

**STATE OF CONNECTICUT**  
**DEPARTMENT OF INFORMATION TECHNOLOGY**  
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**REQUEST FOR PROPOSALS**

**RFP #08ITZ 0069**  
**Connecticut Integrated Vehicle and Licensing System**  
**(CIVLS) Modernization Program**  
**Of the**  
**Connecticut Department of Motor Vehicles**

**Date Issued: August 1, 2008**

**Date Due: October 1, 2008 at 4:00 P.M. EST**

*Send all sealed Proposals to:*

State of Connecticut  
Department of Information Technology  
Contracts & Purchasing Division  
Attn: Jacqueline Shirley  
101 East River Drive  
East Hartford, CT 06108

REQUEST FOR PROPOSAL APPROVED: \_\_\_\_\_

Jacqueline Shirley  
Director, IT Contracts & Purchasing Division

(Original Signature on Document in CPD Files)

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## **DOCUMENT INFORMATION**

### **DOCUMENT OWNERSHIP AND HISTORY**

This document is property of The State of Connecticut and its contents cannot be disseminated or distributed, in part or whole, without prior written approval from The State of Connecticut, Department of Information Technology, or the Department of Motor Vehicles.

Information regarding Document History is in Section 1 of Schedule A.

### **INTERPRETATION OF THIS RFP**

A term defined in the singular may be used in the plural, and vice versa, all in accordance with ordinary principles of English grammar, which also govern all other language in this RFP. The words “include” and “including” shall be construed to be followed by the words: “without limitation.” Each of these terms shall be interpreted as if followed by the words “(or any part of it)” except where the context clearly requires otherwise. Every reference to any document, including this RFP, refers to such document as modified from time to time to the extent authorized or allowed by the State, and includes all exhibits, schedules, addenda and riders to such document. The word “or” includes the word “and.” All schedules, exhibits and addenda attached to this RFP are hereby incorporated into and made part of this RFP in their entirety.

### **CONSULTANTS**

The consulting firm of Whys Solutions, LLC of Hartford, Connecticut, has been retained by the State to assist in the preparation of this RFP document, to aid the State in its review of the Proposals that it receives, and to assist in contract negotiations.

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## Section 1. Introduction

The purpose of this RFP is to solicit proposals from qualified Proposers to replace the primary technology application systems supporting the DMV and provide a modernized integrated vehicle and licensing system, known as CIVLS. A more complete description of the services sought is provided in Section 4 of this RFP.

The State seeks qualified Proposers that will apply their motor vehicle experience from other U.S. jurisdictions and provide DMV with a complete, agency-wide system implementation on an aggressive but achievable timetable. Based upon the Proposer's experience in the field, its assessment of the State's needs, and the structure and content of its Proposal, CIVLS may be deployed in phases, as long as those phases produce visible and measurable improvements to the delivery of DMV products and services to Connecticut's citizens, and DMV Stakeholders and Business Partners. The schedule proposed by the Proposer, and the State's determination as to how that schedule meets the State's overall objectives, will be important factors in the evaluation process.

To be considered "qualified," a Proposer must have:

- Experience with motor vehicle agency systems within the last three (3) years;
- Developed and implemented MOTS integrated vehicle and licensing system comparable to that which is being sought in this RFP, or is currently engaged in such work. Relevant experience and contracts must have been for official government motor vehicle agencies within U.S. jurisdictions; and
- The ability to fulfill the requirement of the On-site, Hands-on Demonstration as set forth in the RFP.

Proposals must meet all requirements of this RFP. However, if based on a Proposer's experience, there are alternative implementation approaches that will ultimately achieve the State's modernization objectives, but through different solution approaches, the Proposers are encouraged to offer such alternatives and their rationale. Such alternative information shall not be provided in lieu of, but in addition to RFP required responses, and must be clearly marked as such. Since the State is seeking to modernize in an as aggressive but achievable timetable as possible, the State, in the selection process, will give strong consideration to alternatives in Proposals if it is determined that such alternative enhances the development, implementation, and operational aspects of and the timetable for CIVLS.

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## **Section 2. Overview and Purpose**

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### **2.1 Authority**

The CIO is responsible for “The purchasing, leasing and contracting for information system and telecommunication system facilities, equipment and services” as defined in C.G.S., §§4a-50 and 4d-8. The CPD is responsible for processing and authorizing all procurement activities for IT and micro-graphic hardware, equipment, software and related contractual services. The DOIT vision is “That the State of Connecticut’s IT is integrated, eliminating duplication and redundancy, while allowing for the sharing of information and the consolidation of reports throughout all the State agencies.”

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### **2.2 Modernization Goals**

DMV has embarked on an agency-wide modernization initiative that will realize the agency’s strategic vision to become a “21<sup>st</sup> Century DMV”. The goals of this modernization initiative are to:

- Modernize and streamline DMV business processes;
- Standardize and integrate business and systems processes;
- Modernize agency-wide systems and supporting technologies;
- Improve the timeliness and responsiveness of DMV services to Connecticut’s citizens, and DMV Stakeholders and Business Partners; and,
- Improve DMV operational efficiency in performing key business processes and transactions.

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### **2.3 Key System Solution Objectives**

In support of DMV’s modernization goals, the CIVLS implementation will, among other things, result in the:

- Establishment of the foundation for new business operations consistent with and in fulfillment of the DMV Strategic Plan;
- Simplification and integration of DMV intradepartmental processes through a combination of automation and lead-through processing;
- A “customer-centric” view of DMV customer information, enabling integration and better organization of all DMV information, so that it is easily accessible by customer;
- Implementation of improved “real time” vehicle and licensing processes, incorporating motor vehicle administration industry best practices;

- Improvement of fiscal management of agency funds through the implementation of “point-of-sale” cashiering systems and associated financial systems;
- Establishment and/or enhancement of new service delivery channels so that service transactions can be processed through the most efficient service channel, lowering agency costs and improving customer service (e.g. expansion of Internet-based registration renewal, expansion of self-service model for customers and business partners, utilization of integrated voice recognition technology, etc.);
- Improvement of information exchange and integration with all DMV Stakeholders and Business Partners, including government agencies;
- Improvement of DMV business information management, data retrieval, and data reporting capabilities to support compliance monitoring per statutory and regulatory requirements; and,
- Improvement of DMV security through integrated, auditable, and role-based security for all DMV systems.

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## Section 3. RFP Schedule and Process

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### 3.1 Schedule

The timing and sequence of procurement events associated with this RFP will be determined solely by the State. The State will be using Competitive Negotiation for this procurement, and as such, has developed a schedule regarding the preparation of Proposals and other events.

The key events and deadlines for the RFP process are as follows, some of which are set forth in more detail in the Sections that follow:

| Date                                | Event  |
|-------------------------------------|--|
| August 1, 2008                      | <u>Issuance of RFP.</u>  |
| August 8 through August 29, 2008    | <u>Submission of Written Questions and Availability of Resource CD.</u>  |
| August 15 through September 5, 2008 | <u>The State's Response to Written Questions.</u>  |
| September 2, 2008                   | <u>Notice of Intent to Propose (Mandatory)</u>   |
| October 1, 2008                     | <u>Proposals Due</u>   |
| October 2, 2008                     | <u>Commencement of RFP Evaluation Process</u>  |
| TBD                                 | <u>Invitations to qualified Proposers to take part in On-site, Hands-on Demonstrations and Interviews. Please note that qualified Proposers will be given 2-weeks notice prior to demonstration</u>  |
| October 20, 2008                    | <u>On-site, Hands-on Demonstrations and Interviews (Anticipated date)</u>  |
| TBD                                 | <u>Commencement of Optional Meetings with Proposers.</u>   |
| TBD                                 | <u>Recommendation to CIO and Commencement of Contract Negotiations.</u> The State will commence negotiations with the selected Proposer on this date. Details of the process and location shall be shared with the selected Proposer shortly before that date. |
| TBD                                 | <u>Contract Negotiations and Execution</u>   |
| TBD                                 | <u>Projected Start Date.</u> The State desires to have the Contractor commence work at the earliest possible date.   |



### **3.1.1 Submission of Written Questions.**

During this period, Proposers are permitted to submit written questions. If the State determines it is in its best interest to do so, it may increase both the question and response periods. All questions shall be submitted via email to the State in the manner set forth in Section 3.5.

In addition, Proposers may request a Resource CD from the State Point of Contact. The CD includes documentation that may be useful in the preparation of Proposals.

### **3.1.2 The State's Response to Written Questions.**

Throughout this period, the State will provide its responses to the written questions submitted by Proposers, and when possible, will do so within one week, at which time the CT Procurement Portal Daily Notice will be updated with an addendum so that all questions and all responses are available to each Proposer. The State reserves the right to not answer certain questions if it determines that such questions are not pertinent to this procurement.

### **3.1.3 Notice of Intent to Propose.**

Any organization intending to submit a Proposal shall submit a Notice of Intent to Propose (as set forth in **Schedule C**, attached hereto), which must be received by the State by 4:00 P.M. EDT on this date at DOIT. More details are included in Section 3.2. This submission is a mandatory requirement of the RFP.

### **3.1.4 Proposals Due.**

Proposals are due by 4:00 P.M. EDT on this date, at the address set forth in Section 3.4 of this RFP, along with a signed Transmittal Letter, and all required forms and documents as set forth in Section 9.12. Any Proposal for which a Notice of Intent to Propose was NOT received by the State, as set forth in Section 3.2, shall be rejected. All Proposals will be time-stamped upon receipt and held in a secure location until this date. Proposals submitted after this date will not be accepted.

Proposers who are hand-delivering Proposals will not be granted access to the building without a photo ID and should allow extra time for security procedures.

### **3.1.5 Commencement of RFP Evaluation Process.**

At this time, the State will review each Proposal for compliance with the instructions and conditions set forth in this RFP and the attachments hereto. DOIT, at its option, may seek Proposer retraction and clarification of any discrepancy/contradiction found during its review of Proposals. At a minimum, Proposers must:

- 3.1.5.1 Provide information that demonstrates financial soundness;
- 3.1.5.2 Provide a complete Proposal, including all required forms and signatures;
- 3.1.5.3 Agree to Proposal conditions and the RFP process; and,
- 3.1.5.4 Comply with RFP format.

Any Proposal that is not in compliance with the foregoing requirements may be eliminated from consideration and such Proposers will be notified promptly.

Additionally, during this period, the Evaluation Committee will conduct a full detailed evaluation of Proposals that have complied with the RFP requirements. The evaluations will be based on the evaluation criteria set forth in Section 7.

### **3.1.6 Invitations to Qualified Proposers to Provide On-site, Hands-on Demonstration.**

Qualified Proposers will be invited for a 2-day On-site, Hands-on Demonstration. The invitations will provide a detailed description of the session, including the daily schedule, the required equipment setups, and any logistics information.

Each invited Proposer will be given at least 2-weeks notice prior to its On-site, Hands-on Demonstration.

The assignment of dates for each qualified Proposer will be determined by random selection. Invitations will be sent to each qualified Proposer on a staggered basis so as to give each invited Proposer the same notification period for preparations for the 2-day On-site, Hands-on Demonstration.

### **3.1.7 On-site, Hands-on Demonstration**

During this two-day period, on different designated dates, each Proposer will meet with members of the Evaluation Committee and other personnel assigned to support the Evaluation Committee, to:

- Demonstrate their MOTS integrated vehicle and licensing system capability through twelve (12) business scenarios (Table 3.1.7-1)(up to four hours);
- Provide training with hands-on exercises to a group of up to six (6) State designees on the operation of the Proposer's demonstration system in order to provide them with an opportunity to experience and evaluate the key features of the Proposer's system (up to four hours); and,

- Orally respond to a series of business and technical questions (up to four hours).

The overall purpose of this On-site, Hands-on Demonstration session is to:

- Provide selected and qualified Proposers an opportunity to demonstrate the capabilities of their MOTS offering(s);
- Allow experienced State staff an opportunity to “experience” how the Proposer’s solutions will work; and,
- Provide key members of the qualified Proposers and opportunity to orally address questions based on their experience in deploying comparable systems in other U.S. jurisdictions.

The systems are expected to represent the Proposer’s MOTS product offering(s) that have been implemented or are under contract for development and implementation in other states. The demonstration systems can be representative of CT requirements, but based on other states’ regulations and business processes.

**A. On-site Demonstration Session,**

The Proposers *must demonstrate all* twelve (12) scenarios listed in Table 3.1.7-1, below, which have been selected to represent functional business capabilities described in the RFP. (The detailed descriptions of the On-site, Hands-on Demonstration scenarios will be provided with the invitations to Proposers to participate in the On-site, Hands-on Demonstration Session.)

**Table 3.1.7-1 Demonstration Business Scenarios**

| Scenario # | Scenario Description                          | Related Solutions Requirements Sections  |
|------------|---|--|
| 1          | User Logon and Role-Based Authority Features  | 6.3 Audit, 14.1 Security   |
| 2          | Display Transaction Stop and Workflow Routing | 5.3 Compliance, 8.2 Workflow and Case Management   |
| 3          | Search/Records Management Capabilities        | 5.1 Enterprise, 5.2 Customer, 5.4 Vehicle Services, 6.1 Records Management, 6.3 Audit, 14.1 Security   |
| 4          | Driver Services Credentialing – New Issue     | 5.1 Enterprise, 5.2 Customer, 5.3 Compliance, 5.5 Driver Services, 6.2.1 Inventory, 8.1 Document Management  |
| 5          | Driver Services Sanctioning Process           | 5.1 Enterprise, 5.2 Customer, 5.3 Compliance, 5.5 Driver Services, 5.7.1 Cash Management, 8.1 Document Management, 8.3 Forms and Correspondence, 14.1 Security |

| Scenario # | Scenario Description   | Related Solutions Requirements Sections   |
|------------|--|---|
| 6          | Vehicle Registration/Titling – Transfer of Title and New Registration          | 5.1 Enterprise, 5.3 Compliance, 5.4 Vehicle Services, 5.7.1 Cash Management, 6.2 Inventory, 8.1 Document Management   |
| 7          | Vehicle Registration/Titling - Replacement Title                               | 5.1 Enterprise, 5.3 Compliance, 5.4 Vehicle Services, 5.7.1 Cash Management   |
| 8          | Vehicle Services e-Gov Pre-Processing  | 5.1 Enterprise, 5.4 Vehicle Services, , 6.5 Inspections and Enforcements, 8.4 Appointment/Scheduling, 9.1 e-Gov   |
| 9          | License and Manage Regulated Businesses – Application Processing and Oversight | 5.8 License and Manage Regulated Businesses, 5.9 Business Partner Services, 6.1 Records Management, 6.4 Hearing and Appeals, 6.5 Inspections and Enforcements, 8.2 Workflow and Case Management, 8.3 Forms and Correspondence |
| 10         | Permits – New Issue  | 5.6 Permits, 6.2 Inventory Control  |
| 11         | Fiscal Management and Reporting  | 5.7 Fiscal  |
| 12         | e-Gov and Business Portal Capabilities   | 5.2 Customer, 6.3 Audit, 7.2 Reporting, 8.2 Workflow and Case Management, 9.1 Internet Self-Service, 9.2 Web Portals, 14.1 Security   |

The Proposer is not expected to fully develop a demonstration system that meets all of the State’s RFP requirements. Additionally, the Proposer is not expected to provide “live” interfaces with external systems (e.g. SSOLV, etc.), but to just identify where such interfaces occur in the business workflows.

The State does expect that the Proposer’s demonstration will be representative of the:

- Proposer’s MOTS offering(s); and
- Proposer’s capabilities in meeting the State’s needs.

The State encourages demonstrating and/or introducing additional functionality or flexibility inherent in the Proposer’s offering(s).

### **B. Hands-on Evaluation Session**

On the same day, the Proposer is required to train a group of DMV staff to perform *a minimum of four (4)* of the business scenarios that will have been demonstrated during the On-site Demonstration Session. The State *encourages Proposers to demonstrate as many of the business scenarios*

as possible, beyond the minimum threshold, in order to provide the State with a strong operational understanding of their respective MOTS offering. The selection of the business scenario(s) for this Session is determined by the Proposer in order to provide the DMV staff an opportunity to “experience” the Proposer’s system (e.g. lead-through characteristics, usability, etc....).

### **3.1.8 Proposer Interviews Following On-site, Hands-on Demonstrations**

The day following the demonstration scenarios, the selected Proposers will be interviewed by the members of the Evaluation Committee.

Each Proposer will be asked to answer questions during the interview. The responses will be evaluated by the Evaluation Committee.

### **3.1.9 Commence Meetings with Proposers**

During this period, the State will determine if it is in its best interest to have individual Proposers meet with the Evaluation Committee and any experts the Committee deems necessary.

**3.1.9.1** At this time the Evaluation Committee can engage in discussions with individual Proposer in order to: (a) promote understanding of the State’s requirements and the content of the Proposals; (b) seek clarification of Proposals and supporting information; (c) determine in greater detail the Proposer’s qualifications; and, (d) explore with the Proposer the scope and nature of the required contractual services, the Proposer’s proposed solution, and the relative utility of alternate ideas or methods of approach.

**3.1.9.2** If, during the course of discussions, the State determines that the Proposers require more detailed information regarding the scope and nature of the required contractual services, the State shall have the option to provide such information to all of the Proposers and to allow such Proposers to perform limited Due Diligence activities specifically in response to any newly provided information.

**3.1.9.3** At the conclusion of this process, the CIO will determine whether it is in the State’s best interest to issue a request for BAFPs or to complete the evaluation process with the Proposals and additional insights, knowledge and information it has received to date.

**3.1.9.4** Prior to the issuance of a BAFP, and if the State determines it is in its best interest to do so, the State may schedule site visits to one or more of Proposer-deployed systems which are representative of the system requested under this RFP, in order to assess the validity of claims, observe actual installed and integrated systems, or for any other matter that will support the State in its effort to determine the most qualified Proposer.

### **3.1.10 Recommendation to CIO.**

At the completion of the evaluation, the Evaluation Committee will make a final recommendation to the CIO. The CIO will select, in the order of their respective qualification rankings, no fewer than three acceptable Proposers (or such smaller number if fewer than three acceptable Proposals have been received) deemed by the CIO to be the most advantageous to the State for providing the required services. The CIO will then present a draft Contract, prepared by DOIT, to the Proposer whose Proposal is deemed by the CIO to be the most advantageous to the State for CIVLS, and will attempt to negotiate a Contract with such Proposer in accordance with the applicable statutes and regulations. Upon failure to negotiate a Contract with such Proposer, the CIO may continue the negotiation process and award the right to negotiate such a Contract to the Proposer next most advantageous to the State, and so on until the Contract is awarded. Should the CIO be unable to negotiate a Contract with any of the acceptable Proposers initially selected, Proposals may be resolicited or additional Proposers may be selected based on the original, acceptable Proposals in order of the respective qualification rankings, and negotiations may continue.

### **3.1.11 Contract Negotiations and Execution**

The State, acting through DOIT, intends to enter into a comprehensive Contract with the selected Proposer, whereby the selected Proposer shall provide all services necessary to fulfill all of the requirements specified in this RFP. The proposed Contract will be provided to the selected Proposer at the time of notification. Although the State understands that multiple entities may be part of a particular Proposal, the State will only sign a Contract with a single entity that will be the Contractor, responsible for all of its Contractor Parties, partners' and Subcontractors' work and fully responsible for the development and implementation of all deliverables to the State.

The Contract shall, at a minimum, contain terms and conditions normally associated with transactions of this nature including scope of services, minimum acceptable service levels and requirements, and remedies for failure to perform. The details of determining minimum acceptable service levels shall be subject to discussion with the selected Proposer.

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## 3.2 Notice of Intent to Propose

Because of the significance and complexity of this Project, the State will only consider Proposals from qualified Proposers. First, the State will only take receipt of Proposals from Proposers that have submitted a Notice of Intent to Propose - the submission is mandatory. Second, the Notice of Intent to Propose must include a certification that the Proposer has:

- 3.2.1 Experience with motor vehicle agency systems within the last three (3) years;
- 3.2.2 Developed and implemented MOTS integrated vehicle and licensing systems comparable to that which is being requested in this RFP, or is currently engaged in such work. All relevant experience and contracts must be for official government motor vehicle agencies within in U.S. jurisdictions.
- 3.2.3 The ability to fulfill the requirement of the On-site, Hands-on Demonstration, as set forth in this RFP.

Third, Proposers must provide in the Notice of Intent to Propose, three (3) references. These references must be for government entities or organizations for which the Proposer is currently or in the past has provided motor vehicle agency-related services similar to the type described in this RFP. Provide the name of the client organization and describe the services provided. Include the name, address, email address and telephone number for the appropriate individual to contact for each reference, and verify that they have been notified that the State will be contacting them.

Once Proposers have reviewed this RFP, and determined they are a qualified Proposer and intend to submit a Proposal, a Notice of Intent to Propose must be submitted to the State, in writing. Using the form attached as **Schedule C**, Proposers shall certify to the above requirements and advise the State of the name, address, and telephone number of their primary and secondary contact persons.

To be effective each Notice of Intent to Propose **must be delivered** only by use of one of the following methods of delivery: (a) personal delivery; (b) registered or certified mail, in each case, return receipt requested and postage prepaid; or, (c) national or internationally recognized overnight courier, with all fees prepaid, **and received** by the State Point of Contact as specified in Section 3.4, by not later than 4:00 P.M. EDT on September 2, 2008. Access to any Due Diligence activities and information will be permitted only to those Proposers who have timely submitted such Notice of Intent to Propose.

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### 3.3 Proposer Conference

No Proposer Conference will be held for this procurement.

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### 3.4 State Point of Contact

Unless otherwise specified, Jacqueline Shirley ([jacqueline.shirley@ct.gov](mailto:jacqueline.shirley@ct.gov)) is the State Point of Contact for purposes of this RFP and subsequent Proposals. Non-electronic communications should be sent to:

State of Connecticut  
Department of Information Technology  
Contracts & Purchasing Division  
Attn: Jacqueline Shirley  
101 East River Drive  
East Hartford, CT 06108

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### 3.5 Proposer Questions, Interpretations, Addenda and State Response

The State intends to answer questions from any Proposer that is considering submitting a Proposal. However, no interpretation or clarification of any part of this RFP will be made orally to any Proposer. Questions received by CPD up until **August 29, 2008 at 4:00 P.M. EDT** will be answered. *All such questions must be addressed in writing and via email, to the State Point of Contact.* The State will not respond to telephone inquiries or visits by Proposers or their representatives regarding any aspect of the RFP.

In order to ensure proper processing of Proposer questions, Proposers must include reference to RFP #08ITZ 0069 on the subject line of the email message and shall reference the RFP Section/subsection (e.g. Section 3.4 Proposer Questions, etc ....) Questions must be written in Microsoft Word 2003, and included as an attachment to the email.

The State will endeavor to post responses to Proposer questions on the State of CT Procurement Portal weekly, through the week ending September 5, 2008. Any and all such answers, interpretations and supplemental instructions will be available to all Proposers and shall become part of this RFP.

Copies of this RFP are available only on the State of CT Procurement Portal (accessible through the DAS ([www.das.state.ct.us](http://www.das.state.ct.us)) or DOIT ([www.ct.gov/doit](http://www.ct.gov/doit)) websites). Access the RFP by selecting the IT Contracts & Purchasing tab and then click on the category entitled "Bid/Proposal Notices".



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## Section 4. Scope of Work and Selected Contractor Tasks

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### 4.1 Scope of Work

#### 4.1.1 Overview.

The State is issuing this RFP to obtain competitive Proposals from qualified Proposers to provide an integrated vehicle and licensing system, in order to better serve Connecticut's citizens, and DMV Stakeholders and Business Partners.

An integrated MOTS solution should simplify intradepartmental DMV business processes through a combination of automation, lead through processing and customer self-service features. DMV also requires improved information exchange and integration with other government agencies and Stakeholders and Business Partners through use of web services and e-gov solutions. The State is seeking a solution that will result in a full, agency-wide system implementation on an aggressive but achievable timetable, which may be deployed in phases, and that will produce visible and measurable improvements to the delivery of DMV products and services to the public.

The following sections describe the scope of work and the Contractor's responsibilities.

#### 4.1.2 Full Integration of Business Processes.

DMV's business processes must be fully-integrated in the proposed solution and contain all necessary elements for the DMV's daily business transaction processing, all pertinent aspects of which are described in **Schedule A**. This solution must be based on a customer-centric approach. The DMV's business processes, as further set forth in **Schedule A**, include:

- 4.1.2.1 Vehicle Services: Title and Registration;
- 4.1.2.2 Driver Services: Credentialing and Sanctioning;
- 4.1.2.3 Fiscal Management;
- 4.1.2.4 Customer;
- 4.1.2.5 Compliance;
- 4.1.2.6 Permits;
- 4.1.2.7 License and Manage Regulated Businesses;

- 4.1.2.8 Business Partner Services;
- 4.1.2.9 Records Management;
- 4.1.2.10 Inventory Control;
- 4.1.2.11 Audits;
- 4.1.2.12 Hearings and Appeals;
- 4.1.2.13 Inspections and Enforcement;
- 4.1.2.14 Business Administration Functions, including business rules, reporting capabilities, business intelligence capabilities and training;
- 4.1.2.15 Enterprise Electronic Capabilities, including document management; workflow and case management, forms and correspondence and appointment and scheduling; and,
- 4.1.2.16 Service Delivery Channels, including internet self-service and web portals.

The State is looking for an all-inclusive enterprise wide solution as described above.

The State recognizes that MOTS products will vary in their range of functionality and will require some level of customization to meet the requirements of the State. Since the State is seeking to modernize in an as aggressive but achievable timetable as possible, the State, in the selection process, will give strong consideration to alternatives in Proposals if it is determined that such alternative enhances the development, implementation, and operational aspects of and the timetable for CIVLS. Nevertheless, the State expects the Proposer's MOTS offering to address the DMV's full enterprise-wide requirements; however, the State may elect not to procure some of the Components that support the business processes set forth in **Schedule A**.

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## 4.2 Contractor Responsibilities

The Contractor will be responsible for the following:

- 4.2.1 Accepted Project Plan
  - 4.2.1.1 A detailed Project Plan describing all activities needed for the successful implementation of CIVLS; and,
  - 4.2.1.2 On-going Project management activities conducted in accordance with the Project Plan.

- 4.2.2 Completed and accepted integrated vehicle and licensing software, for all Components defined in the agreed-upon Project Plan.
  - 4.2.2.1 Documentation of all CIVLS requirements;
  - 4.2.2.2 Documentation of all system specifications including server hardware and software, workstation hardware and software and any other equipment necessary for the system; and,
  - 4.2.2.3 Delivery of all solution software Components that fulfill the CIVLS requirements and specifications.
  
- 4.2.3 Successful implementation, based upon a successful completed Acceptance Test of CIVLS.
  - 4.2.3.1 Installation of CIVLS;
  - 4.2.3.2 Installation of all associated hardware and software;
  - 4.2.3.3 Conversion of all required data;
  - 4.2.3.4 Successfully completed Acceptance Test, to the satisfaction of the State;
  - 4.2.3.5 Implementation of operation procedures; and,
  - 4.2.3.6 Deployment and rollout of CIVLS to all users.
  
- 4.2.4 Completed and accepted documentation, including:
  - 4.2.4.1 Systems documentation describing the application software;
  - 4.2.4.2 Operations documentation describing system operation activities;
  - 4.2.4.3 User documentation describing system usage; and,
  - 4.2.4.4 Training documentation for training activities.
  
- 4.2.5 Completed Training:
  - 4.2.5.1 Training curriculum approved by the State;
  - 4.2.5.2 Training satisfactorily provided for DMV staff on using CIVLS; and,

4.2.5.3 Training satisfactorily provided for IT staff on supporting, maintaining and operating CIVLS.

4.2.6 Ongoing support and maintenance of CIVLS:

4.2.6.1 Support activities, including service standards, during the Warranty Period as shall be set forth in the Contract; and

4.2.6.2 Support activities, including service standards, beyond the Warranty Period as shall be set forth in the Contract.

4.2.7 Optionally, procure hardware and software for the State:

4.2.7.1 At the State's discretion, purchase selected hardware and software required for CIVLS; and

4.2.7.2 Transfer ownership to the State upon Acceptance of the hardware and software following installation.

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## Section 5. Format for Proposals

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### 5.1 Part I: Transmittal Letter and Business and Technical Proposal

When constructing the Proposal, please be sure to take into consideration *all* requirements stated within this RFP, including all exhibits, schedules, addenda and riders to such document.

If the Proposer wishes to add supplemental information, and this is *encouraged*, especially if there is an innovative solution, or approach the State may not have considered, please first respond to all the State's requirements, and then add any alternative ideas, approaches, information, etc., and label that information "Supplemental Information" in the corresponding sections. If an alternative approach that Proposer believes may create significant value for the State, please include complete detail. Additionally, any alternative approach proposed must address how it will benefit the State through:

- An improvement of business processing time;
- A reduction in labor and/or work effort;
- An improved implementation time;
- A lower total cost of operation/ownership; and,
- Proven performance and reliability in other official government motor vehicle agencies within U.S. jurisdictions, if applicable.

All Proposal text must be specifically cross-referenced to the RFP section and/or Schedule number(s) to which a given part of the Proposal applies and presented in the same order provided within the RFP. The Proposal must contain the requested content and submitted in the form requested in Section 6.

Please structure the Proposal as follows. Part I of the Proposal should follow the order below, and each Article and sub-article should be numbered so it is clearly identifiable:

- Article 1: Transmittal Letter
- Article 2: Executive Summary
- Article 3: Approach: 3.1 Project Plan; 3.2 Roles and Responsibilities; and 3.3 Implementation
- Article 4: Background and Experience: 4.1 Organizational Structure; 4.2 Financial Capability; 4.3 Experience and Ability; 4.4 Legal Issues History; 4.5 Key Personnel; 4.6 Affirmation of Due Diligence
- Article 5: References

- Article 6: Response to Solutions Requirements (See, **Schedule A**) and Solutions Summary Matrix (See, **Schedule B**)

Part II of the Proposal is the Confidential Cost Proposal.

### 5.1.1 Article 1: Transmittal Letter

The Transmittal Letter is attached to this RFP as **Schedule D**. It must be delivered on the Proposer's letterhead with the original signature of the individual or official authorized to submit a binding proposal on behalf of the Proposer and affixed with the corporate seal, if any.

### 5.1.2 Article 2: Executive Summary

Provide an executive summary of the most salient aspects of the Proposal in terms of satisfying the requirements of this RFP. The executive summary must provide a high-level overview of the Proposal in such a way as to demonstrate a broad understanding of not only the State's needs and objectives, but of all the RFP requirements. Proposers must summarize their understanding of the goals stated in the RFP, the intended results of the Project, the scope of work and, any issues related to this Project which Proposers believe need to be addressed. Additionally, Proposers must discuss in detail, any assumptions they have made which in any way require or include the leveraging of *any* State resources.

The executive summary shall not mention the dollar amount proposed for the Project.

### 5.1.3 Article 3: Approach

#### 5.1.3.1 Project Plan

Proposals must include a proposed Project Plan that is as detailed as possible, and that realistically addresses an aggressive but achievable timetable. The State's Project Administrator will work in collaboration with the Contractor's Project Manager and staff to finalize the Project Plan, including a Project work breakdown structure, within thirty (30) calendar days after Contract execution.

In keeping with sound project management practices, the State requires that the Contractor provide periodic reports based upon the Project Plan, which indicate specific estimates of work remaining (broken down by milestones, deliverables and tasks) on an ongoing basis until completion of the Project. The proposed Project Plan shall fully explain the assumptions and expectations the Proposer has of the State with respect to legacy technology systems, conversion and other implications on the operations of the DMV. Moreover, the Project Plan shall detail the implications of installation on the maintenance and

warranty needs of the State. Additionally, the Project Plan shall contain the following:

(a) Detailed information on how the Proposer intends to implement the RFP's Solutions Requirements as set forth in **Schedule A**. It must be comprehensive and include all solution Components as required in the RFP.

(b) If the Proposer recommends a phased approach, the State prefers an implementation plan that includes deployment of CIVLS on an aggressive but achievable timetable. Moreover, if a phased approach is proposed, the Proposer must provide in the Proposal a:

- Description of the proposed phased approach;
- Description of which Components are included in each phase of implementation; and,
- Rationale and the corresponding benefit to the State for such an approach.

Additionally, all Components implemented and accepted prior to Full System Acceptance shall be, and will remain, under full warranty by the Proposer until the close of the Warranty Period.

(c) Project milestones, deliverables, and tasks must be identified by the Proposer, and should be based on application lifecycle activities. These include: user/system requirements specification, system design document, test plan, application software, associated documentation, user/IT training, and others. Payment schedules in the Contract shall be milestone-based.

(d) All deliverables must include a review and Acceptance process.

(e) Staffing needs should be specified by activities, number of resources, as well as identifying State/Contractor resources and skills requirements, and roles and responsibilities.

### 5.1.3.2 Roles and Responsibilities Table

The following table sets forth the anticipated roles and responsibilities of the Contractor and the State for this Project. In the event the Proposer disagrees with the provisions of the table, or believes that there are additional roles and responsibilities not listed in the table, the Proposer shall include in the Proposal: alternative provisions and modification of the chart documenting the alternative roles for the State and Contractor (with associated pricing included in the confidential cost Proposal) for the State's consideration; a clear statement of its rationale for the proposed modification thereof; and, a

statement of the ways and means that the recommended modification would better serve the interests of the State and the implementation of CIVLS. IT IS NOT ACCEPTABLE to simply replace a provision within the table without explanation.

In order to facilitate the review of the table please note the following:

(a) Lead (L) means the party with primary responsibility and ownership for the effort. Such assistance includes the contribution of skills and resources to complete the Project in accordance with the technical and functional requirements detailed within this RFP.

