statutes. In accordance with this section any person having knowledge of any matter involving corruption, violation of state or federal laws or regulations, gross waste of funds, abuse of authority or danger to the public safety occurring in any large state contract, may transmit all facts and information in his possession concerning such matter to the Auditors of Public Accounts. In accordance with subsection (e) if an officer, employee or appointing authority of a large state contractor takes or threatens to take any personnel action against any employee of the contractor in retaliation for such employee's disclosure of information to the Auditors of Public Accounts or the Attorney General under the provisions of this section, the contractor shall be liable for a civil penalty of not more than five thousand dollars for each offense, up to a maximum of twenty per cent of the value of the contract. Each violation shall be a separate and distinct offense and in the case of a continuing violation each calendar day's continuance of the violation shall be deemed to be a separate and distinct offense. The executive head of the state or quasi- public agency may request the Attorney General to bring a civil action in the Superior Court for the Judicial District of Hartford to seek imposition and recovery of such civil penalty. In accordance with subsection (f) each large state contractor shall post a notice of the provisions of this section relating to large state contractors in a conspicuous place which is readily available for viewing by the employees of the contractor.

36. LANGUAGE REQUIRED PURSUANT TO PUBLIC ACT 01-169, SECTION 2

Each contract in excess of two million five hundred thousand dollars between a public agency and a person for the performance of a governmental function shall (1) provide that the public agency is entitled to receive a copy of records and files related to the performance of the governmental function, and (2) indicate that such records and files are subject to the Freedom of Information Act and may be disclosed by the public agency pursuant to the Freedom of Information Act. No request to inspect or copy such records or files shall be valid unless the request is made to the public agency in accordance with the Freedom of Information Act. Any complaint by a person who is denied the right to inspect or copy such records or files shall be brought to the Freedom of Information Commission in accordance with the provisions of sections 1-205 and 1-206 of the general statutes.

STATE OF CONNECTICUT

\*\*\*\*\*  
INFORMATION PROCESSING SYSTEMS AGREEMENT  
\*\*\*\*\*

Reference No. B-03-002

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37. APPROVAL OF AGREEMENT

This Agreement shall become effective upon its approval as to form by the Office of the Attorney General of the State of Connecticut and as of the date of execution last set out below.

38. ENTIRETY OF AGREEMENT

This Agreement includes the SIGNATURE PAGE OF AGREEMENT. To the extent the provisions of the previously mentioned Product Schedule, the Project Implementation Summary, the Project Implementation Schedule and any aforementioned Attachment do not contradict the provisions of Sections 1 through 33 of this Agreement, said documents are incorporated herein by reference and made a part hereof as though fully set forth herein. This Agreement, as thus constituted, contains the complete and exclusive statement of the terms and conditions agreed to by the parties hereto and shall not be altered, amended, or modified except in writing executed by an authorized representative of each party.

\*\*\*\*\*  
THE REMAINDER OF THIS PAGE IS PURPOSELY LEFT BLANK  
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STATE OF CONNECTICUT

\*\*\*\*\*  
INFORMATION PROCESSING SYSTEMS AGREEMENT  
\*\*\*\*\*

Reference No. B-03-002

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SIGNATURE PAGE OF AGREEMENT

This Agreement is entered into by authority of Sections 4d-2, 4d-5 and 4d-8 of the General Statutes.

STATE OF CONNECTICUT

ACS State and Local Solutions, Inc.

APPROVED:

BY: 

BY: 

NAME: Michael Huerta

Gregg P. Regan  
Department of Information Technology,  
duly authorized

TITLE: Senior Vice President and  
Managing Director

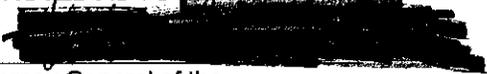
DATE: October 31, 2002

DATE: 11.05.02

CORPORATE SEAL

APPROVED AS TO FORM:

*Asst*

  
Attorney General of the  
State of Connecticut

DATE: 11/21/02

**CERTIFICATE OF ASSISTANT SECRETARY**

I, Richard J. Russin, in my capacity as Assistant Secretary of ACS State & Local Solutions, Inc., a New York corporation (the "Corporation"), am delivering this Certificate of Assistant Secretary to certify that the following individual is the duly elected, qualified and acting Managing Director – Transportation Systems and Services Division - of the Corporation, and in such capacity is authorized to sign the Information Processing Systems Agreement with the State of Connecticut, acting by its Department of Information Technology / Contracts and Purchasing Division, and any and all other documents to be executed in connection therewith on behalf of the Corporation, and the signature opposite his name is his true and genuine signature.

Officer	Office Held	Signature
Michael Huerta	Managing Director – Transportation Systems and Services	

**IN WITNESS WHEREOF**, I have set my hand to this Certificate as of the 31st day of October, 2002.

ACS STATE & LOCAL SOLUTIONS, INC.,  
a New York corporation

By:   
Richard J. Russin  
Assistant Secretary

Washington, §  
District of Columbia §

This Instrument was acknowledged before me on this 31st day of October, 2002, by Richard J. Russin, Assistant Secretary of ACS State & Local Solutions, Inc., a New York corporation, on behalf of said corporation.

  
\_\_\_\_\_  
Notary Public

Marcy S. Jones  
Notary Public, District of Columbia  
My Commission Expires May 14, 2003

## ATTACHMENTS TO CONTRACT NO. B-03-002

- 8.4 “Product Schedule” (see article 1. i.), one page
- “Project Implementation Summary” (see article 1. j.), three pages
- 8.6 “Project Implementation Schedule” (see article 1.k.), sixty four pages



ID	ID	Task Name	Duration	Start	Finish	Predec	Cost
1	1	CVISN/PRISM Award 2 Project Implementation Summary	1558 days	Tue 10/15/02	Tue 9/30/08		\$1,393,389.93
2	2	Connecticut IRP Phase I - GUI Implementation	464 days	Tue 10/15/02	Fri 7/23/04		\$257,349.56
3	3	IRP GUI DESIGN	70 days	Tue 10/15/02	Mon 1/20/03		\$63,531.54
4	4	Project Management Initiation (#1)	14 days	Tue 10/15/02	Fri 11/1/02		\$16,518.00
5	5	Business Requirements Definition (#2)	56 days	Mon 11/4/02	Mon 1/20/03		\$47,013.54
6	6	IRP GUI DEVELOPMENT	154 days	Fri 11/15/02	Tue 6/17/03		\$167,277.87
7	7	Software Development/Customization (#3)	138 days	Mon 12/9/02	Tue 6/17/03		\$149,727.87
8	8	Training (#4)	138 days	Fri 11/15/02	Mon 5/26/03		\$17,550.00
9	9	IRP GUI PRODUCTION INSTALLATION (#5)	154 days	Thu 11/21/02	Mon 6/23/03		\$26,540.15
10	10	IRP GUI WARRANTY (#17)	365 edays	Thu 7/24/03	Fri 7/23/04		\$0.00
11	11						
12	12	Connecticut IRP Phase II - Manadatory Requirements	513 days	Tue 10/15/02	Thu 9/30/04		\$261,764.16
13	13	IRP MANDATORY REQUIREMENTS DESIGN	58 days	Tue 10/15/02	Thu 1/2/03		\$36,500.16
14	14	Project Management Initiation (#6)	15 days	Tue 10/15/02	Mon 11/4/02		\$19,260.00
15	15	Business Requirements Definition (#7)	44 days	Mon 11/4/02	Thu 1/2/03		\$17,240.16
16	16	IRP MANDATORY REQUIREMENTS DEVELOPMENT	243 days	Thu 10/24/02	Fri 9/26/03		\$220,236.00
17	17	Software Development/Customization (#8)	176 days	Tue 1/21/03	Mon 9/22/03		\$197,796.00

ID	ID	Task Name	Duration	Start	Finish	Predec	Cost
18	18	Training (#9)	243 days	Thu 10/24/02	Fri 9/26/03		\$22,440.00
19	19	IRP MANDATORY REQUIREMENTS PRODUCTION INSTALLATION (#10)	3 days	Fri 9/26/03	Tue 9/30/03		\$5,028.00
20	20	IRP MANDATORY REQUIREMENTS WARRANTY (#18)	365 edays	Wed 10/1/03	Thu 9/30/04		\$0.00
21	21						
22	22	Connecticut IRP Phase III - CVISN/PRISM Integration	439 days	Tue 10/15/02	Fri 6/18/04		\$216,476.21
23	23	IRP CVISN/PRISM INTEGRATION DESIGN	59 days	Tue 10/15/02	Fri 1/3/03		\$62,702.21
24	24	Project Management Initiation (#11)	15 days	Tue 10/15/02	Mon 11/4/02		\$12,750.00
25	25	Business Requirements Definition (#12)	45 days	Mon 11/4/02	Fri 1/3/03		\$49,952.21
26	26	IRP CVISN/PRISM INTEGRATION DEVELOPMENT	172 days	Tue 10/15/02	Tue 6/10/03		\$146,220.00
27	27	Software Development/Customization (#13)	139 days	Fri 11/22/02	Tue 6/3/03		\$116,310.00
28	28	Training (#14)	172 days	Tue 10/15/02	Tue 6/10/03		\$29,910.00
29	29	IRP CVISN/PRISM INTEGRATION PRODUCTION INSTALLATION (#15)	12 days	Wed 6/4/03	Thu 6/19/03		\$7,554.00
30	30	IRP CVISN/PRISM INTEGRATION WARRANTY (#19)	365 edays	Thu 6/19/03	Fri 6/18/04		\$0.00
31	31						
32	32	IRP Documentation (#16)	6 days	Tue 5/13/03	Tue 5/20/03		\$7,800.00
33	33						
34	34	IRP – Maintenance and Support – year 2 (#20)	365 edays	Wed 10/1/03	Thu 9/30/04		\$130,000.00

ID	ID	Task Name	Duration	Start	Finish	Predec	Cost
35	35	IRP – Maintenance and Support – year 3 (#21)	364 edays	Fri 10/1/04	Fri 9/30/05		\$130,000.00
36	36	IRP – Maintenance and Support – year 4 (#22)	364 edays	Sat 10/1/05	Sat 9/30/06		\$130,000.00
37	37	IRP – Maintenance and Support – year 5 (#23)	364 edays	Sun 10/1/06	Sun 9/30/07		\$130,000.00
38	38	IRP – Maintenance and Support – year 6 (#24)	365 edays	Mon 10/1/07	Tue 9/30/08		\$130,000.00

**8.6 CVISN/PRISM AWARD 2 - IRP and Integration Services  
PROJECT IMPLEMENTATION SCHEDULE**

**Deliverable Description**

**Name of Deliverable: IRP GUI Implementation - Project Management  
Initiation (#1)**

**Description of Deliverable:**

**Project Master Plan (PMP) and pre-implementation guide for the implementation of the GUI and IP conversion of the IRP system.**

The PMP is a high-level document that identifies the project requirements and includes a description of the current business processes and functions, as well as the recommended business processes and functions that will be implemented. MVS views the implementation for the stand-alone IRP system and the subsequent interfaces for the integration with CVISN/PRISM as separate project activities. This portion of the project for Connecticut is considered to be Phase I and addresses the GUI and IP conversion of the current functionality used by the state of Connecticut, with the addition of the Carrier View screens and the modified Vehicle Information and Carrier Information Screens.

The Award 2 Vendor, in conjunction with the State staff and the Award 1 Vendor, will develop the PMP. The Award 1 Vendor, who will maintain the Plan during the course of the project, will incorporate the approved PMP into the CVISN/PRISM Project Implementation Plan.

The Pre-implementation guide is a mid-level document, more detailed than the PMP, but less detailed than the Business Area Analysis (BAA), provided to the state prior to the requirements gathering session. The Pre-implementation guide is designed to get all parties up to speed with the project and identify areas the state may need to provide analysis prior to the requirements gathering session. It will contain the terms, screen layouts, file layouts, and reports, etc. that will be under analysis and discussion during the requirements gathering session. From the Pre-implementation guide the BAA will be produced.