(b) Support (S) means the party with supporting roles in the performance of the effort. Such assistance includes the contribution of skills and resources to complete the Project in accordance with the technical and functional requirements detailed within this RFP.

|          | <b>Roles and Responsibilities</b>                | <b>Proposer</b> | <b>State</b> |
|----------|--|-----------------|--------------|
| <b>1</b> | <b>Project Management</b>                        |                 |              |
| 1.1      | Operate Program Management Office (PMO).         | S               | L            |
| 1.2      | Manage Contractor Project Team and Project Plan. | L               | S            |
| 1.3      | Manage State Project Team and Project Plan.      | S               | L            |
| 1.4      | Perform management and oversight of the Project. | S               | L            |
| 1.5      | Authorize and approve change.                    |                 | L            |
| 1.6      | Implement change.                                | L               | S            |
| <b>2</b> | <b>Quality Assurance</b>                         |                 |              |
| 2.1      | Conduct QA Planning and Measurement.             | L               | S            |
| 2.2      | Ensure quality of application system.            | L               | S            |
| 2.3      | Establish risk and change management controls.   | L               | S            |
| 2.4      | Schedule and conduct QA                          | S               | L            |



|          | <b>Roles and Responsibilities</b>   | <b>Proposer</b> | <b>State</b> |
|----------|---|-----------------|--------------|
|          | management meeting.   |                 |              |
| 2.5      | Authorize and approve QA initiatives and activities.  |                 | L            |
| <b>3</b> | <b>Technical Architecture</b>   |                 |              |
| 3.1      | Recommend technology architecture, including hardware, software and network specifications. | L               | S            |
| 3.2      | Authorize and approve technology platform.  |                 | L            |
| 3.3      | Recommend policies and procedures.  | L               | S            |
| 3.4      | Authorize and approve policies and procedures.  | S               | L            |
| 3.5      | Define services and standards.  | L               | S            |
| 3.6      | Manage/track change requests and orders.  | S               | L            |
| <b>4</b> | <b>Implementation Activities</b>  |                 |              |
| 4.1      | Design data structures.   | L               | S            |
| 4.2      | Design program Modules.   | L               | S            |
| 4.3      | Determine & manage functional requirements.   | S               | L            |
| 4.4      | Recommend service level requirements.   | L               | S            |
| 4.5      | Authorize and approve requirements definition.  | S               | L            |
| 4.6      | Develop functional specifications.  | L               | S            |
| 4.7      | Create and configure application programs.  | L               | S            |
| 4.8      | Conduct unit testing of Modules.  | L               | S            |
| 4.9      | Install all system and application Components.  | L               | S            |
| 4.10     | Provide in-person assistance during initial implementation period.                          | L               | S            |
| 4.11     | Review and approve application implementation.  |                 | L            |

|          | <b>Roles and Responsibilities</b>  | <b>Proposer</b> | <b>State</b> |
|----------|--|-----------------|--------------|
| <b>5</b> | <b>Training</b>  |                 |              |
| 5.1      | Plan and execute training for business users and IT staff.               | L               | S            |
| 5.2      | Provide training materials.  | L               | S            |
| 5.3      | Review and approve training approach.                                    |                 | L            |
| <b>6</b> | <b>Testing</b>   |                 |              |
| 6.1      | Test system conformance to functional requirements.                      | L               | S            |
| 6.2      | Test system conformance to usability standards.                          | L               | S            |
| 6.3      | Conduct user Acceptance testing.   | S               | L            |
| 6.4      | Ensure system conformance to naming/operational standards.               | S               | L            |
| 6.5      | Review and approve quality assurance testing.                            |                 | L            |
| 6.6      | Repair defects.  | L               | S            |
| <b>7</b> | <b>System Operations &amp; Management</b>                                |                 |              |
| 7.1      | Install system Components as needed.                                     | L               | S            |
| 7.2      | Design and develop backup and recovery procedures.                       | L               | S            |
| 7.3      | Develop disaster recovery plan and procedures.                           | S               | L            |
| 7.4      | Perform capacity planning and performance management.                    | L               | S            |
| 7.5      | Develop comprehensive security plans and procedures.                     | L               | S            |
| 7.6      | Perform system operations and system management tasks.                   | S               | L            |
| 7.7      | Provide business user, technical, operations and training documentation. | L               | S            |
| <b>8</b> | <b>Data Management</b>   |                 |              |
| 8.1      | Perform data modeling.   | L               | S            |

|           | <b>Roles and Responsibilities</b>   | <b>Proposer</b> | <b>State</b> |
|-----------|---|-----------------|--------------|
| 8.2       | Design and create database.   | L               | S            |
| 8.3       | Determine data element naming conventions.                                      | S               | L            |
| 8.4       | Determine data element access levels.   | L               | S            |
| 8.5       | Monitor compliance with naming conventions.                                     | S               | L            |
| 8.6       | Recommend DBMS/tools for implementation.  | L               | S            |
| 8.7       | Monitor and optimize DBMS performance.  | L               | S            |
| 8.8       | Recommend data conversion strategies.   | L               | S            |
| 8.9       | Perform data conversion (extract & transform).                                  | L               | S            |
| 8.10      | Perform data import and loading.  | L               | S            |
| 8.11      | Perform data cleansing.   | S               | L            |
| 8.12      | Perform data validation.  | S               | L            |
| 8.13      | Review and approve data management constructs.                                  |                 | L            |
| <b>9</b>  | <b>Maintenance &amp; Support</b>  |                 |              |
| 9.1       | Provide application support activities during warranty and maintenance periods. | L               | S            |
| 9.2       | Provide hardware, system software and network support activities.               | S               | L            |
| <b>10</b> | <b>Hardware and Software</b>  |                 |              |
| 10.1      | Decision to procure required hardware and software.                             |                 | L            |

### 5.1.3.3 Implementation Approach

The Proposer shall recommend an approach for the implementation of a complete and integrated solution within an aggressive, but achievable timetable

The Proposal shall provide detailed descriptions of how the Proposer anticipates accomplishing the Project relative to

methodology, tools, personnel, roles, responsibilities, phasing, etc. with the objectives of: demonstrating to the State that the Proposer understands the tasks and level of effort involved to produce each of the required deliverables; and, identifying what is required of the State in order for the Proposer to implement CIVLS.

In the introductory provisions the Proposer shall provide a high level description of its approach to implementing CIVLS.

Additionally, the implementation approach must contain a narrative setting forth detailed descriptions including, but not limited to, the following:

(a) **Project Management**

(1) Assumptions and constraints upon which the Project Plan is predicated;

(2) Description of a project management office (including organization chart), with associated roles and responsibilities;

(3) Breakdown of Proposer staff and State staff needed throughout the Project by milestone and by position type; and,

(4) Description of the Proposer's project management approach, including all plans and processes.

(b) **Quality Assurance**

(1) Plans to evaluate overall Project performance on a regular basis to maintain a level of State confidence that the Project shall satisfy the relevant quality standards;

(2) Methods and tools to evaluate specific results to determine compliance with relevant quality standards and identify ways to eliminate causes of unsatisfactory results;

(3) Procedures to ensure the quality of application software;

(4) Methods to identify and mitigate risks and issues; and,

(5) Staffing requirements, roles and responsibilities.

(c) **Technical Architecture**

(1) Concepts and approaches in formulating the technical solution;

(2) Description of the architecture and its Components;

(3) Detailed specification of hardware and software configurations, including servers located centrally and equipments at all offices;

(4) Plans for reusing existing Components;

(5) Network configurations and topologies - including wide-area network and local-area network;

(6) Policies and procedures for technical management; and,

(7) Staffing requirements, roles and responsibilities.

**(d) Implementation Activities**

(1) Approaches to collecting and analyzing functional and non-functional requirements;

(2) Methods for application design, customization and development;

(3) Procedures for configuration management and system version control of Project artifacts;

(4) Approaches for change management of the requirements definition and software configuration;

(5) Methods for sizing and addressing system capacity and performance needs;

(6) Deployment activities for hardware, software and application systems;

(7) Approaches for go-live and cutover;

(8) Description of Project transition steps to ensure a handoff to the State with minimal disruption; and,

(9) Staffing requirements, roles and responsibilities.

**(e) Training**

(1) Descriptions of training plans and curriculums;

(2) Descriptions of training materials provided, and process for updates/content management of the training materials;

(3) Approaches to provide business user training statewide;

(4) Approaches to provide comprehensive training for State IT staff (system administrators, application developers, database administrators, operators, and others) so that the State can be self-sufficient in administering, supporting and operating the system;

(5) Descriptions on how to leverage computer-based instruction to provide effective and efficient training;

(6) Specifications of hardware and software environment required for training; and

(7) Staff requirements, roles and responsibilities.

**(f) Testing**

(1) Descriptions of the various types of testing that will be required for the Project;

(2) Adoption of established testing method, and utilization of a set of testing tools to automate the testing process;

(3) Specifications of hardware and software environment required for testing;

(4) Methods for tracing test cases to functional requirements defined in the requirements and analysis phases; and

(5) Staffing requirements, roles and responsibilities.

**(g) System Operations and Management**

(1) Procedures for managing user, application and system documentation;

(2) Approaches for capacity planning and performance management;

(3) Plans to provide a comprehensive set of security facilities to safeguard CIVLS and associated data;

(4) Methods for backup/recovery services;

(5) Provisions for business continuity and disaster recovery;

(6) Recommendations for service level agreements with hosting provider; and,

(7) Staffing requirements, roles and responsibilities.

**(h) Data Management**

(1) Approaches for converting and migrating data from existing data stores to the new, integrated databases;

(2) Approaches to cleanup existing data;

(3) For a phased approach, plans to keep multiple data stores synchronized;

(4) For operation and warehouse data, methods to replicate data across these databases; and,

(5) Staffing requirements, roles and responsibilities.

**(i) Warranty, Maintenance and Support**

(1) Descriptions on how to provide support activities during Warranty Period, including service standards;

(2) Descriptions of proposed on-going support and maintenance after the Warranty Period for minimum period of eight years, in two year increments, including service standards;

(3) Procedures for providing second and third-level help-desk support activities; and,

(4) Staffing requirements, roles and responsibilities.

**5.1.4 Article 4: Background and Experience**

**5.1.4.1 Organizational Structure**

(a) Describe the Proposer's total organization, including any Proposer Parties. Provide an organization chart for the overall organization showing each entity within the organization, as well as the chain of authority from the chief executive to the Project Manager directly responsible for this Project.

(b) Is the parent corporation of the Proposer's corporate structure being proposed as the Contractor in a Contract with the State? If not, please clearly identify the entity that is being proposed as the Contractor, and its relationship within the structure described in (a).

(c) Clearly identify any partners and describe in detail the roles that each will have in the redevelopment and/or operation and/or management activities herein. Please describe their organizations, annual revenues and the length of time they have been in business.

(d) Clearly identify any Subcontractors that the Proposer intends to use to provide any of the services necessary to fulfill the requirements of this RFP. Please describe their organizations, annual revenues and the length of time they have been in business.

(e) Provide an organization chart, or facsimile thereof, depicting the operating relationship between the Proposer, Proposer Parties, all partners, Subcontractors and other entities that would play a significant role in this Project, including those that will interface directly with the State.

(f) Describe any current or planned business or other contractual obligations that may have any influence on the capability of the Proposer, Proposer Parties, any of its partners or Subcontractors to meet the requirements of this RFP.

(g) Describe in detail, the roles and responsibilities of the Proposer, Proposer Parties and each of the partners or Subcontractors in any of the current or planned business or other contractual obligations.

#### **5.1.4.2 Financial Capability**

(a) For each entity identified in Section 5.1.4.1, provide relevant Proposer and, the applicable Proposer Parties documents that describe their financial status, such as audited financial statements, annual reports, and 10-K reports, for the three (3) most recent years.

(b) Provide a copy of the Proposer's and the applicable Proposer Parties most recent and comprehensive business/credit report available from Dun and Bradstreet and two (2) other credit reporting agencies.

(c) For each entity identified in Section 5.1.4.1, specify the entity's total annual revenue for the prior three (3) years, number of employees, products and services, affiliated companies, and other descriptive information.

(d) Describe the Proposer's and the applicable Proposer Parties internal audit standards and compliance record with applicable governmental regulations. Include a brief description of any deficiencies noted in the three (3) most recent audits, the steps taken to remedy these deficiencies, and the name of the outside firm conducting these audits.

#### **5.1.4.3 Experience and Ability**

(a) Provide a detailed statement describing the Proposer's past experience with MOTS solutions, and the Proposer's ability to develop, implement and maintain motor vehicle registration and driver licensing systems.

(b) Describe in detail, for the Proposer, applicable Proposer Parties, any partners or Subcontractors, all



qualifications and capabilities to provide the services necessary to meet the requirements as set forth in this RFP

(c) Explain how the Proposer will ensure that personnel performing the work for the State are qualified, trained and proficient.

#### 5.1.4.4 Legal Issues History

For purposes of this section, the scope of each question includes the Proposer, any Proposer Parties, partners and Subcontractors.

(a) During the five (5) years immediately preceding submission of the Proposal, has the Proposer or any of its Proposer Parties, partners or Subcontractors been the subject of any bankruptcy, insolvency, reorganization or liquidation or receivership proceedings? If so, please explain.

(b) During the five (5) years immediately preceding submission of the Proposal, has the Proposer or any of its Proposer Parties, partners or Subcontractors been the subject of any litigation, investigation or proceeding before or by an arbitrator or Governmental Authority which is continuing or threatened against the Proposer or any of the other Proposer Parties, partners or Subcontractors involving: (1) Contractor default or claims of breach by a Governmental Authority or failure to perform services in accordance with the terms of one or more agreements with Governmental Authorities; (2) Conviction of a criminal offense, including, but not limited to fraud, embezzlement or dishonest acts with respect to obtaining, attempting to obtain or performing a transaction or contract for a Governmental Authority or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, receiving stolen property, tax evasion, violating federal criminal tax laws, or receiving stolen property; (3) Violation of federal or state antitrust statutes relating to the submission of offers or proposals or the commission of any unfair trade practices; (4) Tax and securities law violations, including fraud and delinquency; (5) Ethics, conflict of interest, corrupt practice and campaign contributions violations; (6) Breach of duty of good faith and fair dealing or (7) Violation of the U.S.A. Patriot Act provisions pertaining to business practices. If so, please explain.

(c) During the five (5) years immediately preceding submission of this Proposal has the Proposer or any of its Proposer Parties, partners or Subcontractors been convicted of any criminal violations(s) of any environmental or health and safety law? If so, please explain.

(d) Is there, or has there been within the last five (5) years immediately preceding the submission of the Proposal, any litigation or governmental or regulatory action pending or threatened against the Proposer or any of its Proposer Parties, partners or Subcontractors that might have a bearing on the ability of the Proposer, Proposer Parties, partners or Subcontractors to provide services to the State (e.g., litigation with any state; or litigation between the aforementioned organizations and any third party provider of required services to the State, etc.)? If so, please explain.

(e) Has the Proposer, any partner or Subcontractor been principally involved in any legal or administrative actions directly with the State? If so, please explain.

#### **5.1.4.5 Key Personnel**

(a) Describe any key personnel, along with their qualifications and experience that are part of the Proposal. At a minimum, “key personnel” shall include, but are not limited to: Project Manager, assistant Project Manager and overall technical manager.

(b) Is the Proposer willing to commit to keep these key individuals in place until operations have reached a state whereby all requirements of a Contract, resulting from this RFP, have been satisfied? Please explain.

#### **5.1.4.6 Affirmation of Due Diligence Representations**

(a) Please affirm the representations in this RFP with respect to Due Diligence.

### **5.1.5 Article 5: References**

The references attached to the Notice of Intent to Propose shall be attached to the Proposal.

### **5.1.6 Article 6: Response to Solutions Requirements**

The Proposer’s approach and manner of response to the RFP’s Solutions Requirements in **Schedules A** and **B** is addressed through the following sections.

#### **5.1.6.1 Solutions Requirements Document**

**Schedule A** contains the business and technical requirements for responding to this RFP (as well as a series of Appendices for reference). **Schedule A**, Sections 1 – 4 require no direct response from Proposers. **Schedule A**, Sections 5 – 15 require direct narrative responses from Proposers in the following manner:

- Title Sections (i.e., Section 5): These narratives should be in the form of overviews of the entire Section responses. The level of detail should be general and as non-technical as possible.
- Major Subsections (i.e., 5.1): These narratives should explain in detail the Proposer’s plan to meet the requirements of a particular Subsection. These narratives should provide details of the solutions and complement the Title Section responses.
- Secondary Subsections (i.e., 5.1.1): Narratives to these Subsections require detailed explanations of how each response meets the requirements of that Subsection, Tertiary Subsection requirements, if any, specific features of the solution and how the solution integrates with the Major Subsection(s). These narratives should complement the responses to the Title Section and Major Subsection responses without repeating them.
- Tertiary Subsections (i.e., 5.1.1.1): Each of these Subsections requires a brief narrative response acknowledging the requirement and providing any additional detail necessary. **These responses may not exceed two (2) paragraphs.**

All responses to **Schedule A** must follow the numbering sequence contained within the Schedule and have each Title Section, Major Subsection, Secondary Subsection and Tertiary Subsection clearly identified by number in bold type.

#### 5.1.6.2 Solutions Summary Matrix

In **Schedule B**, the State has provided a matrix containing a summary of the functional and non-functional solutions requirements. Proposers must complete this matrix and include it in the Business and Technical Proposal. Instructions for completing the matrix are provided in **Schedule B**.

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## 5.2 Part II: Confidential Cost Proposal

Develop the confidential cost Proposal for the Contract Term and the cost for maintenance and warranty, in accordance with the guidelines set forth in **Schedule E**. The cost Proposal shall be kept completely separate and marked “confidential”. There shall be no reference to or discussion of costs in any part of the Proposal other than in the cost Proposal.

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## Section 6. Instructions for Proposal Submission

Proposals must be received by 4:00 P.M. EDT on October 1, 2008. Faxed or e-mailed Proposals will not be considered. Proposals must be delivered to the State Point of Contact in boxes no larger than the normally sized “cardboard boxes” which usually accommodate 10 reams of 500 count sheets of paper. Each box must be clearly marked with the Proposers name and address, the RFP number, and the contents of each box.

The Proposal and copies must be bound in a loose leaf or spiral binder with the Proposer’s name on the front cover and on each page. Each page in the binder must be numbered consecutively in Arabic numbers from the beginning of the binder (Transmittal Letter) to the end. Identify each section (and to the degree feasible, each subsection) with clearly distinguished and labeled “tabs,” keyed to the Table of Contents, so that specific sections can be easily referenced.

Proposers shall comply with all RFP instructions and conditions when responding to this RFP. Failure to conform to these instructions may cause disqualification. The State, in its sole discretion, may reject any nonconforming Proposal.

Proposals should be designed to illustrate an understanding of the Proposers’ competency and expertise in meeting the requirements of this RFP. Proposals should be prepared simply and economically, providing a straightforward, concise description of the capabilities of the Proposer and the solution they are proposing. Emphasis should be on completeness and clarity of content.

The Proposer shall ensure that adequate and accurate responses are provided. It is the responsibility of the Proposer to provide complete answers to each requirement even if that results in redundant, duplicated material within the Proposal. Additionally, in the event the Proposer provides an alternative approach to an RFP requirement in its Proposal, such alternatives shall be highlighted in **blue**. The Evaluation Committee shall not be required to search for the answers in other sections of the Proposal.

Proposals must be submitted in two distinct parts:

**Part I: Transmittal Letter and Business and Technical Proposal**

- One (1) signed, printed and bound original Business and Technical Proposal
- Ten (10) additional printed and bound copies of the original Business and Technical Proposal
- Twenty-five (25) CD ROM-based electronic copies of the original Proposal (business and technical elements) in Microsoft© Word Version 2003. Spreadsheets must be submitted in Microsoft© Excel Version 2003, and financials and other supporting documentation may be submitted in PDF (or other readable format), if that is the only format available.

## **Part II: Confidential Cost Proposal**

Proposers must submit the Confidential Cost Proposal in a separate sealed package. Cost Proposals shall include the Project budget, proposed software costs, implementation costs, test and training environment costs, and training costs. Proposers MUST use the "Cost Proposal Worksheet" in **Schedule E** to record and submit the costs associated with the Proposal. The package must contain:

- One (1) signed, printed and bound original Cost Proposal
- Ten (10) additional printed and bound copies of the original Cost Proposal
- Twenty-five (25) CD ROM-based electronic copies of the cost Proposal in Microsoft© Word Version 2003. Spreadsheets must be submitted in Microsoft© Excel Version 2003.

### **Restrictions on Communications with State Staff**

From the date of release of this RFP until the execution of a Contract as a result of this RFP, all contacts with personnel employed by or under contract to the State are restricted. During the same period, no prospective Proposer shall approach personnel employed by or under contract to the DOIT, DMV or any other State agency participating in the evaluation of Proposals and any other related matters. An exception to this restriction will be made for Proposers who, in the normal course of business under a current contract with the affected agencies, may need to discuss legitimate business matters concerning their on-going work with the contracting agency.

Violation of these conditions may be considered sufficient cause by the State to reject a Proposer's Proposal, regardless of any other consideration.

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## Section 7. Evaluation Process

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### 7.1 Evaluation Committee and Selection Process

An Evaluation Committee consisting of DMV and DOIT personnel will evaluate the proposals using a pre-determined, point scoring methodology. The Evaluation Committee will forward the names and scoring results of all qualified and responsive Proposers to the Commissioner for review and comments. The Evaluation Committee shall consider all numeric scores as well as applying their professional experience when making their recommendation. The final report will then be forwarded to the CIO. The award to negotiate will be made by the CIO based on the recommendation of the Commissioner, report of the Evaluation Team and professional experience.

#### 7.1.1 Evaluation Criteria and Weightings

The following table indicates the evaluation criteria and the basic point allocation for each area reviewed. The final allocation shall be determined prior to the deadline for Letters of Intent and shall be posted as an Amendment. However, no more than two percentage points shall be taken away from any of the following areas:

| Criteria  | %    |
|---|------|
| Proposer's experience and qualifications  | 7    |
| References  | 5    |
| Resources   | 6    |
| Approach (and plan, as described in Proposer's offering)  | 15   |
| Functional requirements: Solutions Summary Matrix and the Proposer's narrative response to Solutions Requirements | 25   |
| Cost  | 12   |
| On-Site Demonstration, Hands-on Evaluation, and oral response to questions  | 30   |
|   | 100% |

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### 7.2 Cost Proposal Evaluation

#### 7.2.1 Proposer Cost Worksheets

Proposer Cost Worksheets are included in **Schedule E**. **Schedule E** must be filled out without changes, amendments or deletions to the form itself. It must be placed in a separate, sealed envelope that is clearly marked with the Proposer's name, RFP Number and the words "**CONFIDENTIAL COST PROPOSAL**"

### **7.2.2 Cost Proposal Scoring**

Cost Proposals will be scored by providing the lowest cost Proposal with the highest allowable points and each other Proposer receiving a proportionate number of points.

For instance, if there were 1,000 points available and Proposer A had the low bid of \$10,000,000, that Proposer would receive 1,000 points. Proposer B was second with a bid of \$12,000,000 Proposer B would receive points through the following formula:  $10,000,000/12,000,000*1,000$ . Therefore,  $10,000,000/12,000,000=83.3\%$ ;  $1,000* .833 = 833$  points for Proposer B. (Please note that the points represented here are for demonstration purposes only.)

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## **7.3 Best and Final Proposals**

If the State determines that is in its best interest to enter a BAFP process it will do so in accordance with established State standards for Competitive Negotiation.

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## **7.4 Impartial Review**

In order to ensure an impartial process, all evaluation materials shall be delivered to and approved by the CPD prior to the release of this RFP. All Proposers and their Proposals will receive the same scrutiny and be required to meet the same standards.

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## **Section 8. Proposal Conditions**

The provisions of Section 8 deal with Proposal Conditions, Due Diligence, and Proposal Requirements and Representations. These provisions include language, conditions, requirements and representations that are applicable to the construction of Proposals and the assumptions, approaches and methodologies of the Proposer. For the successful Proposer, many of these provisions will be integrated into the subsequent Contract.

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### **8.1 Proposal Conditions**

#### **8.1.1 Adequacy and Completeness of Proposal: Acceptance of Administrative Requirements.**

Failure to either respond to the information required in this RFP, or to provide any other mandatory items, may result in rejection of the Proposal as non-responsive by the State, in its sole discretion. Accordingly, Proposers must include, in the Transmittal Letter, statements accepting the administrative and other requirements set forth in this RFP and all Proposals must reflect compliance with such requirements.

#### **8.1.2 Mandatory Terms and Conditions.**

Each Proposer is required to review the mandatory requirements as well as the Proposal conditions and legal terms and conditions.

#### **8.1.3 Binding Effect of Proposal: Validation and Affirmation.**

The Proposal shall be a binding commitment which the State at its sole discretion, may include by reference or otherwise, into any Contract with the Contractor. Accordingly, the Transmittal Letter and Proposal shall be signed by an individual authorized to bind the Proposer. Said Transmittal Letter shall further contain a statement to the effect that the Proposal is a firm offer for a three hundred sixty-five (365) calendar day period from the date of the opening; or, as otherwise agreed upon between the State and the Proposer(s). Moreover, all prices, costs and formulae quoted shall be firm and fixed for the full Contract Term.

#### **8.1.4 RFP Not An Offer.**

This RFP does not constitute an offer by the State. Moreover, even if the State initially elects to enter into discussions with a Proposer, no binding contract, obligation to negotiate or discuss, or any other obligation shall be created unless a Contract is executed by the State and that Proposer (subject to approval by the Office of the Attorney General). Furthermore, the commencement of such discussions does not signify a commitment by the State to execute a Contract or to continue discussions. The



Proposer or the State can terminate discussions at any time and for any reason.

Any recommendations or conclusions from this RFP-process concerning a Proposer shall not constitute a right (property or otherwise) under the Constitution of the United States or under the Constitution, case law, and statutory law of the State. Each Proposer waives any right it may have to bring any claim, whether in damages or equity, against the State, its agents and employees, with respect to any matter arising out of any process associated with this RFP. Moreover, this RFP does not commit the State to enter into a Contract or similar undertaking with any Proposer or any other organization.

#### **8.1.5 Deviating from RFP Requirements.**

The State may reject any Proposal that deviates significantly from the requirements of this RFP. Proposers submitting Proposals with any exceptions from requirements must identify and fully justify such exceptions for State consideration, in accordance with Section 8.1.24 of this RFP.

#### **8.1.6 Oral Agreement or Arrangements.**

Any alleged oral agreements or arrangements made by Proposers with any State agency or employee will be disregarded in any State Proposal evaluation or associated award. Moreover, any alleged oral agreement or arrangement with any agency or employee shall be void and of no effect.

#### **8.1.7 Contract Management**

The Commissioner will assign a Contract Administrator who will work with the Project Administrator and the Project Manager to ensure that the terms and conditions of the Contract are met, that approved payments to the Contractor are made, that the Project budget is appropriately accounted for, and that approved Contract dispute resolution measures are followed.

#### **8.1.8 Implementation Time Frame**

The State anticipates an aggressive implementation approach and requests each Proposer to provide DMV with an achievable full, agency-wide system implementation timetable. In connection with its Due Diligence obligations each Proposer shall address the State's implementation approach and inform the State of any foreseeable impediments to compliance therewith.

#### **8.1.9 Requirement for Representation as to the Accuracy and Completeness of the Proposal.**

To be acceptable, Proposals must contain all required information and statements in the form and order requested by this RFP. Proposals must submit "none" or "not applicable" responses to any RFP question and information request, when such a response is the only appropriate response. Moreover, each Proposer shall make the following representations and warranty in the Transmittal Letter, the falsity of which might result in rejection of its Proposal:

“The information contained in this Proposal or any part thereof, including its Exhibits, Schedules, and other documents and instruments delivered or to be delivered to the State is true, accurate, and complete. This Proposal includes all information necessary to ensure that the statements therein do not in whole or in part mislead the State as to any material fact.”

**8.1.10 Requirement for Representation Pertaining to Collusion or Conflict of Interest.**

By responding to this RFP, the Proposer shall be deemed to have represented, certified and warranted that:

- 8.1.10.1** The Proposal is not made in connection with any Proposer submitting a separate response to this RFP, and is in all respects fair and without collusion or fraud;
- 8.1.10.2** The Proposer did not participate in the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance and that no employee of the State participated directly or indirectly in the Proposer’s preparation of the Proposal;
- 8.1.10.3** No employee of the State participated directly or indirectly in the preparation of the Proposer’s response; and,
- 8.1.10.4** The Proposer has not employed or retained any Person other than bona fide employees or consultants working solely for the selected Proposer(s) to solicit or secure the Contract and that it has not paid or agreed to pay any Person any fee, commission, percentage, brokerage fee, gift or any other consideration contingent upon or resulting from the award or making of the Contract.

The Contract shall include a provision for the breach or violation of the stipulation contained in sub-section 8.1.10.4, above, granting the State the right to annul the Contract without liability, or, at its discretion, to deduct from the agreed price or consideration or otherwise to recover the full amount of such fee, commission, percentage, brokerage fee or contingent fee.

#### **8.1.11 Independent Price Determination.**

A Proposal will not be considered for award if the price in the Proposal was not arrived at independently, without collusion, consultation, communication, or agreement as to any matter related to such Proposal with any other Proposer, competitor, or public officer.

By submission of a Proposal, the Proposer shall be deemed to have represented, warranted and certified that, the following requirements have been met in connection with this RFP:

**8.1.11.1** The costs proposed have been arrived at independently, without consultation, communication, or agreement for the purpose of restricting competition as to any matter relating to such process with any other organization or with any competitor.

**8.1.11.2** Unless otherwise required by law, the costs quoted have not been knowingly disclosed by the Proposer on a prior basis, directly or indirectly, to any other organization or to any competitor.

**8.1.11.3** No attempt has been made or will be made by the Proposer to induce any other Person to submit or not to submit a Proposal for the purpose of restricting competition.

#### **8.1.12 Ownership of Proposals.**

Upon receipt, all Proposals submitted shall become the sole property of the State. Except as expressly provided in Section 8.1.13, the State is not restricted in its rights to use or disclose any or all of the information contained in the Proposal. The State shall not be bound by any language in the Proposal indicating the confidentiality of the Proposal or any other restriction on its use or disclosure.

#### **8.1.13 Trade Secrets/Proprietary Information/FOI.**

Upon receipt at DOIT's offices, the Proposal is considered a public record or file, subject to disclosure under the provisions of FOIA and the corresponding regulations. Accordingly, the Proposer shall identify any and all commercial or financial information that it deems to be submitted in confidence and believes is not required to be disclosed under FOIA. Those particular sentences, paragraphs, pages or sections that a

Proposer believes to be either proprietary, a trade secret or otherwise confidential shall be specifically identified as such. Any and all information that the Proposer submits under this provision shall be separated from the remainder of the Proposal and enclosed in a separate envelope. Convincing explanation and rationale sufficient to justify each exemption from release consistent with C.G.S. §1-210(b) shall accompany the Proposal.

The rationale and explanation shall be stated in terms of the prospective harm to the competitive position of the Proposer that would result if the identified material were to be released. The Proposer shall state the reasons it believes the materials are legally exempt from release pursuant to FOIA. The final administrative authority to release or exempt any or all material so identified rests solely with the State, subject to adjudication by the Freedom of Information Commission should the Proposer's request be challenged.

In submitting a Proposal, each Proposer agrees that the State may reveal any trade secret materials contained in such response to all staff and officials involved in the selection process, and to any outside consultant(s) or other third parties who serve on the Evaluation Committee or who are hired to assist in the selection process. Furthermore, each Proposer agrees to indemnify and hold harmless the State and each of its officers, employees, and agents from all costs, damages and expenses incurred in connection with refusing to disclose any material which the Proposer has designated as confidential or as a trade secret. Any Proposer that designates its entire Proposal as confidential or a trade secret may be disqualified by the State, in its sole discretion.

#### **8.1.14 Proposal Expenses.**

The State assumes no liability for payment of any costs or expenses incurred by any Proposer in (a) responding to this RFP; (b) preparing responses for clarification; (c) submitting to interviews; (d) preparing and participating in a Proposer's On-site, Hands-on Demonstrations; (e) negotiating the Contract; (f) attending meetings and presentations required for the Contract approval process; or, (g) engaging in any activity related to this RFP and the subsequent Contract negotiation process. Each Proposer that enters into the procurement process shall prepare the required materials and submittals at its own expense and with the express understanding that they cannot make any claims whatsoever for reimbursement from the State for the costs and expenses associated with this RFP process.

#### **8.1.15 Conformance of Awards with State Statutes.**

Any award resulting from this RFP must be in full conformance with State statutory, regulatory and procedural requirements, including executive orders. The State's statutes and regulations are available through the Office of the Secretary of the State of Connecticut.

#### **8.1.16 Joint Ventures.**

Joint ventures will not be accepted. The State will only enter into a Contract with a single Contractor who will be required to assume full responsibility for the delivery, installation and integration of CIVLS and related services identified in this RFP whether or not the equipment, products and/or services are manufactured, produced or provided by the Contractor. Moreover, by submitting the Proposal, the Proposer agrees to perform the services as an independent operator and not as an agent or employee of the State.

The Contractor may enter into written subcontract(s) for performance of certain of its functions under the Contract only with written approval from the State prior to entering any subcontract.

The selected Proposer shall be wholly responsible for the entire performance of the Contract whether or not Subcontractors are used. Additionally, the State shall be named as a third party beneficiary in all subcontracts, if so requested by the State.

#### **8.1.17 Proposer Presentation of Supporting Evidence/Surety.**

Each Proposer must be prepared to provide any evidence of its historical DMV or related experience pertinent to this RFP, performance ability, and/or financial standing and/or surety that the State deems to be necessary or appropriate to fully establish the performance capabilities represented in its Proposal with respect to all undertakings, duties, and obligations set forth or implied in its Proposal.

#### **8.1.18 Corporate Reporting.**

In its Proposal, each Proposer must provide:

- 8.1.18.1** A certificate of authority, certificate of legal Existence or certificate of good standing, as applicable, from the Office of the Secretary of the State of Connecticut, which shall be updated prior to the execution of the Contract;
- 8.1.18.2** A tax clearance statement from the Department of Revenue Services which shall be updated within sixty (60) days of the execution of the Contract; and,
- 8.1.18.3** A statement from the Department of Labor regarding employee contributions which shall be updated within sixty (60) days of the execution of the Contract.

#### **8.1.19 Offer of Gratuities.**

The Proposer must warrant, represent and certify in the Transmittal Letter that no elected or appointed official or employee of the State has or will

benefit financially or materially from this procurement. Any Contract or award arising from this RFP may be terminated by the State if it is determined that gratuities of any kind were either offered to or received by any of the aforementioned officials or employees from the Proposer, the Proposer's agent(s), representative(s) or employee(s).

#### **8.1.20 Readiness of Offered Products.**

The Proposer must warrant, represent and certify in the Transmittal Letter that the system products offered to the State, including commercially available and/or proprietary products that may be modified in order to meet the requirements of this RFP (software, hardware, operating systems, etc...) are currently manufactured and/or available for general sales, lease, or licenses on the date the Proposal is submitted, unless an alternative approach to the RFP requirements are otherwise agreed to by the State. Any proprietary products, commercially available and/or proprietary products that may be modified in order to meet the requirements of this RFP must be identified as such.

#### **8.1.21 Corporate Governance.**

The Proposer must state in the Transmittal Letter that it complies fully with the August 2002 corporate governance rules proposed by the New York Stock Exchange ([www.nyse.com/pdfs/corp\\_gov\\_pro\\_b.pdf](http://www.nyse.com/pdfs/corp_gov_pro_b.pdf)). Any non-compliance must be identified and explained.

#### **8.1.22 Conclusions Drawn or Interpretations of RFP.**

The State assumes no responsibility for conclusions or interpretations derived from technical and background information presented in this RFP, or otherwise distributed or made available during this procurement process. In addition, the State will not be bound by or be responsible for any explanation, interpretation or conclusions of this RFP or any documents provided by the State other than those given in writing by the State through the issuance of amendments. In no event may a Proposer reply on any oral statement by the State or its agents, advisors or consultants.

#### **8.1.23 Conflicts, Discrepancies or Omissions in RFP.**

Should a Proposer find conflicts, discrepancies or omissions in this RFP or any other documents provided by the State, the Proposer should immediately notify the State of such potential discrepancy and each Proposer shall be informed of any clarification, if necessary, in accordance with the procedures set forth in Section 3.5 of this RFP. Each Proposer requesting an interpretation will be responsible for delivering such requests to the State in writing. Failure to notify shall constitute a waiver of claim of ambiguity, inconsistency or error by the Proposer.

#### **8.1.24 Exceptions to the RFP.**

Other than exceptions that are permitted in accordance with this Section, each Proposal shall be deemed to agree to comply with all terms, conditions, specifications, and requirements of this RFP. An “exception” is defined as the Proposer’s inability or unwillingness to meet a term, condition, specification, or requirement in the manner specified in the RFP. All exceptions taken must be identified and explained in writing in the Proposal and must specifically reference the relevant section(s) of this RFP. If the Proposer provides an alternate solution when taking an exception to a requirement, the benefits of this alternative solution and impact, if any, on any part of the remainder of the Proposer’s solution, must be described in detail.

#### **8.1.25 Other Rights Reserved by the State**

The State, in its sole discretion, reserves the right to:

- 8.1.25.1** Amend or cancel this RFP at any time prior to contract award;
- 8.1.25.2** Modify deadlines through amendments to this RFP;
- 8.1.25.3** Establish and modify the timing and sequence of events resulting from this RFP;
- 8.1.25.4** Refuse to accept, or return accepted Proposals that do not comply with procurement requirements;
- 8.1.25.5** Reject the Proposal of any Proposer in default of any prior contract with the State or for misrepresentation of material presented;
- 8.1.25.6** Reject any Proposal that is received after the deadline;
- 8.1.25.7** Reject any Proposal which is incomplete or in which there are significant inconsistencies or inaccuracies;
- 8.1.25.8** Accept or reject any or all Proposals submitted for consideration in whole or in part; waive minor defects, irregularities, informalities, technicalities or omissions; and, correct inaccurate awards resulting from its clerical errors;
- 8.1.25.9** Allow no additions or changes to the original Proposal after the due date specified herein, except as specifically requested and authorized by the State Point of Contact;

- 8.1.25.10 Require Proposers, at their own expense, to submit written clarification of Proposals in a prescribed manner or format;
- 8.1.25.11 Negotiate separately any service in any manner necessary;
- 8.1.25.12 Contract with one or more Proposers who submit Proposals, if deemed to be in the best interest of the State;
- 8.1.25.13 Consider cost and all factors in determining the most advantageous Proposal for the State;
- 8.1.25.14 Contract for all or any portion of the scope of work or tasks within this RFP; and,
- 8.1.25.15 Discuss with selected Proposer(s) any terms and conditions in the Proposals including (but not limited to) financial terms.

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## **8.2 Due Diligence**

- 8.2.1 By submitting a Proposal, Proposers are representing that they have examined and are thoroughly familiar with each of the elements of this RFP, including the: physical items, facilities, services or functions essential to the satisfactory implementation and operation of CIVLS (“Due Diligence”) and the services to be provided under the ensuing Contract. The representations set forth in Section 8.2 shall be considered of significant importance in the evaluation of Proposals and shall be affirmed in the Proposal and included in the Contract for the Contract Term.
- 8.2.2 The Proposer shall describe in its Proposal, any discrepancies or inaccuracies in the information assembled in this RFP, any Schedules thereto, observations and any information otherwise provided by the State. An explanation shall be provided for each discrepancy or inaccuracy, giving in detail, the extent of the discrepancy or inaccuracy, and the Proposer’s plan for addressing such discrepancy or inaccuracy.
- 8.2.3 By submission of a Proposal, each Proposer shall be deemed to have certified, warranted and represented that they have had the opportunity to:



- 8.2.3.1** Review or have been afforded opportunity, by the State, to review all relevant physical items, facilities, services or functions essential to the satisfactory implementation and operation of CIVLS and, in its Proposal, shall certify that all such items facilities, services or functions are included in the Contract and thereby warrants that there are no discrepancies in the design of CIVLS to the successful operation of CIVLS, or any phase thereof;
- 8.2.3.2** To ask questions as seen fit, throughout the Proposal submission period, pertinent to CIVLS, the capacity of the State to achieve its objectives, the available Due Diligence resources, and to review other Proposers' questions and respective responses by the State; and,
- 8.2.3.3** Conducted all Due Diligence prior to the submission of its Proposal.

Accordingly, any additional costs, services or CIVLS Products resulting from the failure of the Proposer to complete Due Diligence prior to submission of its Proposal shall be borne by the Contractor.

**8.2.4** By submission of a Proposal, each Proposer shall be deemed to have warranted and represented that:

- 8.2.4.1** Its failure to investigate and verify facts shall, in no way, be cause for future claim of ignorance of such facts or conditions, nor shall such failure to investigate and verify be the basis for any claim whatsoever, monetary or otherwise;
- 8.2.4.2** No additional licenses or authorizations are necessary to accomplish implementation of CIVLS with the exception of those referred to in the Proposal;
- 8.2.4.3** It is responsible for all aspects of CIVLS design, including verification of data relating to the design requirements and specifications, and thereby confirms that CIVLS is designed in accordance with the requirements and specifications of the RFP, any Schedules thereto and the contents of the Resource CD that has been made available by DMV to Proposers;

**8.2.4.4** It is solely responsible for resolving any issues resulting from the failure to conduct Due Diligence and shall assume any costs that may result during the implementation of CIVLS or any phase thereof, including, but not limited to, adherence to design requirements and specifications, pricing, transition plans and migration strategy; and,

**8.2.4.5** It has been responsible for specifying any changes and disclosing any new costs prior to the award of the Contract under the RFP. Thus, in the event any changes or costs are disclosed by the Contractor, or otherwise required, during the implementation of CIVLS or any phase thereof, the sole responsibility for any design modification, delay and cost of such changes shall reside with the Contractor.

Moreover, the Proposer shall be responsible, at its sole cost and expense, for the additional deliverables or products necessary to meet the specifications in accordance with the requirements of this RFP and, ultimately, the Contract awarded hereunder.

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## **8.3 Proposal Requirements**

### **8.3.1 General Proposal Requirements and Representations.**

**8.3.1.1** The Proposal must include a representation that (a) the Proposer will perform its work as an independent contractor, and not as an agent or employee of the State, and therefore shall not represent or otherwise portray itself, any of the Proposer Parties, partners, Subcontractors, or agents as an agent or employee of the State; and, (b) all qualified personnel identified as “key personnel” in the Proposal shall actually work on the Project in the manner and time-frame described in the Proposal as shall be further amplified in the Contract. It shall be further acknowledged by the Proposer that the list of such personnel will be considered as a commitment to maintain their services as set forth in the Proposal and agreed to in the Contract; subject to the right of the State, in its sole discretion, to remove any and all personnel at any time. Proposers shall identify all “key personnel”, their qualifications and roles and responsibilities for this Project.

**8.3.1.2** The Proposal should specify what the Proposer expects of the State with respect to administrative responsibilities.

**8.3.1.3** The Transmittal Letter shall include a representation to the effect that no changes, substitution, additions or deletions in Proposal shall be made unless approved in advance by the State.

**8.3.2 Work Product Property of the State.**

Any work product developed under the Contract awarded as a result of this RFP shall be the sole property of the State.

**8.3.3 Compliance with Laws: Equal Opportunity and Affirmative Actions.**

**8.3.3.1** By submitting this Proposal, each Proposer agrees to make itself aware of and comply with all local, state, and federal ordinances, statutes, laws, rules, and regulations applicable to the services covered by this RFP. Each Proposer further agrees that it will at all times during the Contract Term be in compliance with all applicable federal, state and/or local laws regarding employment practices. Such laws will include, but shall not be limited to Workers' Compensation, the Fair Labor Standards Act (FLSA), the Americans with Disabilities Act (ADA), the Family and Medical Leave Act (FMLA), and all OSHA regulations applicable to the work covered by this RFP.

**8.3.3.2** The State is an equal opportunity and affirmative action employer and does not discriminate in its hiring, employment or business practices, including its purchasing policies. Moreover, the State is committed to complying with the Americans with Disabilities Act of 1990 and does not discriminate on the basis of disability, in admission to, access to, or operation of its programs, services, or activities. The laws of the State strive to ensure that all segments of the business community have access to supplying the goods and services needed by the State. Connecticut affirmatively works to encourage utilization of minority business enterprise in all procurement activities. The State provides equal opportunity for all businesses and does not discriminate against any Proposer regardless of race, color, religion, age, sex, national origin, or disability. Accordingly, the Proposal shall include a summary of the Proposers experience with affirmative action. This information is to include a summary of the Proposers affirmative action plan and policy statement. Included in the RFP is **Schedule H**, which

includes the appropriate MWBD forms and questions to be included in the Proposal.

#### **8.3.4 Disclosure**

The Transmittal Letter and the Proposal must include a written, certified and sworn statement executed by an authorized officer/member that attests to the fact that the Proposer, Proposer Parties, partners or Subcontractors:

- 8.3.4.1** Are not presently debarred, suspended, proposed for debarment, declared ineligible, voluntarily excluded, or prohibited from similar motor vehicle registration and driver licensing systems, programs or other related business covered by any local, state, federal department or agency.
- 8.3.4.2** Have not within a five (5) year period preceding this RFP been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction, violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen state property;
- 8.3.4.3** Are not presently indicted or awaiting indictment for or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses enumerated in subparagraph 8.3.4.2, above;
- 8.3.4.4** Have not within a five (5) year period preceding this RFP had one or more public transactions (federal, state, or local) cancelled or terminated for cause or default; and/or,
- 8.3.4.5** Have not within a five (5) year period preceding this RFP filed for bankruptcy nor is bankruptcy or the filing for bankruptcy presently or imminently threatened.

#### **8.3.5 Proposer Misrepresentation or Default.**

The State will reject the Proposal of any Proposer and void any award resulting from this RFP to a Contractor who materially misrepresents any product and/or service or defaults on any State contract.

### **8.3.6 Ownership of CIVLS**

By submission of a Proposal, the Proposer shall be deemed to have certified, warranted and represented, with respect to the ownership of CIVLS, that it:

- 8.3.6.1** Agrees to supply the State with CIVLS, a system which meets the State's requirements contained in the RFP as all such requirements may be modified or superseded by the detailed design specifications that will be attached to the Contract. CIVLS shall consist of the licensed software, Contractor Works and the modifications as defined in the RFP and carried through to the Contract (see Section 8.3.6.6, below);
- 8.3.6.2** Owns and possesses all rights and interests in any Licensed Software or Contractor Works necessary to enter into the Contract with the State;
- 8.3.6.3** Shall indemnify and hold harmless the State from any loss, damage or liability for infringement of any patent right or copyright or property right with respect to the use of licensed software or Contractor Works to be delivered under the Contract;
- 8.3.6.4** Will retain all right, title, and interest, including all copyrights, in and to the licensed software or Contractor Works; including the right to develop, use and distribute to third parties works that are substantially similar to custom products, including similar in function, structure, sequence, or organization;
- 8.3.6.5** Shall grant to the State a non-exclusive, non-assignable, royalty-free license, in perpetuity, to use the licensed software or Contractor Works, including all modifications thereto, consisting of the programs, documentation and training materials, set forth in their Proposal;
- 8.3.6.6** Will permit the State, through the license, to use the licensed software or Contractor Works on any or all processors used, owned or controlled by the State and like or similar organizations that may hereafter be formed or associated with the State. Irrespective of the number of processors owned or controlled by the State upon which the licensed Software is used, the State shall pay only one license fee for each application of development software licensed. The State shall have the right to reproduce the developer Software or Contractor Works, as necessary;

- 8.3.6.7 Agrees to design, program, test and implement modifications to the licensed software or Contractor Works as proposed and as may be modified or superseded by the detailed design specifications, that will be attached to the Contract. The licensed software or Contractor Works as modified shall be referred to as CIVLS; and,
- 8.3.6.8 Agrees to provide the State all Source Code and all relevant explanations and documentation of the Source Code (collectively, the "Commentary") for CIVLS, as shall be provided under the Contract (including an agreed-upon number of copies of the complete Source Code) contained on machine-readable media as well as an agreed upon number of copies of a complete listing of the Commentary.

### **8.3.7 CIVLS Integration Obligation and Warranties**

By submission of a Proposal, the Proposer shall be deemed to have certified, warranted and represented, with respect to its integration obligations, that it:

- 8.3.7.1 Shall be responsible for the integration of CIVLS, comprised of the Equipment and Licensed Software or Contractor Works, as may be modified.
- 8.3.7.2 Shall provide Developer warranties pertaining to:
  - (a) Compliance with all applicable laws and regulations;
  - (b) Possessing all necessary rights, authorizations or licenses to perform the services under the Contract;
  - (c) Having employees with the proper skills, training and background to perform the services in a competent and professional manner to ensure that all work is performed in accordance with the requirements of the Contract;
  - (d) Providing the State with free, good and clear title and/or license, as applicable, to all deliverables;
  - (e) Offering deliverables in a manner consistent with good commercial practice, free from defects in material and workmanship and in conformity to the specifications for the same as set forth in the Proposal and articulated in the Contract;

(f) Performance of the Contract in accordance with the specifications, terms and conditions under which the contract was awarded;

(g) Saving the State, its agents, or employees harmless from liability of any kind for the use of any copyrighted or uncopyrighted composition, secret process, patented or unpatented invention, article or appliance furnished or used in the performance of the contract of which the contractor is not the patentee, assignee, or licensee;

(h) Guaranteeing the products against defective material or workmanship and to repair any damage or marring occasioned in transit or, at the state's option, replace the products;

(i) Furnishing adequate protection from damage for all work and to repair damage of any kind, for which its workers are responsible, to the premises or equipment, to his own work or the work of other contractors and Subcontractors;

(j) Warranting that each information technology personal property or each developed, modified or remediated information technology personal property delivered under the contract shall meet the requirements of the Regulations of Connecticut State Agencies §4d-3-9(e).

(k) Supplying deliverables which meet the functional, performance and reliability requirements of the State as set forth in the RFP and agreed to in the Contract; and,

(l) Conformity of the Services and CIVLS to the objectives set forth in the RFP and articulated in the Contract.

**8.3.7.3** Shall furnish such materials and services as shall be necessary to correct any defects in the deliverable and maintain such deliverables in good working order in accordance with the warranties which shall be set forth in this section as carried through in the Contract and the specifications and function, performance and reliability requirements for CIVLS, from a period of one year from the date the State notifies the Contractor of the State's Acceptance of CIVLS.

**8.3.7.4** Shall provide documentation warranties, for the Warranty Period, to the effect that any Deliverable consisting of documentation of a software or

hardware deliverable will accurately reflect the operation of said software or hardware deliverable and will enable the State to use, modify and maintain CIVLS fully and completely.

**8.3.7.5** Shall, for any equipment deliverables, assign to the State, for the Warranty Period or a longer period if granted by the supplier or manufacturer, and the State shall have the benefit of, any and all manufacturers' or suppliers' warranties, representations, service agreements and indemnities, if any, with respect to such deliverables to the extent assignable by the Contractor and to the extent such warranties, representations, service agreements and indemnities are not assignable by the Contractor, the Contractor shall agree that the State may assert or enforce, for the Warranty Period, any right the Contractor may have to enforce such warranties, representations, service agreements and indemnities, or if such can only be enforced by the Contractor in its own name, upon written request of the State and at the Contractor's sole expense, the Contractor shall take all reasonable action requested by the State to enforce such warranties, representations, service agreements and indemnities. The Contractor shall further warrant that it will not, without the consent of the State, make use of or modify the equipment in a way which would void the manufacturer's or supplier's warranties, representations, service agreements and indemnities. In the event such use or modifications, done without the consent of the State, results in such a voiding of any warranties, representations, service agreements and indemnities, the Contractor shall either alter its use or re-modify the equipment to restore said warranties, representations, service agreements and indemnities, or shall assume the same.

**8.3.7.6** Shall, for any deliverable consisting of hardware or software to be used in production environment by the State, be subject to a performance and reliability warranty. Such warranty shall provide a performance and reliability standard against which the deliverable is to be measured during the Warranty Period, and the remedies available to the State upon failure of the deliverable to meet the agreed-upon standard. Such remedies may include the provision of services and products necessary to make the deliverable meet the standards, extension of the Warranty Period, credit



toward future payments or hold-back of current amounts due.

**8.3.7.7** Shall not disclaim nor modify the implied warranties of merchantability and fitness for a particular purpose; provided however, with respect to CIVLS, each deliverable consisting of hardware or software to be used in production environment by the State, the duration of such implied warranty shall be coterminous with the applicable express warranties for CIVLS, such hardware or software deliverables. For purposes of interpreting any implied warranty of fitness for a particular purpose, such implied warranty shall be deemed satisfied if the hardware or software conforms to the express warranties applicable thereto and noncompliance with the detailed design document and implementation plan, during the Contract Term.

### **8.3.8 Permits, Licenses and Fees.**

With respect to contracts for the provision of services, the Proposer shall pay for all permits, licenses and fees, give all required or appropriate notices and comply with all applicable federal, state and/or municipal laws or regulations.

### **8.3.9 Insurance.**

The Proposer shall agree to carry proper insurance to protect the state from loss, as set forth in Section 9.11 of this RFP.

### **8.3.10 Confidentiality of Public Records.**

The Proposer shall agree to contractual provisions ensuring the confidentiality of public records or files that the Contractor has access to, and that remain exempt from disclosure under FOIA or other applicable law, including but not limited to the DPPA. In its Proposals the Proposer shall acknowledge that the Contract will include civil and potential criminal sanctions for the unauthorized disclosure of such records or files. The Contractor and its employees, agents, officers, directors, partners and authorized representatives shall be treated as state employees with respect to any civil or criminal statutes providing for civil or criminal sanctions for unauthorized disclosures.

### **8.3.11 Right to Audit.**

The Proposer agrees to provide the State and/or the authorized representatives of the State access to Proposer documents, papers, or other records pertinent to the RFP response in order to make audits, examinations, excerpts and transcripts.

### **8.3.12 Use of the State's Name.**

No advertising, sales promotion or other materials of the Proposer, its agents or representatives may identify or reference the Contract, or the State in any manner without obtaining the State's prior written consent. As a condition of entering into a Contract, the Proposer further agrees to refrain from the following, absent the State's prior written approval: (a) making any statement to the media regarding the subject matter of this RFP or the subsequent Contract; or (b) making any statement to the media on any issue which is in the State's judgment likely to cause the Proposer or State staff to be viewed as anything other than neutral with respect to the subject matter of this RFP or subsequent Contract, or cast doubt on the competence or integrity of the State. Failure to comply with this Section by the Proposer shall constitute a material breach and, without limiting any other remedies the State may have, shall entitle the State to reject the Proposal or terminate the subsequent Contract for default.

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## **Section 9. Standard Terms and Conditions**

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### **9.1 Contract Term**

The Proposal shall include a recommended Contract Term for the implementation and Acceptance of CIVLS, which term shall be the subject of negotiations between State and the Contractor. At the conclusion of implementation and Acceptance there will be a full CIVLS warranty period of one year. Further, the Proposal shall include options for extended warranty and maintenance terms following the Warranty Period, each for a minimum period of eight years, in increments of two year terms, up to an agreed-upon maximum term.

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### **9.2 The Contractor**

The Contractor shall be the sole point of contact and shall be responsible for the performance of all services under the Contract. The Contractor shall not subcontract any work under the Contract to any other firm except as may be identified in its Proposal and permitted under the Contract. The Contractor shall be entirely responsible for all actions and work performed by its Subcontractors. All terms, conditions, and requirements of the Contract will apply without qualification to any services and work performed by any Subcontractor of the Contractor.

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### **9.3 Authorized to Work on Project**

The Contractor shall certify that all personnel are legally authorized to perform work under the Contract, pursuant to State and federal guidelines, policy, mandates and statutes, and shall further attest, under penalty of perjury, that all proposed personnel assigned by the Contractor or any approved Subcontractor staff, whether identified by name in the Contract or not, are one of the following: (a) a citizen or national of the United States; (b) a lawful permanent resident; or, (c) otherwise authorized to work in the United States until such individual's Project responsibilities have been fulfilled.

The Contractor shall further represent that each individual assigned at any time to perform work under the Contract will be in compliance with the requirements of this section and shall acknowledge that the State reserves the right to audit the Contractor's records for compliance with this section.

All work performed under the Contract, regardless of by whom, shall be performed within the borders of the United States.

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## **9.4 News Releases**

The State is the only entity authorized to issue news releases relating to this RFP, its evaluation, award, or any contract and performance there under.

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## **9.5 Deliverables and Payment**

The Contractor will receive the payments upon approval by Project Administrator of the milestone-based invoices as set forth in the Contract.

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## **9.6 Inspection and Approval of Work**

The Contractor will permit the Project Administrator or a duly authorized representative to inspect and audit all work, material and other data and records connected with the Contract.

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## **9.7 Retention of Records**

The Contractor shall maintain accounting records and other evidence pertaining to the costs incurred in accordance with all State document retention regulations, and shall make the records available to the State at the Contractor's office, at all reasonable times, for the Contract Term and for a relevant period of time after the Expiration of the Contract Term as set forth by the regulations of the State Librarian.

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## **9.8 Responsibility to Its Employees**

The Contractor accepts full responsibility for payment of unemployment insurance, workers' compensation, and social security, as well as all income tax deductions, and any other taxes or payroll deductions required by the law for its employees engaged in the work authorized by the contract.

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## **9.9 Organization of Project Team**

### **9.9.1 Organization of the Project Team**

The State and the Contractor shall be mutually responsible for organizing a Project team consisting of the Contractor's personnel and the State Project staff. The Contractor shall provide a graphical representation of the Project team organization. The Contractor shall have no supervisory or other control over any State staff.

#### **9.9.1.1 Contractor Project Team Members**

The Contractor will provide a Project Manager and a fully qualified backup, with appropriate skills and experience, for the entire duration of the Project and will not substitute or assign personnel to the Project unless the State reviews the qualifications of the new individual and the Project Administrator approves the replacement as shall be set forth in the Contract.

#### **9.9.2 Other Contractor Personnel**

All additional and key support personnel required to successfully complete the Project shall be identified in the proposed Project Plan. For the duration of the Project, these support personnel will work closely with the State staff involved in the Project.

#### **9.9.3 Communications**

All communications between the Contractor and the DMV Project team and/or any outside party must be through the Project Administrator.

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### **9.10 Option of Obtaining Services Outside of the Contract Resulting from this RFP**

The State reserves the right to contract separately for other services within the scope of this Project, when in the best interest of the State.

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### **9.11 Legal Terms and Conditions**

All Proposers must adhere to the following legal, procedural and policy conditions and requirements and shall clearly state its compliance in the Proposal. These conditions and requirements shall form the basis of the Contract that will be transmitted upon conditional award. In the event the Proposer objects to specific conditions and requirements the Proposal shall: (1) include a clear statement of its rationale for the objection; (2) provide recommended alternative provisions (consistent with the verbiage used throughout the conditions and requirements) for the State's consideration; and, (3) include a statement of the ways and means that the recommended provisions would correct the claimed deficiency, while maintaining fairness to both parties. IT IS NOT ACCEPTABLE to simply replace a State provision with a Proposer's alternative provision. While this requirement does not constitute a negotiation of the terms of an eventual Contract the State seeks to elicit enough information in order to assess the expectations of the Proposer with respect to these conditions and requirements.

During the procurement process and the evaluation of the Proposals the objections shall be taken into account by the State and may be the basis for rejection of a Proposal. Following the conditional award, if the State

cannot reach consensus with the Proposer within a reasonable time, the State shall commence negotiations with the next best Proposal and so on until either the Contract is executed or the State decides to start the RFP process again.

Each Proposer shall address the following items:

**9.11.1 Whistleblower Provisions.**

The Contract may be subject to the provisions of C.G.S., §4-61dd. In accordance with this statute, if an officer, employee or appointing authority of the 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 any employee of the contracting state or quasi-public agency or the Auditors of Public Accounts or the Attorney General under the provisions of subsection (a) of such statute, 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 State may request that the Attorney General 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) of such statute, each large state contractor, as defined in the statute, shall post a notice of the provisions of the statute relating to large state contractors in a conspicuous place which is readily available for viewing by the employees of the Contractor.

**9.11.2 Due Diligence Representations and Warranties.**

The Contractor shall agree to the representations and warranties pertaining to Due Diligence in Section 8.2.

**9.11.3 FOI and Public Records.**

The Contract may be subject to the provisions of C.G.S., §1-218. In accordance with this section, 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 (a) provide that the public agency is entitled to receive a copy of records and files related to the performance of the governmental function, and (b) indicate that such records and files are subject to FOIA and may be disclosed by the public agency pursuant to FOIA. 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 FOIA. 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 C.G.S., §§1-205 and 1-206.

#### **9.11.4 Security Clearance.**

The Proposer receiving an award from this RFP must understand and acknowledge that all employees, including subcontracted personnel, shall be subject to all applicable federal, State and Connecticut Justice Information Systems (“CJIS”) and DOIT security procedures and protocols.

#### **9.11.5 Forum and Choice of Law.**

The Contract shall be deemed to have been made in the City of East Hartford, State of Connecticut. The Contractor and the State will agree that it is fair and reasonable for the validity and construction of the Contract to be, and it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that any immunities provided by federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue, the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing in the Contract shall constitute a waiver or compromise of the sovereign immunity of the State of Connecticut. The Contractor shall waive any objection which it may now have or will have to the laying of venue of any claims in any forum and further irrevocably submits to such jurisdiction in any suit, action or proceeding.

#### **9.11.6 Sovereign Immunity.**

The State and the Proposer shall acknowledge and agree that nothing in the RFP or the Contract shall be construed as a modification, compromise or waiver by the State of any rights or defenses of any immunities provided by Federal law or the laws of the State of Connecticut to the State or any of its officers and employees, which they may have had, now have or will have with respect to all matters arising out of the Contract. To the extent that this section conflicts with any other section, this section shall govern.

#### **9.11.7 Tangible Personal Property.**

**9.11.7.1** The Contractor on its behalf and on behalf of its Affiliates, as defined below, shall comply with the provisions of C.G.S., §12-411b, as follows:

- (a) For the Contract Term, the Contractor and its Affiliates shall collect and remit to the State of Connecticut, Department of Revenue Services, any Connecticut use tax due under the provisions of Chapter 219 of the Connecticut General Statutes for items of tangible personal

property sold by the Contractor or by any of its Affiliates in the same manner as if the Contractor and such Affiliates were engaged in the business of selling tangible personal property for use in Connecticut and had sufficient nexus under the provisions of Chapter 219 to be required to collect Connecticut use tax;

- (b) A customer's payment of a use tax to the Contractor or its Affiliates relieves the customer of liability for the use tax;
- (c) The Contractor and its Affiliates shall remit all use taxes they collect from customers on or before the due date specified in the Contract, which may not be later than the last day of the month next succeeding the end of a calendar quarter or other tax collection period during which the tax was collected;
- (d) The Contractor and its Affiliates are not liable for use tax billed by them but not paid to them by a customer; and,
- (e) Any Contractor or Affiliate who fails to remit use taxes collected on behalf of its customers by the due date specified in the Contract shall be subject to the interest and penalties provided for persons required to collect sales tax under chapter 219 of the general statutes.

**9.11.7.2** For purposes of this section of the Contract, the word "Affiliate" means any person, as defined in C.G.S., §12-1, that controls, is controlled by, or is under common control with another person. A person controls another person if the person owns, directly or indirectly, more than ten per cent of the voting securities of the other person. The word "voting security" means a security that confers upon the holder the right to vote for the election of members of the board of directors or similar governing body of the business, or that is convertible into, or entitles the holder to receive, upon its exercise, a security that confers such a right to vote. "Voting security" includes a general partnership interest.

**9.11.7.3** The Contractor represents and warrants that each of its Affiliates has vested in the Contractor plenary



authority to so bind the Affiliates in any agreement with the State of Connecticut. The Contractor on its own behalf and on behalf of its Affiliates shall also provide, no later than 30 days after receiving a request by the State's contracting authority, such information as the State may require to ensure, in the State's sole determination, compliance with the provisions of this section.

#### **9.11.8 Indemnification and Hold Harmless.**

**9.11.8.1** The Contractor shall indemnify, defend and hold harmless the State and its officers, representatives, agents, servants, employees, successors and assigns from and against any and all (a) actions, suits, claims demands, investigations and proceedings pending or threatened, whether mature, unmaturing, contingent, known or unknown, at law or in equity, in any forum (collectively, "Claims") arising, directly or indirectly, in connection with the Contract, including the acts of commission or omission (collectively, the "Acts") of the Contractor or any of its members, directors, officers, shareholders, representatives, agents, servants, consultants, employees or any other person or entity with whom the Contractor is in privity of oral or written contract (collectively, "Contractor Parties"); and (b) liabilities, damages, losses, costs and expenses, including but not limited to, attorneys' and other professionals' fees, arising, directly or indirectly, in connection with Claims, Acts or the Contract. The Contractor shall use counsel reasonably acceptable to the State in carrying out its obligations under this section. The Contractor's obligations under this section to indemnify, defend and hold harmless against Claims includes Claims concerning confidentiality of any part of or all of the bid or Proposal or any records, any intellectual property rights, other proprietary rights of any person or entity, copyrighted or uncopyrighted compositions, secret processes, patented or unpatented inventions, articles or appliances furnished or used in the performance of the Contract.

**9.11.8.2** The Contractor shall reimburse the State for any and all damages to the real or personal property of the State caused by the Acts of the Contractor or any Contractor Parties. The State shall give the Contractor reasonable notice of any such Claims.

- 9.11.8.3** The Contractor's duties under this section shall remain fully in effect and binding in accordance with the terms and conditions of the Contract, without being lessened or compromised in any way, even where the Contractor is alleged or is found to have merely contributed in part to the Acts giving rise to the Claims and/or where the State is alleged or is found to have contributed to the Acts giving rise to the Claims.
- 9.11.8.4** The Contractor shall carry and maintain at all times during the Contract Term, and during the time that any provisions survive the Contract Term, sufficient general liability insurance to satisfy its obligations under the General Liability Insurance Contract. The Contractor shall name the State as an additional insured on the policy and shall provide a copy of the certificate of insurance to the State no later than ten (10) business days from the effective date of the Contract.
- 9.11.8.5** The rights provided in this section for the benefit of the State shall encompass the recovery of attorneys' and other professionals' fees expended in pursuing a Claim against a third party.
- 9.11.8.6** This section shall survive the Expiration or early termination of the Contract, and shall not be limited by reason of any insurance coverage.

**9.11.9 The Contractor's Insurance Requirements.**

The Contractor shall purchase and maintain such insurance as shall protect the State from claims which may arise out of or result from the Contractor's obligations under the Contract, whether such obligations are the responsibility of the Contractor or any approved Subcontractor or anyone directly or indirectly employed by any of them, or of anyone for whose acts any of them may be liable. The Contractor's liability insurance shall be endorsed to add as an Additional Insured the State and the State's consultants and agents. The insurance afforded the additional insured shall be primary insurance and the coverage and limits provided under The Contractor's policies shall not be reduced or prorated by the existence of any other insurance applicable to any loss the additional insured may have suffered. The Contractor and Contractor's insurer shall have no right of recovery or subrogation against the State. The Contractor's liability insurance shall remain in effect until the end of the Warranty Period and, if exercised, any maintenance term, when it may be correcting or removing and replacing defective work. Each insurance policy shall state that the insurance company shall agree to investigate

and defend the insured against all claims for damages, even if groundless.

If the Contractor obtains insurance issued on a "claims made" basis, it shall be maintained for two (2) years following the Contract Term, and evidence of coverage shall be furnished to the State annually, on the anniversary of the effective date of the Contract. "Claims made" basis is only permissible for Professional Liability Coverage. Insurance shall be provided by insurers, satisfactory to the State and authorized to do business in the State of Connecticut (unless otherwise authorized by the State), that are classified as an "A" Best's Rating and a Class VII or better financial size category as shown in the most current A.M. Best Company ratings. The Contractor shall not start to perform or furnish any part of the work under the Contract unless it has, in full force and effect, all of the required insurance policies.

Prior to execution of the Contract, the Contractor shall provide the State with the following certificates of insurance, including a reference to the Contract thereon, on a form acceptable to or prepared by the State in conjunction with all insurance required by the Contract:

**9.11.9.1 Liability Insurance.** With respect to the operations performed under the terms of the Contract, and also those performed for the Contractor by Subcontractors, the Contractor will be required to carry, and shall ensure that its Subcontractor(s) shall carry, for the entire Contract Term and any supplements thereto, with the State being named as an additional insured party for paragraphs (a) and (b) below, the following minimum insurance coverages at no direct cost to the State. In the event the Contractor and/or Subcontractor(s) secures excess/umbrella liability insurance to meet the minimum requirements specified in paragraphs (a) and/or (b) below, the State shall be named as an additional insured.

(a) Commercial General Liability. Commercial General Liability Insurance, as required to protect the State with respect to the Contractor's obligations under the indemnification clauses, that shall provide coverage for claims for damages because of bodily injury liability, sickness, disease or death, property damage liability, personal and advertising injury liability and medical payment liability, premises operations, independent contractors, broad form property damage exposures, including product and completed operations hazards, in an amount of (i) \$1,000,000.00 per occurrence with an aggregate of \$2,000,000.00; (ii) \$2,000,000 products and completed operations

aggregate; and (iii) \$2,000,000 personal and advertising injury, as well as a Broad Form CGL Endorsement;

- (b) Automobile Liability. The operation of all motor vehicles, including those hired or non-owned, used in connection with the Contract shall be covered by Automobile Liability Insurance providing for a total limit of \$1,000,000 for all damages arising out of bodily injuries to or death of all persons in any one accident or occurrence, and for all damages arising out of injury to or destruction of property in any one accident or occurrence. In cases where an insurance policy shows an aggregate limit as part of the automobile liability coverage, the aggregate limit must be at least \$2,000,000. If a vehicle is not used in the execution of the contract, then automobile liability insurance is not required.
- (c) Umbrella Liability Insurance in the amount of \$ 5,000,000.00. The Contractor shall maintain or purchase Umbrella Liability Insurance with respect to employer's liability, general liability and automobile liability, and coverage shall be at least as broad as the underlying policies of liability insurance and following form.
- (d) Professional Liability Insurance in the amount of \$5,000,000.00.

**9.11.9.2 Workers' Compensation Insurance.** With respect to all operations the Contractor performs and all those performed for the Contractor by its Subcontractor(s), the Contractor shall carry, and shall ensure that its Subcontractor(s) shall carry, Workers' Compensation Insurance and, as applicable, insurance required in accordance with the U.S. Longshore and Harbor Workers' Compensation Act, in accordance with the requirements of the laws of the State, and the laws of the United States respectively.

The Contractor shall have insurance for benefits payable under Connecticut's Workers' Compensation Law for any employee resident of and hired in Connecticut. With respect to any other employee protected by Workers' Compensation laws of any other state, the Contractor shall have insurance or participate in a mandatory state fund to cover the benefits payable to any such employee. Said Workers' Compensation policy covering employees in the State of Connecticut shall be in the following amounts:

- (a) Bodily Injury by accident in the amount of \$100,000.00 (each accident);
- (b) Bodily Injury by disease in the amount of \$500,000.00 (policy limit); and,
- (c) Bodily injury by disease in the amount of \$100,000.00 (each employee).

**9.11.9.3 Self-Insurance.** If the State permits a Contractor election to be self-insured rather than acquiring coverage from an insurance company, the Contractor shall ensure to the State that it is adequately protected. The Contractor shall submit a notarized statement from an authorized representative providing the following information:

- (a) That the Contractor is self-insured;
- (b) That the Contractor has established a reserve fund that satisfies the minimum requirements set forth in the Contract for the payment of claims;
- (c) That the Contractor shall indemnify and hold the State harmless; and,
- (d) The name, title, and address of the person to be notified in the event of a claim.

**9.11.9.4 Production of Insurance Policies.** The Contractor shall produce, within five (5) business days, a copy or copies of all applicable insurance policies when requested by the State. In providing said policies, the Contractor may redact provisions of the policy that are proprietary. This provision shall survive the suspension, Expiration or Termination of the Contract.

**9.11.9.5 Certificate of Insurance.** In conjunction with the above, the Contractor agrees to furnish to the State a Certificate of Insurance on the form(s) provided by the State, fully executed by an insurance company or companies satisfactory to the State, for the insurance policy or policies required hereinabove, which policy or policies shall be in accordance with the terms of said certificate of insurance.

The certificates of insurance shall contain a provision that coverage afforded under the policies shall not be canceled until at least fifteen days prior notice bearing the Contract number has been given to the State.

The Contractor shall carry and maintain such insurance at all times during all terms of the Contract, and during the time that any provisions survive the Termination or Expiration of the Contract.

**9.11.10 Failure to Maintain Insurance.**

In the event the Contractor fails to maintain the minimum required coverage as set forth herein, the State may, at its option, purchase insurance and invoice or offset the Contractor's invoices for the cost of said insurance.