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- RFP2 Work Plan for Design, Development, and Implementation  
The Award 2 Vendor shall develop a Work Plan that identifies the work elements of each task, the resources assigned to each element and the work products to be developed. The description will identify how each of the tasks will be accomplished and fully describe the products to be provided.
- RFP4 Staff Identification Statement  
Statements of specifically who will be working on the project, both onsite and off, including full resumes outlining experience and other application qualifications.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

- RFP5 System Development Plan  
A document describing how the existing IRP system will be altered to satisfy the requirements of the RFP.
- RFP6 Quality Assurance Plan  
A plan to assure this Phase of the project is meeting the requirements in a timely manner.  
The Award 2 Vendor is to develop, with State staff and the Award 1 Vendor, an acceptable Quality Assurance Plan for the IRP System design and development effort, to assure that the system, as delivered, meets all applicable requirements. The Mandatory Requirements QA Plan is to be incorporated into the CVISN/PRISM Project Quality Assurance Plan. The Award 2 Vendor is to update and maintain the IRP System Quality Assurance Plan.

The *QA Plan* is to include the following elements (Note: Some of these elements may also be included in the *Project Implementation Plan*):

- A brief statement of why the CVISN/PRISM Award 2 Project is being undertaken and how the Project will address the State's business needs (more detail in *Implementation Plan*)
  - Identify the quality assurance criteria and critical success factors for the Project
  - Identify measurable business benefits used to assess the success of the Project
  - Provide a brief but comprehensive view of the Project that reflects all related projects and the complete life cycle from planning to operations (more detail in *Project Implementation Plan*)
  - Identify the activities, documents and measurements that will be used to monitor the Project
  - Specify checkpoints for comparing the expectations of stakeholders and all participating organizations with the current state of the Project
  - Require an assessment of the quality and frequency of communication among Project participants, including stakeholders
  - Process for obtaining endorsement for the *QA Plan* from stakeholders and participating organizations (may also appear in *Project Implementation Plan*)
- 
- RFP8 System Implementation Plan  
The Award 2 Vendor is to develop, with State staff and the Award 1 Vendor, an acceptable System Project Implementation Plan for design, development, implementation, and roll out. This Plan is to be incorporated into the CVISN/PRISM Project Implementation Plan.
  - RFP10 Document Identifying Stakeholders  
A document identifying stakeholders and a summarization of stakeholder interviews. The Award 2 Vendor is to assist the State Team and the Award 1 Vendor in developing a list of IRP System stakeholders (estimate: 10). Next, the Award 2 Vendor in conjunction with the State Team and the Award 1 Vendor is to participate in interviews of selected IRP stakeholders. The purpose of these interviews is to document stakeholder expectations in order to confirm that the IRP and CI/CVIEW Systems goals and objectives are consistent with these expectations. The Award 2

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

Vendor is to provide written summaries of the interviews for State review and acceptance.

In addition, this deliverable will also include services related to the following RFP defined deliverables.

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manger, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26c Accept direction and oversight from Award 1 Vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

### **Projected Start of Work:**

10/15/2002

### **Projected End of Work:**

14 days from start-of-work (11/1/2002)

### **Cost of Deliverable:**

\$16,518.00

## **Deliverable Description**

### **Name of Deliverable: IRP GUI Implementation - Business Requirements Definition (#2)**

#### **Description of Deliverable:**

Sign-off on the Business Area Analysis (BAA) for the GUI and IP conversion of the IRP System.

The BAA describes how the new system features and requirements will be implemented to meet the state's objectives and includes a comprehensive programming plan that details the time schedule, integration and management required to successfully complete the specific project. The BAA becomes an integral part of the PMP describing the functional aspects of the system to be developed.

The Award 2 Vendor, in conjunction with the State staff and the Award 1 Vendor, will develop the BAA. The Award 1 Vendor, who will maintain the Plan during the course of the project, will incorporate the approved BAA into the CVISN/PRISM Project Implementation Plan.

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- RFP11 Statement of the vendor's understanding of business requirements.  
The Award 2 vendor will include in the BAA any assumptions being made by the vendor, results of user interviews, research and the analysis results.
- RFP12 Systems Requirements Document  
The Award 2 vendor will work with the State Team and the Award 1 Vendor to develop the high-level and detail-level system flowcharts of all systems, sub-systems and interfaces, data flow diagrams, entity relationship diagrams, and data models.
- RFP13 Statement of Code Generators  
The Award 2 vendor will include in the BAA a list of the code generators being used, language environment, database (datastore) definition tools, and coding standards used by ACS.
- RFP14 Logical Design  
The Award 2 vendor will work with the State Team and the Award 1 Vendor to develop an acceptable logical design of the proposed system based on the state's business requirements.

The IRP Logical Design will define the specific business activities associated with the specific credentials administration, safety and credentials information exchange, and electronic screening and clearance processes. Elements to be included in the IRP Logical Design are:

1. A narrative overview of proposed system changes including descriptions of the functions and how the functions are to be accomplished.
2. Definition of testing objectives.
3. Identification of interfaces, including descriptions of how the internal and external interfaces will be accomplished and how subroutines will be utilized.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

4. Flow of information, including a description of the flow, starting with the initial contact, proceeding with how the electronic and other transactions will work and ending with the distribution of the final credential/product or output.
5. The system input and output layouts, including descriptions of all input data files, input documents, data-entry screens, output-data files, output documents, display screens including messages, report layouts, etc.
6. Control and edit techniques, including descriptions of how Connecticut will verify product results and, based on input, process and output, how the user and/or audit group can prove that the data is being processed correctly.
7. Problem recovery and data security, including descriptions of how backups will be accomplished, how recovery and restart will be accomplished based upon typical problem situations that could occur, how physical security for data and data entry will be provided, data retention periods, security for user access to transactions, terminals, databases, etc. and emergency procedures identifying priorities for total/partial outages.
8. Hardware configurations.
9. Software configurations.
10. Installation plans for software upgrades or, if needed, changes.
11. Descriptions of the new edits required by the systems.
12. Changeover plan and schedule, including an overall plan and schedule of how Connecticut will be able to discontinue using current systems and related procedures without a loss in production, as well as descriptions of possible contingency efforts required for fallback.
13. Test plans with descriptions of the procedures and environment for testing the new systems.

- RFP15 Recommended Hardware/Networking

The Award 2 vendor will work with the State Team and the Award 1 Vendor to determine any hardware and networking requirements that the state may require in order to use the vendor's software.

- RFP16 Detailed Design

The Award 2 Vendor is to develop in conjunction with the State Team and the Award 1 Vendor a detailed design of the proposed system based on the state's business requirements.

The CI/CVIEW Detailed (Physical) Design defines the precise meaning and appropriate usage of all data attributes, the relationships among those attributes and the associated data access requirements, and provides the basis for the detailed processes and user interface design efforts. Elements to be included in the CI/CVIEW Detailed (Physical) Design are:

1. System operational flows providing descriptions of the flow of work through the systems, including system operational flowcharts.
2. Interfaces, including how work units interface with one another and how they communicate operational failures and how the proposed systems interface with other systems.
3. Control and audit techniques, including descriptions of how to verify that workstation functions are accurate and timely, how the users and/or audit groups can

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

prove that the operational system is correctly functioning and how problems in the operational systems will be detected and reported.

4. Problem recovery and document security, including descriptions of how documents that have been misdirected will be detected and entered into the operational system and how physical security for documents will be provided.
5. Personnel resources, including descriptions of any suggested organizational changes and overviews of training requirements before, during and after implementation.
6. Descriptions of throughput and turnaround times.
7. Procedures with listings of all new or modified procedures that will be required for the new systems.

- RFP25 System Overview

The Award 2 Vendor is to develop a system overview suitable for describing the system to other states.

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manger, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26c Accept direction and oversight from Award 1 Vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

### **Projected Start of Work:**

11/4/2002

### **Projected End of Work:**

11 Weeks from Start of Work (1/20/2003)

### **Cost of Deliverable:**

\$47,0131.54

## **Deliverable Description**

### **Name of Deliverable: IRP GUI Implementation - Software Development/Customization (#3)**

#### **Description of Deliverable:**

The development, unit testing, and system testing of the GUI and IP conversion of the IRP system.

The Award 2 vendor, in conjunction with State staff will develop the GUI interface based on the requirements defined during the Business Area Analysis (BAA) portion of the project.

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- System coding and unit test complete  
The new business rules defined in the BAA will be programmed into the system and tested by development staff and analysts assigned to the project.
- RFP17 Software Installation in Test  
All development work defined in the BAA will be moved into the Connecticut Quality Assurance region for Connecticut acceptance testing.

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manger, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26c Accept direction and oversight from Award 1 Vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

#### **Projected Start of Work:**

12/09/2002

#### **Projected End of Work:**

CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

6 months from start of work (6/17/2003)

**Cost of Deliverable:**

\$149,727.87

## Deliverable Description

### Name of Deliverable: IRP GUI Implementation - Training (#4)

#### Description of Deliverable:

The system test plans and training for the GUI and IP conversion of the IRP system.

**The Award 2 vendor, in conjunction with the State staff and the Award 1 vendor, will develop the system test plans, test scripts, and provide jurisdiction and carrier training.**

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- RFP7 System Test Plan  
System Test Plans will be developed based on the business requirements defined in the Business Area Analysis (BAA).  
The Award 2 winner is to develop, with State staff and the contractor winning Award 1, an acceptable Test Plan for the IRP System. This Test Plan must address unit tests, system integration tests, CI/CVIEW Interoperability tests, testing procedure for all interfaces, user acceptance tests and production acceptance tests.
- RFP18 System Unit Test  
The System Unit Test will include the test scripts with expected and actual results, the corrective measures taken, test dates, and assigned staff.
- Jurisdiction Training  
Training sessions will be provided to the state of Connecticut and will be held on-site in Connecticut. The training sessions will be designed to accommodate 5 to 10 individuals per session. Training sessions will be flexible and scheduled around the different Connecticut staffs' availability.
- Carrier Training  
Carrier training will be provided at two carrier sites, to be determined by the state of Connecticut, and will utilize a train the trainer approach. State staff will learn to train carriers during the training at the two carrier sites.

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manager, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

- RFP26c Accept direction and oversight from Award 1 vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

### **Projected Start of Work:**

11/15/2002

### **Projected End of Work:**

6 months after start of work (5/26/2003)

### **Cost of Deliverable:**

\$17,550.00

## **Deliverable Description**

### **Name of Deliverable: IRP GUI Implementation - Production Installation (#5)**

#### **Description of Deliverable:**

The production deployment of the GUI and IP conversion of the IRP system.

**The Award 2 vendor will move into production all of the GUI functionality defined in the Business Area Analysis (BAA) upon sign-off on the user acceptance testing by the state of Connecticut and in coordination with the Award 1 vendor. The user acceptance testing will be performed by the state of Connecticut in a Quality Assurance region developed specifically for the state of Connecticut to test all new functionality.**

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- RFP19 System Functionality Acceptance and Interoperability Tests  
All development work defined in the BAA will be acceptance tested and will include supporting documentation. The documentation will include test plans and test scripts with the expected results.
- RFP20 System Technical Documentation  
The System Technical Documentation will include the Project Master Plan (PMP), BAA, Test Plans with results, and Data Dictionary.
- RFP21 System User Documentation  
System User Documentation will include the Jurisdiction and Carrier User Manuals.
- RFP22 Data Dictionary Report  
The Data Dictionary Report is a description of the data that will include the names, definitions, field types, and length of the fields.
- RFP23 Software (code) Installation in Production Environment  
The system enhancements defined in the BAA and approved by the state of Connecticut will be moved into production.
- RFP24 System Production Acceptance Test  
Once all of the system enhancements are moved into production, the state of Connecticut will perform a production acceptance test to ensure all elements from the BAA are included and function according to the defined requirements.
- Implemented MVS Express (VISTA/RS and VISTA/CA)

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manager, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.

CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26c Accept direction and oversight from Award 1 Vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

**Projected Start of Work:**

11/21/2002

**Projected End of Work:**

7 Months from Start of Work (06/23/2003)

**Cost of Deliverable:**

\$26,540.15

## **Deliverable Description**

### **Name of Deliverable: IRP Mandatory Requirements - Project Management Initiation (#6)**

#### **Description of Deliverable:**

**Project Master Plan (PMP) and pre-implementation guide for the implementation of all RFP mandatory requirements.**

The PMP is a high-level document that identifies the project requirements and includes a description of the current business processes and functions, as well as the recommended business processes and functions that will be implemented. MVS views the implementation for the stand-alone IRP system and the subsequent interfaces for the integration with CVISN/PRISM as separate project activities. This portion of the project for Connecticut is considered as part of Phase II and is to include all of the mandatory requirements from the RFP and PRISM requirements.