**9.11.11 Patent and Copyright Protection.**

In accordance with Conn. Reg. §4d-3-9(b), the Contractor shall indemnify, defend, and hold harmless the State, its agencies, officers, employees, and agents from and against all losses, liabilities, damages (including taxes) and all related costs and expenses (including reasonable attorney fees and all court awarded fees and costs, disbursements and costs of investigation, litigation, settlement, judgments, interest and penalties), incurred in connection with any claim, lawsuit or proceeding brought against the State, its agencies, officers, employees and agents, by any third party, to the extent that such claim, action or proceeding is based on a claim that any Component(s) provided or recommended by the Contractor, including but not limited to software furnished herein, or the operation of such Component(s) infringes any patents, trademark, trade secrets or copyright of any person or entity, which right is enforceable under the laws of the United States. Any claimed infringement that results from the combination of Component(s) furnished hereunder with other Hardware and/or Software apparatus, or devices not furnished hereunder and not integrated together with the written advice and consent of the Contractor's Project Manager is specifically excluded from the terms of this indemnification provision. It is further agreed, except as provided herein, that the Contractor's obligation to indemnify, defend, and hold harmless the State, its agencies, officers, employees and agents, herein, is subject to the State granting the Contractor the right to control, the corresponding settlement and or legal proceedings at the Contractor's sole cost and expense. Without affecting its indemnification obligations, the Contractor's right to control the settlement and or legal proceedings as set forth herein shall be waived to the extent that the Contractor has: filed under any chapter of the bankruptcy code, as amended, or for the appointment of a receiver, or if an involuntary petition in bankruptcy is filed against THE CONTRACTOR and said petition is not discharged within sixty (60) days, or becomes insolvent or makes a general assignment for the benefit of its creditors, or if its business or property shall come into the possession of its creditors, a receiver or any governmental agency or if the State determines that the settlement or defense of the legal proceedings will place the State in jeopardy. Both parties shall cooperate in the defense of such claims or demands.

The State shall promptly, after receiving notice of the commencement or threatened commencement of any action or proceedings pertaining to an alleged infringement of any intellectual property right with respect to Component(s) provided or recommended by the Contractor, notify the Contractor of such claim. No failure to promptly notify the Contractor shall relieve the Contractor of its indemnification obligations except to the extent that the Contractor can demonstrate specific injury attributable to such failure. Within thirty (30) days following receipt of written notice from the State relating to such claim, the Contractor shall notify the State in writing that it will assume control of the defense and settlement of that claim, unless the State requires an earlier response from the Contractor, which shall not be less than ten (10) days.

If, (1) in the Contractor's opinion, the Component(s), including but not limited to software furnished hereunder is likely to or does become the subject of a claim of infringement as set forth in this provision or, (2) said Component(s) is, or in either parties reasonable opinion likely to be or held to be, infringing, the Contractor shall immediately notify the State in writing and without diminishing the Contractor's indemnification obligations, may, at its expense and upon mutual agreement of the parties, (1) obtain or otherwise procure the right for the State to continue the use of such Component(s) at the Contractor's expense; (2) replace or modify to the reasonable satisfaction of the State, the Component(s) at issue with Component(s) of equivalent function and performance so as to make it non-infringing, at the Contractor's expense; or, (3) direct the return of the Component(s) and the Contractor will refund to the State the fees paid for such Component(s). If the use of such Component(s) by the State is otherwise prevented by law, the Contractor agrees to take back such Component(s). The State shall pay for the use and maintenance of the Component(s) from the date of Acceptance until the State is enjoined from its use, according to the terms of its Contract. The Contractor agrees to grant the State a credit for returned Component(s), as depreciated. The depreciation shall be an equal amount per year over the life of the Component(s) in accordance with prevailing federal tax laws.

The Contractor shall reserve the right to control the proceedings and the entire cost and expense of the settlement negotiations and all legal proceedings to the extent it acknowledges its full indemnification obligations hereunder and can demonstrate to the satisfaction of the State its financial ability to carry out its defense and indemnity obligations. In conjunction with any such lawsuit, claim, proceeding, or settlement, the Contractor shall keep the State informed of the progress thereof. With respect to any such settlement, the Contractor shall (a) bear the costs thereof (including any settlement amount which the State would be required to pay), however, the Contractor shall not have the right, without the State's consent, to settle any claim, lawsuit or proceeding if the settlement contains a stipulation or admission or acknowledgment of any liability or wrongdoing (whether in contract, tort or otherwise) on the part of the State which is beyond the scope of any indemnification provided by the Contractor to the State, and (b) make reasonable efforts to make any such settlement confidential.

The Contractor need not indemnify the State, however, if the claim of infringement is caused by (i) the State's misuse or unauthorized modification of the Component(s); (ii) the State's failure to use corrections or enhancements designed to avoid the infringement and delivered by the Contractor; (iii) the State's use of the Component(s) in combination with any product or information not owned, developed or recommended by the Contractor; or, (iv) the State's distribution, marketing or use for the benefit of third parties of the Component(s).

**9.11.12 Disclaimer of Patent License.**

Except as otherwise set forth in the Contract, nothing contained in the Contract shall be deemed to grant, either directly or by implication, estoppel, or otherwise, any license under any patents or patent applications of the Contractor, except that the State shall have the normal nonexclusive royalty-free license to use that is implied, or otherwise arises by operation of law, in the sale of a product. Said use shall survive the Contract Term.

**9.11.13 Limitation of Liability.**

**9.11.13.1** Except for the specific remedies, and subject to the limitations contemplated by the sovereign immunity provisions of the Contract and for obligations of payment, each party's liability (whether in contract, tort, strict liability in tort or by statute or otherwise) for any claim in any manner related to the Contract, shall be payment of direct damages. Said direct damages shall, in no event, exceed the Contract Price, up to \_\_\_\_\_ (\$\_\_\_\_,\_\_\_\_,\_\_\_\_) and 00/100 Million Dollars, plus \_\_\_\_ x the Contract Price.

The foregoing limitation shall not apply to claims arising out of (i) either Party's obligations regarding Confidential Information, (ii) either Party's willful misconduct or negligence pertaining to bodily injury, or (iii) the Contractor's indemnification obligations under the Contract.

**9.11.13.2** In no event shall the State be liable for monetary damages relating to any loss of use, loss of time, inconvenience, commercial loss, lost profits, or savings or other incidental or consequential damages except as may otherwise be provided for in the Contract.

Notwithstanding the above, this provision shall not limit the State's exercise of its rights under the Contract, regardless of the reason or justification



therefore, relating to liquidated damages, performance bond, default or any other specific provisions designed to effectuate the performance of the Contractor's responsibilities under the Contract. The State's sole responsibility is payment and the performance of the responsibilities specifically enumerated in the Contract.

#### **9.11.14 Executive Orders.**

The Contract shall be subject to the provisions of:

**9.11.14.1 Former Governor Thomas J. Meskill's Executive Order No. Three**, promulgated June 16, 1971 and, as such, the 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 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 Commission shall have continuing jurisdiction in respect to Contract performance in regard to nondiscrimination, until the Contract is completed or terminated prior to completion.

**9.11.14.2 Former Governor Thomas J. Meskill's Executive Order No. Seventeen**, promulgated February 15, 1973, and as such, the 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 the Contract. The parties to the Contract, as part of the consideration hereof, agree that Executive Order No. Seventeen is incorporated herein by reference and made a part thereof. 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.

**9.11.14.3 Former Governor John G. Rowland's Executive Order No. Sixteen**, promulgated August 4, 1999 concerning violence in the workplace, and, as such, the Contract may be canceled, terminated or suspended by the State for violation of or noncompliance with said Executive Order No. Sixteen. The parties to this contract, as part of the consideration hereof, agree that said Executive Order No. Sixteen is incorporated herein by reference and made a part of hereof. The parties agree to abide by such Executive Order.

**9.11.14.4 Section 6 of Governor M. Jodi Rell's Executive Order No. Seven C.** The State Contracting Standards Board (the "Board") may review the contract and recommend to the state contracting agency termination of the contract for cause. For the purpose of this Section "for cause" means: (1) a violation of the State Ethics Code (Chapter 10 of the General Statutes) or Section 4a-100 of the General Statutes or (2) wanton or reckless disregard of any State contracting and procurement process by any person substantially involved in such contract or State contracting agency. The Board shall provide the results of its review, together with its recommendations, to the state contracting agency and any other affected party in accordance with the notice provisions in the contract no later than fifteen (15) days after the Board finalizes its recommendation. The state contracting agency shall consider the recommendations of the Board and act in accordance with the contract and applicable law.

**9.11.14.5 Executive Order No. Fourteen** of Governor M. Jodi Rell promulgated April 17, 2006 and, as such, the contract may be canceled, terminated or suspended by the State for violation of or noncompliance with said Executive Order Fourteen. The parties to this contract, as part of the consideration hereof, agree that said Executive Order No. Fourteen is incorporated herein by reference and made a part hereof. This Executive Order No. Fourteen shall be made a part of any applicable subcontracts to the Contract. The parties agree to abide by such Executive Order.

The *Executive Orders* are attached hereto as **Schedule F**.

**9.11.15 Entire Contract.**

The Contract entered into by the Contractor and the State, together with the schedules, exhibits and other attachments, all of which are incorporated into the Contract by this reference, shall be the entire agreement between the parties with respect to CIVLS, and shall supersede all prior agreements, Proposals, offers, counteroffers and understandings of the parties, whether written or oral. Further, no alteration, modification or interpretation of the Contract shall be binding unless in writing and signed by both parties. The Contract shall be entered into after full investigation, neither party relying upon any statement or representation by the other unless such statement or representation is specifically embodied in the Contract. The State and the Contractor will participate in the drafting of the Contract and any ambiguity contained in the Contract shall not be construed against the State or the Contractor solely by virtue of the fact that either the State or the Contractor may be considered the drafter of the Contract or any particular part of it.

#### **9.11.16 Contractor Responsibility.**

The Contractor shall represent that it is fully experienced and properly qualified to perform the services required by the Contract, and that it is properly licensed, equipped, organized and financed to perform such services. In the performance of the Contract, the Contractor shall act as an independent Contractor, maintaining complete control over its employees and all of its Subcontractors and consultants. The Contractor shall furnish fully qualified personnel to perform its services under the Contract. The Contractor shall perform all services in accordance with the provisions of the Contract and in compliance with all applicable laws and regulations. It shall be further acknowledged that the services rendered by the Contractor to the State hereunder do not in any way conflict with other contractual commitments with or by the Contractor. The Contractor is responsible for the entire performance of the Contract regardless of whether the Contractor performs such services and requirements itself.

#### **9.11.17 Representations and Warranties.**

The Contractor shall represent and warrant to the State for itself, the applicable Contractor Parties, its partners and Subcontractors, that:

- 9.11.17.1** They are duly and validly existing under the laws of their respective states of organization and authorized to conduct business in the State in the manner contemplated by the Contract. Further, as appropriate, they have taken all necessary action to authorize the execution, delivery and performance of the Proposal and the Contract and have the power and authority to execute, deliver and perform their obligations under the Contract;

- 9.11.17.2** They will comply with all applicable State and federal laws and municipal ordinances in satisfying their obligations to the State under and pursuant to the Contract, including, but not limited to (a) C.G.S. Title 1, Chapter 10, concerning the State's Codes of Ethics and (b) Title 4a concerning State purchasing, including, but not limited to C.G.S., §22a-194a concerning the use of polystyrene foam;
- 9.11.17.3** The execution, delivery and performance of the Contract will not violate, be in conflict with, result in a breach of or constitute (with or without due notice and/or lapse of time) a default under any of the following, as applicable: (a) any provision of law; (b) any order of any court or of the State; or (c) any indenture, agreement, document or other instrument to which it is a party or by which it may be bound;
- 9.11.17.4** They can re-certify and up-date the disclosures request by Sections 5.1.4.6 and 9.11.2 of this RFP;
- 9.11.17.5** They have not employed or retained any entity or person, other than a bona fide employee working solely for them, to solicit or secure the Contract and that they have not paid or agreed to pay any entity or person, other than a bona fide employee working solely for them, any fee, commission, percentage, brokerage fee, gifts, or any other consideration contingent upon or resulting from the award or making of the Contract or any assignments made in accordance with the terms of the Contract;
- 9.11.17.6** To the best of their knowledge, there are no claims involving the Contractor, applicable Contractor Parties, its partners or Subcontractors that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Contract;
- 9.11.17.7** They shall disclose, to the best of their knowledge, to the State in writing any claims involving them that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to perform fully under the Contract, no later than ten (10) Days after becoming aware or after they should have become aware of any such claims. For purposes of the

Contractor's obligation to disclose any claims to the State, the ten (10) days in the section of the Contract concerning disclosure of Contractor litigation shall run consecutively with the ten (10) Days provided for in this representation and warranty;

- 9.11.17.8** Their participation in the solicitation process was not a conflict of interest or a breach of ethics under the provisions of Title 1, Chapter 10 of the Connecticut General Statutes concerning the State's Code of Ethics;
- 9.11.17.9** The Proposal was not made in connection or concert with any other person, entity or Proposer, including any affiliate (as defined in the tangible personal property section of the Contract) of the Proposer, submitting a Proposal for the same goods or Services, and is in all respects fair and without collusion or fraud;
- 9.11.17.10** They are able to perform under the Contract using their own resources or the resources of a party who is not a Proposer;
- 9.11.17.11** The Contractor shall obtain in a written agreement with any Contractor Parties, all of the representations and warranties in this section, and to require that provision to be included in any contracts and purchase orders with such Contractor Parties;
- 9.11.17.12** They have paid all applicable workers' compensation second injury fund assessments concerning all previous work done in Connecticut;
- 9.11.17.13** They have a record of compliance with Occupational Health and Safety Administration regulations without any unabated, willful or serious violations;
- 9.11.17.14** They owe no unemployment compensation contributions;
- 9.11.17.15** They are not delinquent in the payment of any taxes owed, or, that they have filed a sales tax security bond, and they have, if and as applicable, filed for motor carrier road tax stickers and have paid all outstanding road taxes;

- 9.11.17.16** All of their vehicles have current registrations and insurance and, unless such vehicles are no longer in service, they shall not allow any such registrations or insurance to lapse;
- 9.11.17.17** Each partner or Subcontractor has vested in the Contractor plenary authority to bind them to the full extent necessary or appropriate to ensure full compliance with and performance in accordance with all of the terms and conditions of the Contract and that all appropriate parties shall also provide, no later than fifteen (15) days after receiving a request from the State, such information as the State may require to evidence, in the State's sole determination, compliance with this section;
- 9.11.17.18** Except to the extent modified or abrogated in the Contract, all title shall pass to the State upon complete installation, testing and Acceptance of the goods, Components or services and payment by the State;
- 9.11.17.19** If either party Terminates the Contract, for any reason, they shall relinquish to the State all title to the goods or Components delivered, accepted and paid for (except to the extent any invoiced amount is disputed) by the State;
- 9.11.17.20** With regard to third party products provided with the goods and Components, they shall transfer all licenses which they are permitted to transfer in accordance with the applicable third party license;
- 9.11.17.21** They shall not copyright, register, distribute or claim any rights in or to the goods or Components after the effective date of the Contract without the State's prior written consent;
- 9.11.17.22** They either own or have the authority to use all title of and to the goods and Components, and that such title is not the subject of any encumbrances, liens or claims of ownership by any third party;
- 9.11.17.23** The goods or Components do not infringe or misappropriate any patent, trade secret or other intellectual property right of a third party;
- 9.11.17.24** The State's use of any goods or Components shall not infringe or misappropriate any patent, trade secret or other intellectual property right of a third party;

**9.11.17.25** If they procure any goods or Components, they shall sub-license such goods or Components and that the State shall be afforded the full benefits of any manufacturer or Subcontractor licenses for the use of the goods or Components; and

**9.11.17.26** They shall assign or otherwise transfer to the State, or afford the State the full benefits of any manufacturer's warranty for the goods or Components, to the extent that such warranties are assignable or otherwise transferable to the State.

**9.11.18 Debarment or Suspension.**

Suspended or debarred companies, suppliers, material men, lessors or other vendors may not submit Proposals for a State contract or participate under the terms of the Contract during the period of suspension or debarment regardless of their anticipated status at the time of contract award or commencement of work.

**9.11.18.1** The signature on the Contract by the Contractor shall constitute certification that, to the best of its knowledge and belief, the Contractor or any Person associated therewith in the capacity of owner, partner, director, officer, principal investigator, Project director, manager, auditor or any position involving the administration of federal or State funds:

- (a) Is not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Governmental Authority;
- (b) Has not within a five (5) year period preceding the Contract been convicted of or had a civil judgment rendered against him/her for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a transaction or contract for a Governmental Authority, violation of federal or State antitrust statutes or commission or embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, receiving stolen property, tax evasion, violating federal criminal tax laws, or receiving stolen property;
- (c) Is not presently indicted for or otherwise criminally or civilly charged by a Governmental Authority with commission of any of the

offenses enumerated in paragraph (a) (2) of this certification; and,

- (d) Has not within a three (3) year period preceding the Contract had one or more transactions for a Governmental Authority terminated for cause for default.

**9.11.18.2** Where the Contractor is unable to certify to any of the statements in this certification, the Contractor shall attach an explanation to the Contract. The Contractor agrees to insure that the following certification be included in each Subcontract to which it is a party, and further, to require said certification to be included in any lower tier Subcontractors and purchase orders:

- (a) The prospective lower tier participant certifies, by submission of this Proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Governmental Authority.
- (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this Proposal.

**9.11.19 Termination.**

**9.11.19.1** Notwithstanding any provisions in the Contract, the State, through a duly authorized employee, may terminate the Contract whenever the State makes a written determination that such Termination is in the best interests of the State. The State shall notify the Contractor in writing of Termination pursuant to this section, which notice shall specify the effective date of Termination and the extent to which the Contractor must complete performance under the Contract prior to such date.

**9.11.19.2** If at any time during the term of this Contract the Contractor is not conducting operations in accordance with the terms, conditions and provisions of the Contract, and the State so advises the Contractor, in writing, (i) specifying in what manner the provisions of the Contract have been violated or breached; and, (ii) specifying that such breach may result in Termination unless corrected, the Contractor



shall be given a specified time but in no event more than thirty (30) days within which to rectify such conditions. If at its conclusion of the said specified time the Contractor shall not have rectified, or taken reasonable steps to rectify, such conditions, the State may then terminate the Contract on thirty (30) days' notice, in writing, to the Contractor;

**9.11.19.3** The State shall send the notice of Termination via certified mail, return receipt requested, to the Contractor at the most current address which the Contractor has furnished to the State for purposes of correspondence, or by hand delivery. Upon receiving such notice from the State, the Contractor shall immediately discontinue all services affected in accordance with the notice, undertake all commercially reasonable efforts to mitigate any losses or damages, and deliver to the State all records. The records are deemed to be the property of the State and the Contractor shall deliver them to the State no later than thirty (30) days after the Termination or Expiration of the Contract or fifteen (15) days after the Contractor receives a written request from the State for the records. The Contractor shall deliver those records that exist in electronic, magnetic or other intangible form in a non-proprietary format, such as, but not limited to, ASCII or .TXT.

**9.11.19.4** Upon receipt of a written notice of Termination from the State, the Contractor shall cease operations as directed by the State in the notice, and take all actions that are necessary or appropriate, or that the State may reasonably direct, for the protection and preservation of the goods and any other property. Except for any work which the State directs the Contractor to perform in the notice prior to the effective date of Termination, and except as otherwise provided in the notice, the Contractor shall terminate or conclude all existing subcontracts and purchase orders and shall not enter into any further Subcontracts, purchase orders or commitments.

**9.11.19.5** In the case of any Termination, the State shall, within forty-five (45) days of the effective date of Termination, reimburse the Contractor for its Performance rendered and accepted by the State, in addition to all actual and reasonable costs incurred after Termination in completing those portions of the Performance which the Contractor was required to

complete by the notice. However, the Contractor is not entitled to receive and the State is not obligated to tender to the Contractor any payments for anticipated or lost profits. Upon request by the State, the Contractor shall assign to the State, or any replacement contractor which the State designates, all subcontracts, purchase orders and other commitments, deliver to the State all Records and other information pertaining to its Performance, and remove from State premises, whether leased or owned, all such equipment, waste material and rubbish related to its Performance as the State may request.

**9.11.19.6** For breach or violation of any of the provisions in the section concerning representations and warranties, the State may Terminate the Contract in accordance with its terms and revoke any consents to assignments given as if the assignments had never been requested or consented to, without liability to the Contractor or Contractor Parties or any third party.

**9.11.19.7** Upon Termination or Expiration of the Contract, all rights and obligations shall be null and void, so that no party shall have any further rights or obligations to any other party, except with respect to the sections which survive Termination or Expiration of the Contract. All representations, warranties, agreements and rights of the parties under the Contract shall survive such Termination or Expiration to the extent not otherwise limited in the Contract and without each one of them having to be specifically mentioned in the Contract.

**9.11.19.8** Termination of the Contract pursuant to this section shall not be deemed to be a breach of contract by the State.

**9.11.19.9** In the event that the State shall terminate the Contract under this provision or the Contractor abandons operation, the State reserves the right to enter into a new Contract with others and to pursue its rights under the Contract as against the Contractor and/or its surety.

#### **9.11.20 Remedies and Liquidated Damages.**

State remedies and liquidated damage provisions for non-performance or failure to meet deadlines shall be finalized in the Contract.

### **9.11.21 Contractor Changes.**

The Contractor shall notify the State, in writing, of any change in its certificate of incorporation, a change in more than a controlling interest in the ownership of the Contractor or a change in the individual(s) in charge of the performance to be completed under the Contract no later than ten (10) days from the effective date of the change. This change shall not relieve the Contractor of any responsibility for the accuracy and completeness of the performance. The State, after receiving written notice by the Contractor of any such change, may require such agreements, releases and other instruments evidencing, to the State's satisfaction, that any individuals retiring or otherwise separating from the Contractor have been compensated in full or that provision has been made for compensation in full, for all work performed under the terms of the Contract. The Contractor shall deliver such documents to the State in accordance with the terms of State's written request. The State may also require, and the Contractor shall deliver, a financial statement showing that solvency of the Contractor is maintained. The death of any Contractor partner or Subcontractor as applicable, shall not release the Contractor from the obligation to perform under the Contract; the surviving Contractor shall continue to perform under the Contract until it is fully performed.

### **9.11.22 Key Personnel and Approved Subcontractors.**

**9.11.22.1 Contractor Key Personnel.** Each of the Contractor's key personnel, as described in Section 8.3.1.1 of this RFP and as set forth in their Proposal, shall have the functions assigned as set forth in the Contract, as may be modified, from time to time, to meet the requirements of this Project. The State shall have the right to interview, as deemed necessary, and the Contractor shall not designate any Contractor key personnel without consulting with the State Contract Administrator and Project Administrator, to assure any mutually acceptable replacements. However, pending the State's approval of an individual proposed by the Contractor to be a Contractor key personnel, the Contractor may designate an individual to serve in that position on an interim basis.

**9.11.22.2 Assignment of Key Personnel.** Contractor key personnel shall remain assigned to this Project for a period equal to work required of said Contractor key personnel as set forth in the Contract. During the Contract Term, the Contractor shall not, without consultation with the State Contract Administrator and Project Administrator, reassign that individual except (i) for a bona fide promotion; resignation, or,

(ii) if the Contractor reasonably determines that the individual has failed to adequately perform his or her duties; or, (iii) if the function or position is no longer required under the provisions of the Contract.

**9.11.22.3 Replacement of Key Personnel.** If any one of the Contractor key personnel is reassigned, becomes incapacitated, or ceases to be employed by the Contractor and therefore becomes unable to perform the assigned functions or responsibilities, the Contractor shall promptly replace such person with another qualified person in consultation with the State Contract Administrator and Project Administrator. In the event of reassignment, the Contractor shall provide reasonable notice to the State, taking into account the status of the Project and the schedule pertaining thereto. At the beginning of each new phase, if any, or at the milestone for a deliverable, if any, the parties shall agree on any modifications to the Contractor key personnel as set forth in the Contract, taking into account career development, the best interests of the Project and other similar issues.

**9.11.22.4 State Key Personnel.** The State key personnel shall be identified in the Contract. The State realizes that continuity of personnel is an important element of a successful Project, and will make reasonable efforts to retain the personnel in the roles to which they are assigned.

**9.11.22.5 The State Right to Review Subcontractors recommended by the Contractor.** The Contractor may enter into written Subcontract(s) for performance of certain of its functions under the Contract in the manner described in the Contract. The Contractor represents that there are no legal issues or impediments that would interfere with the performance of the Contract by any approved Subcontractor. The Contractor shall be wholly responsible for the entire performance of the Contract whether or not approved Subcontractors are used. The Contract shall contain a list of the approved Subcontractors as of the effective date of the Contract. Furthermore, the State reserves the right to review any additional Subcontractors for the Contract, who, once approved, shall be deemed to be approved Subcontractors, and to request that the Contractor replace approved Subcontractors who are found at any time to be unacceptable.

**9.11.22.6 The Contractor's Continuing Obligation Regarding Subcontractors.** In the event the Contractor has provided or recommended third-party system and/or Components as specified in the exhibits to the Contract, the State shall allow the Contractor to subcontract to provide the necessary system and/or Components and obtain the appropriate warranties relating thereto to ensure compliance with the warranty and maintenance provisions of the Contract. Moreover, the Contractor shall have the continuing obligation to identify all of its Subcontractors and provide the State with copies of all agreements with said Subcontractors, with the exception of the financial terms thereof, unless otherwise required by law.

**9.11.22.7 Objections to Assignment of Personnel or Subcontractors.** In the event either party has an objection to the assignment of personnel or a Subcontractor, the party shall file the objection in writing with the reasons enumerated therefor. The parties shall jointly consult on corrective action and handle objections on a case-by-case basis. This provision shall not be deemed to give the State the right to require the Contractor to terminate any Contractor employee or approved Subcontractor; it is intended to give the State only the right to require that the Contractor discontinue using an employee or approved Subcontractor in the performance of services rendered under the Contract.

**9.11.23 Non-Acceptance of CIVLS.**

Failure of CIVLS to be accepted by the State as proposed by the Contractor shall result in the State's withholding of payment.

**9.11.24 Holdback Requirements.**

**9.11.24.1** The State shall hold back funds in an amount equal to twenty (20%) percent from each payment to the Contractor in accordance with the payment milestones set forth in the Contract ("Hold Back Funds").

**9.11.24.2** Following Acceptance of each deliverable, as set forth in the Contract, the State shall pay the Contractor one-half of the Holdback Funds applicable to the payable milestone thereunder.

**9.11.24.3** Upon Full System Acceptance and Integration of CIVLS, the one year Warranty Period shall begin. Upon successful completion of the Warranty Period, all holdback funds shall be released to the Contractor.

**9.11.24.4** In the event that the Contractor provides superior performance under the Contract, such as, completing milestone events ahead of schedule, The State may, in its sole discretion, accelerate the release of Holdback Funds.

#### **9.11.25 State Fiscal and Product Performance Requirements.**

The State, at its sole discretion, may terminate or reduce the scope of the services under the Contract, if available funding is reduced for any reason. The State shall provide reasonable advance notification in the event that funds are not appropriated or available, and the State will not authorize work to be performed by the Contractor if funds have not been appropriated or made available. The Contractor has no obligation to perform any work that exceeds the funds appropriated or available.

#### **9.11.26 Prompt Payment.**

In conformity with the requirements of C.G.S. §4a-71 et seq., the State will pay promptly, all non-disputed charges in a properly documented invoice in accordance with the Contract subject to the exceptions enumerated in C.G.S. §4a-72. In conformity with said provisions, the State shall notify the Contractor within ten (10) business days, in writing, of any disputed charges under the Contract for which the State is withholding payment. The Contractor shall agree to accept payment of undisputed amounts from the State for net forty-five (45) days from the date the invoice is received by the State with no interest penalty for payments tendered on or before forty five (45) days following the date the invoice is received by the State. The Contractor may, with respect to such disputed charges, initiate the dispute resolution procedures set forth in §9.11.39, below within forty-five (45) days after notification of a dispute by the State, in which case the matters in dispute will be resolved in accordance with such dispute resolution procedures. The State agrees to withhold payment of disputed charges only from the invoice under which the dispute arises.

All invoices shall reflect work performed and accepted by the State and refer to the appropriate Components and developed materials in each of the payable milestones set forth in the Contract. Payments, subject to the holdback provisions, shall be made in accordance with the payment terms set forth in the Contract.

#### **9.11.27 Disputes.**

Should any disputes arise with respect to the Contract, the Contractor and the State agree to act immediately to resolve such dispute. The Contractor agrees that the existence of the dispute notwithstanding, it will continue without delay to carry out all its responsibilities under the Contract of all non-disputed work; any additional costs incurred by the Contractor or the State as a result of such failure to proceed will be borne by the Contractor, and the Contractor will make no claim against the State for such costs. Dispute resolution provisions will be included in the Contract.

#### **9.11.28 Warranty Period**

The Warranty Period shall begin upon State sign-off of Full System Acceptance and will end one calendar year later. During this time the Contractor shall be responsible for Full System performance, bug fixes, design defects, maintenance, help desk, hardware and software issues and any other matters that affect the efficient and correct performance of the Full System. By mutual agreement in the Contract, the State and Contractor may enlist the services of an outside arbitrator who would resolve such situations and whose decision would be final.

#### **9.11.29 Warranty.**

The Contract shall include a provision taking into account the requirements of Section 8.3.7.2-.6 of this RFP and the requirements of DOIT.

#### **9.11.30 Warranty Service Standards.**

The Contractor shall provide the warranty services in accordance with the terms of the Contract.

#### **9.11.31 Warranties of Commercially Available Products.**

The Contract shall include a provision taking into account the requirements of Section 8.3.7.5 of this RFP and the requirements of DOIT.

#### **9.11.32 Implied Warranties.**

The Contract shall include a provision taking into account the requirements of Section 8.3.7.7 of this RFP.

#### **9.11.33 Inspection of Work Performed.**

All Contractor work shall be open for inspection at any time as required by the Project Administrator.

#### **9.11.34 Project Manager**

For the Contract Term, the Contractor's Project Manager shall be on-site in Connecticut at least 50% of the work days of any given calendar month, unless otherwise agreed upon with the State's Project Administrator.

#### **9.11.35 Date/Time Compliance.**

In accordance with the requirements of Conn. Reg. §4d-3-9(e), The Contractor shall warrant that each sub-system, including hardware and software (including firmware and microcode) products or each developed, modified or remediated item of hardware and software ("Item") or each service delivered under the 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 ("Date/Time Compliance"), including single and multi-century formulae, leap years and daylight savings time);
2. Properly exchange date/time data when used in combination with other information technology, provided that other information technology not covered by the Contract is Date/Time Compliant;
3. Perform as a system with respect to Date/Time Compliance, as stipulated in the Contract, and the warranty shall apply to those items as a system; and,
4. Where appropriate, respond to two digit date input in a way that resolves the ambiguity as to century in a disclosed, defined and predetermined manner.

Notwithstanding any provision to the contrary in any warranty or warranties, the remedies available to the State under this date/time compliance warranty shall include the obligation to repair or replace any sub-system and/or item whose non-compliance with this warranty or defect is discovered by the Contractor or the State, all at the expense of the Contractor. If the State becomes aware thereof, it must be made known to the Contractor in writing. This warranty remains in effect through the 365 days following the termination of the Contract. This provision shall not be construed to extend the Warranty Period, except as services for defects to CIVLS and all sub-systems shall be required under any maintenance term, as said term is set forth in the implementation plan.

Nothing in this Date/Compliance Warranty shall be construed to limit any rights or remedies that the State may otherwise have under the Contract with respect to defects.

In addition, the Contractor shall warrant that sub-systems or Items modified or remediated to achieve Date/Time Compliance shall remain unaffected with respect to their functioning or performance except for processing and exchanging date data. The Contractor further warrants that sub-systems or items not being modified or remediated directly shall



remain unaffected with respect to their normal functioning or performance.

#### **9.11.36 Cross Default.**

**9.11.36.1** If the Contractor breaches, defaults or in any way fails to perform satisfactorily under the Contract, then the State may, in its sole discretion, without more and without any action whatsoever required of the State, treat any such event as a breach, default or failure to perform under any or all other agreements or arrangements ("Other Contracts") that the Contractor has with the State. Accordingly, the State may then exercise at its sole option any and all of its rights or remedies provided for in the Contract or other contracts or agreements, either selectively or collectively and without such election being deemed to prejudice any rights or remedies of the State, as if the Contractor had suffered a breach, default or failure to perform under the Other Contracts or agreements.

**9.11.36.2** If the Contractor breaches, defaults or in any way fails to perform satisfactorily under any or all other contracts or agreements with the State or the State, then the State may, in its sole discretion, without more and without any action whatsoever required of the State, treat any such event as a breach, default or failure to perform under the Contract. Accordingly, the State may then exercise at its sole option any and all of its rights or remedies provided for in the other contracts or agreements or the Contract, either selectively or collectively and without such election being deemed to prejudice any rights or remedies of the State, as if the Contractor had suffered a breach, default or failure to perform under the Contract.

#### **9.11.37 Setoff.**

In addition to all other remedies that the State may have, the State, in its sole discretion, may setoff (1) any costs or expenses that the State incurs resulting from the Contractor's unexcused non-performance under the Contract and under any other agreement or arrangement that the Contractor has with the State and (2) any other amounts that are due or may become due from the State to the Contractor, against amounts otherwise due or that may become due to the Contractor under the Contract, or under any other agreement or arrangement that the Contractor has with the State. The State's right of setoff shall not be deemed to be the State's exclusive remedy for the Contractor's breach of the Contract, all of which shall survive any setoffs by the State.

**9.11.38 Excusable Failure and Force Majeure.**

Neither Party shall be liable for any default, failure or delay in the performance of its obligations under the Contract if and to the extent such default or delay is caused, directly or indirectly, by: fire, flood, earthquake, elements of nature or acts of God; riots, civil disorders, rebellions or revolutions in any country; terrorist acts; war, strikes, lockouts, or any other cause beyond the reasonable control of such Party; provided the non-performing Party and its Approved Subcontractors are without fault in causing such default or delay, and such default or delay could not have been prevented by reasonable precautions and cannot reasonably be circumvented by the non-performing Party through the use of alternate sources, work around plans or other means. Neither Party shall be liable for any default or delay in the performance of its obligations under the Contract if and to the extent such default or delay is caused, directly or indirectly, by acts of the other Party, court actions, governmental regulatory or administrative actions, temporary or permanent injunctions, or other judicial orders or actions, whether the case, suit or proceeding is initiated by a Party or by a third Party.

In each such event set out in this section, the non-performing Party shall be excused from any further performance or observance of the obligation(s) so affected for as long as such circumstances prevail and such Party continues to use its commercially reasonable efforts to recommence performance or observance whenever and to whatever extent possible without delay, provided such Party promptly notifies the other Party in writing of the inception of the excusable failure occurrence, and also of its abatement or cessation.

**9.11.39 Antitrust.**

The Contractor shall assign to the State all rights, title and interest in and to all Claims that it may have or will have, directly or indirectly, under 15 U.S.C. 15 or under C.G.S. Title 35, Chapter 624, relating in any way to the types of products and associated services that are the subject of the Contract. This assignment shall be made and become valid from the effective date of the Contract, without any further action or acknowledgment by the parties. The Contractor shall include the following paragraph in any type of contract that it may enter into with any approved Subcontractor relating to the Contract:

The [NAME OF APPROVED SUBCONTRACTOR] shall assign to the State of Connecticut all rights, title and interest in and to all actions, suits, claims, demands, investigations and legal, administrative or arbitration proceedings pending or threatened, whether mature, unmatured, contingent, known or unknown, at law or in equity, in any forum, that it may have or will have under 15 U.S.C. 15. or under C.G.S. Title 35, Chapter 624, relating in any way to the types of products and associated services that are the subject of the contract between the Contractor and the State of Connecticut, dated \_\_\_\_\_. This assignment shall be made and

become valid from the effective date of the contract, without any further action or acknowledgment by the parties.

#### **9.11.40 Taxes-Federal, State and Local.**

The State is exempt from federal excise, State and local sales taxes. The Contractor remains responsible however, for any taxes applicable to it in connection with its performance under the Contract.

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## **9.12 Required Forms and Certifications**

### **9.12.1 Nondiscrimination.**

References in this section to "contract" shall mean the Contract and references to "contractor" shall mean the Contractor.

**9.12.1.1** The following subsections are set forth here as required by C.G.S., §4a-60:

- (a) 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;
- (b) 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;

- (c) 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 Subcontractor or supplier 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;
- (d) the Contractor agrees to comply with each provision of this section and §§46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to §§46a-56, 46a-68e and 46a-68f;

(e) 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 §46a-56.

**9.12.1.2** 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. Prior to entering into the contract, the Contractor shall provide the State or such political subdivision of the State with documentation in the form of a company or corporate policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of such Contractor to support the nondiscrimination agreement and warranty under subdivision (1) of this subsection. For the purposes of this section, "contract" includes any extension or modification of the contract, and "Contractor" includes any successors or assigns of the Contractor.

**9.12.1.3** "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: (a) who are active in the daily affairs of the enterprise, (b) who have the power to direct the management and policies of the enterprise and (c) who are members of a minority, as such term is defined in subsection (a) of C.G.S., §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.

**9.12.1.4** 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.

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

**9.12.1.6** The Contractor shall include the provisions of Section 9.12.1.A, above, 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 C.G.S., §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.

**9.12.1.7** The following subsections are set forth here as required by C.G.S., §4a-60a:

(a) 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;

(b) 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;

- (c) The Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to C.G.S., §46a-56;
- (d) 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 C.G.S., §46a-56.

The Contractor shall include the provisions of Section 9.12.1.7, above, 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 C.G.S., §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.

The *Nondiscrimination Certification* and, *Contract Compliance Notification to Bidders* and *Acknowledgement of Contract Compliance Notification to Bidders* are attached hereto as **Schedules G, H and I**. A copy of these forms shall be signed and submitted by the Proposer to the DOIT offices as set forth in Section 3.4, along with the Proposal.

Prior to entering into the Contract, the Proposer shall provide the State with documentation in the form of a company or corporate policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of such Proposer to support the nondiscrimination agreement and warranty set forth in this section, a copy of which shall be attached hereto as **Schedule J**.

### 9.12.2 Affirmation of Receipt of Summary of State Ethics Laws.

Pursuant to the requirements of C.G.S., §1-101qq, the summary of State ethics laws developed by the State Ethics Commission pursuant to C.G.S., §1-81b shall be incorporated by reference into and made a part of the Contract as if the summary had been fully set forth in the Contract. This provision affirms that the key employees of such Proposer have received, reviewed and understand the Summary and agree to comply with the provisions of the State ethics laws. This provision applies to Proposals for large state construction or procurement contracts. "Large state construction or procurement contract" means any contract, having a cost of more than five hundred thousand dollars, for (A) the remodeling, alteration, repair or enlargement of any real asset, (B) the construction, alteration, reconstruction, improvement, relocation, widening or changing of the grade of a section of a state highway or a bridge, (C) the purchase or lease of supplies, materials or equipment, as defined in C.G.S., §4a-50, or (D) the construction, reconstruction, alteration, remodeling, repair or demolition of any public building. Furthermore, pursuant to C.G.S., §1-101qq, the Proposer shall incorporate and include the Summary in all contracts with any Subcontractor or consultant working or assisting the Contractor with the large state construction or procurement contract. The Proposer shall require in said contracts that the key employees of any Subcontractor or consultant affirm that they have received, reviewed and understand the summary and agree to comply with the provisions of the State ethics laws. The Proposer shall such affirmations to the State promptly. The *Summary of State Ethics Laws, Affirmation of its Receipt and Guide to the Code of Ethics for Current or Potential State Contractors* are attached hereto as **Schedules K, L and M**. A *Consulting Agreement Affidavit* is attached hereto as **Schedule N**, which requires execution to affirm its nonapplicability.

### 9.12.3 Campaign Contribution Restriction.

With regard to a State contracts, as defined in P.A. 07-1, having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to the Contract expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See the *Notice of the State Elections Enforcement Commission to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Ban (SEEC Forms 10 and 11) and Gift and Campaign Contribution Certification*, attached hereto as **Schedules O and P**. This requirement (the "CCR Section") is included here and shall be part of the subsequent Contract, if any, pursuant to Conn. Gen. Stat. § 9-333n and, without limiting its applicability, is made applicable to State Contracts, bid solicitations, request for Proposals and prequalification certificates, as the context requires. This CCR Section, without limiting its applicability, is also made applicable to State Agencies, Quasi-public



Agencies, the General Assembly, State Contractors, Prospective State Contractors and the holders of valid prequalification certificates, as the context requires.

**9.12.3.1** For purposes of this CCR Section only:

- (a) "Quasi-public Agency" means the Connecticut Development Authority, Connecticut Innovations, Incorporated, Connecticut Health and Educational Facilities Authority, Connecticut Higher Education Supplemental Loan Authority, Connecticut Housing Finance Authority, Connecticut Housing Authority, Connecticut Resources Recovery Authority, Connecticut Hazardous Waste Management Service, Capital City Economic Development Authority, Connecticut Lottery Corporation, or as this definition may otherwise be modified by Title 1, Chapter 12 of the Connecticut General Statutes concerning quasi-public agencies.
- (b) "State Agency" means any office, department, board, council, commission, institution or other agency in the executive, legislative or judicial branch of State government, or as this definition may otherwise be modified by Title 9, Chapter 150 of the Connecticut General Statutes concerning campaign financing.
- (c) "State Contract" means an agreement or contract with the State or any State Agency or any Quasi-public Agency, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a fiscal year, for (A) the rendition of personal services, (B) the furnishing of any material, supplies or equipment, (C) the construction, alteration or repair of any public building or public work, (D) the acquisition, sale or lease of any land or building, (E) a licensing arrangement, or (F) a grant, loan or loan guarantee, or as this definition may otherwise be modified by Title 9, Chapter 150 of the Connecticut General Statutes concerning campaign financing.
- (d) "State Contractor" means a person, business entity or nonprofit organization that enters into a State Contract. Such person, business entity or nonprofit organization shall be deemed to be a State Contractor until the

termination of said contract. "State contractor" does not include a municipality or any other political subdivision of the State or an employee in the executive, legislative or judicial branch of State government or a Quasi-public Agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a State or Quasi-public Agency employee, or as this definition may otherwise be modified by Title 9, Chapter 150 of the Connecticut General Statutes concerning campaign financing.

- (e) "Prospective State Contractor" means a person, business entity or nonprofit organization that (A) submits a bid in response to a bid solicitation by the State, a State Agency or a Quasi-public Agency, or a Proposal in response to a request for Proposals by the State, a State Agency or a Quasi-public Agency, until the State Contract has been entered into, or (B) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under C.G.S., §4a-100. "Prospective State Contractor" does not include a municipality or any other political subdivision of the State or an employee in the executive, legislative or judicial branch of State government or a Quasi-public Agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a State or Quasi-public Agency employee. Title 9, Chapter 150 of the Connecticut General Statutes concerning campaign financing may modify this definition, which modification shall control.
- (f) "Principal of a State Contractor or Prospective State Contractor" (collectively referred to in this CCR Section as "Principal") means (A) an individual who is a member of the board of directors of, or has an ownership interest in, a State Contractor or Prospective State Contractor, which is a business entity, except for an individual who (i) owns less than five per cent of the shares of any such State Contractor or Prospective State Contractor that is a publicly traded corporation, or (ii) is a member of the board of directors of a nonprofit organization qualified under §501(c)(3) of the Internal Revenue Code of

1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended, (B) an individual who is employed by a State Contractor or Prospective State Contractor, which is a business entity, as president, treasurer or executive or senior vice president, (C) an individual who is the chief executive officer of a State Contractor or Prospective State Contractor, which is not a business entity, (D) an employee of any State Contractor or Prospective State Contractor who has managerial or discretionary responsibilities with respect to a State Contract, (E) the spouse or a dependent child of an individual described in this subparagraph, or (F) a political committee established by or on behalf of an individual described in this subparagraph, or as this definition may otherwise be modified by Title 9, Chapter 150 of the Connecticut General Statutes concerning campaign financing.

**9.12.3.2** No State Contractor, Prospective State Contractor or Principal, with regard to a State Contract, bid solicitation or request for Proposals with or from a State Agency in the executive branch or a Quasi-public Agency, and no Principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (a) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (b) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (c) a party committee.

**9.12.3.3** No State Contractor, Prospective State Contractor or Principal, with regard to a State Contract, bid solicitation or request for Proposals with or from the General Assembly, and no Principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (a) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (b) a political committee authorized to make

contributions or expenditures to or for the benefit of such candidates, or (c) a party committee.

**9.12.3.4** If a State Contractor or a Principal of a State Contractor makes or solicits a contribution prohibited under this CCR Section, the contracting State Agency or Quasi-public Agency may void the existing contract with said contractor, and no State Agency or Quasi-public Agency shall award the State Contractor a State Contract or an extension or an amendment to a State Contract for one year after the election for which such contribution is made or solicited.

**9.12.3.5** If a Prospective State Contractor or a Principal of a Prospective State Contractor makes or solicits a contribution prohibited under this CCR Section, no State Agency or Quasi-public Agency shall award the Prospective State Contractor the Contract described in the bid solicitation or request for Proposals, or any other State Contract for one year after the election for which such contribution is made or solicited.

**9.12.3.6** The chief executive officer of each State Contractor and Prospective State Contractor, or if a State Contractor or Prospective State Contractor has no such officer then the officer who duly possesses and exercises comparable powers and duties, shall certify, in the form of an affidavit executed subject to the penalties of false statement, that:

- (a) such officer has informed each individual described in subsection (1)(f) of this CCR Section with regard to said State Contractor or Prospective State Contractor concerning the provisions of subsection (2) or (3) of this CCR Section, whichever is applicable, and this subsection (6);
- (b) no such individual will make or solicit a contribution in violation of the provisions of subsection (2) or (3) of this CCR Section, whichever is applicable, and this subsection (6); and,
- (c) if any such contribution is made or solicited, the State Contractor or Prospective State Contractor, as the context requires, shall not be awarded the Contract described in the bid solicitation or request for Proposals and shall not be awarded any other State Contract for one year after the election for which such contribution is made or solicited. Such officer

shall submit the affidavit to the contracting State Agency or Quasi-public Agency prior to, in the case of an RFP, executing a negotiated contract or prior to, in the case of an ITB, the award and acceptance of a contract. In the case of an application for prequalification to the Connecticut Department of Administrative Services (“DAS”), the application shall not be deemed to be complete until DAS receives the affidavit. The State Contractor or Prospective Contractor shall submit the affidavit on a form which the State Elections Enforcement Commission (“SEEC”) prescribes.

**9.12.3.7** The person executing the affidavit referenced in subsection 9.12.3.6 shall submit to the SEEC a list of Principals in accordance with the requirements set forth on a form that the SEEC shall have prescribed for this purpose. The complete list of Principals shall be submitted to the SEEC at the same time that the affidavit is submitted to the State Agency, Quasi-public Agency or, in the case of a prequalification application, DAS. Notwithstanding any other provision in any applicable document or instrument, no party to the Contract, or a contract awarded pursuant to a non-competitive procurement, may begin performing in any way until the contracting State Agency or Quasi-public Agency has received the affidavit referenced in subsection (f) and the SEEC has received the Principals list.

**9.12.3.8** Notwithstanding any other provision in the Contract, invitation to bid, request for Proposals and prequalification application:

- (a) The State Contractor and Prospective State Contractor shall report to the SEEC, on a form which the SEEC prescribes, any changes in Principals occurring from and after the date of the previous Principals list by submitting and delivering such form to the SEEC no later than the fifteenth day of each month following the month when a change in Principals occurs, or the next succeeding business day, whichever is later. If the Contractor or Prospective State Contractor fails to submit and deliver the appropriately completed form by its due date, then the SEEC shall notify the State Agency or Quasi-public Agency and the Contractor of the failure in writing. The State Agency or Quasi-public Agency shall then review all relevant

information and determine whether such failure constitutes a breach of the Contract. If the State Agency or Quasi-public Agency determines that a breach of the Contract has occurred, then the State Agency or Quasi-public Agency shall deliver a notice of breach to the Contractor, affording the Contractor an opportunity to cure the breach within ten (10) days from the date that the Contractor receives the notice. The State Agency or Quasi-public Agency may extend the right to cure period if, and continuing so long as, the State Agency or Quasi-public Agency is satisfied that the Contractor is making a good faith effort to cure the breach but the nature of the breach is such that it cannot be cured within the right to cure period. The SEEC may, if it deems it to be appropriate, send to the Contractor electronic reminders of the Contractor's obligation to report changes in Principals. The undertaking of this reminder is permissive and shall not be construed to be a condition precedent to the Contractor's obligation to submit and deliver the form timely.

- (b) If the State Agency or Quasi-public Agency determines that the Contractor has breached the Contract by failing to comply with the requirements of this CCR provision, then the State Agency or Quasi-public Agency may, after expiration of the right to cure period, direct all appropriate State entities using the Contract to withhold any payment, in whole or in part, that may be due and owing to the Contractor under the Contract until such time as the Contractor submits and delivers an appropriately completed form to the SEEC.
- (c) If the Contractor fails to submit and deliver the Principals list form timely three times in any 12-month period, then the SEEC may recommend to the State Agency or Quasi-public Agency that it take these failures into account for purposes of evaluating the Contractor's responsibility in future procurements. The SEEC may recommend that the State Agency or Quasi-public Agency make a determination that the Contractor is not responsible.
- (d) The Contractor's failure to submit and deliver

the Principals list form timely for the third time in any 12-month period shall, upon the SEEC's recommendation, entitle the State Agency or Quasi-public Agency to Cancel the Contract. Accordingly, the third notice of breach to the Contractor from the State Agency or Quasi-public Agency in any 12-month period may include an effective Contract Cancellation date, in which case no further action shall be required of any party to effect the Cancellation of the Contract as of the stated date. If the notice does not set forth an effective Contract Cancellation date, then the State Agency or Quasi-public Agency may Cancel the Contract by giving the Contractor no less than twenty four (24) hours' prior written notice.

- (e) Noting the absence of the SEEC's signature on the Contract, the State Agency or Quasi-public Agency represents that the SEEC has previously agreed in writing to assume the rights and responsibilities attaching to the SEEC and set forth in this CCR section. The State Agency or Quasi-public Agency shall provide a copy of that document to the Contractor upon request.

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## Section 10. Glossary of Defined Terms

|                           |  |
|---------------------------|--|
| “Acceptance”              | The process by which the State agrees that the Contractor’s system, Component or documentation meets all State standards. The Contractor and the State shall agree on Acceptance Test criteria for all necessary elements of CIVLS, with the State having final approval of said criteria.   |
| “Acceptance Test”         | The written instrument used by the State to confirm or decline Acceptance.   |
| “Attorney General”        | The Office of the Attorney General, State of Connecticut.  |
| “Authority”               | The authorizing agency for this procurement, which is DOIT.  |
| “BAFP”                    | Best and Final Proposal.   |
| “C.G.S.”                  | The Connecticut General Statutes, as amended from time to time.  |
| “CIO”                     | Chief Information Officer of DOIT.   |
| “CIVLS”                   | Connecticut Integrated Vehicle and Licensing System, a MOTS integrated product solution that contains all necessary elements for the DMV’s daily business transaction processing, supporting business processes, and peripherals. See, “System”.   |
| “Commissioner”            | The Commissioner of the Department of Motor Vehicles. The term “Commissioner” shall include any Person designated to act for or on behalf the Commissioner.  |
| “Competitive Negotiation” | As defined in C.G.S. §4a-50 and the corresponding Regulations of Connecticut State Agencies.   |
| “Component”               | Application software at an individual business function level (ex. customer, vehicle, title, liens, registration, credentialing, sanctioning, compliance, plate).  |
| “Contract”                | The definitive written agreement between the State and the Contractor with regard to the services contemplated under this RFP. The Contract shall contain, among other things, the terms and conditions set forth in Section 9 hereof and the solutions requirements, subject to further negotiation and change by the State, together with any and all addenda, exhibits, schedules and historical documents incorporated therein, including without limitation the RFP and the Proposal. |



|                          |  |
|--------------------------|--|
| “Contract Administrator” | The administrator of the Contract on behalf of the State.  |
| “Contract Term”          | Shall be set forth in the Contract based on the requirement of Section 9.1 of the RFP.   |
| “Contractor”             | The Person named in the Contract following an award in response to this RFP. The Contractor shall be responsible for all services and requirements under the Agreement.  |
| “Contractor Parties”     | Any parent organization, subsidiaries, affiliates, other related entities, directors, officers, stockholders or shareholders who own more than 5% of the Proposer or Contractor (See “Proposer Parties”).  |
| “Contractor Works”       | Means anything provided by and/or developed by or on behalf of a Contractor independent of the Contract.   |
| “CPD”                    | The Contracts and Purchasing Division of DOIT.   |
| “CT Procurement Portal”  | The State’s centralized procurement portal.  |
| “DMV”                    | The Department of Motor Vehicles of the State of Connecticut.  |
| “DOIT”                   | The Department of Information Technology of the State of Connecticut.  |
| “DPPA”                   | The Driver Privacy Protection Act as set forth in the United States Code and adopted into Connecticut law by virtue of the provisions of C.G.S. §14-10.  |
| “Due Diligence”          | As defined in Section 8.2 of this RFP.   |
| “Evaluation Committee”   | The Committee, established by the CIO, in order to evaluate and score the Proposals.   |
| “Expiration”             | An end to the Contract due to the completion in full of the mutual performance of the parties or due to the Agreement’s term being completed.  |
| “FOI or FOIA”            | The Freedom of Information Act, as amended, together with all regulations promulgated thereunder, from time to time (§§1-200 et seq. of the C.G.S.).   |
| “Full System”            | The installation of the entire array of deliverables under the Contract including IT systems, documentation, hardware, software and other items. The Full System includes all contracted items with the exception of the Warranty/Warranty Period. |
| “Governmental Authority” | Each and every governmental agency, authority, bureau, department, quasi-governmental body, or other entity or instrumentality, including the United States government and the State.  |

|                                   |   |
|-----------------------------------|---|
| “Holdback”                        | Surety funds withheld from payments to the Contractor. One-half of withheld funds will be released to the Contractor one year after successful acceptance test completion, and the remainder will be released following the completion of the Warranty Period.  |
| “IT”                              | Information technology  |
| “Maintenance”                     | The alteration or modification of an information system to correct faults, to improve performance and/or to adapt the information system to changed requirements or environments.   |
| “Module”                          | Self contained application functionality (i.e. Compliance).   |
| “MOTS”                            | Modified/modifiable off-the-shelf software.   |
| “Notice of Intent to Propose”     | A mandatory written document required by Section 3.2 of this RFP and represented by the form attached hereto and made a part hereof in <b>Schedule C</b> .  |
| “On-site, Hands-on Demonstration” | A session for those qualified Proposers who are invited to participate, in which the Proposer will be required to provide the following: (1) An on-site demonstration of their solution; (2) A hands-on evaluation of their solution for State personnel; and, (3) An oral response to interview questions. |
| “PDF”                             | Portable Document Format.   |
| “Person”                          | An individual, partnership, corporation, business trust, trust, firm, limited liability company, limited liability partnership, joint stock company, corporation, unincorporated association, society, governmental subdivision, agency or public or private organization or entity.                        |
| “Project”                         | The implementation of CIVLS.  |
| “Project Administrator”           | The individual appointed by the Commissioner that has overall authority for the Project.  |
| “Project Manager”                 | The Contractor’s Project Manager.   |
| “Project Plan”                    | The guiding document or workplan for implementation of CIVLS.   |
| “Proposal”                        | The written offer submitted by a Proposer in response to this RFP, including any and all supporting documents, plans and other materials.   |
| “Proposer”                        | A Person that submits a Proposal;   |

|                                      |   |
|--------------------------------------|---|
| “Proposer Parties”                   | Any parent organization, subsidiaries, affiliates, other related entities, directors, officers, stockholders or shareholders who own more than 5% of the Proposer or Contractor (See “Contractor Parties”).                             |
| “Request for Proposals or “RFP”      | This Request for Proposals for CIVLS, together with and including all schedules, exhibits and addenda attached hereto.  |
| “Solutions Requirements”             | DMV’s functional and non-functional RFP requirements, as specifically set forth in <b>Schedule A</b> , attached hereto and made a part hereof.  |
| “Solutions Summary Matrix”           | A matrix that contains a summary of functional and non-functional Solutions Requirements, as specifically set forth in <b>Schedule B</b> , attached hereto and made a part hereof.  |
| “Stakeholders and Business Partners” | The parties described in Table 1 of <b>Schedule A</b> .   |
| “State”                              | The State of Connecticut.   |
| “State Point of Contact”             | The individual designated by DOIT or his/her designee, as the single point of contact for Proposers during the Proposal and evaluation processes.   |
| “Subcontractor”                      | Any Person (other than the Contractor) hired to do any of the work or provide any of the services described in this RFP.  |
| “Termination”                        | Means an end to the Contract prior to the end of its agreed term whether effectuated pursuant to a provision of the Contract or for a breach. Termination may also include, in its proper context, the Expiration of the Contract Term. |
| “Warranty Period”                    | A term of one year following Full System Acceptance of CIVLS.   |

## ACRONYMS USED IN THIS RFP

The following is a list of commonly used motor vehicle and I/T terms and acronyms and provide a basis for common understanding for the State and all Proposers.

| Acronym  | Expanded   | Usage  |
|----------|--|--|
| .NET     | .NET Framework                                       | Microsoft describes the .NET Framework as “a development and execution environment that allows different programming languages and libraries to work together seamlessly to create Windows-based applications that are easier to build, manage, deploy, and integrate with other networked systems.”   |
| AAMVA    | American Association of Motor Vehicle Administrators | Operates PDPS, CDLIS, and SSN Verification systems through their network service, AAMVANet. Provides standards to encourage uniformity and reciprocity among the states and provinces and guidelines for more effective public service.  |
| AAMVANet | AAMVANet   | Network services provided through AAMVA.   |
| ACD      | AAMVA Code Dictionary                                | A set of codes used nation-wide to identify either the type of conviction or the reason for a withdrawal of driving privileges.  |
| ACH      | Automated Clearinghouse                              | A highly reliable and efficient nationwide batch-oriented electronic funds transfer system governed by the NACHA (Electronic Payments Association) OPERATING RULES which provide for the inter-bank clearing of electronic payments for participating depository financial institutions. See <a href="http://www.nacha.org">www.nacha.org</a> .) |
| ACS      | Affiliated Computer Service                          | 3rd Party organization that operates the Motor Vehicle Systems (MVS) Express system used for commercial registrations for IRP and IFTA.  |
| ANSI     | American National Standards Institute                | A private, non-profit organization that administers and coordinates the U.S. voluntary standardization and conformity assessment system.   |

| Acronym | Expanded  | Usage   |
|---------|---|---|
| AWS     | Advanced Workstation System   | DMV's cashiering system.  |
| BI      | Business Intelligence   | Accurate, consolidated enterprise information at the right time, to the right people in the format they can best makes strategic decisions to face business challenges.   |
| CATER   | Connecticut Administrative Technology Center                          | Connecticut State facilities and organization that provide computer data processing services.   |
| CDL     | Commercial Driver License   | License required to legally operate a commercial vehicle.   |
| CDLIS   | Commercial Drivers License Information System                         | CDLIS provides states with the ability to check a nationwide information system before issuing a commercial license to an applicant. If the driver is recorded in CDLIS, the inquiring state is directed electronically to the state that maintains the current driver record. CDLIS is intended to assist jurisdictions in the meeting the basic tenet "...that each driver, nationwide, have only one driver license and one record," through the cooperative exchange of problem driver information between jurisdiction. CDLIS directs inquiries to the State of Record for a response to the State of Inquiry. |
| CDMA    | Code Division Multiple Access   | A technology for transmitting simultaneous signals over a shared portion of the spectrum. Typically this is used in the digital cellular telephone networks.  |
| CICS    | Customer Information Control System                                   | An IBM product that provides transaction processing for IBM mainframes  |
| COLLECT | Connecticut Online Law Enforcement Criminal Telecommunications System | The system utilized throughout Connecticut to access valuable online State and federal law enforcement resources.   |
| Core-CT | Core-CT   | Connecticut state government's integrated financial, human resources and payroll system.  |
| COTS    | Commercials Off-the-  | Refers to shrink wrap Software with little  |

| Acronym | Expanded  | Usage  |
|---------|---|--|
|         | Shelf   | or no user customization to operate.   |
| CVIEW   | Commercial Vehicle Information Exchange Windows | Information repository under CVISN containing carrier safety and authority information pertaining to commercial truck and passenger carriers   |
| CVISN   | Commercial Vehicle Information System Network   | The collection of information systems and communications networks that support commercial vehicle operations. These include information systems owned and operated by governments, motor carriers, and other stakeholders. The Federal Motor Carrier Safety Administration (FMCSA) CVISN program is not trying to create a new information system, but rather to create a way for existing and newly designed systems to exchange information through the use of standards and available communications infrastructure. The CVISN program provides a framework or "architecture" that will enable government agencies, the motor carrier industry, and other parties to exchange information and conduct business transactions electronically. The goal of the CVISN program is to improve the safety and efficiency of commercial vehicle operations. |
| CVP     | Courtesy Verification Program                   | CVP The Courtesy Verification Program (CVP) is a free service provided to AAMVA members through an arrangement with INTELLI-CHECK Identification & Verification Systems. The purpose of CVP is to provide an effective way for AAMVA members to determine if their Driver Licenses and Identification (DL/ID) cards and other motor vehicle administration documents using machine readable technologies conform to the applicable AAMVA standards and specifications. Just as compliance with these standards and specifications is voluntary on the part of the jurisdiction, participation in the CVP is also voluntary.  |

| Acronym    | Expanded  | Usage   |
|------------|---|---|
|            |   |   |
| CVSD       | Commercial Vehicle Safety Division  | A department of DMV, with a uniformed force of inspectors. These inspectors are equipped with motorcycles to inspect and weigh trucks on both the New York and Massachusetts borders.   |
| DARC       | Dealer and Repairer Complaints  | DMV's application system that handles complaints from Dealers and Repairers.  |
| DARL       | Dealer and Repairer Licensing   | DMV's application system that manages licenses for Dealers and Repairers.   |
| DGVW       | Declared Gross Weight   | DGVW Declared Gross Vehicle Weight: The weight that equals the total unladen weight of the vehicle plus the heaviest load that will be transported on the vehicle.  |
| DMZ        | Demilitarized Zone  | A DMZ is a small network inserted as a "neutral zone" between internal private network and the outside public network. It prevents outside users from getting direct access to internal servers.  |
| DOS Attack | Denial of Service Attack  | A type of attack on a network that is designed to bring it down by flooding it with useless traffic.  |
| DOT        | United States Department of Transportation  | Issues a DOT number, overweight and oversize permits, authorize issuance of taxi and livery plates.   |
| DPI        | Dots Per Inch   | A measure of printing or video resolution, it specifies the number of individual dots or pixels within the span of one square inch.   |
| DPS        | Department of Public Safety, State of Connecticut   | The agency that provides enforcement, regulatory and scientific services for the state. It is composed of three divisions: the Division of State Police, the Division of Fire, Emergency and Building Services and the Division of Scientific Services. |
| DRIP       | Delinquent Tax, Registration suspension, Insurance compliance and Parking ticket violations | DRIP refers to the business process of registration compliance requirements. It also refers to the IT implementation of a DRIP file containing all related compliance information.  |

| Acronym | Expanded   | Usage   |
|---------|--|---|
| DRIPE   | Delinquent Tax, Registration suspension, Insurance compliance, Parking ticket violations and Emissions | The compliance requirement for registration renewal in addition to DRIP. The related information is stored on a separate Emissions file. DRIPE refers to the combination of the DRIP and the Emission files for the complete compliance information needed for registration.  |
| EAI     | Enterprise Application Integration   | EAI is an architected and structured method of sharing of data and business processes across applications, both internally within an organization, and externally with other companies.   |
| EFT     | Electronic Funds Transfer  | Transfer of money initiated through electronic terminal, automated teller machine, computer, telephone, or magnetic tape. In the late 1990s, this increasingly includes transfer initiated via the World-Wide Web. The term also applies to credit card and automated bill payments.  |
| e-GOV   | Electronic Government  | Connecticut State's initiative to provide government services through electronic channels   |
| ELT     | Electronic Lien and Title System   | Provides the capability to electronically exchange lien and title information between the lien holder and the motor vehicle agency.   |
| EVVE    | Electronic Verification of Vital Events  | A national system that will enable federal and state agency staff to verify the paper birth certificate presented to them against the appropriate state vital records database. This solution will establish a means by which appropriate authorized federal and state agency users with a single interface can generate an electronic query to any participating vital records jurisdiction throughout the country to verify the contents of a paper birth certificate. An electronic response from the participating vital records jurisdiction as to whether there is a birth record in their database that matches the paper birth certificate will be returned to the user, along with an indication if the matching |



| Acronym | Expanded                                  | Usage  |
|---------|---|--|
|         |   | birth record has been flagged 'deceased'.  |
| FBI     | Federal Bureau of Investigation           | One of several federal agencies who coordinate on the approval or disapproval of commercial driver Hazmat endorsement applications.  |
| FMCSA   | Federal Motor Carriers Safety Association | Primary mission is to reduce crashes, injuries and fatalities involving large trucks and buses.  |
| FRS     | Financial Reporting System                | DMV's application system that manages financial reporting and interfaces with Core-CT  |
| FTP     | File Transfer Protocol                    | An industry standard method of transferring files between systems.   |
| GAAP    | Generally Accepted Accounting Principles  | The common set of accounting principles, standards and procedures that companies use to compile their financial statements. GAAP is a combination of authoritative standards (set by policy boards) and simply the commonly accepted ways of recording and reporting accounting information. |
| GDG     | Generation Data Group                     | A method to organize files on the mainframe. It is collection of files, each a modification of the previous one, with the newest numbered 0, the next -1, and so forth, and organized so that each time a new file is added the oldest is deleted.   |
| GVWR    | Gross Vehicle Weight Rating               | The value specified by the manufacturer as the maximum loaded weight of a vehicle or a vehicle combination (per 66-1-4.7 B).   |

| Acronym | Expanded   | Usage   |
|---------|--|---|
| HIN     | Hull Identification Number                           | The number, letters, or combination of numbers and letters assigned by the manufacturer, by the department, or in accordance with the laws of another state or country for the purpose of identifying a boat.   |
| HTML    | Hypertext Markup Language                            | A markup language designed for the creation of web pages with hypertext and other information to be displayed in a web browser.   |
| HTTP    | Hypertext Transfer Protocol                          | The protocol used to transfer web pages written in HTML through a network.  |
| HTTPS   | Hypertext Transfer Protocol over Secure Socket Layer | Same as HTTP but provides secure network communication using SSL.   |
| ICE     | Immigration and Customs Enforcement                  | ICE is a bureau within the Department of Homeland Security (DHS). The mission of ICE is to prevent acts of terrorism by targeting the people, money, and materials that support terrorist and criminal activities. ICE is the largest investigative arm of the DHS and is responsible for identifying and shutting down vulnerabilities in the nation's border, economic, transportation, and infrastructure security. ICE inherited enforcement functions from several federal agencies, including the agency formerly known as the Immigration and Naturalization Service (INS). The benefit functions of the INS have transitioned to another bureau within the DHS - the U.S. Citizenship and Immigration Services (USCIS). The USCIS is responsible for the administration of immigration and naturalization adjudication functions and establishing immigration services policies and priorities. |
| IFTA    | International Fuel Tax Agreement                     | IFTA is an agreement among all states (except Alaska and Hawaii) and Canadian provinces (except Northwestern Territories, Nunavut, and Yukon) to simplify the reporting of fuel used by motor carriers operating in more than one jurisdiction. The IFTA license offers several benefits to the interstate/inter-   |

| Acronym | Expanded                                      | Usage  |
|---------|---|--|
|         |   | jurisdictional motor carrier. These benefits include one license, one set of decals, one quarterly fuel tax report that reflects the net tax or refund due.  |
| IRP     | International Registration Plan               | The International Registration Plan is an agreement providing for registration reciprocity among states of the United States, including the District of Columbia, and provinces of Canada requiring only one license plate and one cab card be issued for each fleet vehicle when registered under the plan. The plan provides for payment of vehicle registration fees on the basis of the proportion of total distance operated in all jurisdictions by the fleet of which the vehicle is part.              |
| ITIL    | Information Technology Infrastructure Library | A standard set of concepts and techniques for managing Information Technology infrastructure, development, and operations.   |
| IVR     | Interactive Voice Response                    | Telephone technology operated by DMV to provide constituents with a phone-based self-service capability.   |
| J2EE    | Java 2 Enterprise Edition                     | This is a platform that originated from Sun, but has been adopted and implemented by various vendors. Sun describes the J2EE platform as “a set of coordinated specifications and practices that together enable solutions for developing, deploying, and managing multi-tier server-centric applications. Building on the Java 2 Platform, Standard Edition (J2SE), the J2EE platform adds the capabilities necessary to provide a complete, stable, secure, and fast Java platform to the enterprise level”. |
| JPEG    | Joint Photographic Experts Group              | JPEG is a standard-based and commonly used method of compressing photographic images for storage and exchange purposes.  |

| Acronym | Expanded  | Usage  |
|---------|---|--|
| LAN     | Local Area Network  | Network architecture used to provide communications between information systems within a localized building or area.   |
| LDAP    | Lightweight Directory Access Protocol                           | LDAP is a standard for organizing directory hierarchies and interfacing to directory servers.  |
| MCMIS   | Motor Carrier Management Information System                     | DOT/Federal Motor Carrier Safety Administration's (FMCSA) record system.   |
| MCO     | Manufacturers Certificate of Origin, see Certificate of Origin. | The 'birth certificate' of a vehicle - provides the base document to title new vehicles in the state of New Mexico.  |
| NADA    | National Auto Dealers Association                               | Provides information on new car pricing, used car values, model comparisons, and buying resources for new and used vehicles.   |
| NCIC    | National Crime Information Center                               | National database of criminal justice information operated by the FBI.   |
| NCOA    | National Change of Address                                      | Verification process provided by the United States Post Office (USPS) to verify that an address is current.  |
| NDR     | National Driver Register  | A central repository of information on individuals whose privilege to drive has been revoked, suspended, canceled or denied or who have been convicted of serious traffic-related offenses. The records maintained at the NDR consist of identification information including name, date of birth, gender, driver license number, and reporting State. All of the substantive information, the reason for the suspension or conviction and associated dates, resides in the reporting State. |
| NIEM    | National Information Exchange Model                             | NIEM is a partnership of the U.S. Department of Justice and the Department of Homeland Security. It is designed to develop, disseminate and support enterprise-wide information exchange standards and processes that can enable jurisdictions to effectively share critical information in emergency  |

| Acronym | Expanded  | Usage   |
|---------|---|---|
|         |   | situations, as well as support the day-to-day operations of agencies throughout the nation. (see <a href="http://www.niem.gov">www.niem.gov</a> )   |
| NMVTIS  | National Motor Vehicle Title Information System.                | NMVTIS reduces titling of stolen cars and fraud by allowing state titling agencies to verify the validity of ownership documents before they issue new titles. NMVTIS also checks to see if the vehicle is reported "stolen" -- if so, the states don't issue the new titles. Brands are not lost when the vehicle travels from state to state, because NMVTIS keeps a history of all brands ever applied by any state to a vehicle.  |
| OCR/ICR | Optical character recognition/intelligent character recognition | The technology that translates scanned text within document images into machine readable format. Data can then be read and manipulated by the computer to make intelligent decisions.   |
| PDPS    | Problem Driver Pointer System                                   | The PDPS is used to search the National Driver Register (NDR). Based on information received as a result of an NDR search, PDPS will "point" the inquiring jurisdiction to the State of Record, where an individual's driver status and history information is stored. PDPS is intended to assist jurisdictions in the meeting the basic tenet "...that each driver, nationwide, have only one driver license and one record," through the cooperative exchange of problem driver information between jurisdictions. Accessed by DMV via AAMVA. |
| Per Se  | Per Se  | Connecticut has DUI laws that deem "per se intoxicated" any driver with a blood-alcohol concentration (BAC) at or above .08 percent. This means that drivers with a BAC at or above .08 are intoxicated in the eyes of the law, and no additional proof of driving impairment is necessary.   |