The Award 2 Vendor, in conjunction with the State staff and the Award 1 Vendor, will develop the PMP. The Award 1 Vendor, who will maintain the Plan during the course of the project, will incorporate the approved PMP into the CVISN/PRISM Project Implementation Plan.

The Pre-implementation guide is a mid-level document, more detailed than the PMP, but less detailed than the Business Area Analysis (BAA), provided to the state prior to the requirements gathering session. The Pre-implementation guide is designed to get all parties up to speed with the project and identify areas the state may need to provide analysis prior to the requirements gathering session. It will contain the terms, screen layouts, file layouts, and reports, etc. that will be under analysis and discussion during the requirements gathering session. From the Pre-implementation guide the BAA will be produced.

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- RFP2 Work Plan for Design, Development, and Implementation  
The Award 2 Vendor shall develop a Work Plan that identifies the work elements of each task, the resources assigned to each element and the work products to be developed. The description will identify how each of the tasks will be accomplished and fully describe the products to be provided.
- RFP4 Staff Identification Statement  
Statements of specifically who will be working on the project, both onsite and off, including full resumes outlining experiences and other applications qualifications.
- RFP5 System Development Plan  
A document describing how the existing IRP system will be altered to satisfy the requirements of the RFP.
- RFP6 Quality Assurance Plan  
A plan to assure this Phase of the project is meeting the requirements in a timely manner.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

The Award 2 Vendor is to develop, with State staff and the Award 1 Vendor, an acceptable Quality Assurance Plan for the IRP System design and development effort, to assure that the system, as delivered, meets all applicable requirements. The Mandatory Requirements QA Plan is to be incorporated into the CVISN/PRISM Project Quality Assurance Plan. The Award 2 Vendor is to update and maintain the IRP System Quality Assurance Plan.

The *QA Plan* is to include the following elements (Note: Some of these elements may also be included in the *Project Implementation Plan*):

- A brief statement of why the CVISN/PRISM Award 2 Project is being undertaken and how the Project will address the State's business needs (more detail in *Implementation Plan*)
  - Identify the quality assurance criteria and critical success factors for the Project
  - Identify measurable business benefits used to assess the success of the Project
  - Provide a brief but comprehensive view of the Project that reflects all related projects and the complete life cycle from planning to operations (more detail in *Project Implementation Plan*)
  - Identify the activities, documents and measurements that will be used to monitor the Project
  - Specify checkpoints for comparing the expectations of stakeholders and all participating organizations with the current state of the Project
  - Require an assessment of the quality and frequency of communication among Project participants, including stakeholders
  - Process for obtaining endorsement for the *QA Plan* from stakeholders and participating organizations (may also appear in *Project Implementation Plan*)
- RFP8 System Implementation Plan  
The Award 2 Vendor is to develop, with State staff and the Award 1 Vendor, an acceptable System Project Implementation Plan for design, development, implementation, and roll out. This Plan is to be incorporated into the CVISN/PRISM Project Implementation Plan.
  - RFP10 Document Identifying Stakeholders  
A document identifying stakeholders and a summarization of stakeholder interviews. The Award 2 Vendor is to assist the State Team and the Award 1 Vendor in developing a list of IRP System stakeholders (estimate: 10). Next, the Award 2 Vendor in conjunction with the State Team and the Award 1 Vendor is to participate in interviews of selected IRP stakeholders. The purpose of these interviews is to document stakeholder expectations in order to confirm that the IRP and CI/CVIEW Systems goals and objectives are consistent with these expectations. The Award 2 Vendor is to provide written summaries of the interviews for State review and acceptance.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manger, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26c Accept direction and oversight from Award 1 Vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

### **Projected Start of Work:**

10/15/2002

### **Projected End of Work:**

3 weeks from start of work (11/4/2002)

### **Cost of Deliverable:**

\$19,260.00

## **Deliverable Description**

### **Name of Deliverable: IRP Mandatory Requirements - Business Requirements Definition (#7)**

#### **Description of Deliverable:**

Sign-off on the Business Area Analysis (BAA) for all of the RFP mandatory requirements.

The BAA describes how the new system features and requirements will be implemented to meet the state's objectives and includes a comprehensive programming plan that details the time schedule, integration and management required to successfully complete the specific project. The BAA becomes an integral part of the PMP describing the functional aspects of the system to be developed.

**The Award 2 Vendor, in conjunction with the State staff and the Award 1 Vendor, will develop the BAA. The Award 1 Vendor, who will maintain the Plan during the course of the project, will incorporate the approved BAA into the CVISN/PRISM Project Implementation Plan.**

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- RFP11 Statement of the vendor's understanding of business requirements.  
The Award 2 vendor will include in the BAA any assumptions being made by the vendor, results of user interviews, research and the analysis results.
- RFP12 Systems Requirements Document  
The Award 2 Vendor will work with the State Team and the Award 1 Vendor to develop the high-level and detail-level system flowcharts of all systems, sub-systems and interfaces, data flow diagrams, entity relationship diagrams, and data models.
- RFP13 Statement of Code Generators  
The Award 2 Vendor will include in the BAA a list of the code generators being used, language environment, database (datastore) definition tools, and coding standards used by ACS.
- RFP14 Logical Design  
The Award 2 Vendor will work with the State Team and the contractor winning Award 1 to develop an acceptable logical design of the proposed system based on the state's business requirements.

The IRP Logical Design will define the specific business activities associated with the specific credentials administration, safety and credentials information exchange, and electronic screening and clearance processes. Elements to be included in the IRP Logical Design are:

1. A narrative overview of proposed systems including descriptions of the functions and how the functions are to be accomplished.
2. Input/output charts describing the proposed functional data processing system.
3. Definition of testing objectives.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

4. System flows, including flowcharts of work processed through the systems, anticipated volumes, throughput and turnaround times and a systems overview flowchart indicating input, process, output and all operational and system interface points.
5. Data processing systems flowcharts with supporting narratives.
6. Identification of interfaces, including descriptions of how the internal and external interfaces will be accomplished and how subroutines will be utilized.
7. Flow of information, including a description of the flow, starting with the initial contact, proceeding with how the electronic and other transactions will work and ending with the distribution of the final credential/product or output.
8. System input and output layouts, including descriptions of all input data files, input documents, data-entry screens, output-data files, output documents, display screens including messages, report layouts, etc.
9. Data definitions and access keys, with detailed descriptions of each file, including file media, file layouts, data elements, database access keys, sequencing, data edit criteria, etc.
10. Control and edit techniques, including descriptions of how Connecticut will verify product results and, based on input, process and output, how the user and/or audit group can prove that the data is being processed correctly.
11. Problem recovery and data security, including descriptions of how backups will be accomplished, how recovery and restart will be accomplished based upon typical problem situations that could occur, how physical security for data and data entry will be provided, data retention periods, security for user access to transactions, terminals, databases, etc. and emergency procedures identifying priorities for total/partial outages.
12. Hardware configurations.
13. Software configurations.
14. Installation plans for hardware and software upgrades or, if needed, changes.
15. A list of programs required and descriptions of their functions.
16. Descriptions of the processing logic of the programs.
17. Designs of new and/or modified databases.
18. Descriptions of edits required by the systems.
19. File conversion plan and schedule, including descriptions of the program logic to convert existing files and databases into the proposed system model architecture, the conversion batch flows, anticipated run times, fallback/recovery safeguards, milestones and audit procedures to assure that all data has been successfully converted, and any data scrubbing that is required prior to conversion.
20. Changeover plan and schedule, including an overall plan and schedule of how Connecticut will be able to discontinue using current systems and related procedures without a loss in production, as well as descriptions of possible contingency efforts required for fallback.
21. Test plans with descriptions of the procedures and environment for testing the new systems.

- RFP15 Recommended Hardware/Networking

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

The Award 2 vendor will work with the State Team and the Award 1 Vendor to determine any hardware and networking requirements that the state may require in order to use the vendor's software.

- RFP16 Detailed Design  
The Award 2 Vendor is to develop in conjunction with the State Team and the Award 1 Vendor a detailed design of the proposed system based on the state's business requirements.
- RFP25 System Overview  
The Award 2 Vendor is to develop a system overview suitable for describing the system to other states.

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manager, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a "Back-end" support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26b The development, in conjunction with the Award 1 winner, of detailed designs for the interfaces and protocol standards for the exchange of data between the Award 2 winner's System and the CI/CVIEW System;
- RFP26c Accept direction and oversight from Award 1 Vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

### **Projected Start of Work:**

11/4/2002

### **Projected End of Work:**

9 weeks from start of work (01/03/2003)

### **Cost of Deliverable:**

\$17,240.16

## **Deliverable Description**

### **Name of Deliverable: IRP Mandatory Requirements - Software Development/Customization (#8)**

#### **Description of Deliverable:**

The development, unit testing, and system testing for all of the mandatory requirements defined in the RFP.

The Award 2 vendor in conjunction with State staff and Award 1 vendor will develop all of the mandatory requirements based on the requirements defined in BAA portion of the project.

Sub-deliverables – This deliverable will satisfy the following RFP requirements.

- System coding and unit test complete  
The business rules defined in the BAA will be programmed into the system and tested by development staff and analyst assigned to the project.
- RFP17 Software Installation in Test  
All development work defined in the BAA will be moved into the Connecticut Quality Assurance region for Connecticut acceptance testing.
- Common Account Interface with Payment Processing  
Common payment module with payment processing through the CI/CVIEW to update VISTA/RS.

In addition, this deliverable will also include services related to the following RFP defined deliverables.

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manger, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26c Accept direction and oversight from Award 1 winner concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

**Projected Start of Work:**

01/21/2003

**Projected End of Work:**

8 months from start of work (9/22/2003)

**Cost of Deliverable:**

\$197,796.00

## **Deliverable Description**

### **Name of Deliverable: IRP Mandatory Requirements - Training (#9)**

#### **Description of Deliverable:**

The system test plans and training for the mandatory RFP requirements for the IRP System.

**The Award 2 vendor, in conjunction with the State staff and the Award 1 vendor, will develop the system test plans, test scripts, and provide jurisdiction training on the mandatory requirements for the IRP System.**

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- RFP7 System Test Plan  
The Award 2 winner is to develop, with State staff and the contractor winning Award 1, an acceptable Test Plan for the IRP System. This Test Plan must address unit tests, system integration tests, CI/CVIEW Interoperability tests, testing procedure for all interfaces, user acceptance tests and production acceptance tests.  
System Test Plans will be developed based on the business requirements defined in the Business Area Analysis (BAA).
- RFP18 System Unit Test  
The System Unit Test will include the test scripts with expected and actual results, the corrective measures taken, test dates, and assigned staff.
- Jurisdiction Training  
Training sessions will be provided to the state of Connecticut and will be held on-site in Connecticut. The training sessions will be designed to accommodate 5 to 10 individuals per session. Training sessions will be flexible and scheduled around the different Connecticut staffs' availability.
- Manuals for MVS Express Phase II  
All new system enhancements will be incorporated into the User Manuals, as applicable.

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manager, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

- RFP26c Accept direction and oversight from Award 1 vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

### **Projected Start of Work:**

10/24/2002

### **Projected End of Work:**

11 months after start of work (09/26/2003)

### **Cost of Deliverable:**

\$22,440.00

## **Deliverable Description**

### **Name of Deliverable: IRP Mandatory Requirements - Production Installation (#10)**

#### **Description of Deliverable:**

The deployment of the mandatory RFP requirements for the IRP System.