| Acronym   | Expanded   | Usage  |
|-----------|--|--|
| PIN       | Personal Identification Number                         | A secret numeric password shared between a user and a system that can be used to authenticate the user to the system.  |
| PMO       | Project Management Office                              | PMO is the department that defines and maintains the standards and processes for Project management within an organization.  |
| POS       | Point of Sale  | The point at which a product or service is purchased - also known as point of purchase.  |
| RDBMS     | Relational Database Management System                  | Relational Database Management System is a type of database systems that store, process and manage data arranged in relational tables, using industry standard methods. It is a popular data storage system used for transaction processing and data warehouses.   |
| SAFER     | Safety and Fitness Electronic Records                  | The SAFER system is provided by FMCSA and contains carrier safety data.  |
| SafetyNet | SafetyNet  | SafetyNet is a computer system utilized by state law enforcement agencies and the FMCSA, for the collection and management of commercial motor vehicle data.   |
| SAN       | Storage Area Network                                   | High availability high volume system for storing data directly accessible on the local area network.   |
| SAVE      | Systematic Alien Verification for Entitlements Program | The Systematic Alien Verification for Entitlements (SAVE) Program is responsible for administering programs involving customer access to information contained in the Verification Information System (VIS) database. This database is a nationally accessible database of selected immigration status information on over 60 million records. |
| SDLC      | Software Development LifeCycle                         | SDLC is a structured process of developing IT application systems through a formalized set of methods of requirements gathering, analysis, design, implementation, testing and maintenance.  |

| Acronym | Expanded                       | Usage   |
|---------|--------------------------------|---|
| SDM     | System Development Methodology | State of Connecticut's software development lifecycle methodology   |
| SNA     | System Network Architecture    | IBM's mainframe network standards introduced in 1974. Originally a centralized architecture with a host computer controlling many terminals, enhancements have adapted SNA to a peer-to-peer communications and distributed computing environment.  |
| SOA     | Service Oriented Architecture  | SOA is an architecture that implements secure and integrated delivery of IT solutions meeting business requirements. Solutions must implement, optimize and guide business process execution by combining the functionality of separate, discreet, reusable services. SOA moves away from complex application development, promoting a focus on standardizing interfaces between atomic service components with centralized management and distributed implementation   |
| SOAP    | Simple Object Access Protocol  | SOAP (Simple Object Access Protocol) is a standardized method for a program running in one platform to communicate with a program in the same or another platform by using the standard Hypertext Transfer Protocol (HTTP) and its Extensible Markup Language (XML) as the mechanisms for information exchange. SOAP specifies exactly how to encode an HTTP header and an XML file so that a program in one computer can call a program in another computer and pass it information. It also specifies how the called program can return a response. |
| SQL     | Structured Query Language      | A set of syntax commands for defining and manipulating data from a relational database. It is the industry standard for program language interfaces in most relational database management systems.   |
| SSA     | Social Security                | Federal agency responsible for assigning and tracking social security identification  |

| Acronym | Expanded  | Usage  |
|---------|---|--|
|         | Administration                                  | numbers.   |
| SSL     | Secure Socket Layer                             | A common and standard-based networking method for managing the security of message transmission through private and public networks, using web-based protocols.  |
| SSOLV   | Social Security On-Line Verification            | An application developed by AAMVA to enable U.S. jurisdictions to submit identifying information to the Social Security Administration (SSA). SSA runs this data against its master SSN database and informs the inquirer if the submitted biographic information and SSN matches with the information on the SSA database. It is one of many fraud prevention and identification security efforts aimed at preventing identity theft, and preventing the issuance of a driver license or ID to a person who may be using stolen or otherwise false identity documents. It allows driver licensing agencies to immediately verify that the SSN is in fact the number issued to the person with that name and date of birth. There are many instances where the biographic information will not match up because the applicant changed their name but did not process the name change with the SSA. |
| TCP/IP  | Transmission Control Protocol/Internet Protocol | A protocol for communication between computers, used as a standard for transmitting data over networks and as the basis for standard Internet protocols.   |
| TIFF    | Tagged Image File Format                        | JPEG is a standard-based and commonly used method of compressing photographic images for storage and exchange purposes.  |
| TSO     | Time Sharing Option                             | An IBM mainframe facility that provides interactive time sharing and online functions from terminals.  |
| UAT     | User Acceptance Test                            | The final phase in a software development process in which the software is given to the intended audience to be tested for a variety of purposes, including functionality and  |



| Acronym | Expanded                               | Usage  |
|---------|--|--|
|         |  | performance.   |
| VIN     | Vehicle Identification Number          | The number, letters, or combination of numbers and letters assigned by the manufacturer, by the department, or in accordance with the laws of another state or country for the purpose of identifying the vehicle or a component part of the vehicle to prevent fraudulent removal and tampering of a VIN. |
| VINA    | Vehicle Identification Number Analysis | Polk VINA provides information on passenger vehicles, trucks (light to heavy) and motorcycles. It verifies VIN accuracy and generates vehicle descriptions.  |
| VPN     | Virtual Private Network                | Network technology to provide secure communications between the headquarters data center and the field offices, municipalities, and private agents.  |
| VSAM    | Virtual Storage Access Method          | An IBM access method for storing data, widely used in IBM mainframes. It uses the tree method for organizing data.   |
| WAN     | Wide Area Network                      | Network architecture used to provide communications between information systems on different LANs.   |
| XML     | Extensible Markup Language             | XML (Extensible Markup Language) is a standard-based and flexible method to create common information formats and for storing, transmitting and sharing on public and private networks.  |

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## **Section 11. Schedules**

### **Schedule A – Solutions Requirements**

Attached following this page

**STATE OF CONNECTICUT**  
**DEPARTMENT OF INFORMATION TECHNOLOGY**

[www.ct.gov/doi](http://www.ct.gov/doi)

**REQUEST FOR PROPOSALS**

**RFP #08ITZ 0069**  
**Connecticut Integrated Vehicle and Licensing System**  
**(CIVLS) Modernization Program**  
**Of the**  
**Connecticut Department of Motor Vehicles**

Date Issued: August 1, 2008

**Schedule A - Solutions Requirements**

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## 1. Document Control

### 1.1 Document History

| Version | Issue Date   | Owner         | Comments        |
|---------|--------------|---------------|-----------------|
| 1.0     | 24-APR-2008  | Business Team |                 |
| 1.1     | 27-May-2008  | Business Team |                 |
| 1.2     | 19-June-2008 | Business Team |                 |
| 1.3     | 1-July-2008  | Business Team |                 |
| 1.4     | 30-July-2008 | RFP Team      | Release Version |

## **2. Overview, History, Objectives, & Scope**

### **2.1 Overview**

The goal of the Department of Motor Vehicles is to ensure that motor vehicles are operated safely on Connecticut's highways by requiring that they be properly maintained and operated by competent drivers. Among its many responsibilities, the DMV operates 10 full-time branch offices and additional part-time facilities where Branch Office personnel process and issue drivers licenses and ID cards, vehicle registrations, titles and other motor vehicle-related documents, process restorations, and test applicants for driver licenses. These Branch offices serve 2.2 million customers annually and collect and deposit approximately \$1,500,000 each working day.

The CT DMV, like many other state DMVs, performs these processes with information tools and technology that place severe restrictions on its ability to efficiently, effectively, and accurately complete transactions. DMV staff is forced to work around technology limitations by compensating with (1) paper files and printing; and (2) manual, time consuming processes to create reports, perform calculations, retrieve archived documents and other tasks suitable for automation. The current workflow is supported by systems applications and record management solutions that are single-purposed, do not interface with other DMV systems, or allow for accessibility to information. DMV business processes have evolved over time with unnecessary process layers and handoffs that create inefficiencies and increase the opportunity for error.

These operational constraints and challenges have impact on customer wait times and overall DMV customer service satisfaction. Additionally, in response to the 9/11 terrorist attacks, the federal government has imposed the mandates of the Real ID Act on state DMVs. This Act places new requirements on state governments with regard to the issuance of DL/ID cards. States are obligated to comply with these requirements in order for the DL/ID cards they issue to be accepted for federal purposes (e.g. access to airplanes and federal facilities).

These pressures led the DMV to launch a strategic planning initiative in 2006 with the objective of developing a DMV Strategic Plan. This plan ultimately led to the commissioning of an agency-wide modernization program which developed the business and technology requirements documented in this RFP.

The following sections outline the steps that led to the issuance of this RFP, the development of modernization project objectives and business and technology requirements, and established the project scope for this procurement.

### **2.2 History**

- April - August 2007: DMV, with consulting support, conducted a Strategic Operational Assessment which performed an assessment of DMV Title and Registration operations including business continuity implications. It documented and assessed the "as-is" business and technology environment for Vehicle Service-related business domains and fiscal processes (i.e. excluding Driver Services business processes), identified DMV industry best practices, developed a "future state" DMV environment, and developed a transition plan to that "future state" environment.
- June 2007, the DMV Strategic Plan was published and a number of strategic initiatives were launched.

- October 2007 – August 2008: DMV refined the future state conceptual design and documents business and technology requirements for an RFP for an Integrated Motor Vehicle and Driver Licensing System Solution. Based on the modernization experiences of other state DMVs, CT DMV decided on an agency-wide modernization approach utilizing Modifiable Off-the-Shelf (MOTS) integrated DMV solutions to implement the “future state” DMV business and technology environment in order to realize its vision of a “21<sup>st</sup> Century DMV”.

## 2.3 Objectives

To realize Connecticut’s “21<sup>st</sup> Century DMV”, the integrated system solution must fulfill the following business process and technical design principles:

1. Incorporate new and enhanced customer service channels in delivering exceptional customer service
2. Include high customer self-service capabilities (e.g. Internet-based e-gov capabilities)
3. Eliminate the paper and automate the processes
4. Utilize and comply with existing Federal, AAMVA, and State of Connecticut DMV and Department of Information Technology (DOIT) architectural directions, policies, and standards
5. Automation based on an enterprise DMV approach, with an end-to-end customer perspective

The integrated solution should conform to key DMV strategic design objectives which include:

1. Provide real-time capabilities
2. Provide flexibility to adapt to changing statutes
3. Provide lead-through processing that essentially walks examiners or customers (through e-gov capabilities) through a complete transaction, augmented by context-sensitive on-line help capabilities
4. Provide robust transaction audit and traceability capabilities
5. Provide robust search and reporting capabilities

## 2.4 Scope

The DMV recognizes that the MOTS integrated systems solution offerings may or may not fulfill *all* of the business and technology requirements as described in this RFP. DMV recognizes that some business functions may be part of the COTS/MOTS product offering, and some business functions or components will require customized development for product features and functions not in a Proposer’s COTS/MOTS product offering.

Proposers are expected to respond to all RFP requirements as to whether they are part of their COTS/MOTS product offering, or if they will require customized component development. The Proposer evaluation process will determine the proposal offerings that provide the best value and DMV functionality to meet the DMV’s needs, and the specific project scope and functionality will be determined in the contract with the selected Proposer.

## **2.5 Assumptions**

- The requirements in this document are not meant to be exhaustive but are reflective of key requirements for the respective business functions.
- DMV invites alternative approaches and will not penalize the Proposer for creative alternatives based on their experience and merit.
- The requirements in this document represent current practices and future state design concepts intended to modernize the current DMV processes.

### 3. DMV Future Business Model

The high-level business requirements represented at the enterprise level support the DMV business architecture.

#### 3.1 DMV's Future Vision

DMV's inter- and intra-state motor vehicle operations are important to the well-being of Connecticut's population and economy. CT DMV offers a full complement of services related to vehicle and driver services to fulfill their mission to "*promote and advance public **Safety, Security and Service** through the regulation of drivers, their motor vehicles and certain motor vehicle-related businesses*".

DMV's future environment will be a component-based common architecture that enables and supports DMV's business goals, processes, and practices. This architecture provides DMV with the capabilities needed to achieve its strategic goals.

Figure 1 presents an operational view of the target DMV environment enabling DMV to achieve its strategic goals through the following five strategic themes:

- Expanded Customer Services
- Integrated Suppliers and Partners
- Integration with Other Government Agencies
- Accountability to the Public
- Sound Financial Management

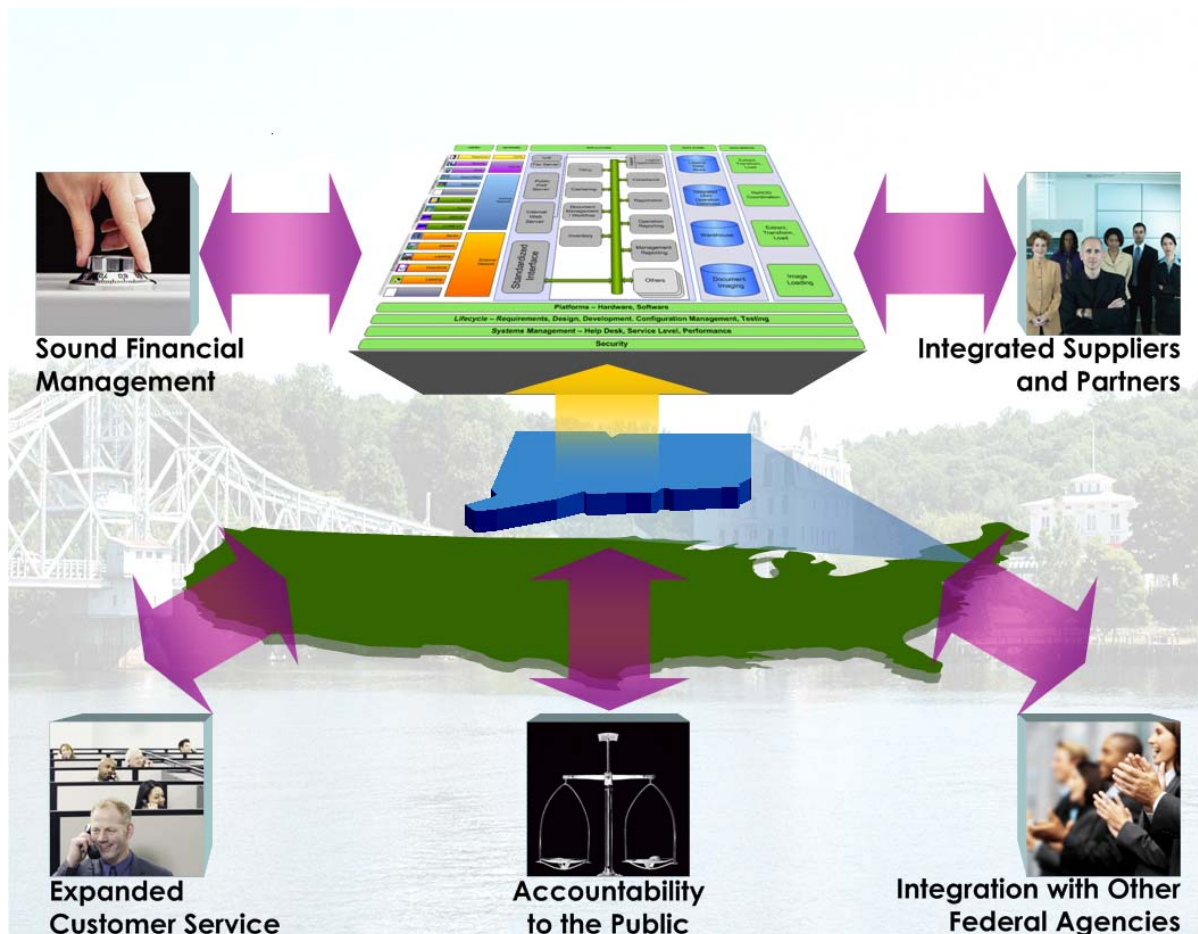


Figure 1: CT DMV Target State Operational View

**Expanded Customer Service**

The business process and technical architecture recommendations embodied in the Target State provide DMV the capabilities to deliver quality, consistent service and products to their customers every time they interact with DMV. DMV customers will be able to access motor vehicle services through a greatly expanded set of service delivery channels that more closely match their wants and needs. Processes and systems will be easy to use for DMV staff, customers, business partners and the general public. Lead through processing provides an intuitive approach to the desired service for both the DMV staff and customer. In the target environment, e-government is employed to serve customers faster and more efficiently using an internet technology to provide a convenient self-service model.

**Integrated Suppliers and Partners**

Trusted suppliers and business partners will have expanded responsibilities and capabilities. Dealers, vehicle inspectors, emissions testers, health care providers, suppliers, etc. will be important and integrated partners in delivering citizen services. For example, health care providers will issue handicapped placards to eligible citizens and use the system to document the eligibility and placard information on the customer’s record. This eliminates the need for the citizen to go to a DMV office for the placard – they leave the provider’s office with what they need and the information is immediately available to DMV staff and Law Enforcement. Dealers, repairers, leasing companies, etc. will manage their own inventory and business partner

accounts and may also be authorized to provide expanded vehicle and driver services to their customers.

With the expanded delivery options provided to the citizenry, DMV establishes and enforces standards that ensure the protection of the DMV consumer. DMV and business partners enter into Agreements that provide a framework for: setting expectations, defining the terms of service and products the partner is authorized to deliver, establishing performance criteria, tracking and reporting, problem management, etc. As an organization, DMV shifts and expands their focus on providing oversight, ensuring compliance and managing the agreements with their partners.

### **Integration with other Government Agencies**

DMV envisions a system that minimizes the impacts to implement legislative and other mandates at the federal and state level and ensures compliance with current statutes. Law Enforcement will have a more effective partnership (e.g. immediate access to accurate vehicle records). Expanded automated data exchanges (enabled by adopting data standards such as NIEM) with other jurisdictions and agencies will enhance the accuracy, data integrity and visibility of records. Real-time services are available for other agencies such as tax towns to view and update information.

### **Accountability to the Public**

DMV provides more outreach programs (community based, elderly, teen drivers, children fairs, etc.) to improve its image and service to the public and increase public satisfaction. More information will be made available to the public about DMV's performance, as well as the performance of DMV's business partners. For example, Branch Office wait times will be posted on the DMV web site "real-time." Customers will be given the opportunity to submit complaints on-line and track the status of their complaints.

As stewards of DMV information, DMV places a strong focus on security, fraud-prevention and enforcement of statutes and regulations related to the safety and enforcement of vehicle and driver services and vehicle-related DMV business functions. DMV will ensure that data integrity, security, and confidentiality are strictly maintained for the protection of the DMV consumer.

### **Sound Fiscal Management**

In the Target State environment, the integrated flow of the revenue information, vehicle and driver transaction information, tender type and Agent for every collection source (Branch Office, business partner, Self-service Web and IVR, etc.) will occur in a highly automated and controlled environment. The majority of transactions are by credit/debit and e-check minimizing financial loss and fraud risks. Through prudent fiscal practices and clear auditable trails, DMV will be able to trace revenue collected from the source through to the distribution via a single rules-based system that allocates revenue based on legislative rule logic that carries the process through the automated preparation of the transfer entries interfaced to the state financial system.

## **3.2 Business Process External Stakeholders and Stakeholder Groups**

In an evolving 'customer-centric' environment, the push in government is to provide centralized information to deliver high quality services to a more complex citizenry while maintaining agency autonomy and control and privacy of information. DMV's response to this transformation of government toward a 'customer-centric' approach is the use of appropriate technology and knowledge management that enhances the service to customers through cross-governmental integration. Below is a representative list of stakeholder groups with whom the DMV shares information through integrated business processes.

**Table 1: CT DMV External Stakeholders and Stakeholder Groups**

| <b>Stakeholder Group</b>  | <b>Description</b>   |
|---|--|
| Auto Manufacturers  | VIN #s of vehicles in state, etc.  |
| Business Partners   | Information relating to the DMV or DMV related service they provide, e.g. Inspections (emissions, safety), skills testing, etc.                              |
| Connecticut Judicial  | Conviction information, etc.   |
| Customer  | Individual members of the general public who need DMV services   |
| Dealers   | Check vehicle purchaser's ability to title and register a car, etc.  |
| Dealers Associations  | Coordination of dealer programs  |
| Department of Administrative Services (DAS)   | For State agencies' registrations, DMV needs to know if the Agency has approved the registration of a new vehicle, and a new plate.                          |
| Department of Corrections (DOC)   | Plate manufacturer, information and orders   |
| Department of Environmental Protection (DEP)  | Emissions information  |
| Department of Revenue   | Tax information for individuals and businesses   |
| Department of Transportation (DOT)  | DMV needs confirmation of livery status and weight permits from commercial companies.  |
| DMV Suppliers   | Public and private entities that manufacture or provide supplies used in the vehicle titling, registration and licensing processes.                          |
| Driver Improvement Programs   | Information relating to attendance and completion of re-instatement requirements   |
| Federal Government Agencies and other State Motor Vehicle Agencies                    | Agencies who request and receive information. (e.g. Department of Homeland Security, agencies providing information through NCIC, PDPS, CDLIS, NMVTIS, etc.) |
| Health Care Providers   | Handicap placards and plates   |
| Information Buyers  | Authorized companies pay for driver and vehicle data in order to use it for their respective permissible Driver Privacy Protection Act (DPPA) use            |
| Insurance Companies   | Communicate Drops and Adds from Insurance  |
| International Registration Plan (IRP) Vehicle Owners                                  | An owner of a vehicle covered under the International Registration Plan (IRP) who pays proportionate fees in Connecticut.                                    |
| Leasing Companies   | Check vehicle lessee's ability to register a car, etc.   |
| Legislators / Legislative Committees  | DMV information as it relates to statutory changes, budget and revenue projections   |
| Lien holders  | Lien record and release, lien holder information   |
| Miscellaneous State Government Entities (Governor's Office, OPM, State Library, etc.) | DMV information for budgetary support for staffing, statewide record management policies, etc.   |
| NADA/ Bluebook  | Communicate vehicle value to tax towns   |
| People's Bank   | Lockbox information  |
| Public Safety   | Communicate vehicle records to public safety in field  |
| Secretary of State  | DMV needs access to their system to see if companies are appropriately registered.   |
| Special Interest Plate Sponsoring Groups  | Registration information and plate fees  |



| Stakeholder Group            | Description   |
|------------------------------|---|
| Towns and Municipalities     | Property Tax Information, Vehicle Compliance and fleet management |
| Trucking Association         | DOT information, weight info, etc.                                |
| Veterans Administration (VA) | DMV needs to know registrants' Veterans status.                   |

### 3.3 Customer Service Delivery Channels

The DMV future design provides for an expanded set of Customer Service Delivery Channels that will drive transactions through the most efficient service channel to enhance efficiency, lower costs, and better serve customers. This approach leverages a growth in 'self-service' models that significantly increase the use of the Internet, Integrated Voice Response (IVR), Kiosks, etc. for selected transactions, reserving staff time for more complex transactions.

#### 3.3.1 Internet Self-Service (e-Gov)

The DMV currently offers the ability for customers to renew vehicle registrations through the Internet. This capability has been positively received by CT citizens, and the DMV wishes to expand Internet-delivered service offerings in the future (also referred to as e-Gov capabilities), and thus the requirement for extending direct customer access (with appropriate security features) to all appropriate DMV business service capabilities through the Internet. As an example, an Internet Service Delivery Channel would enable customers to:

- "Pre-process" DMV transactions, in order to minimize the customer waiting time for transactions that require visiting a DMV Branch office
- Download documents and forms
- Fill and process electronic forms
- Retrieve status information from their accounts (Customer Account Management)
- Make an inquiry
- Request refunds
- Apply for a handicapped placard
- Apply for specialized plates
- Manage their own account
- Request a hearing
- Schedule a test
- Arrange for license restoration

#### 3.3.2 Interactive Voice Response (IVR)

The DMV plans to deploy Interactive Voice Response (IVR) technology as another service delivery channel for DMV to meet demands to deliver better service to their citizens and stakeholders with fewer resources. IVR technology automates interaction with telephone customers and supports interaction with DMV databases for customers to acquire information and perform transactions without interaction with a customer service representative (CSR). Typically, the IVR system answers the customer call with a pre-recorded or dynamically generated response that asks the caller to either press a number on the keypad to select an option or to select options by speaking the selections through the phone. Once appropriate security checks have been fulfilled, the DMV customer record is accessed from the DMV customer database, and the caller can conduct self-service inquiries on their account information or conduct service transactions using DMV systems (e.g. registration renewal, etc.).

### 3.3.3 E-mail/Fax Communication

With the growth of Internet-based self-service options, email and fax communications options are growing in popularity. The DMV wishes to provide options for all customers to select their preferred method of communication and service delivery. The system should allow agents to record the preferred method of communication and to use that preferred channel to provide transaction/service to a customer. (e.g., renewal notices could be provided via email instead of mail).

### 3.3.4 Business Partner Portal

The DMV envisions the establishment of an Internet-based Business Partner Portal that provides customized information and transaction support to DMV Business Partners. Since a substantial portion of DMV services are provided by Business Partners (e.g. Dealers performing vehicle registrations, etc.), the information needs of Business Partners are different from the information needs of citizens. A dedicated, customized Internet-based Business Partner Portal will address those needs and reduce the cost of operation to both Business Partners and the DMV.

### 3.3.5 Branch Office Walk-in Services

The DMV plans to improve customer service effectiveness in Branch Offices by introducing technology which will manage, track, and optimize the flow of customers from the time they enter a Branch Office until they complete the service transaction. The introduction of Queue Management Systems (e.g. issue service tickets, direct customers to DMV service windows, and measure and monitor end-to-end service times, etc.) will enhance walk-in services and reduce customer wait times.

### 3.3.6 Kiosks

The DMV envisions the potential use of kiosks in Branch Offices to expedite customer service delivery. A customer would be able to use a computer kiosk at a Branch to enter information and scan supporting documents, enabling the DMV examiner to process the service transaction more quickly. Additionally, the DMV envisions a potential use of kiosks at remote locations to facilitate customer service capabilities at Business Partner locations or other service outlets.

## 3.4 DMV Business Functions

Currently, the CT DMV future state has the following key business functions defined in the table below:

**Table 2: CT DMV Key Business Functions**

| Vehicle Services     |   |
|----------------------|---|
| Vehicle Title / Lien | Validate the customer's identity and proof of ownership and provide them with a title for a commercial or non-commercial vehicle. The title process provides for: (1) the examination of each application of ownership to determine the genuineness of the documents presented; (2) the determination that the applicant is entitled to a certificate of ownership (title) and (3) the creation of a document that substantiates the vehicle's ownership. |
| Vehicle              | Collect taxes and fees on vehicles domiciled in Connecticut for the   |

|  |  |
|--|--|
|  |  |
| Registration   | privilege of traveling Connecticut roadways. The major activities are: validate the customer's identity; identify the vehicle, its legal status and proof of ownership; and provide the customer with a commercial and/or non-commercial vehicle registration.   |
| <b>Driver Services</b>                               |  |
| Credentialing - Driver License and ID Cards          | Relates to the issuance of various types of credentials to a customer: driver license, commercial driver license (including various endorsements, e.g. HazMat), permits and non-driver identification cards.   |
| Sanctioning - Driver Control Actions                 | Relates to the recording of citations and taking appropriate action against a driving privilege, e.g. suspend, revoke and cancel driving privilege. It also sets re-instatement requirements and monitors the compliance with those requirements to reinstate privileges.  |
| <b>Fiscal Management</b>                             |  |
| Process Collections and Distribute Revenue           | Provides strict financial controls for receipts collected as part of the DMV products and services and the distribution of revenue to the appropriate State of Connecticut accounts. This process includes the reconciliation of the receipts collected from all possible service delivery channels - including mail-in, walk-in, CT DMV website, kiosk, dealers, Business Partners and telephone (IVR) with the recorded transactions and bank deposits. All fiscal control processes are based on the Generally Accepted Accounting Principles (GAAP).   |
| <b>Licensing</b>                                     |  |
| Dealers/ Repairers /Leasing Companies, etc Licensing | Relates to the review and approval of dealer, repairer, leasing companies, junkyards, auto clubs, new and used car dealerships and manufacturer's license applications, and issuing and tracking inventory items. This process also provides for oversight and cancellation or suspension of a license in accordance with Connecticut Statutes, DMV policies and procedures and the terms of their licensing agreement.  |
| <b>Business Partners</b>                             |  |
| Business Partner Management                          | Relates to business partner relationships as established by Business Partner Agreement (BPA). Business partners are defined as <i>non-DMV</i> entities that provide motor vehicle services for DMV customers. These business partners fall into two categories based on the type of service they provide: 1) Services that DMV provides, e.g., titling, registration, safety inspections, driver license and vehicle registration renewals, etc. 2) Services DMV does not provide, e.g., traffic school, Child Safety Training Providers, Interlock manufacturers and installers, professional driving schools, etc. |

The following diagram depicts DMV business functions:

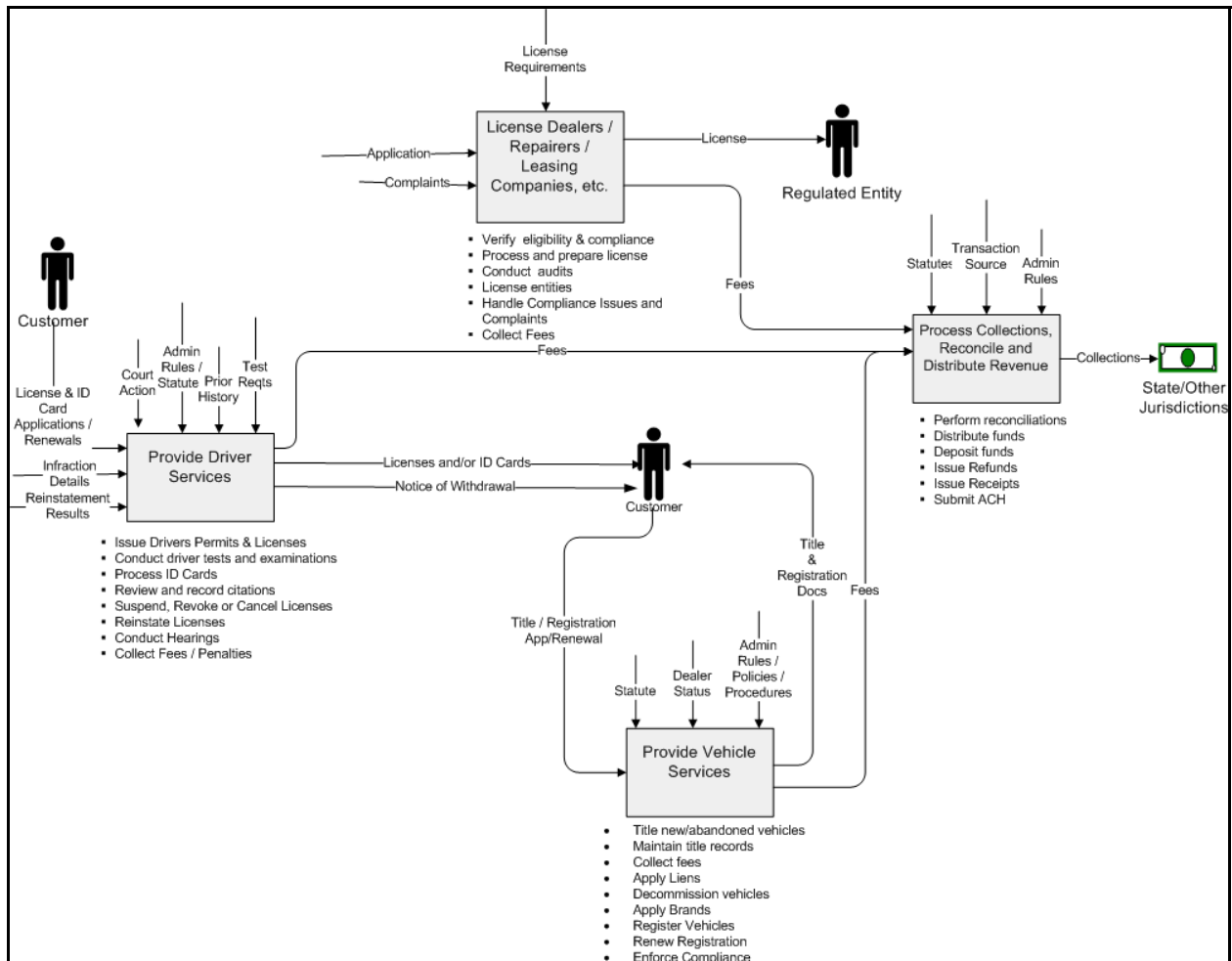


Figure 2: CT DMV Business Processes

### 3.5 Current Business Initiatives

As a result of DMV strategic planning activities, legislative and regulatory changes, and ongoing business process and IT systems improvements, the CT DMV business environment is ever-changing. Together with the modernization efforts described in this RFP, CT DMV is currently undertaking a number of other initiatives. These initiatives may or may not be implemented, and additional initiatives are likely to emerge. The current initiatives include the following:

1. Real ID Act compliance activities
2. Digital Driver's License (DDL) product update
3. Legislative and policy revisions – e.g. Learner's Permit regulations

4. Legislative changes regarding Graduated Driver's License (GDL)
5. Ongoing maintenance and enhancement activities pertaining to MCSIA
6. Revisions to AAMVA Code Dictionary (ACD Code)
7. Driver License Agreement (DLA) administration/membership
8. Enhancements related to Federal Motor Carrier Safety Administration's CDL Testing Regulations and Bi-annual CDL Audit
9. Electronic Lien Title (ELT) activities
10. Business Continuity Planning/Disaster Recovery activities
11. Implementation of Interactive Voice Recognition (IVR) capabilities for DMV Phone Center system
12. Evaluation and planning for expansion of Branch Office customer queue management systems
13. Initiative to standardize DMV operating procedures (per Strategic Plan)
  - a. Analysis activities regarding possible NMVTIS implementation
  - b. Document management and case management capabilities related to pending Real ID grant application
  - c. Initiative to profile, standardize, and cleanse current DMV data

## 4. Target Solution Architecture

This section describes the future solution architecture envisioned for the integrated DMV application system. Together with business needs, the solution architecture provides the basis for all requirements specified in the rest of this section.