**The Award 2 vendor will move into production all of the mandatory requirements defined in the Business Area Analysis (BAA) upon sign-off on the user acceptance testing by the state of Connecticut and in coordination with the Award 1 vendor. The user acceptance testing will be performed by the state of Connecticut in a Quality Assurance region developed specifically for the state of Connecticut to test all new functionality.**

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- RFP19 System Functionality Acceptance and Interoperability Tests  
All development work defined in the BAA will be acceptance tested and will include supporting documentation. The documentation will include test plans and test scripts with the expected results.
- RFP20 System Technical Documentation  
The System Technical Documentation will include the Project Master Plan (PMP), BAA, Test Plans with results, and Data Dictionary.
- RFP21 System User Documentation  
System User Documentation will include the Jurisdiction and Carrier User Manuals.
- RFP22 Data Dictionary Report  
The Data Dictionary Report is a description of the data that will include the names, definitions, field types, and length of the fields.
- RFP23 Software (code) Installation in Production Environment  
The system enhancements defined in the BAA and approved by the state of Connecticut will be moved into production.
- RFP24 System Production Acceptance Test  
Once all of the system enhancements are moved into production, the state of Connecticut will perform a production acceptance test to ensure all elements from the BAA are included and function according to the defined requirements.
- Implemented MVS Express (VISTA/RS and VISTA/CA)

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manager, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26c Accept direction and oversight from Award 1 Vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

### **Projected Start of Work:**

9/26/2003

### **Projected Start of Work:**

3 days from start of work (9/30/2003)

### **Cost of Deliverable:**

\$5,028.00

## **Deliverable Description**

### **Name of Deliverable: IRP CVISN/PRISM Integration - Project Management Initiation (#11)**

#### **Description of Deliverable:**

**Project Master Plan (PMP) and pre-implementation guide for the implementation of the CVISN/PRISM interface.**

The PMP is a high-level document that identifies the project requirements and includes a description of the current business processes and functions, as well as the recommended business processes and functions that will be implemented. MVS views the implementation for the stand-alone IRP system and the subsequent interfaces for the integration with CVISN/PRISM as separate project activities. This portion of the project for Connecticut is considered part of Phase II and is to include all of the interfaces with the state legacy systems.

The Award 2 Vendor, in conjunction with the State staff and the Award 1 Vendor, will develop the PMP. The Award 1 Vendor, who will maintain the Plan during the course of the project, will incorporate the approved PMP into the CVISN/PRISM Project Implementation Plan.

The Pre-implementation guide is a mid-level document, more detailed than the PMP, but less detailed than the Business Area Analysis (BAA), provided to the state prior to the requirements gathering session. The Pre-implementation guide is designed to get all parties up to speed with the project and identify areas the state may need to provide analysis prior to the requirements gathering session. It will contain the terms, screen layouts, file layouts, and reports, etc. that will be under analysis and discussion during the requirements gathering session. From the Pre-implementation guide the BAA will be produced.

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- RFP2 Work Plan for Design, Development, and Implementation  
The Award 2 Vendor shall develop a Work Plan that identifies the work elements of each task, the resources assigned to each element and the work products to be developed. The description will identify how each of the tasks will be accomplished and fully describe the products to be provided.
- RFP4 Staff Identification Statement  
Statements of specifically who will be working on the project, both onsite and off, including full resumes outlining experience and other application qualifications.
- RFP5 System Development Plan  
A document describing how the existing IRP system will be altered to satisfy the requirements of the RFP.
- RFP6 Quality Assurance Plan  
A plan to assure this Phase of the project is meeting the requirements in a timely manner.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

The Award 2 Vendor is to develop, with State staff and the Award 1 Vendor, an acceptable Quality Assurance Plan for the CVISN/PRISM interface design and development effort, to assure that the interface, as delivered, meets all applicable requirements. The Mandatory Requirements QA Plan is to be incorporated into the CVISN/PRISM Project Quality Assurance Plan. The Award 2 Vendor is to update and maintain the CVISN/PRISM Interface Quality Assurance Plan.

The *QA Plan* is to include the following elements (Note: Some of these elements may also be included in the *Project Implementation Plan*):

- A brief statement of why the CVISN/PRISM Project is being undertaken and how the Project will address the State's business needs (more detail in Implementation Plan)
  - Identify the quality assurance criteria and critical success factors for the Project
  - Identify measurable business benefits used to assess the success of the Project
  - Provide a brief but comprehensive view of the Project that reflects all related projects and the complete life cycle from planning to operations (more detail in *Project Implementation Plan*)
  - Identify the activities, documents and measurements that will be used to monitor the Project
  - Specify checkpoints for comparing the expectations of stakeholders and all participating organizations with the current state of the Project
  - Require an assessment of the quality and frequency of communication among Project participants, including stakeholders
  - Process for obtaining endorsement for the *QA Plan* from stakeholders and participating organizations (may also appear in *Project Implementation Plan*)
- RFP8 System Implementation Plan  
The Award 2 Vendor is to develop, with State staff and the Award 1 Vendor, an acceptable System Project Implementation Plan for design, development, implementation, and roll out. This Plan is to be incorporated into the CVISN/PRISM Project Implementation Plan.
  - RFP10 Document Identifying Stakeholders  
A document identifying stakeholders and a summarization of stakeholder interviews. The Award 2 Vendor is to assist the State Team and the Award 1 Vendor in developing a list of IRP System stakeholders (estimate: 10). Next, the Award 2 Vendor in conjunction with the State Team and the Award 1 Vendor is to participate in interviews of selected IRP stakeholders. The purpose of these interviews is to document stakeholder expectations in order to confirm that the IRP and CI/CVIEW Systems goals and objectives are consistent with these expectations. The Award 2 Vendor is to provide written summaries of the interviews for State review and acceptance.

In addition, this deliverable will also include services related to the following RFP defined deliverables:

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manger, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26b The development, in conjunction with the Award 1 winner, of detailed designs for the interfaces and protocol standards for the exchange of data between the Award 2 winner’s System and the CI/CVIEW System;
- RFP26c Accept direction and oversight from Award 1 Vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

### **Projected Start of Work:**

10/15/2002

### **Projected End of Work:**

3 weeks from start-of-work (11/4/2002)

### **Cost of Deliverable:**

\$12,750.00

## **Deliverable Description**

### **Name of Deliverable: IRP CVISN/PRISM Integration - Business Requirements Definition (#12)**

#### **Description of Deliverable:**

Sign-off on the Business Area Analysis (BAA) for the CVISN/PRISM interface.

The BAA describes how the new system interfaces and requirements will be implemented to meet the state's objectives and includes a comprehensive programming plan that details the time schedule, integration and management required to successfully complete the specific project. The BAA becomes an integral part of the PMP describing the functional aspects of the system to be developed.

**The Award 2 Vendor, in conjunction with the State staff and the Award 1 Vendor, will develop the BAA. The Award 1 Vendor, who will maintain the Plan during the course of the project, will incorporate the approved BAA into the CVISN/PRISM Project Implementation Plan.**

Sub-deliverables – This deliverable will satisfy the following RFP requirements.

- RFP11 Statement of the vendor's understanding of business requirements.  
The Award 2 vendor will include in the BAA any assumptions being made by the vendor, results of user interviews, research and the analysis results.
- RFP12 Systems Requirements Document  
The Award 2 vendor will work with the State Team and the Award 1 Vendor to develop the high-level and detail-level system flowcharts of all systems, sub-systems and interfaces, data flow diagrams, entity relationship diagrams, and data models.
- RFP13 Statement of Code Generators  
The Award 2 vendor will include in the BAA a list of the code generators being used, language environment, database (datastore) definition tools, and coding standards used by ACS.
- RFP14 Logical Design  
The Award 2 vendor will work with the State Team and the Award 1 Vendor to develop an acceptable logical design of the proposed system based on the state's business requirements.

The IRP Logical Design will define the specific business activities associated with the specific credentials administration, safety and credentials information exchange, and electronic screening and clearance processes. Elements to be included in the IRP Logical Design are:

1. A narrative overview of proposed systems including descriptions of the functions and how the functions are to be accomplished.
2. Input/output charts describing the proposed functional data processing system.
3. Definition of testing objectives.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

4. System flows, including flowcharts of work processed through the systems, anticipated volumes, throughput and turnaround times and a systems overview flowchart indicating input, process, output and all operational and system interface points.
5. Data processing systems flowcharts with supporting narratives.
6. Identification of interfaces, including descriptions of how the internal and external interfaces will be accomplished and how subroutines will be utilized.
7. Flow of information, including a description of the flow, starting with the initial contact, proceeding with how the electronic and other transactions will work and ending with the distribution of the final credential/product or output.
8. System input and output layouts, including descriptions of all input data files, input documents, data-entry screens, output-data files, output documents, display screens including messages, report layouts, etc.
9. Data definitions and access keys, with detailed descriptions of each file, including file media, file layouts, data elements, database access keys, sequencing, data edit criteria, etc.
10. Control and edit techniques, including descriptions of how Connecticut will verify product results and, based on input, process and output, how the user and/or audit group can prove that the data is being processed correctly.
11. Problem recovery and data security, including descriptions of how backups will be accomplished, how recovery and restart will be accomplished based upon typical problem situations that could occur, how physical security for data and data entry will be provided, data retention periods, security for user access to transactions, terminals, databases, etc. and emergency procedures identifying priorities for total/partial outages.
12. Hardware configurations.
13. Software configurations.
14. Installation plans for hardware and software upgrades or, if needed, changes.
15. A list of programs required and descriptions of their functions.
18. Descriptions of edits required by the systems.
20. Changeover plan and schedule, including an overall plan and schedule of how Connecticut will be able to discontinue using current systems and related procedures without a loss in production, as well as descriptions of possible contingency efforts required for fallback.
21. Test plans with descriptions of the procedures and environment for testing the new systems.

- RFP15 Recommended Hardware/Networking

The Award 2 vendor will work with the State Team and the Award 1 Vendor to determine any hardware and networking requirements that the state may require in order to use the vendor's software.

- RFP16 Detailed Design

The Award 2 vendor is to develop in conjunction with the State Team and the Award 1 Vendor a detailed design of the proposed system based on the state's business requirements.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

The CI/CVIEW Detailed (Physical) Design defines the precise meaning and appropriate usage of all data attributes, the relationships among those attributes and the associated data access requirements, and provides the basis for the detailed processes and user interface design efforts. Elements to be included in the CI/CVIEW Detailed (Physical) Design are:

1. System operational flows providing descriptions of the flow of work through the systems, including system operational flowcharts.
  2. Interfaces, including how work units interface with one another and how they communicate operational failures and how the proposed systems interface with other systems.
  3. Control and audit techniques, including descriptions of how to verify that workstation functions are accurate and timely, how the users and/or audit groups can prove that the operational system is correctly functioning and how problems in the operational systems will be detected and reported.
  4. Problem recovery and document security, including descriptions of how documents that have been misdirected will be detected and entered into the operational system and how physical security for documents will be provided.
  5. Personnel resources, including descriptions of any suggested organizational changes and overviews of training requirements before, during and after implementation.
  6. Descriptions of throughput and turnaround times.
  7. Procedures with listings of all new or modified procedures that will be required for the new systems.
- RFP25 System Overview  
The Award 2 vendor is to develop a system overview suitable for describing the system to other states.

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manger, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26b The development, in conjunction with the Award 1 winner, of detailed designs for the interfaces and protocol standards for the exchange of data between the Award 2 winner’s System and the CI/CVIEW System;
- RFP26c Accept direction and oversight from Award 1 Vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.

CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

**Projected Start of Work:**

11/04/2002

**Projected End of Work:**

9 weeks from start of work (01/03/2003)

**Cost of Deliverable:**

\$49,952.21

## **CI/CVIEW to IRP Connections**

**The rest of this document describes the interfaces between the ACS CVISN/PRISM Award 2 IRP system and the Cambridge Systematics CVISN/PRISM Award 1 CI/CVIEW system.**

### **Web Interface**

1. CI/CVIEW will provide standard single-point-of-authentication services for all credentials, including IRP.
2. Assuming the authenticated carrier is authorized to do IRP, a hyperlink will appear on the CI/CVIEW menu saying (something like) "Apply for IRP Credentials". The exact text of this link will be determined during the design process.
3. When the user selects the IRP hyperlink, the CI will:
  - a. Transfer authentication information for the current session through the frame relay to the VISTA/RS system. Though protocol was not discussed, we believe the process will use HTTP protocol over IP. ACS has indicated that they will provide a standard API for transferring the authentication information from the CI to the ACS application. However, the content and format of this transfer must be determined during technical discussions with ACS. It will be the responsibility of ACS to store and use the authentication information as necessary.
  - b. Transfer control to the MVS Express system by directing the browser to the MVS Express web service in Tarrytown, NY. The standard Internet URL call will include a single parameter that contains a session key that ACS can use to match the session with the authentication information. This step will open a new browser window in which the MVS Express interface will be displayed.
  - c. The CI/CVIEW session information will include a time stamp for purposes of facilitating session termination.
  - d. The CI/CVIEW session will terminate after a configurable length of time, requiring the client to sign on again when revisiting the site. If the CI/CVIEW session is terminated then the user will be bounced back to the CI's screen that invoked the IRP session.
4. It will be the responsibility of ACS to match the session ID to the authentication information and, in the event of a problem, display an appropriate error message from which the user may only close the MVS Express window, implicitly returning control to the CI.
5. Once MVS Express is in control, the user may perform any operations allowed in MVS Express based on its own security settings.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

6. When the user reaches the point in an IRP process where a credential may be purchased, it will be the responsibility of MVS Express to display a suitable invoice and provide a "Purchase" hyperlink back to a location within the CI.
7. We believe that MVS Express should provide two purchase hyperlinks with the necessary help and explanatory text. One will be labeled "Purchase via ACH" and will continue at step 8. The other will be labeled "Purchase via Manual Check" and will continue at step 12.
8. The "Purchase via ACH" hyperlink will pass, as parameters, sufficient information (yet to be determined) for the CI to locate the user/transaction, to prompt for additional payment information and to initiate the payment operation.

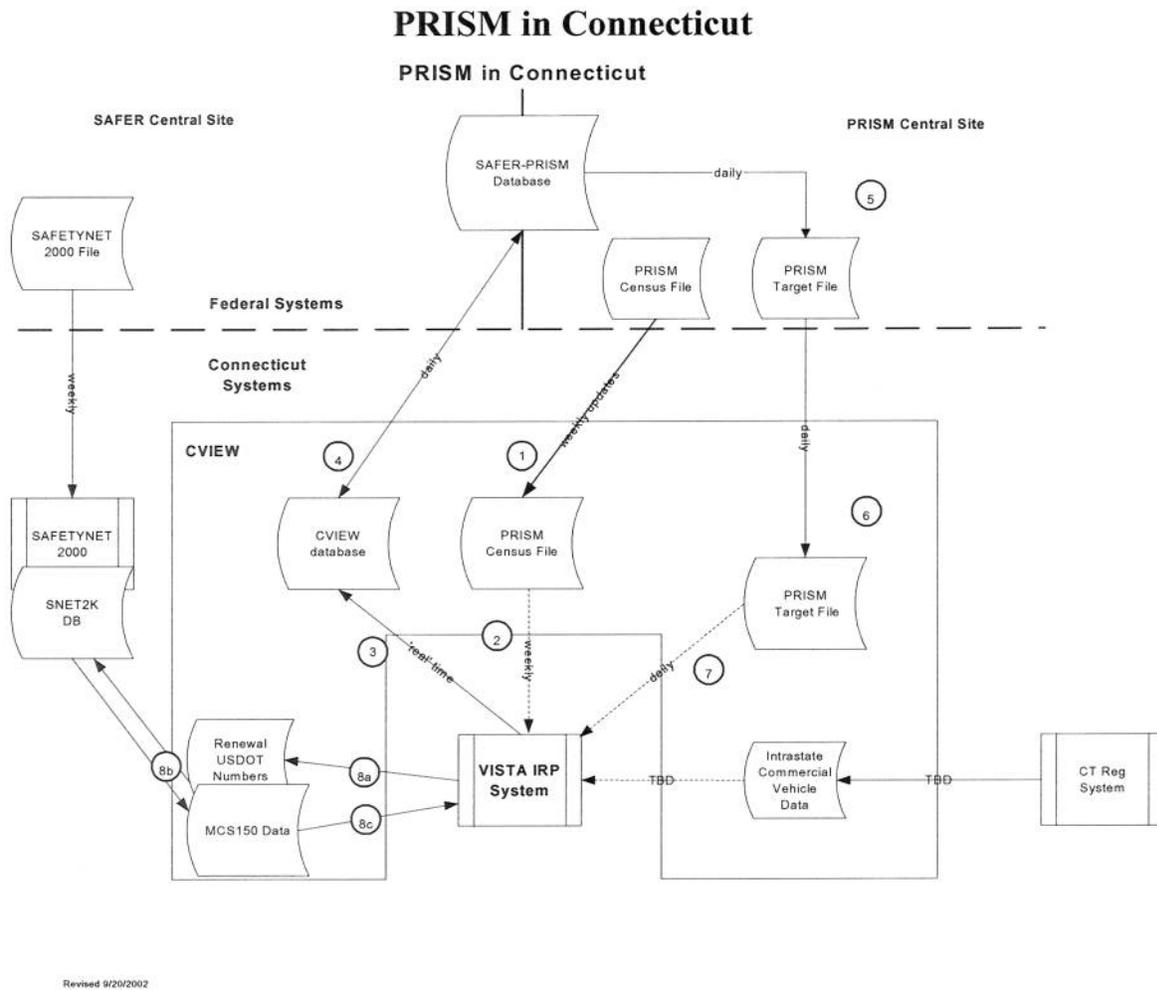
If this occurs after the original CI/CVIEW session has terminated some method of automatically authenticating the user will be necessary. It is expected that the most secure process will be for the original CI/CVIEW session to be terminated after only a minute or so, with a forced closing of the original browser window. The minute or so will allow people to flick back and forth when just looking. When ACS opens the payment screen they should pass in the URL information that will allow CI/CVIEW to verify the user on the MVS system via the frame relay connection. This could also be used to pass the payment information itself in real time. Payment information could also be picked up directly from the common table at ACS where session information is kept.

9. Assuming the ACH request was successfully transferred to the financial processing agent, the CI will inform the user that they should check back in 24 hours to obtain an updated status for their application. At this point, the user can either close the CI browser window or continue to some other operation.
10. Applications paid via ACH must have their status updated once funds have been transferred. Until an ACH solution provider has been identified by the state there is no way to know whether this can be accomplished electronically or must be done manually using reports generated by the ACH provider. In the former case, the CI can be designed to pick up and associate this information. In the later case, a screen must be designed and created to allow state personnel to associate this information.
11. Once the CI has been informed that a transaction has been successfully paid, the CI will generate a transaction to be sent to VISTA using the same mechanism as the authentication information described above. The content and format of this transfer must be determined. VISTA will mark the transaction appropriately and allow the user, on a subsequent session, to print the credential.
12. The "Purchase via Manual Check" hyperlink will cause the MVS Express system to display explanatory information and a payment voucher containing sufficient

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

information to associate a check with a pending transaction. The user may print this voucher from MVS Express.

13. After printing the payment voucher, the user may continue to other IRP operations or may close the MVS Express window and return to the CI.
14. In the case of Manual Check, no payment information will return to the CI. Instead, any necessary information will be communicated to CVIEW as part of the regular VISTA updates.
15. Due to the large dollar amounts involved with IRP registration, credit card processing will not be implemented unless required by the state.
16. VISTA will supply carrier and vehicle information to CVIEW using a flat file transfer. The file formats will be the same as those used by Minnesota to perform this same process. The files will be delivered via FTP to a location accessible to the CVIEW process.
17. The goal will be to move information as rapidly as possible from VISTA to CVIEW. At the very least, information will be moved hourly. As part of the detailed design, ACS and CS will investigate moving information more rapidly. It is unlikely that information can be moved more rapidly than once every 10 minutes or so using this technology.
18. The Minnesota VISTA file transfer occurs once a day and the files include all carriers and vehicles. In order to ensure adequate processing time for transfers in Connecticut that occur more rapidly than once a day, it will be necessary for VISTA to send only those carriers and vehicles that have been updated since the last transfer. There will be insufficient time for CVIEW to process a complete VISTA data dump one or more times an hour.



### PRISM in Connecticut

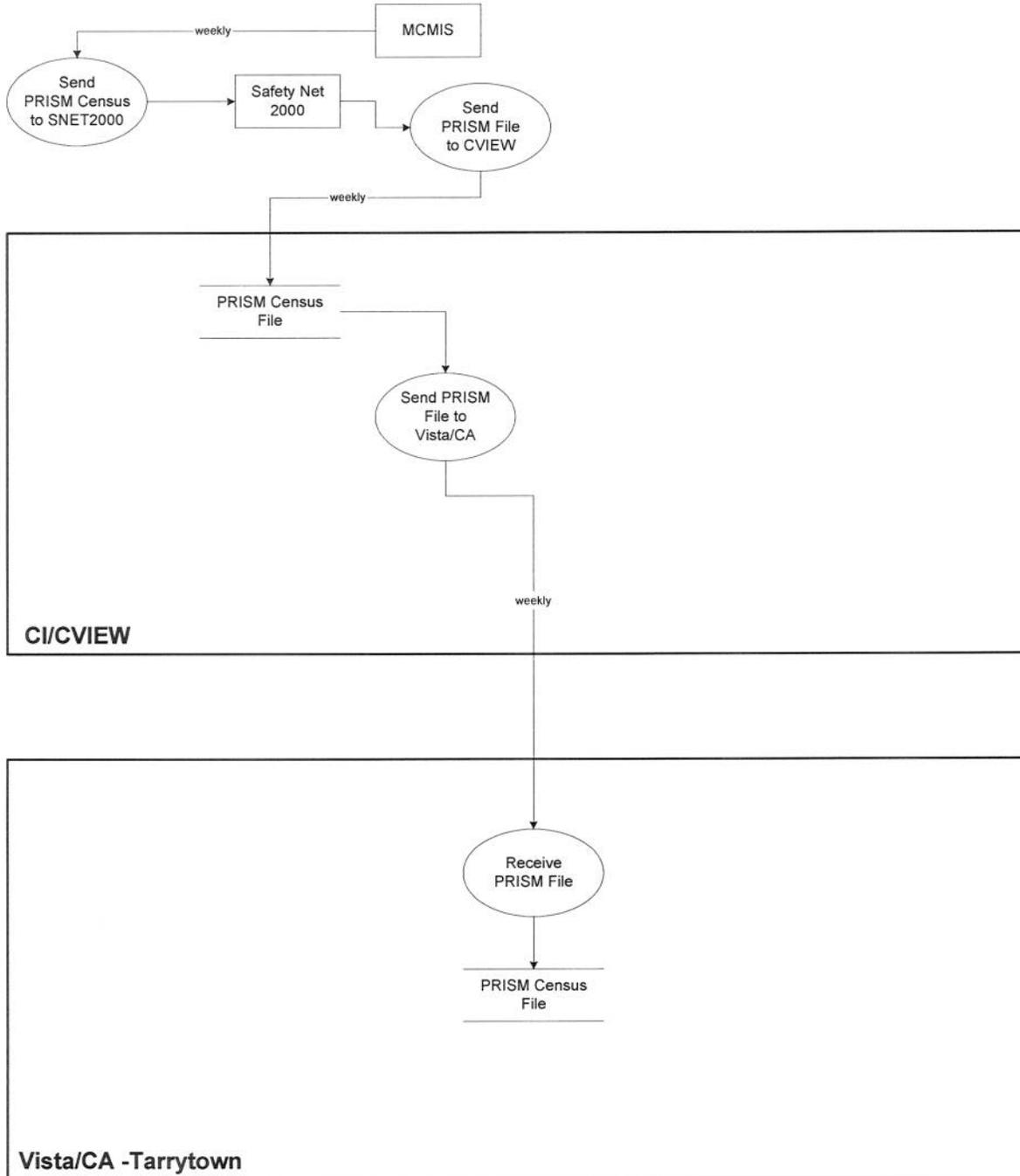
1. Weekly, the PRISM Census File is updated with data from the PRISM Central Site.
2. Weekly, the PRISM Census File is sent to the VISTA/RS system. The IRP system will use this file to validate USDOT numbers. This step may be eliminated if it is determined that the IRP system already contains timely PRISM Census File data.
3. The IRP system sends updates to CVIEW (in a timely fashion). This maintains the CVIEW Database as an in-state copy of the IRP data. The exact data to be exchanged is yet to be defined. This process will need a periodic refresh of all data.
4. Nightly, CVIEW sends updates (containing CT IRP data) to SAFER for inclusion in the SAFER-PRISM Database.
5. Nightly, the PRISM Central Site creates the PRISM Target file from the SAFER-PRISM Database.