### 4.1 Solution Architecture Principles

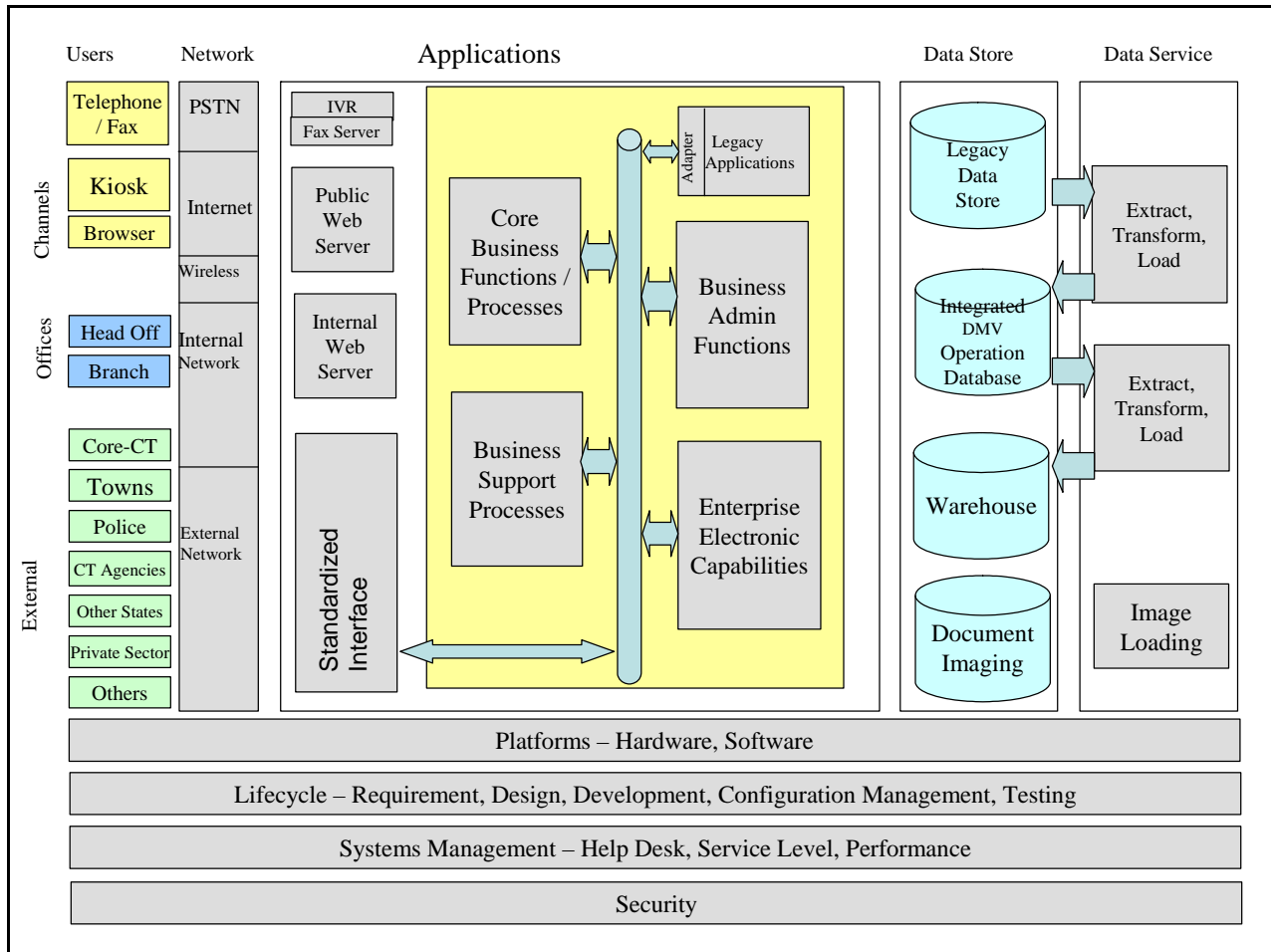
Before the target CT DMV solution architecture is developed, it is important to establish a set of guiding principles. These principles are used to define the essence of the architecture by capturing the thinking behind it. They provide a decision framework that enables the process of making determinations on the architecture components.

The following is a description of CT DMV principles:

1. Future architecture needs to be aligned with business needs.
2. Information must be accurate, timely, accessible and easily shared.
3. All future DMV applications participate in shared operational and decision support database environments.
4. The system will enable direct constituent access to appropriate information.
5. The system will provide common application and data integration mechanisms to facilitate process interoperability and information exchange within the organization and with outside entities.
6. The system will support the capability to provide 24x7 business operations with an enterprise-wide systems management capability.
7. Existing applications, systems, and infrastructure will be reused before investments are made in new solutions. For new solutions, proven Commercial Off-the-Shelf (COTS) or Modifiable Off-the-Shelf (MOTS) products are preferred. Applications and systems will be custom built only if they provide clear business advantages and demonstrate cost savings.
8. There will be a consolidated and comprehensive set of security implementations.
9. All future application development and maintenance efforts will be guided by a formal Software Development Lifecycle/Project Management Office (SDLC/PMO) practice. This practice will be consistent with current state standards, i.e. SDM (System Development Methodology).
10. The system will utilize enterprise-wide systems that support documents, images and other information rich objects.
11. The system will enable an increase in the types and quantity of internal business and technology metrics collected, monitored and analyzed for use by management.
12. The system will have “lead-through” processing features and comprehensive training capabilities for business, development, operations and system users, incorporated into all application components.
13. The system will have extensive business and technology audit capabilities.

## 4.2 Target Conceptual Architecture

The following diagram represents a high level view of the future DMV solution.



**Figure 3: Target Solution Architecture Overview**

This model provides a modular and layered view. “Modular” means that the system is composed of a number of building blocks, each is self-contained and has discrete functions and specific interfaces to other building blocks. “Layered” means that the system can be viewed, from the user onward, as a series of well-defined functions and components. Physically, multiple building blocks can all reside in a single physical machine; but will retain each of their functions and interfaces.

Starting from the left, which describes users and external entities, the following is an overview of the different components of the solution architecture:

1. Users: Users represent individuals or other entities that will interact with the future DMV application systems. DMV users include internal DMV staff, external customers, business partners and stakeholders.
2. Networks: Networks are data communication media, protocol and services through which users, servers, and data stores are connected to each other. The future DMV

networks will be similar to current environment. There will be public switched telephone network for the IVR and Fax; Internet/Intranet networks using web networking standards such as TCP/IP, HTTP, HTML; and specialized networks such as AAMVANet.

3. Channel Systems: The primary electronic service channels for external users will be Web/IVR. Internal users will utilize an Intranet Web-based interface. There will also be a standardized interface for external application systems. This interface will utilize current technology concepts such as service oriented architecture (SOA) and enterprise application integration (EAI). There will be capabilities that consolidate all external and internal interfaces into a coherent solution.
4. Integrated DMV Services: Behind the channel systems there will be a set of DMV services. These services implement the business processes and functions described in other sections of this document. These services will utilize current technologies and industry standards. These services include the following:
  - a. DMV Business Processes – Customer, Compliance, Vehicle Services (Title and Registration), Driver Services (Credentialing and Sanctioning), Permits, Fiscal Management, License and Manage Regulated Businesses and Business Partner Services.
  - b. Business Support Processes – Records Management, Inventory Control, Audits, Hearing and Appeals, and Inspections and Enforcements.
  - c. Business Administration Functions – Reporting, Business Intelligence, Business Rules.
  - d. Enterprise Electronic Capabilities – Document Management, Workflow and Case Management, Forms and Correspondence, Appointments and Scheduling.
  - e. Legacy applications – adapter services linking the future DMV system with existing legacy Registration and Drivers applications
5. Data Store: To support the integrated DMV services, there will be different types of data organized and placed into different data stores. These data stores include:
  - a. Operational data: These are transaction-oriented data that will be integrated, assembled and stored in a database management system.
  - b. Document Image data: These are data that will be used to support document imaging capabilities described above.
  - c. Data Warehouse: This will be a separate database system. It will be data extracted and transformed from the above two types of data to provide a repository that will support Business Intelligence and Reporting functions.
6. Data Services: To ensure quality of data stored in the data store, a series of data services will need to be provided. These data services include:
  - a. Legacy data migration: Existing data stored in current data stores will need to be cleansed, extracted, transformed, and loaded into the integrated operational database.
  - b. Warehouse data transformation: On an on-going basis, new operational data will need to be transformed and added to the data warehouse.
  - c. Image migration: If required, selected current document images stored in microfilm or CDs will be migrated to the new document management system.
7. Application and Operating Platforms: This refers to basic set of system platforms upon which the future DMV applications and systems will reside.



8. Lifecycle: This describes the methodologies and accompanying tools needed for the design, development and deployment of large scale, enterprise-wide application systems.
9. Systems Management: This describes the processes and tools for managing the hardware, software, network, and operational areas all application systems – in the areas of problem, change, performance and configuration management disciplines.
10. Security: This provides an end-to-end view of security, encompassing users, networks, applications and databases.

### 4.3 Target Conceptual Data Model

The integrated database will be an important component of the future DMV system. The future DMV database design will need to be “customer-centric”. This means:

- There will be an integrated DMV database system. All enterprise-wide DMV operational data will be in one logically consolidated data store. “Consolidated” suggests there is one single view or model of the operational database. “Logical” implies that in reality, at a physical level, data might spread out across multiple systems and locations. However, they can be examined and managed as one single set of data entities.
- The customer will be the starting point of the model. Data elements will be designed around the common notion of a “customer” – spanning drivers and title/registration. This is consistent with the business process view of focusing on the customer. The database will utilize the concept of a customer record as the central, non-redundant entity. This customer-centric database will be used by all future DMV applications.
- For all customers, there will be a total view of all their information in relation to their DMV business transactions. All data related to a customer can be captured and accessed once the customer is identified. From the database design viewpoint, this implies all relevant customer-related data elements in the database can be traced and associated with individual customers.
- Data stored in the operational database will be properly normalized. Each data value will ideally be identified and stored in only one place, and there will be minimum redundancy of data content. This will result in consistency and simplified maintenance.
- There will be a number of other data stores containing non-textual data such as document imaging and other multi-media information. These data will be organized and indexed. The context of these non-textual data will need to be established. This means that for each piece of data in these data stores, there will be an association with one or more data items in the operational database, identifying customers and other information to which this data will represent.

The following diagram represents a sample of CT DMV to-be conceptual data model, organized by subject area.

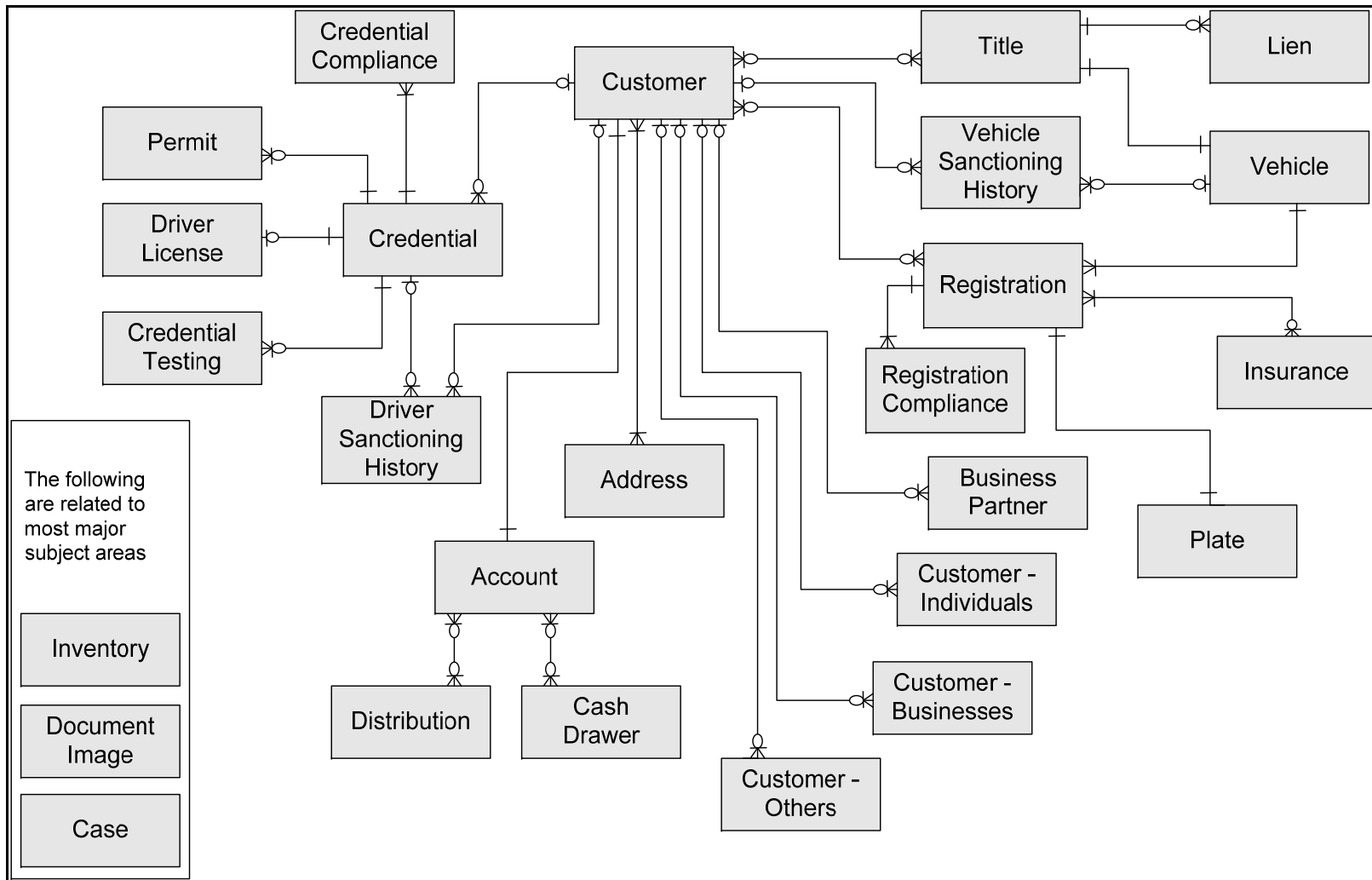


Figure 4: Conceptual Data Model

## 5. DMV Business Process Requirements

DMV positions the discussion of their 'customer' requirements as an introduction to the DMV business functions in order to properly present their view of how the vehicle and driver services are to be offered to the citizens of Connecticut to maximize the convenience and efficiency for their customer base.

### 5.1 Enterprise Level Requirements

#### 5.1.1 Enterprise Requirements

- 5.1.1.1 Integrated Solution: The system shall provide an integrated solution for the regulation of vehicle, regulation of driver and all common business functions.
- 5.1.1.2 Pre-Process Application: The system shall provide the ability for customers to 'pre-process' electronic applications for service requests through the DMV Website for retrieval when completing the transaction at a DMV location.
- 5.1.1.3 Lead-Through Processing: The system shall perform transaction using a lead-through processing with on-line help and system prompts to ensure consistency of interaction with the customer.
- 5.1.1.4 Internal Controls: The solution must provide internal controls to trace all transactions from their source to provide secure, auditable fiscal management capabilities.
- 5.1.1.5 Source Code: All relevant source code for the software and any modification to the software shall be provided to the DMV as part of installation on the State's hardware by the Contractor.
- 5.1.1.6 Document Template: The system shall have the ability to accommodate multiple designs or templates that are effective dated.
- 5.1.1.7 Pending Transactions: The system shall have the ability to 'pend' transactions that do not meet edit or documentation requirements and retrieve 'pended' transactions when a customer requests a service in the future.
- 5.1.1.8 Undeliverable Mail: The system shall allow for address to be designated as undeliverable – for USPS address as well as email addresses.
- 5.1.1.9 Validate Address: The system shall provide the ability to validate the new customer address with the 'legal' address on their driver license or ID record
- 5.1.1.10 Valid Address: The system shall provide the ability to validate that the address is a valid address for the state and location.
- 5.1.1.11 Electronic Forms: The system shall provide access to the electronic forms via the DMV Website.
- 5.1.1.12 Output Document Bar Codes: The system shall bar code all outgoing official documents, plates, notices, invitations and letters with the information required to retrieve the associated record(s) for follow-on processing.
- 5.1.1.13 Multiple Transactions Per Payment: The system shall provide the ability to process multiple transactions (Registration, Title, Lien Fees, etc.) and pass fees and taxes data to 'check out' with one payment transaction.
- 5.1.1.14 Multiple Tender Types Per Transaction: The system shall provide the ability to process multiple tender types per payment transaction.

- 5.1.1.15 Calculate Fees and Taxes: The system shall calculate the fees and taxes due based on transaction type using user-defined fee calculation rules.
- 5.1.1.16 Allocate Fees: The system shall provide the ability to allocate fees collected to user-defined revenue account tables upon completion of the service transaction.
- 5.1.1.17 Notes: The system shall provide for the recording of notes associated at the transaction and customer level.
- 5.1.1.18 Document Capture: The system shall provide for the ability to scan and index documents provided by the customer when performing a DMV related transaction and to retrieve documents by key attributes, e.g. Name, Customer ID, Transaction, Date Range, etc. .
- 5.1.1.19 Verification Checklist: Provide a checklist for all verification checks performed, the status, and the date verified.
- 5.1.1.20 Searches: The system shall be able to perform searches using partial information in the search fields.
- 5.1.1.21 Customer Correspondence: The system shall allow a list of correspondence history related to a customer to be displayed and be selected for drill down.
- 5.1.1.22 Mailing Labels: The system shall create mailing labels in conjunction with notifications and letters that will be mailed.
- 5.1.1.23 Queuing: The system shall have the ability to interface with a customer queuing system to track service transaction delivery and customer interaction time.
- 5.1.1.24 Statistics: The system shall provide the ability to capture, report and maintain data to provide Point in Time statistics, e.g. number of vehicles registered by registration type, location; type of plates issued; type of credentials issued, etc.
- 5.1.1.25 External Inquiries: The system shall provide the ability for other authorized agencies and entities to inquire on DMV information (e.g. Law Enforcement roadside inquiries of vehicle registration, driver status, etc.).
- 5.1.1.26 Application Processing: The system shall provide the ability to record and process applications through the entire life cycle, e.g. title, registration, title and registration transfers, credentials, endorsements, re-instatement, replacement plates, handicap plates, permits, etc.
- 5.1.1.27 History: The system shall maintain a history of transactions and components: customer, vehicle, title, liens, registration, credentialing, sanctioning, compliance, plate, etc. that are available for display and printing with proper authority.
- 5.1.1.28 Confidential Address: The system shall have the ability to support confidential addresses that cannot be viewed.
- 5.1.1.29 Suppressed Identify: The system shall have the ability to support customers who, because of the nature of their work, must live and work under an assumed name and must keep their real identity suppressed.
- 5.1.1.30 Transaction Search: The system shall provide options for Search Criteria which may include one or more of the following combinations: Transaction type (Title, Registration, Renewals, Plate Application, etc); Date; Time, Range; Receipt Number; Type of Payment (check, credit card, cash, etc); Title

Number; Vehicle Information; Customer Information; Plate Information; Customer Account Number; Lien Perfection Unique Identifier, etc.)

- 5.1.1.31 Application Processing: The system shall have the ability to record and track the status of service applications, e.g. title, registration, duplicate title, driver license, endorsements, etc. from initiation through the life cycle of the application: pending, rejected, approved, etc.
- 5.1.1.32 Notifications: The system shall provide the ability to print and send (through preferred communication method) suspension notifications relating to compliance issues, e.g. emissions, safety inspection violations, driver actions, etc.

## 5.2 Customer

The transformation of government to a more 'customer centric' approach of delivery of services to achieve convenience, efficiency, and a more timely response to the citizens of the state drives a need for cross-governmental integration of processes and data. This integration provides the ability to identify the common customer across multiple agencies and jurisdictions and the customer access to their information from the Internet, kiosk or through other agency-managed approaches.

DMV recognizes this need to be more customer-centric in their processes and to provide the technology to support it. DMV defines their goal of 'customer centricity' as bringing together customer data into one view from the many touch points of customer interaction within the DMV. With this view, DMV is looking for a system that provides a "centric" model of all records (electronic and imaged) associated with DMV interactions with a customer. The customer record shall be defined once and can be related to multiple services and transactions (e.g. driver license, title, and registration).

### 5.2.1 Create Customer Record

- 5.2.1.1 Unique Customer Identifier: The system shall automatically assign a unique customer identifier during the process of adding a new customer.
- 5.2.1.2 Individual Customer Profile: Each individual that conducts business or receives services from DMV has a customer "record" or profile that contains attributes such as, but not limited to: Legal name, alias names, Street Address, Mailing Address, date of birth (DOB), eligibility (e.g. program, military, plate, etc.), exemptions, etc.
- 5.2.1.3 Business Customer Profile: Each business that conducts business or receives services from DMV has a customer profile. A business customer profile may contain attributes such as, but not limited to: Legal name of the business, a DBA name, one or more location identities, Social Security Number or Federal Employer Identification Number, or other identifiers, Mailing address, Contact information, Type of organization (LLC, corporation, etc.), identification information for owners, officers, partners, exemptions, etc.
- 5.2.1.4 Data Requirements: The system shall have user defined rules to identify the mandatory data elements based on the function (e.g. driver license, vehicle title and registration, sanctioning).
- 5.2.1.5 Customer Role: The system shall be able to record the role that a customer has in a transaction, such as owner and lien holder.
- 5.2.1.6 Customer Information: The system shall provide the ability to enter detailed information about a customer including preferred methods of communication, general commentary, and alerts.

- 5.2.1.7 Digital Images: The system shall provide the ability to store and/or associate digital images from the secure DL/ID credentialing system.
- 5.2.1.8 Supporting Documentation: The system shall provide the ability to capture, store, and associate electronic images of supporting documentation with the customer record.
- 5.2.1.9 Complex Relationships and Associations: The system shall provide the ability to relate individual customer accounts, customer roles (e.g. Power of Attorney, vehicle owner, business owner, board of directors, etc.) in order to provide a consolidated view of all relationships a customer may have with DMV.

## **5.2.2 Update Customer Information (Profile)**

- 5.2.2.1 Employee ID: The system shall be able to record and associate the identity of the DMV employee, customer or business partner completing a transaction with the customer record of that transaction.
- 5.2.2.2 Profile Updates: The system shall provide the ability to change a customer's name, address, etc. at the request of the customer.
- 5.2.2.3 Customer Notes: The system shall provide the ability to enter detailed notes about a customer including telephone, e-mail, and paper correspondence information.
- 5.2.2.4 Interfaces: The system shall support interfaces from internal and external sources for the purpose of adding, modifying, or authenticating customer data (e.g. CTJIS, CT Secretary of State, etc.)
- 5.2.2.5 One-Time Mailing Address: The system shall allow for the use of a one-time mailing address.
- 5.2.2.6 Merge Customer Records: The system shall allow a customer account to be merged with another (as an alias) customer account to create a single view.
- 5.2.2.7 Unmerge Customer Records: The system shall allow merged customer accounts to be separated.
- 5.2.2.8 Audit Trail: The system shall record a complete audit trail of the customer record of transactions, including the identity of the DMV employee completing a transaction.
- 5.2.2.9 Audit Log: The system shall capture activity logs that identify the type of transaction, user performing the transaction, records accessed, frequency of access, type of access being performed, e.g. creating, updating, printing, viewing, etc.
- 5.2.2.10 Organ Donor: The system shall have the ability to capture organ donor information.
- 5.2.2.11 Voter Registration: The system shall have the ability to record voter registration information and transmit to Secretary of State.

## **5.2.3 Inquire Customer Information**

- 5.2.3.1 Customer Search: The system shall support searches for customer data elements using access points such as (but not limited to) DL number, plate,

title number, birth date, name, business name, DBA, passport #, TIN, SSN, etc.

- 5.2.3.2 Previous Name Search: The system shall provide the ability to inquire on a customer's previous name(s) and return all records associated with the customer.
- 5.2.3.3 Soundex Search: The system shall support inquiries/searches for customer records including a "soundex search" capability for customer records that are "close to" the given name and other demographics. ("Soundex" is a phonetic algorithm for indexing names by sound, as pronounced in English.)

## 5.2.4 Check Customer Compliance

- 5.2.4.1 Validation Sources: The system shall support the use of state and federal sources to standardize and validate customer information such as business names, individual identities, addresses, SSN, etc. (e.g. CT Secretary of State, AAMVA, SSOLV, PDPS, ICE/SAVE, bio-facial recognition, Real ID Act checks, etc).

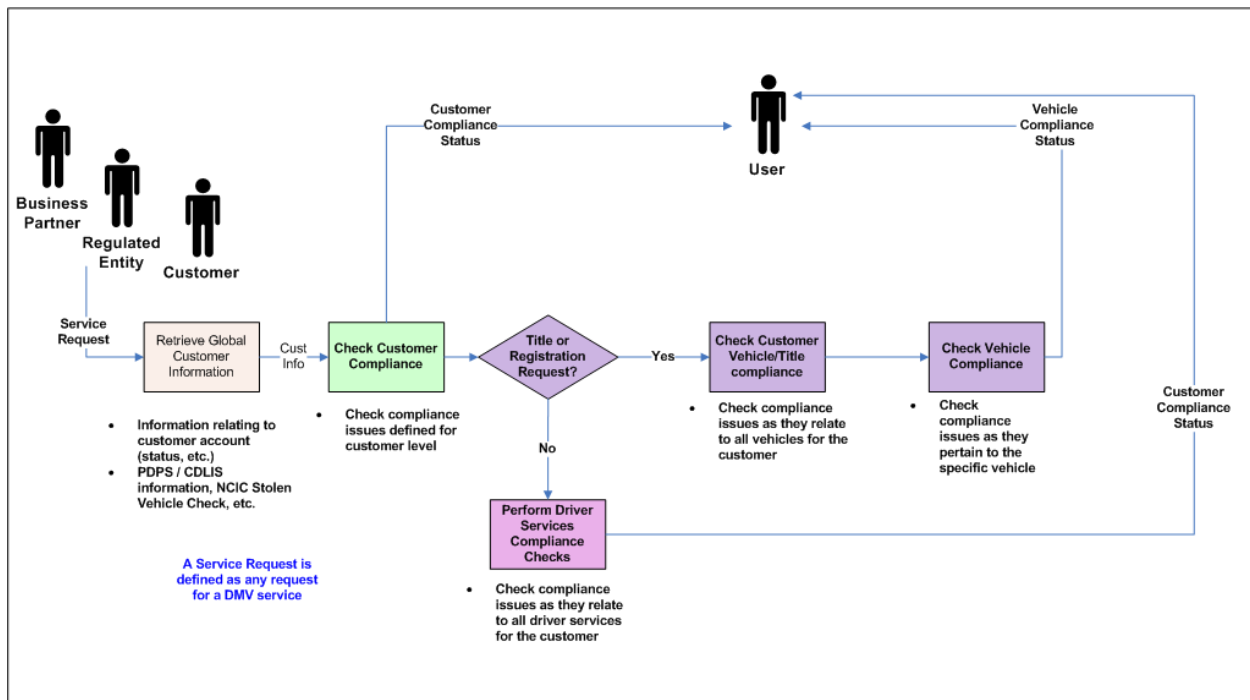
## 5.3 Compliance

The DMV is the enforcement arm for regulatory emissions, safety inspection, mandatory insurance, and revenue collection activity required by state statute. Additionally, DMV monitors the activities of Business Partners and entities for which it is the regulatory and licensing agent, e.g. manufacturers, leasing companies, dealers, repairers, junkyards, etc. to determine whether they are performing under the terms set forth in their Business Partner Agreement (BPA) or their licensing agreement.

Each customer request for a product or service provided by the DMV initiates an automatic check against the customer and/or vehicle status to determine whether or not they are in compliance. Additionally, the system should monitor the customer accounts and take immediate appropriate action when an account becomes non-compliant, e.g. the expiration of a permit or emissions inspection should trigger a communication with the customer and a possible registration suspension. Dealers whose bond has expired should be notified of the impending revocation of their license if action is not taken to bring the account in compliance. Currently, compliance checks are made for the following:

- Delinquency in tax payments to Connecticut municipalities
- Suspension of motor vehicle registration
- Presence of adequate automobile liability insurance or proof of financial responsibility
- Outstanding parking tickets
- Vehicle emissions expiration
- Emissions late fee
- Vehicle safety inspection expiration
- Vehicle safety inspection violation
- Previous payments to DMV that failed to clear
- Stolen vehicle check
- Stolen plate check
- Regulated Entity
- Business Partner Agreements (BPA)
- Suspension of Driver's License

The following figure depicts the compliance checks performed whenever a service is requested. Some compliance checks are performed at the customer level, e.g. whether it is a vehicle or driver service request the system will automatically check the compliance status of the customer. For example, Commissioner Suspensions are checked at the customer level to determine if any service request can be completed. Other customer level checks are performed after determining the type of request. For example, a customer cannot renew registration on any vehicle if they are delinquent in their property tax on any one vehicle. Other checks are performed at the vehicle level such as emissions expiration, safety violations, etc.



**Figure 5: CT DMV Customer and Vehicle Compliance Checks**

DMV envisions a solution that provides automated ‘transparent’ compliance verification as an integrated part of any DMV transaction and that has its own data store and procedural logic, allowing online and batch processes ready access to the compliance status of Connecticut drivers and vehicles. The user would be informed only if the customer or vehicle did not pass the compliance verification and be provided a notice of steps required to address the issue and become compliant. The compliance solution should encompass both data access and the functionality needed to implement a reusable component for this and future systems implementation efforts. The system should provide the ability to access compliance information directly or through a real-time access of external data sources.

### 5.3.1 Compliance Requirements

- 5.3.1.1 Compliance information: The system shall provide the ability to record compliance information, e.g. emissions inspection, safety inspection and VIN verification data, insurance, medical reports, etc.



- 5.3.1.2 Transparency: The system shall provide for transparent compliance checks that are 'hidden' from users and the overall solution and notify the user of the non-compliance status.
- 5.3.1.3 Customer Compliance: The system shall be able to check customer compliance rules as they relate to the title, credentialing, sanctioning and registration processes and define workflows based on the results.
- 5.3.1.4 Provide Customer Information: The system shall retrieve and display information relating to the customer account status.
- 5.3.1.5 Compliance Retrieval: The system shall automatically determine which compliance checks are required based on the type of service request, retrieve and verify compliance data without the user re-entering data.
- 5.3.1.6 Batch and On-Line: The system shall provide the ability to access compliance data in both on-line and batch processes and create notification of compliance violations.
- 5.3.1.7 Architecture: The compliance module shall be a self-contained combination of data and methods.
- 5.3.1.8 Standardized Interface: The solution shall provide a standardized interface and implemented as web services to allow use through a single well-defined interface.
- 5.3.1.9 Data Model: The compliance module shall have its own subject area data model within the overall solution data model and share common identifiers such as Customer ID, Vehicle Information Number (VIN), etc.
- 5.3.1.10 Inaccurate Records: The system shall provide the ability to apply edits and reject incomplete or inaccurate records from the data sources providing compliance data.
- 5.3.1.11 Future Additions: The compliance data model shall provide for ease in adding compliance status for future regulations without requiring modifications to the customer or vehicle portions of the overall solution data model.
- 5.3.1.12 Business Rules: The system shall provide the ability to define business rules in data tables or in a rules engine that establish and remove or 'clear' the compliance.
- 5.3.1.13 Business Rule Updates: The system shall provide the ability for authorized users to update business rules.
- 5.3.1.14 Printing Rules: The system shall provide the ability for compliance status and corrective actions to be printed for the customer;
- 5.3.1.15 Associate Compliance with Customer: The system shall provide for the association of customer account data with customer specific compliance data using unique customer identifier.
- 5.3.1.16 Access: The system shall provide the ability to access compliance information directly or through real-time interfaces with external data sources.
- 5.3.1.17 Stop Transactions: The system shall provide the ability to stop transactions from being completed if compliance violations are found during an on-line or batch process.
- 5.3.1.18 Supervisory overrides: The system shall provide for supervisory override capability to allow authorized personnel to process a transaction when the system returns a non-compliant status.

- 5.3.1.19 Real-time Update: The system shall allow users with proper authority to perform a real-time update of any compliance information consistent with business rules defined.
- 5.3.1.20 Document Update Reason: The system shall require a user performing a real-time update to document the reason for the update and attach scanned supporting documentation.
- 5.3.1.21 Audit Logging: The system shall log all real-time updates and supervisory overrides to compliance status including user ID, data, time, etc., before and after values.
- 5.3.1.22 Statistics: the system shall maintain statistics of non-compliance checks for use in operational and management decisions.
- 5.3.1.23 Emissions Database (EDBMS): The system shall interface with the EDBMS to determine or receive emissions compliance.
- 5.3.1.24 Invitation to Renew: The system must read compliance information and generate appropriate notification of non-compliance and corrective action required when creating invitations to renew for both vehicle registrations and drivers licenses.
- 5.3.1.25 Identifiers: The system shall provide the ability to add external identifiers such as Secretary of State Numbers / Department of Transportation (DOT) Number, etc.
- 5.3.1.26 Inform Customer of Privilege or Compliance Issues: The system shall make the customer aware of any privilege or compliance issues during interaction with the DMV.
- 5.3.1.27 Automatic Background Checks: The system shall automatically begin conducting checks with PDPS, CDLIS, and SSOLV with the initiation of an application whether via the web site or by an Agent on-line.

## **5.4 Vehicle Services: Title and Registration**

DMV's inter- and intra-state motor vehicle operations are essential to the well being of Connecticut's population and economy. DMV manages the initial issue and transfer of vehicle titles, collects and accounts for fees and taxes, records liens and brands, and issues and renews registrations to customers for the privilege of traveling Connecticut roadways.

Title and registration transactions are performed for the following types of customers: private party vehicle owners (including municipalities and government agencies), dealers and lien holders (financial institutions). Registration information is also received and processed for vehicles registered in the International Registration Plan (IRP).

The DMV future design for title and registration is based first on a customer-centric model in the overall solution and secondly on a 'vehicle-centric' model in title and registration component. This design provides a global view of all customer history (vehicle, drivers and compliance) and vehicle history (title, registration, compliance history, etc.). It also enables the move to a more self-service business model through the DMV Website. For example, vehicle service requests may be 'pre-processed' via the Website and provide the customer with a checklist of documents or compliance actions that are required to complete the transaction. The system automatically performs initial compliance checks (e.g. NCIC, Tax compliance, etc.) and records the results and notifies customer.

The DMV is also moving toward certain trusted Business Partners (State Agencies, municipalities, Fleet Owners, etc.) managing their own accounts through a Business Partner Agreement (BPA) supported by a Business Partner Portal via the DMV Website. Where possible, forms will be electronic (and web based). Paperwork will be eliminated through the use of scanning of documents with the documents moving electronically through the workflow process rather than physically through paper based processing.

The Title and Registration solution must be fully-integrated with all other aspects of the CT DMV Modernization solution, e.g. Records Management, Document Management, Driver Services, Business Partnerships, Fiscal Management, etc.

#### **5.4.1 Title and Registration Common Requirements**

- 5.4.1.1 Owner Retrieval: The system shall provide the ability to identify and retrieve registration and title owner of a vehicle by identifiers such as: Customer ID, Passport ID, Driver License ID, CT ID Card, CT/US DOT #, etc.
- 5.4.1.2 Title / Registration Owner: The System shall support a titled owner to be different from the registration owner.
- 5.4.1.3 VIN Validation: The system shall provide the ability to require VIN validation for all transactions.
- 5.4.1.4 Vehicle Compliance: The system shall provide the ability to perform compliance checks based on vehicle identifiers, e.g. if the vehicle tax is current, there are no outstanding parking tickets, emissions checks are current, insurance is in effect, safety violation, vehicle is not stolen and the registration is not suspended for some reason.
- 5.4.1.5 Vehicle Searches: The system shall have the ability to search for a vehicle by key attributes including but not limited to: customer name or number, MSO number, fleet number, VIN/HIN, partial name, etc.
- 5.4.1.6 VIN: The system shall interface with a third-party VIN validation service, such as VINA, to validate the VIN and populate vehicle fields.
- 5.4.1.7 Vehicle Attributes: The system shall provide the ability to require user defined mandatory information by vehicle type in order to create or update a vehicle record.
- 5.4.1.8 Replacement VIN: The system shall provide the ability to issue replacement Vehicle Identification Numbers.
- 5.4.1.9 Variable Length VIN: The system shall provide the ability to accept variable length alphanumeric VIN numbers.
- 5.4.1.10 Multiple VINS: The system shall provide the ability to capture/display multiple VIN/HIN and designate as primary or secondary.
- 5.4.1.11 Fuel Type: The system shall track all fuel types as well as vehicles with multiple fuel types (hybrid vehicles).
- 5.4.1.12 Vehicle Valuation: The system shall provide the ability to get vehicle valuation data from an external source or to be entered.
- 5.4.1.13 Vehicle Exemptions: The system shall provide for the ability to set and verify exemptions at the vehicle level.

- 5.4.1.14 Fleet ID: The system shall provide the ability to associate or remove a vehicle from a Fleet.
- 5.4.1.15 Vehicle Notes: The system shall provide the ability to enter detailed notes about a vehicle.
- 5.4.1.16 Marine Vessels: The system shall provide the ability to title and register marines (watercrafts), including boats.
- 5.4.1.17 Title and Registration Owners: The system shall provide the ability to have a titled owner different from the registration owner.
- 5.4.1.18 Release of Financial Responsibility: The system shall be able to record the receipt and details of a Release of Financial Liability associated with a vehicle record registered to a person 18 or less years of age.
- 5.4.1.19 Vehicle Weight / Rating: The system shall provide the ability to track the gross vehicle weight, gross vehicle weight rating and the vehicle light weight.
- 5.4.1.20 Multiple Titles / Registrations: The system shall provide the ability to support multiple titles and registrations for a vehicle (e.g. Amphibious vehicles will be titled and registered for both land and water usage).
- 5.4.1.21 Suppressed Titles: The system shall provide the ability to create a title history for vehicles that are classified as 'suppressed' (e.g. the vehicle is owned by someone whose identity is suppressed).
- 5.4.1.22 Validation Sources: The system shall support the use of state and federal sources to standardize and validate vehicle information (e.g. NMVTIS, DOT, Secretary of State, NCIC, etc).