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

6. Nightly, CVIEW receives the national PRISM Target (Vehicle) File from SAFER.
7. Nightly, a copy of the national PRISM (Vehicle) Target File is sent to the IRP system. The IRP system uses this file to capture the transfer of vehicles of PRISM carriers. This step may be eliminated if it is determined that the IRP system already contains timely PRISM Census File data.
8. Prior to renewal processing (annual or staggered) MCS150 data is supplied to the IRP system:
  - a. The IRP system will send CVIEW the USDOT numbers of the carriers responsible for the safety of those IRP registrants about to renew.
  - b. CVIEW extracts MCS150 related information from the SNET2K database for the supplied USDOT numbers.
  - c. CVIEW will return to the IRP system the MCS150 data for those USDOT numbers. The IRP system will decide whether or not to print and mail a MCS150 form (based on the MCS150 update date, business address, etc.)

### PRISM Interfaces

Process 1: Receive PRISM Census Data from CI/CVIEW



## Process 1: Receive PRISM Census Data from CI/CVIEW

### Process Steps:

1. Every Monday between 9:00pm (ET) and the start of business Tuesday the PRISM Census File will be sent to CI/CVIEW.
2. CI/CVIEW will then send the PRISM Census File to Vista/CA.
3. Vista/CA will send an acknowledgement to CI/CVIEW that the file was received.
4. Vista/CA will update the file for use by Vista/RS.

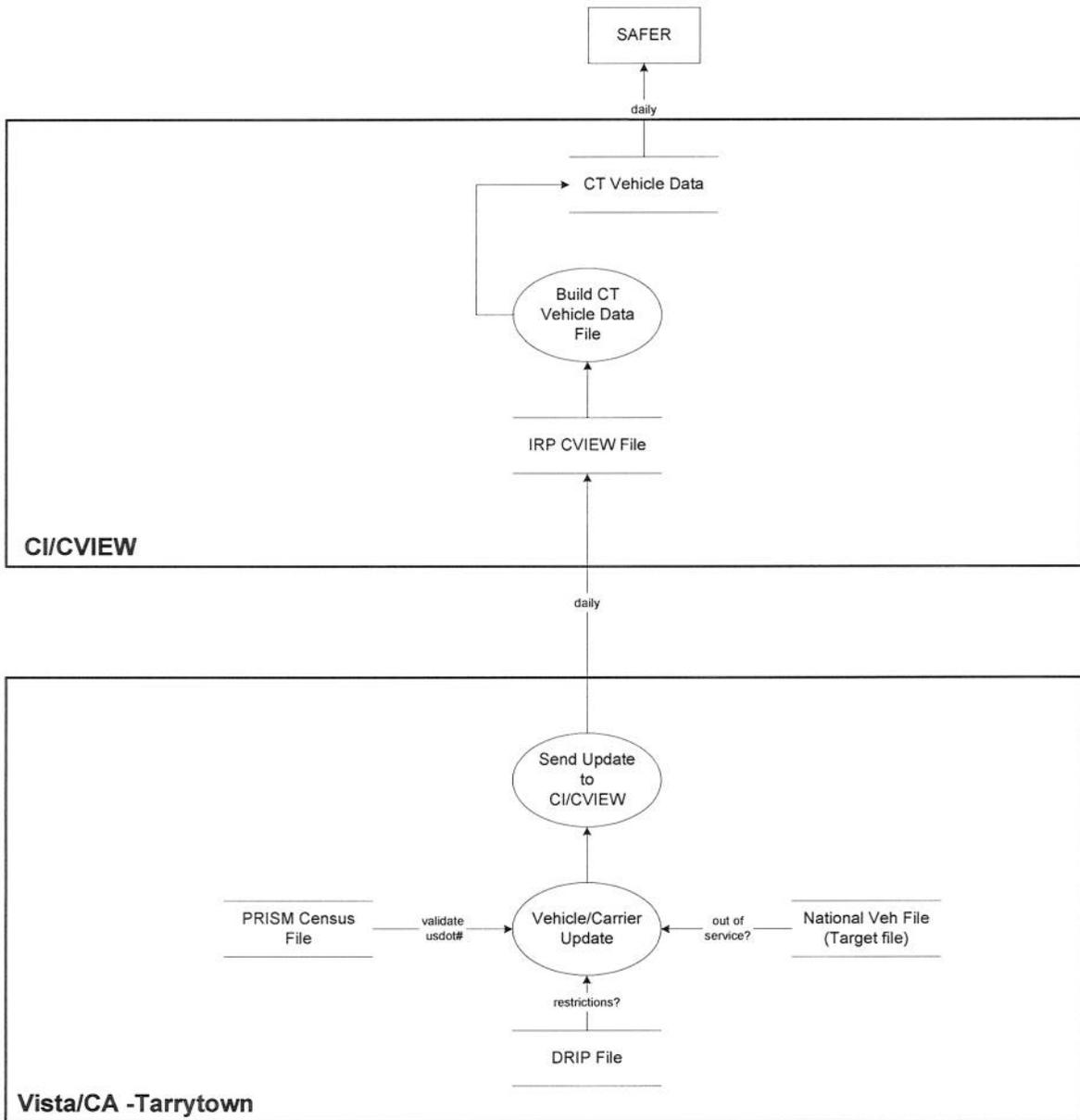
### To be addressed in the BAA:

- The file layout of the PRISM Census File
- Mechanism for sending acknowledgement
- Where to send the acknowledgment and what to send (i.e. Process x received successfully.)
- How FTP process on the server will be incorporated into the design.

### Issues:

- Has the time for the PRISM Census File availability changed now that Volpe is the Central Site and that FTP is being used instead of the IE Mailbox?

**Process 2: IRP Vehicle/Carrier Update to CI/CVIEW**



**Process 2: IRP Vehicle/Carrier Update to CI/CVIEW**

Process Steps:

1. Each time a carrier or vehicle is updated the information will be sent to CI/CVIEW.
2. CI/CVIEW will ensure that SAFER receives the CT Vehicle Data no later than 3:00am (ET) each morning.

To be addressed in the BAA:

- Whether we will send CI/CVIEW one file of carrier updates, one file of vehicle updates, or one file containing both carrier and vehicle updates
- The layout of the file(s) being sent to CI/CVIEW
- The delivery mechanism for sending the updated carrier/vehicle information to CI/CVIEW
- The approaches of sending the information – will it happen immediately or will all the updates be sent to CI/CVIEW at end-of-day. If the information is sent to CI/CVIEW at end-of-day Vista/CA needs to ensure that CI/CVIEW receives in early enough to meet the 3:00am (ET) deadline.
- Process for receiving the receipt acknowledgement
- Process for resending transaction(s) if needed

**Adding a Vehicle**

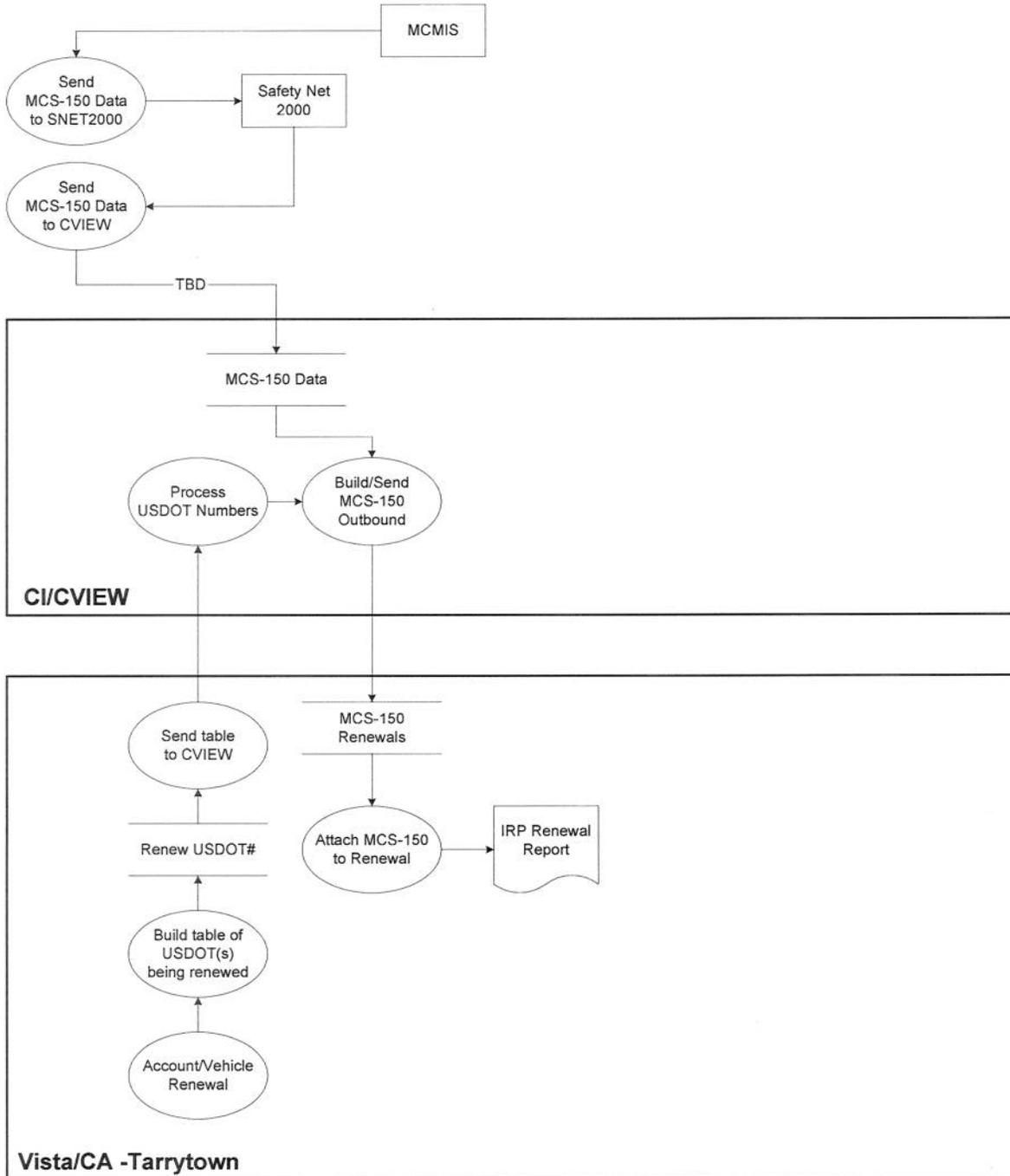
- If there is a DRIP restriction, the clerk will have the option of not adding the vehicle. (Note: This override ability is needed in the situation where the restriction has been paid on the vehicle but this information has not yet made it to the CI/CVIEW DRIP file and subsequently to Vista/CA.)
- If there is an OOS Order, the clerk will have the option of not adding the vehicle
- If either of the above restrictions is in place the electronic carrier will not be able to self-issue

**Changing a Vehicle**

- If there is a DRIP restriction, the clerk will have the option of not changing the vehicle
- If there is an OOS Order, the clerk will have the option of not changing the vehicle
- If either of the above restrictions is in place the electronic carrier will not be able to self-issue



**Process 3: IRP Renewal Interface with CI/CVIEW**



### Process 3: IRP Renewal Interface with CI/CVIEW

#### Process Steps:

1. An account or single vehicle is scheduled for renewal in Vista/RS
2. All USDOT numbers responsible for safety associated with the account and/or vehicle(s) being renewed will be sent to CI/CVIEW. *(Note: CI/CVIEW will do the following: 1) Check that the USDOT number is associated with a carrier that has a CT business address. If the address is not CT then this USDOT number will not be processed. If valid, all MCS-150 information for the USDOT number will be put in an outbound file. 2) The outbound file will be delivered to Vista/CA.*
3. The file received from CI/CVIEW will be loaded into “Renewal MCS-150 Data” and will be attached to the IRP Renewal Listing Report.

#### **File to Sent to CI/CVIEW**

Renewal USDOT Nbrs - Contains a list of USDOT numbers responsible for safety that are associated to an

Account and/or vehicle being renewed

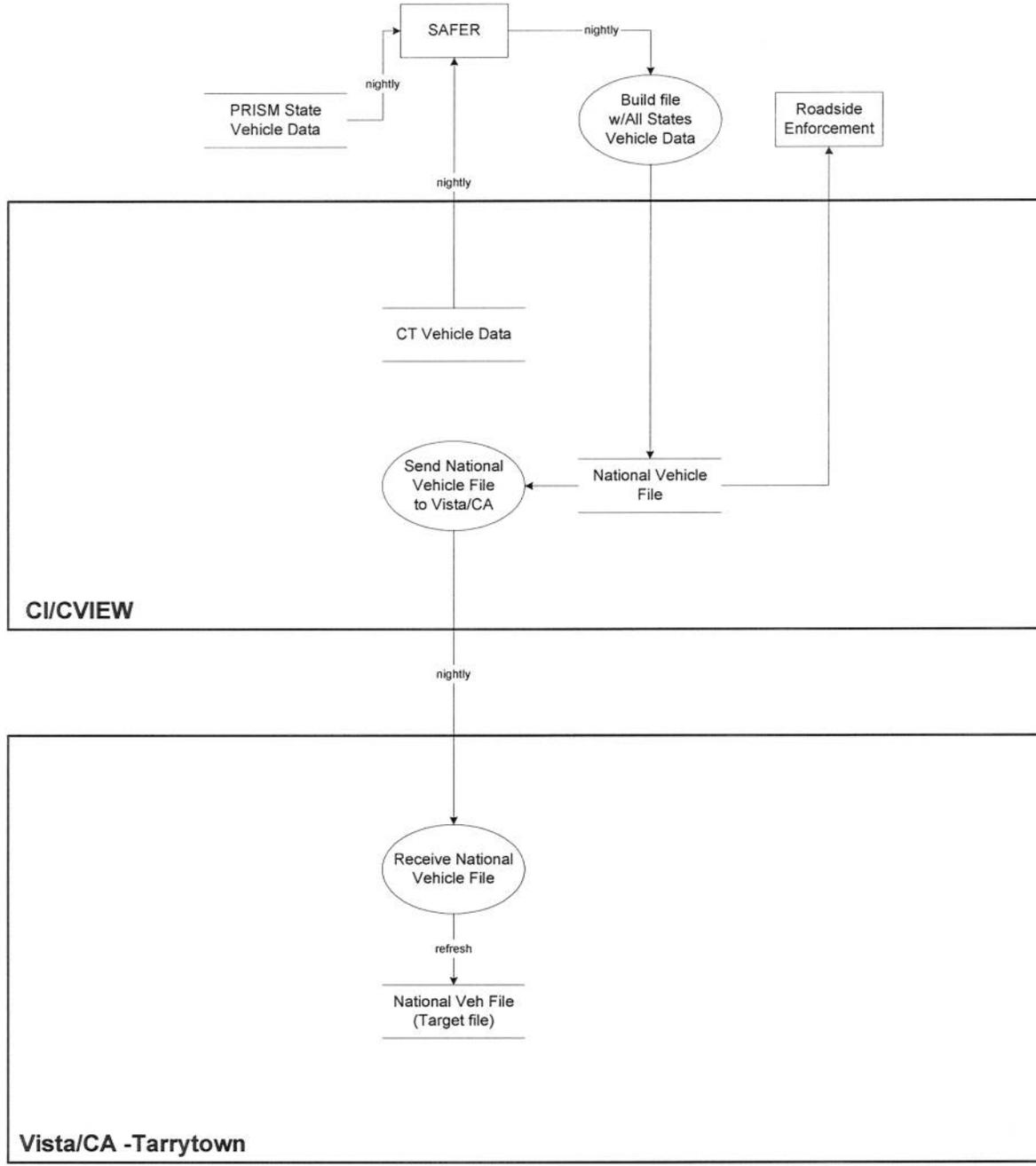
#### **File to Receive from CI/CVIEW**

Renewal MCS-150 Data - Contains a list of USDOT numbers with all corresponding MCS-150 information. The file will contain all the information needed to print the MCS-150 along with the renewal.

#### To be addressed in the BAA:

- If a vehicle being renewed is attached to a USDOT number with an OOS Order, do we still want to send this USDOT number to CI/CVIEW?
- Each USDOT number for each vehicle renewed needs to be validated against the DRIP file and the Target file for an OOSO. If either of these validations fail, do we still want to renew the vehicle?
- The trigger mechanism that will notify Vista/CA that the MCS-150 data from CI/CVIEW is ready.
- Determine when “Renewal MCS-150 Data” will be sent to Vista/CA?
- Define the layout for “Renewal USDOT Nbrs” and “Renewal MCS-150 Data”.
- The frequency of renewal information being sent to CI/CVIEW.
  - If in real-time batch mode then renewals would be a two step process for the user. Step 1 would be validating the USDOT number of each vehicle being renewed and requesting MCS-150 information. Step 2 would be printing the renewals with the MCS-150 information received from CI/CVIEW.
  - If at End-of-day then each account/vehicle renewed during the day will be put in an End-of-day renewal file. This process will perform the same steps as above.
- Provide an override window if OOS Order vehicles are encountered? We could do a pre-scan of all vehicles to be renewed and see if any are associated with an OOSO. If so, display an override window prior to submitting the renewals to batch.

**Process 4: Receive National Vehicle File from CI/CVIEW**



**Process 4: Receive National Vehicle File from CI/CVIEW**

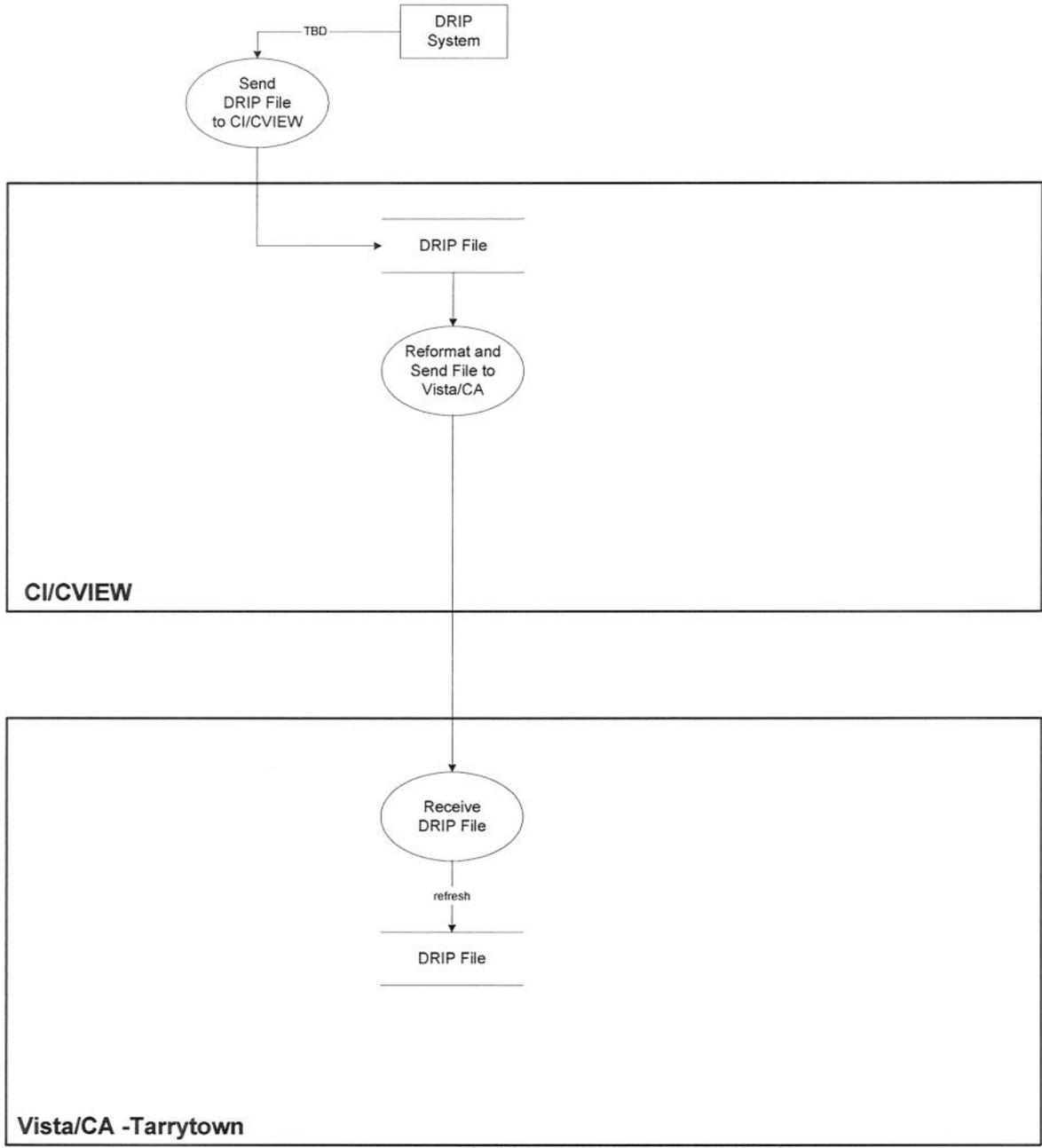
Process Steps:

1. Receive the National Vehicle File from CI/CVIEW nightly after 5:00am (ET).
2. Send acknowledgement of receipt to CI/CVIEW.

To be addressed in the BAA:

- The layout of the National Vehicle File.
- Mechanism for sending acknowledgement of receipt.

**Process 5: Receive DRIP File from CI/CVIEW**



**Process 5: Receive DRIP File from CI/CVIEW**

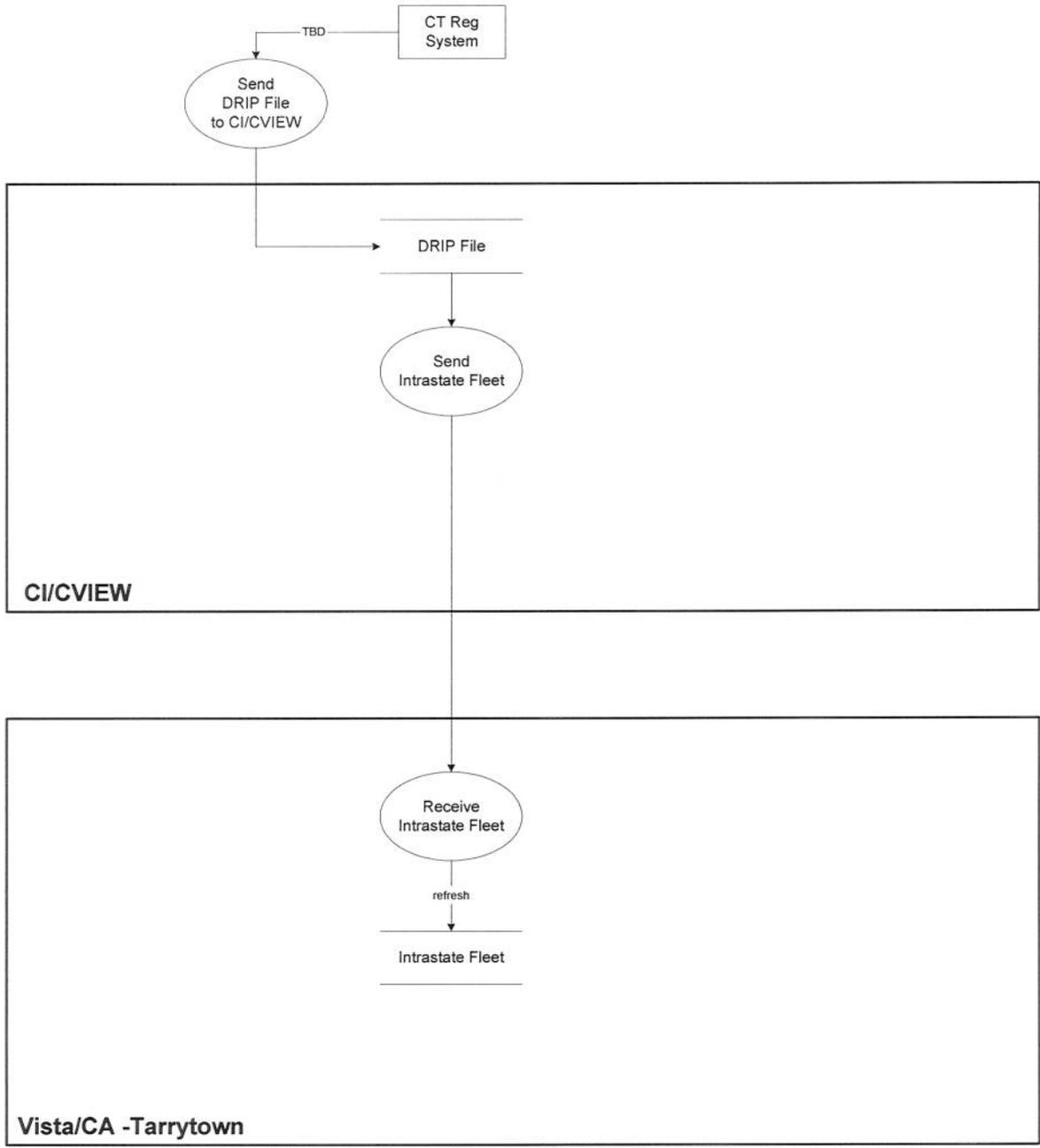
Process Steps:

1. Receive the DRIP file from CI/CVIEW.
2. Send acknowledgement of receipt to CI/CVIEW.

To be addressed in the BAA:

- The layout of the DRIP file.
- The frequency of receiving this file from CI/CVIEW.
- Mechanism for sending acknowledgement of receipt.

**Process 6: Receive Intrastate Fleets from CI/CVIEW (Phase II deliverable)**



**Process 6: Receive Intrastate Fleets from CI/CVIEW (Phase II deliverable)**

Carriers that have IRP fleet(s) will be given the option to register their intrastate fleet(s) into IRP System (Vista/RS). This will eliminate the need for the carrier having to visit the IRP office and the intrastate office when registering vehicles.

Process Steps:

1. Receive, from CI/CVIEW, a file of intrastate vehicles to merge into the IRP system (Vista/RS).
2. Send acknowledgement of receipt to CI/CVIEW.
3. Convert the intrastate information into Vista/RS.

To be addressed in the BAA:

- The layout of the intrastate file.
- The frequency of receiving this file from CI/CVIEW.
- Mechanism for sending acknowledgement of receipt.
- Create the “Intrastate” carrier fleet and corresponding vehicles.
- Adding the plate/sticker, if any, on each intrastate vehicle into the Vista/RS inventory files.
- Processing needed if outstanding payments on the intrastate fleet.
- Edit rules for intrastate fleets/vehicles in Vista/RS.

## **Deliverable Description**

### **Name of Deliverable: IRP CVISN/PRISM Integration - Software Development/Customization (#13)**

#### **Description of Deliverable:**

The development, unit testing, and system testing for the CVISN/PRISM interface.

The Award 2 Vendor, in conjunction with State staff and Award 1 Vendor, will develop the CVISN/PRISM interface based on the requirements defined during the Business Area Analysis (BAA) portion of the project.

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- System coding and unit test complete  
The business rules defined in the BAA will be programmed into the system and tested by development staff and analysts assigned to the project.
- RFP17 Software Installation in Test  
All development work defined in the BAA will be moved into the Connecticut Quality Assurance region for Connecticut acceptance testing.

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manger, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26b The development, in conjunction with the Award 1 winner, of detailed designs for the interfaces and protocol standards for the exchange of data between the Award 2 winner’s System and the CI/CVIEW System;
- RFP26c Accept direction and oversight from Award 1 Vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

**Projected Start of Work:**

11/22/2002

**Projected End of Work:**

7 months from start of work (06/03/2003)

**Cost of Deliverable:**

\$116,310.00

## **Deliverable Description**

### **Name of Deliverable: IRP CVISN/PRISM Integration - Training (#14)**

#### **Description of Deliverable:**

The system test plans and jurisdiction training for the CVISN/PRISM interface.

**The Award 2 vendor, in conjunction with the State staff and Award 1 vendor, will develop the system test plans, test scripts, and provide training, as necessary.**

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- RFP7 System Test Plan  
System Test Plans will be developed based on the business requirements defined in the Business Area Analysis (BAA). This Test Plan must address unit tests, system integration tests, CI/CVIEW Interoperability tests, testing procedure for all interfaces, user acceptance tests and production acceptance tests.
- RFP18 System Unit Test  
The System Unit Test will include the test scripts with expected and actual results, with corrective measures taken, test dates, and assigned staff.
- Jurisdiction Training  
Any training required for the state of Connecticut on the interfaces that will be provided. Additionally, any documentation detailing the connections and files transferred will be also be provided.

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manager, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
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- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

**Projected Start of Work:**

010/15/2002

**Projected End of Work:**

9 months after start of work (06/10/2003)

**Cost of Deliverable:**

\$29,910.00

## **Deliverable Description**

### **Name of Deliverable: IRP CVISN/PRISM Integration - Production Installation (#15)**

#### **Description of Deliverable:**

**The deployment of the CVISN/PRISM interfaces between VISTA/RS and the state of Connecticut legacy systems including the CI/CVIEW.**

**The Award 2 vendor will move into production all of the CVISN/PRISM interface functionality defined in the Business Area Analysis (BAA) upon sign-off on the user acceptance testing by the state of Connecticut and in coordination with the Award 1 vendor. The user acceptance testing will be performed by the state of Connecticut in a Quality Assurance region developed specifically for the state of Connecticut to test all new interfaces.**

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- RFP19 System Functionality Acceptance and Interoperability Tests  
All development work defined in the BAA will be acceptance tested and will include supporting documentation. The documentation will include test plans and test scripts with the expected results.
- RFP20 System Technical Documentation  
The System Technical Documentation will include the Project Master Plan (PMP), BAA, Test Plans with results, and Data Dictionary.
- RFP21 System User Documentation  
System User Documentation will include the Jurisdiction and Carrier User Manuals.
- RFP22 Data Dictionary Report  
The Data Dictionary Report is a description of the data that will include the names, definitions, field types, and length of the fields.
- RFP23 Software (code) Installation in Production Environment  
The system enhancements defined in the BAA and approved by the state of Connecticut will be moved into production.
- RFP24 System Production Acceptance Test  
Once all of the system enhancements are moved into production, the state of Connecticut will perform a production acceptance test to ensure all elements from the BAA are included and function according to the defined requirements.
- Implemented PRISM  
PRISM interfaces from VISTA/RS to the state's CI/CVIEW.

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical

## CVISN/PRISM Award 2 – PROJECT IMPLEMENTATION SCHEDULE

Project Manger, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.

- RFP3 At a minimum, weekly progress reports.
- RFP9 Updates to System Development, Quality Assurance, System Test and System Implementation Plans.
- RFP26a “Back-end” support for electronic credentials and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) system.
- RFP26b The development, in conjunction with the Award 1 winner, of detailed designs for the interfaces and protocol standards for the exchange of data between the Award 2 winner’s System and the CI/CVIEW System;
- RFP26c Accept direction and oversight from Award 1 vendor concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW system.
- RFP26d The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

### **Projected Start of Work:**

06/04/2003

### **Projected Start of Work:**

2 ½ weeks from start of work (06/19/2003)

### **Cost of Deliverable:**

\$7,554.00

## **Deliverable Description**

### **Name of Deliverable: IRP - Documentation (#16)**

#### **Description of Deliverable:**

The Jurisdiction and Carrier user manuals will detail how to use the system.

**The Award 2 Vendor will develop, in conjunction with the State staff, user manuals which will include an introduction to the system, basic computer terms, navigation techniques, screen layouts, signing on to the system, and all relevant system functions for each view (Jurisdiction or Carrier).**

Sub-deliverables – This deliverable will satisfy the following RFP requirements:

- Jurisdiction and Carrier User Manuals

In addition, this deliverable will also include services related to the following RFP defined deliverables:

- RFP1 Initiate, schedule and chair meetings regarding any DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manger, Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries.
- RFP3 At a minimum, weekly progress reports.

#### **Projected Start of Work:**

05/13/2003

#### **Projected End of Work:**

6 days from start of work (05/20/2003)

#### **Cost of Deliverable:**

\$7,800.00

## **Deliverable Description**

### **Name of Deliverable: IRP GUI Implementation - Warranty (#17)**

#### **Description of Deliverable:**

ACS must warrant the software developed to be free of defects in materials and workmanship and provide for a one-year, post-implementation warranty period to correct all defects arising from the operation of the systems by users.

ACS must warrant that the System shall function according to published specifications on the acceptance date for such System, and that ACS shall modify, adjust, repair and/or replace said System as the State deems it to be necessary or appropriate to have it perform in full accordance with the terms and conditions of the RFP.

#### **Projected Start of Work:**

07/24/2003

#### **Projected End of Work:**

1 year from start (07/23/2004)

#### **Cost of Deliverable:**

\$0.00

## **Deliverable Description**

### **Name of Deliverable: IRP Mandatory Requirements - Warranty (#18)**

#### **Description of Deliverable:**

ACS must warrant the software developed to be free of defects in materials and workmanship and provide for a one-year, post-implementation warranty period to correct all defects arising from the operation of the systems by users.

ACS must warrant that the System shall function according to published specifications on the acceptance date for such System, and that ACS shall modify, adjust, repair and/or replace said System as the State deems it to be necessary or appropriate to have it perform in full accordance with the terms and conditions of the RFP.

#### **Projected Start of Work:**

10/01/2003

#### **Projected End of Work:**

1 year from start (9/30/2004)

#### **Cost of Deliverable:**

\$0.00

## **Deliverable Description**

### **Name of Deliverable: IRP CVISN/PRISM Integration - Warranty (#19)**

#### **Description of Deliverable:**

ACS must warrant the software developed to be free of defects in materials and workmanship and provide for a one-year, post-implementation warranty period to correct all defects arising from the operation of the systems by users.

ACS must warrant that the System shall function according to published specifications on the acceptance date for such System, and that ACS shall modify, adjust, repair and/or replace said System as the State deems it to be necessary or appropriate to have it perform in full accordance with the terms and conditions of the RFP.

#### **Projected Start of Work:**

06/19/2003

#### **Projected End of Work:**

1 year from start (06/18/2004)

#### **Cost of Deliverable:**

\$0.00

## **Deliverable Description**

**Name of Deliverable: Maintenance & Support – Year 2 (#20)**

**Description of Deliverable:**

Maintenance and support costs for all application and support software included in the proposal.

**Projected Start of Work:**

10/01/2003

**Projected End of Work:**

1 year from start (9/30/2004)

**Cost of Deliverable:**

\$130,000.00

## **Deliverable Description**

**Name of Deliverable: Maintenance & Support – Year 3 (#21)**

**Description of Deliverable:**

Maintenance and support costs for all application and support software included in the proposal.

**Projected Start of Work:**

10/01/2004

**Projected End of Work:**

1 year from start (9/30/2005)

**Cost of Deliverable:**

\$130,000.00

## **Deliverable Description**

**Name of Deliverable: Maintenance & Support – Year 4 (#22)**

**Description of Deliverable:**

Maintenance and support costs for all application and support software included in the proposal.

**Projected Start of Work:**

10/01/2005

**Projected End of Work:**

1 year from start (9/30/2006)

**Cost of Deliverable:**

\$130,000.00

## **Deliverable Description**

**Name of Deliverable: Maintenance & Support – Year 5 (#23)**

**Description of Deliverable:**

Maintenance and support costs for all application and support software included in the proposal.

**Projected Start of Work:**

10/01/2006

**Projected End of Work:**

1 year from start (9/30/2007)

**Cost of Deliverable:**

\$130,000.00

## **Deliverable Description**

**Name of Deliverable: Maintenance & Support – Year 6 (#24)**

**Description of Deliverable:**

Maintenance and support costs for all application and support software included in the proposal.

**Projected Start of Work:**

10/01/2007

**Projected End of Work:**

1 year from start (9/30/2008)

**Cost of Deliverable:**

\$130,000.00