## 5.4.2 Title

The objective of the title process is to validate the customer's identity and proof of ownership and provide them with a commercial or non-commercial vehicle title. The title process provides for: (1) the examination of each application of ownership to determine the genuineness of the documents presented; (2) the determination that the applicant is entitled to a certificate of ownership (title) and (3) the creation of a document that substantiates the vehicle's ownership. The major activities are: validate the customer's identity; identify the vehicle, its legal status and proof of ownership; and provide the customer with a commercial and/or non-commercial vehicle title. In the instance of a lien being attached to the title, the title is issued to the customer but held by the lien holder.

The Title Process can be initiated for a number of reasons. It is generally initiated when a person acquires a vehicle in Connecticut or moves into the state with a vehicle titled in another jurisdiction. When a customer purchases a new vehicle at a DMV Business Partner location (dealership) the Business Partner will use the DMV system to electronically record all required information and (if DMV elects) issue a title to the customer. Involuntary transfers (abandoned vehicles, repossessions, etc) are typically processed at a DMV Branch Office. A customer may also initiate selected title transactions via the DMV Website, e.g., voluntary title transfer, apply for new title, etc. The title process consists of the following sub-processes:

- Process Title Application
- Validate Customer Compliance and Documentation
- Validate Vehicle Compliance
- Record Vehicle Brands

- Record/Release Security Interest (Lien)
- Issue Title
- Maintain Title Information / Status
- Transfer Title

### 5.4.3 Process Title Application

- 5.4.3.1 Process Title Application: The system shall provide the ability to process applications for title services (e.g. new, voluntary and involuntary transfers, cancellations, etc.) and includes requirements common to title and registration – listed above.
- 5.4.3.2 Title Processing: The system shall provide the ability to issue, store, print and maintain motor vehicle titles.
- 5.4.3.3 Title Only: The system shall allow the registered or legal owner(s) of a vehicle the option of titling without applying for registration.
- 5.4.3.4 Title Mailing Address: The system shall have a mailing indicator that points to which owner address(es) to which the title and renewal bills are to be mailed.
- 5.4.3.5 Non-Electronic Titles: The system shall be able to process transactions for titles that are not stored electronically, e.g. old paper or purged titles.
- 5.4.3.6 Title Comments: The system shall allow a title record to have an area for comments to be stored.
- 5.4.3.7 Duplicate Title: The system shall be able to print and track the issuance of duplicates and reprint titles over the life of the vehicle.
- 5.4.3.8 Transaction Detail: The system shall capture all title transactions types, the ID of the person performing the transaction, the location, etc. e.g. who and where a title was printed.
- 5.4.3.9 Title Searches: The system shall provide the capability to search for title, based on key attributes: current and previous owners, customer number, partial customer name, title number, plate number, full or partial VIN, lessee, lessor, lien holder, etc.
- 5.4.3.10 Certificate of Search: The system shall have the ability to generate a 'Certificate of Search' showing the title history.
- 5.4.3.11 Application Status: The system shall provide the ability to inquire on title and title application status.
- 5.4.3.12 ELT Interface: The system shall be able to send and receive messages of errors in title information to/from ELT providers and place inbound error message into a work queue for a user to review.
- 5.4.3.13 NMVTIS Interface: The system shall allow secured inquiry access to the VIN pointer, brand, and MCO files through NMVTIS interface.
- 5.4.3.14 Out of State Title: The system shall capture the Out-of-State Title Number and State abbreviation.

- 5.4.3.15 Jurisdiction Code: The system shall be able to accept and change the jurisdiction code information received from the zip code to automatically populate the tax jurisdiction code when an address is entered.
- 5.4.3.16 Title Status: The system shall provide the ability to check the status of the title when processing a title, vehicle or registration transaction and suspend the transaction based on business rules.
- 5.4.3.17 Title Owners: The system shall allow an unlimited number of owners on a title.
- 5.4.3.18 Seller Information: The system shall provide the ability to capture seller information (dealer / private seller) as well as date of purchase, purchase price, trade-in amount, etc.
- 5.4.3.19 Sales Tax Exempt: The system shall be able to differentiate vehicles by sales tax exempt status and use that information when assessing charges.
- 5.4.3.20 Sales Tax Basis: The system must be able to determine sales tax based on valuation. Valuation is determined based on numerous things including, but not limited to method of sale (dealer or not), trade in, year, and type of vehicle.

#### **5.4.4 Validate Customer / Documentation**

- 5.4.4.1 Compliance Checks: The system shall be able to provide customer compliance checks for title transactions as defined by business rules.

#### **5.4.5 Validate Vehicle Compliance**

- 5.4.5.1 Vehicle Compliance: The system shall be able to check vehicle compliance rules as they relate to the title process.

#### **5.4.6 Record Vehicle Brands**

- 5.4.6.1 Interface: The system shall interface with insurance companies to receive notification of total loss as an electronic file.
- 5.4.6.2 Salvage: The system shall be able to record a salvage transaction against a vehicle record that includes a complete vehicle description, name and address of owner and any lien holder, issue date and time, any title brands, user comments, User ID, and name of insurance company submitting the salvage request.
- 5.4.6.3 Brand History: The system shall maintain brand history associated with the title including brand and state.
- 5.4.6.4 Bonded Titles: The system shall provide for bonded titles, e.g. record the receipt of the bond, bond amounts, name of surety, name of the principle, etc. and titles that are subsequently issued, etc.
- 5.4.6.5 Remove Brand: The system shall provide for the removal of brands recorded in error by an authorized user.
- 5.4.6.6 Standard Brand Designations: The system shall use standard brand designations.

#### **5.4.7 Record/Release Security Interest (Lien)**

- 5.4.7.1 Select Lien Holder: The system shall be able to select Lien Holder information from a list of common lien holders when entering a lien holder onto a vehicle record.
- 5.4.7.2 Maintain Lien Holder List: The system shall provide the ability to maintain a list of common lien holders to be selected from when recording a lien.
- 5.4.7.3 Record Lien: The system shall be able to record a new lien on a vehicle title record.
- 5.4.7.4 Release Lien: The system shall record a lien release for a vehicle using the unique lien identifier.
- 5.4.7.5 Multiple Lien holders: The system shall be able to accept and record information for more than one lien holder.
- 5.4.7.6 Self-Service Lien Holder: The system shall provide the ability for pre-approved lien holders to do electronic lien extensions, transmit lien releases, and view lien information as warranted.
- 5.4.7.7 Inquiry: The system shall provide inquiry capability for lien holder information associated with customers by Lien holder Name, Lien holder I.D., and Lien holder Address.
- 5.4.7.8 Promote Secondary Lien: The system shall allow a secondary lien to be promoted to primary when the primary lien is removed or released

#### **5.4.8 Issue Title**

- 5.4.8.1 NMVTIS Standards: The system shall be compliant with NMVTIS interface standards.
- 5.4.8.2 Title Receipt: The system shall generate an application for title document (with status) as a receipt to customers and have the ability to reprint.
- 5.4.8.3 Title Print / Reprint: The system shall have the ability to print a "no-fee" new, revised, or duplicate title.
- 5.4.8.4 Title Formats: The system shall provide for information formats to be in accordance with the Universal Title layout recommended by the American Association of Motor Vehicle Administrators (AAMVA) and the National Highway Traffic Safety Administration (NHTSA).
- 5.4.8.5 New Title Number: The system shall have the ability to generate a new unique title number for user designated service transactions.
- 5.4.8.6 Electronic or Paper Title: The system shall allow the options of issuing a paper title or maintaining an electronic title.
- 5.4.8.7 Inventory Control Number: The system shall capture the inventory control number when issuing a title.
- 5.4.8.8 Brand Designators: The system shall be able to print a user-defined number of brand designations on a title.
- 5.4.8.9 Print Title: The system shall provide for the printing of titles 'on demand' at authorized locations and in a batch mode.

#### **5.4.9 Maintain Title Information / Status**

- 5.4.9.1 Duplicate Title Iterations: The system shall track iterations of duplicate titles (such as duplicate number one, duplicate number two, and so on).
- 5.4.9.2 Title Corrections: The system shall have the ability to issue a 'corrected' title, e.g. correct lien information, correct erroneous title information, etc.
- 5.4.9.3 Electronic Title Status: The system shall be able to change the status of a single or multiple titles from paper to electronic upon receipt of an electronic notification from the lien holder, and shall send a confirmation to the service provider upon conversion of the status
- 5.4.9.4 Interface: The system shall provide the ability to send title surrenders to NMVTIS electronically.
- 5.4.9.5 Title Status: The system shall maintain a "Title Status" (e.g. Active, Assigned, Cancelled, Duplicate, Surrendered, Stop Bond, Withdrawn, Revoked).
- 5.4.9.6 Dealer Assignments: The system shall provide the ability for multiple dealer assignments, not just the selling dealer (chain of ownership).

#### **5.4.10 Transfer Title**

- 5.4.10.1 Notice of Sale: The system shall be able to notify the owner and any lien holders, when a request for lien sale is received from vehicle repossession action.
- 5.4.10.2 Transfer Reasons: The system shall maintain a list of transfer reasons (voluntary and involuntary) and allow the title agent to select a transfer reason.
- 5.4.10.3 Transfer Rejection Reasons: The system shall allow for a DMV user with proper authority to maintain a table of approved transfer rejection reasons.

#### **5.4.11 Registration**

The registration process has the main purpose of registering vehicles domiciled in Connecticut and to collect fees. The end result of the registration process from a customer point of view is receipt of plates and stickers to indicate compliance with the registry requirements in Connecticut. The end result from the DMV point of view is to obtain fees and paperwork for each registrant and to collect and store those registrations for future reference. The major activities are: validate the customer's identify, verify customer and vehicle compliance status and issue permits, handicap placards, plates, stickers and registration certificates.

The "new" Registration Process can be initiated in a number of ways. It is generally initiated when a person acquires a vehicle in Connecticut or moves into the state with a vehicle registered in another jurisdiction. When a customer purchases a new vehicle at a DMV Business Partner location (dealership), the Business Partner will use the DMV Title and Registration system, electronically record all required information in the system and issue a permanent registration to the customer. Whether this process is performed at a Business Partner location, DMV Branch Office or initiated by the customer through the DMV Web site, the vehicle owner applies to register the vehicle, pay taxes and fees, and receives evidence of registration (plates, stickers) to operate the vehicle legally. The registration process consists of the following sub-processes:



- Process Registration Applications (new registration, temporary registration, renewal, vehicle transfer, class transfer, plate transfer, etc.)
- Validate Customer Compliance / Documentation
- Validate Vehicle Compliance
- Select Plate
- Complete Registration (Issue certificates, stickers, plates, etc.)
- Transfer Vehicle (Plate)
- Replace Registration/Plates/Decals

#### **5.4.12 Process Registration Application**

- 5.4.12.1 Vehicle Class / Sub-class: The system shall be able to set and update registration class / sub-class based on information provided about the vehicle usage and body type.
- 5.4.12.2 Process Registration Application: The system shall provide the ability to process applications for registration services (e.g. new, temporary, vehicle transfers, renewals, plate transfers, class transfers, etc.) and includes requirements common to title and registration – listed above.

#### **5.4.13 Validate Customer / Documentation**

- 5.4.13.1 Customer Compliance: The system shall be able to check customer compliance rules as they relate to the registration process.
- 5.4.13.2 Registration Address: The system shall provide the ability to designate and validate an address where the vehicle is domiciled for tax calculation purposes.
- 5.4.13.3 Registration Mailing Address: The system shall be able to designate addresses for specific purposes, e.g. renewal mail billing, plate delivery, etc.
- 5.4.13.4 Registration Owner Address: The system shall be able to determine the mailing address for the registration owner (e.g. lessee) when the vehicle is under lease.
- 5.4.13.5 Registration Address Updates: The system shall allow the housed or registration address for the vehicle to be updated.

#### **5.4.14 Validate Vehicle Compliance**

- 5.4.14.1 Vehicle Compliance: The system shall be able to check vehicle compliance rules as they relate to the registration process.

#### **5.4.15 Select Plate**

- 5.4.15.1 Valid Vanity Plate Characters: The system shall provide the ability to maintain a list of characters that are unavailable either because they are currently assigned or they have been deemed inappropriate.
- 5.4.15.2 Number of Plate Characters: The system shall allow for eight (8) or more plate characters.

- 5.4.15.3 Plate Image: The system shall record the plate image - including alphanumeric separator characters to be able to reproduce the plate as issued (e.g. DR.JOE).
- 5.4.15.4 Unique Plate Characters: The system shall be able to check for unique plate characters without separator alphanumeric character (e.g. DR.JOE will be evaluated as unique plate characters DRJOE) by class / sub-class.
- 5.4.15.5 Multiple Active Plate: The system shall be able to assign two or more active plates to a vehicle registration.
- 5.4.15.6 Preview Plate: The system shall allow the customer to choose the characters on any plate background to preview the finished product before applying
- 5.4.15.7 Plate History: The system shall maintain plate history.
- 5.4.15.8 Vanity Plate Background; The system shall have the ability to define valid options for vanity plate characters by plate background.
- 5.4.15.9 Reserve Vanity Plate Characters: The system shall reserve vanity plate characters.
- 5.4.15.10 Plate Eligibility: The system shall support eligibility requirements by plate backgrounds.
- 5.4.15.11 Assign Plate: The system shall automatically assign the next sequential plate number out of the registrar's inventory of the plate type selected.
- 5.4.15.12 Plate Orders Via Website: The system shall be able to accept and process, Special Interest, Special Program, Vanity and sample plate application/requests via the DMV web site.

#### **5.4.16 Complete Registration**

- 5.4.16.1 Expiration Period: The system shall provide the ability to set registration and plate expiration periods by class / sub-class.
- 5.4.16.2 Temporary and Permanent Registration: The system shall provide the ability to identify that the Registration is temporary or permanent.
- 5.4.16.3 Registration Status: The system shall provide the ability to track the status of the Temporary and Permanent Registrations.
- 5.4.16.4 Registration Only: The system shall provide the ability to register a vehicle without titling in the state of CT (e.g. marine vessels).
- 5.4.16.5 Point of Sale Printing: The system shall provide the ability to print a Decal or Sticker at time of sale.
- 5.4.16.6 Stickers: The system shall support the issuance of month and year Stickers for motor vehicles. Sticker number shall be unique and related to plate number.
- 5.4.16.7 Registration Receipt: The system shall print registration receipt (card) and allow for a reprint on request for registration receipt.
- 5.4.16.8 Plate Order: The system shall complete the registration and electronically order the vanity or special interest plate from the Cheshire Production Facility.

#### **5.4.17 Renew Vehicle Registration**

- 5.4.17.1 Renewal Invitations: The system shall provide the ability to automatically generate bar coded invitations to renew based on registration expiration period.
- 5.4.17.2 Renewal Messages: The system shall have the ability to print custom and compliance messages on the invitation to renew.
- 5.4.17.3 Internet Renewals: The system shall provide the ability to route internet renewals to a centralized DMV location for printing and mailing the stickers and registration receipt.

#### **5.4.18 Transfer Vehicle (Plate)**

- 5.4.18.1 Plate Transfer: The system shall provide the ability to transfer an existing plate and remaining equity to another vehicle.

#### **5.4.19 Replace Registration/Plates/Decals**

- 5.4.19.1 Plate Replacement: The system shall support replacement of all or specific plate types based on user defined selection criteria.

### **5.5 Driver Services: Credentialing and Sanctioning**

The CT DMV provides driver services as they relate to the issuance and sanction of driver privileges. Specifically, DMV processes and issues drivers licenses and ID cards, processes withdrawals and restorations and tests applicants for driver licenses. The DMV also provides the recording of actions that require the withdrawal of driving privileges and the establishment and monitoring of the compliance with mandated re-instatement requirements. Business Partners provide such services as the installation and testing of driver monitoring devices and support other driver improvement programs, and they electronically report attendance and participation requirements to the DMV.

The DMV future design for the Driver Services functions of credentialing and sanctioning components is based on a 'customer-centric' model in the overall solution. This design concept provides a global view of all customer history (vehicle, driver identity, history, and compliance) and vehicle history (title, registration, compliance history, etc.). The Credentialing and Sanctioning processes are enhanced by advanced technologies such as barcode readers, scanners, proofing workstations and bio-facial recognition equipment, automatic address verification, etc. augmented by automated on-line verification where possible.

#### **5.5.1 Credentialing**

The objective of the Credentialing process is to issue various types of credentials to a qualified customer: driver license, commercial driver license (including various endorsements such as Hazardous Materials), permits, and non-driver identification cards. The Credentialing process begins when a customer initiates a request to obtain a permit, license or non-driver ID from the DMV and provides documents supporting identity, residency, etc. Applicants are screened for eligibility, identity documents authenticated and verified, and where applicable, applicant knowledge and skills are tested. As identity ('breeder') documents are used as official proof of identification documents, DMV issuance procedures require the authentication of supporting documents as well as appropriate background, criminal and security checks.

The Credentialing process focuses on authenticating customers, checking customer compliance, checking the customer's criminal and background histories, ensuring customers meet all requirements required by statute and DMV policy for the specific credential being requested. The process supports a customer's request for: first time issuance, renewal, license upgrade or downgrade, photo update, issuance of a duplicate when a credential is lost, reinstatement of driving privilege, or a new Connecticut credential when transferring from another state. In providing credentials, DMV validates credentials and customer files to ensure their security and integrity, using sophisticated facial recognition technology and other tools.

The blueprint for the future CT DMV Credentialing Process focuses on a more self-service model with the ability of the customer to initiate and complete certain service requests via the DMV website. For example, applications for a new credential, permit, additional endorsement(s), etc., may be 'pre-processed' via the DMV website and provides the customer with a checklist of documents or compliance actions that are required to complete the transaction. The system automatically performs initial compliance checks (e.g. CDLIS, PDPS, etc.) and records the results and notifies customer. The new model identifies and describes specific changes to be made to better serve the customers, implement best practices within DMV processes and maintain proper security for customer and DMV information.

DMV is seeking a Credentialing solution that will provide the CT DMV with a secure, thorough and federally-compliant process to issue and renew credentials (permits, licenses and non-driver IDs), including a capability for central issuance.

The credentialing process has the following sub-processes:

- Request service or apply for credential
- Schedule and administer tests
- Issue credential
- Renew credential

## 5.5.2 Request Service / Apply for Credential

- 5.5.2.1 Authentication and Verification: The system performs authentication and verification steps using existing and future external systems such as SSOLV, PDPS, NCIC, etc.
- 5.5.2.2 Credentials: The system shall provide the ability to process applications and issue credentials for the following types: non-driver identification, non-commercial, commercial, learner's permit, motorcycle, endorsements, etc.
- 5.5.2.3 Checklists: The system shall provide the current checklist of documents that the customer is required to provide based on the type of service request.
- 5.5.2.4 Proofing Workstations: The system shall support the use of Proofing Workstations to authenticate passports and out-of-state licenses.
- 5.5.2.5 Bio-facial Matching: The system shall interface with the current bio-facial technology used by the DMV.
- 5.5.2.6 Background Checks: The system shall initiate appropriate background, criminal and security checks depending on the type of customer (e.g., non-U.S. citizen) and the type of credential/endorsement they seek to obtain (e.g., CDL license).
- 5.5.2.7 Real ID Compliance: the system shall support the Real ID credentialing guidelines.

- 5.5.2.8 Alert for Possible Fraud: The system shall provide the ability to suggest possible fraud situations based on information received and background and internal checks performed (e.g. multiple credentials for the same person, etc.).
- 5.5.2.9 Federal Compliance: System must comply with all applicable federal (e.g. CDL, NDR, Real ID Act), compact (DLA/DLC- one license one person/surrender of Out of State license), and state laws.
- 5.5.2.10 Out of State Surrender: Receive and electronically record out-of-state license surrender and transmit to former JOR (Jurisdiction of Record).
- 5.5.2.11 In-State Surrender: Receive and electronically record/transmit the surrender of a CT license from a new JOR (Jurisdiction of Record).

### **5.5.3 Schedule and Administer Tests**

- 5.5.3.1 Schedule Testing: The system shall provide the ability for DMV users or customers to schedule vision, written, and skills test appointments that are conducted at DMV locations.
- 5.5.3.2 Test Results: The system shall provide the ability to electronically accept and record test results provided by a third party vendor.
- 5.5.3.3 Interface: The system shall provide the ability to interface with the vision and written test stations to record the results on the customer's credential record.
- 5.5.3.4 Skills Test Interface: The system shall provide the ability for testing agents to enter the results of skills tests through a mobile device.
- 5.5.3.5 Test History: The system shall provide the ability to capture a history of test results.

### **5.5.4 Issue Credential**

- 5.5.4.1 Temporary and Permanent Credentials: The system shall support the issuance of both permanent and temporary credentials.
- 5.5.4.2 Issue Credentials: The system shall have the ability to issue applicable classifications, endorsements, restrictions, NDID).
- 5.5.4.3 Update Credential: The system shall provide the ability to update and maintain history of credential information and status e.g., duplicate, modify name/address, photo update, upgrade/downgrade, surrender, and expire.
- 5.5.4.4 Set Effective Dates: The system shall calculate the inception and expiration dates based on business rules.
- 5.5.4.5 Interface: The system shall interface with the assembly equipment to produce the credential.
- 5.5.4.6 Delivery Method: The system shall provide the ability to record the delivery method, e.g. central issuance, given to the customer or mailing address, if mailed, etc.

### **5.5.5 Renew Credential**

- 5.5.5.1 Renewal Invitations: The system shall provide the ability to automatically generate bar coded invitations to renew based on credential expiration period.

- 5.5.5.2 Renewal Messages: The system shall have the ability to print custom and compliance messages on the invitation to renew.
- 5.5.5.3 Internet Renewals: The system shall provide the ability to route internet renewals to a centralized DMV location for printing and mailing the credentials.
- 5.5.5.4 Renewal Delivery Channels: The system shall provide the ability to renew credentials through various delivery channels, including the capability of central issuance for any or all credentials through a centralized DMV facility based on business rules: DMV Branch Office, DMV website, Business Partner location, mail-in, IVR, Customer Phone Center.

## 5.5.6 Sanctioning

The objective of the Sanctioning process is to accurately record conviction and action requests supported by reports received from various agencies and individuals. The recording of the convictions and requests results in a comprehensive history of Connecticut drivers and drivers from other jurisdictions. This process includes the actions taken and administered by DMV on commercial and non-commercial driving credentials and covers amending driver records by removing and reinstating driving privileges associated with driver credential/withdrawal procedures: such as credential suspensions, revocations, and restrictions.

The Sanctioning process is responsible for adjudicating all convictions (in-state and out-of-state), processing all compliance documents and official notifications, monitoring customer compliance with all mandated re-instatement requirements and allocating fees based on fee code tables. The solution must provide internal controls to trace all service and financial transactions from their source to provide secure, auditable fiscal management capabilities.

The blueprint for the future Sanctioning process focuses on the ability to auto-adjudicate action requests and require a manual review by an analyst for only the most complex situations, e.g. multiple sanctions, etc. The system will interface with the state's courts to apply in-state driving convictions to driver records. The auto-adjudication process will analyze the driver conviction-related information supported by user defined business rules that map conviction codes to standard ACD codes.

The process also supports the recording out-of-state driver convictions and reporting those convictions electronically to the state of record.

The sanctioning process has the following sub-processes:

- Process driver control action request
- Withdraw driving privilege
- Establish re-instatement criteria
- Re-instate driving privilege

## 5.5.7 Process Driver Control Action Request

- 5.5.7.1 Interface: The system shall support the receiving of electronic feeds from in-state and out-of-state courts, CIDRIS, CDLIS, NDR/PDPS, DSS, DCF and Third Party program providers (e.g. IID, Driver Re-training Schools, Child Safety Schools, etc.).

- 5.5.7.2 Receive Paper Updates: The system shall support the receiving and scanning of all OCR and non-OCR forms and correspondence.
- 5.5.7.3 Process Action Requests: The system shall provide the ability to process driver action requests such as: convictions, report-based offenses, expunge or rescind a court order, court affidavits, reinstatement requests, and results of a hearing or appeal.
- 5.5.7.4 Auto Adjudication: The system shall support the auto-adjudication of all action requests, e.g., record/amend the conviction or request, violation/ACD code, evaluating the request in the context of prior history and current status and taking the appropriate action (suspending the license, restoring license, generate relevant correspondence).
- 5.5.7.5 Record Requests: The system shall have the ability to record and associate action requests with the customer record.
- 5.5.7.6 Alerts: The system shall provide the ability to send an alert to a Driver Control work queue for those requests that are not configured to auto-adjudicate or are too complex.
- 5.5.7.7 Out of State Drivers: The system shall provide the ability to create a customer record if the offender is from another jurisdiction and notify the licensing jurisdiction.
- 5.5.7.8 Request for Hearing or Appeal: The system shall provide the ability to record and track hearing requests and record the results.
- 5.5.7.9 Configurable CT violation/ACD Rules: The system shall provide the ability to configure rules relating to violation/ACD codes relationship for generating the sanction, re-instatement requirements and reportability (PDPS, CDLIS, MCSIA, etc) for commercial and non-commercial driving privileges.
- 5.5.7.10 Federal Mandates: The system must comply with the requirements of all applicable federal (e.g. CDL/MCSIA, National Driver Registry), Compacts (i.e. DLC/DLA, NRVC), and state laws for sanctioning.
- 5.5.7.11 Driver History Views: The system shall support the ability to produce and process internal and external driving history views based on agency rules.
- 5.5.7.12 Plain English: The system shall be capable of producing driver history communications in plain english, e.g. including interpretation of codes into meaningful statements that are easily understood by the driver, etc.

## **5.5.8 Withdraw Driving Privilege**

- 5.5.8.1 Notification – Withdrawal: The system shall provide the ability to automatically generate a notice (of immediate or pending action) to the driver and appropriate external entities (PDPS, CDLIS, employers, etc.) as appropriate.
- 5.5.8.2 Actionable Offense: The system or Driver Control Agent shall use business rules established for violation/conviction/ACD codes, driver history, current suspension, etc. and determine whether there shall be a restriction, suspension, revocation, disqualification or cancellation applied to the driving privilege.
- 5.5.8.3 Driver History: The system shall provide the ability to establish rules to automatically evaluate the current action in the context of other control actions recorded on the driver record and notify or alert

- 5.5.8.4 Monitor Compliance - Withdrawal: The system shall support the continual monitoring of the driver record for compliance issues (e.g. ORP, SATP, IID, Work Permit, Medical Qualifications, High Points, 4 Speeding Violations, 4 Unsafe moving Violations, etc) and take appropriate action for failure to comply.

#### **5.5.9 Establish Re-instatement Criteria**

- 5.5.9.1 Re-instatement Criteria: The system shall provide the ability to automatically establish the driving privilege re-instatement criteria based on user defined rules relating to the suspension code and driver history.
- 5.5.9.2 Related Criteria: The system sets the suspension duration along with other criteria, e.g. notification of insurance, pay re-instatement fee, attend driver school, attend safety school, etc. in compliance with state and federal laws.

#### **5.5.10 Reinstate Driving Privilege**

- 5.5.10.1 Expunge Records: The system shall provide for the ability to expunge records as required by court orders.
- 5.5.10.2 Rescind Court Order: The system shall provide to the ability to rescind a conviction.
- 5.5.10.3 Monitor Compliance – Reinstate: The system shall support the continual monitoring of the driver record, record re-instatement requirements completion and initiate a restoration workflow when all requirements are met.
- 5.5.10.4 Notification – Re-instatement: The system shall provide the ability to automatically generate a notice to the driver and other parties (PDPS, CDLIS, etc) of the restoration of their driving privileges.

### **5.6 Permits**

DMV issues permits at the customer and vehicle level. Permits are issued out of both the driver services and vehicle services business domains and fall into one of the following categories: Flashing Lights / Sirens, Handicap Placard/Tinted Window Permit, Privilege Permits.

#### **5.6.1 Flashing Light / Siren Permit**

In the State of Connecticut it is necessary for all emergency and maintenance vehicles to obtain Flashing Light permits, to warn motorists of an impending situation that warrants caution or a change while driving. The Flashing Lights permits are issued and renewed annually during different times of year depending upon the type of vehicle. The permits are issued to ambulances, first responders, volunteer fire companies, construction and cable vans, utility vehicles, snowplows, wreckers, etc, all of which have their own restrictions and criteria. Although the expiration date for the permit may vary, all permit applicants are required to pay a fee, specify the light desired (subject to eligibility - e.g. red, white, green, blue, amber, siren, or a combination), and abide by the restrictions established for using the permit. Flashing light permits are issued at the customer level require periodic renewal.

#### **5.6.2 Handicap Placard/Tinted Window Permit**

The Handicap Placard issued by the DMV can be issued permanently or temporarily in increments of six months. A licensed medical provider must certify the eligibility of the customer determined by state and federal statutes. In the future, the provider will certify online through a Business Partner account established through a Business Partner Agreement (BPA).



This special parking permit is issued in the form of a placard and establishes the customer's eligibility to get a handicap plate.

Another type of medically-related permit is the Tinted Window permit issued to individuals who require a tint with a light transmittance of less than 32 percent and not more than 20 percent. It is issued at the customer level but is associated with a specific vehicle and expires with the vehicle registration.

### **5.6.3 Privilege Permits**

There are four types of permits that the public can obtain that will extend to them the privilege to utilize a motor vehicle on Connecticut roadways: the Learner's permit, the Commercial Driver's Instruction Permit (CDIP), the Motorcycle permit and the Work permit. Each permit is issued under different circumstances and has varying eligibility requirements.

The Learner's permit is issued to people who seek to obtain a license to operate a motor vehicle within the state, currently issued only to 16 and 17 year olds.

Similarly, the Motorcycle permit is issued to licensed drivers who seek an endorsement to operate a motorcycle within the State of Connecticut.

The Work permit extends the privilege to operate a motor vehicle within the State, while a driver's license is suspended. This permit is issued solely for the purpose of allowing suspended drivers to drive themselves to and from work.

The Commercial Driver's Instruction Permit (CDIP) instruction permit is issued to a current non-commercial driver who wishes to obtain a Commercial Driver's license. Most Commercial Driver's Instruction Permit (CDIP) applicants are in one of the following two categories of drivers:

- A current non-commercial CT driver's license. These applicants must obtain a Commercial Driver's Instruction Permit (CDIP) prior to behind-the-wheel training in a Commercial Motor Vehicle (CMV)
- A current Connecticut Commercial Driver's License (CDL). These applicants will be "changing" or "upgrading" their CDL by removing a restriction, adding an endorsement (e.g. Hazmat) or changing the class of their license.

Overtime Parking permits are issued to disabled veterans who qualify for a specific type of registration.

### **5.6.4 Permit Requirements**

- 5.6.4.1 Multiple Types of Permits: The system shall have the ability to issue, track, report, and maintain data pertaining to multiple types of permits both at the customer and the vehicle level.
- 5.6.4.2 Permit Fees: The system shall assess the proper permit fees.
- 5.6.4.3 Searching Permit Information: The system shall provide the ability to retrieve requested temporary permit information using search criteria such as owner names, lessee names, VIN, permit number, and barcode.
- 5.6.4.4 Permanent Permits: The system shall have the ability to issue and track permanently disabled person placards.

- 5.6.4.5 Temporary Permits: The system shall have the ability to issue and track temporarily disabled person placards.
- 5.6.4.6 Organizations Qualifying for Permanent Disabled Person Placards: The system shall track organizations that qualify for permanent disabled person placards.
- 5.6.4.7 Permit / Placard Renewal Notices: The system shall generate renewal notices for permits and placards.
- 5.6.4.8 External Agency Permits: The system shall provide the ability to track permit information issued by other agencies.
- 5.6.4.9 Handicap Permit Certification: The system shall provide for a Health Care Provider to certify handicapped eligibility via the DMV web site through their account.

## 5.7 Fiscal Management

A key strategic objective of the CT DMV is to establish sound fiscal management practices. The CT DMV Fiscal Management Solution must address the functional requirements described in this section.

The system shall provide complete cash flow and financial reporting capabilities for CT DMV monies collected at branch offices, mobile units, etc, and authorized business partners licensed to provide CT DMV services, etc. The system must be fully-integrated with all other aspects of the CT DMV Modernization Solution – e.g. Vehicle Registry and Title processes, Driver Licensing, etc. This Fiscal process is responsible for calculating the taxes and fees that are owed for a service or product that is provided, allocating taxes and fees based on fee code tables, storing the financial transaction, balancing cash drawers, using standard accounting techniques for posting and tracking, providing an electronic interface capability to report financial transactions to the State of Connecticut’s central accounting system (CoreCT), and enabling management reporting of all revenues that the CT DMV services and products generate. The solution must provide internal controls to trace all financial transactions from their source through distribution to provide secure, auditable fiscal management capabilities.

The following sections provide a descriptive overview of the key functional requirements of the Fiscal Management Solution.

The fiscal process has the following sub-processes:

- Manage cash at the office level for all tender types
- Reconcile monies in relation to service and product transactions
- Prepare adjustments at the customer and summary level
- Report allocations for revenue distribution

### 5.7.1 Cash Management

The system shall provide capabilities at the cash drawer level as well as the office level for all tender types, including credit/debit and e-checks.

- 5.7.1.1 Calculate Fees and Taxes: The system shall calculate the fees and taxes due, depending on the service or product transaction type, service delivered, vehicle class/sub-codes, and sales tax (for original registration only), etc.

- 5.7.1.2 Payment Verification: The system shall provide the ability to perform payment verification for debit, credit and cash cards.
- 5.7.1.3 Collect Payment: The system shall post financial entries for collected payments and allow for multiple tender types per payment transaction and multiple service transactions per payment transaction
- 5.7.1.4 Reconcile Cash Drawer and Prepare\_Office Deposit: The system shall support the cash drawer reconciliation process and the preparation of a combined office deposit.
- 5.7.1.5 Submit ACH Batch Transfer and Process ACH Notification: The system shall support the accumulation of transactions for submission to a Clearinghouse for collection and transfer to the State Treasury, and receive electronic notice of settlement from the ACH Clearinghouse.

## 5.7.2 Reconciliation

The system shall provide reconciliation capabilities for monies received in relation to service and product transactions completed.

- 5.7.2.1 Reconcile Cash Drawer: The system shall support the reconciliation of all tender types in the cash drawer to the transactions completed.
- 5.7.2.2 Reconcile Office: The system shall support the reconciliation of all tender types for all cash drawers in the Office to the transactions completed at that Office.
- 5.7.2.3 Reconcile Revenue: The system shall support the reconciliation of the aggregated DMV-wide view of recorded service transaction counts with the fees collected from all sources and recorded at all DMV "points of sale".
- 5.7.2.4 Reconcile Bank Accounts: The system shall support the daily/monthly reconciliation of DMV recorded service transactions with bank deposits and credit/debit card settlements.

## 5.7.3 Adjustments

The system shall provide adjustment capabilities at the customer and summary level.

- 5.7.3.1 Create Revenue Adjustments: The system shall support the creation of revenue adjustments for financial, bank, and system transactions at the customer and summary level.
- 5.7.3.2 Reclassify Funds: The system shall support the reclassification of funds and the creation of necessary revenue accounting entries to credit revenue accounts and debit liability accounts in order to maintain a correct customer account balance.
- 5.7.3.3 Accounts Receivable: The system shall provide the ability to interface with an automated accounts receivable function to run the statements for a defined period of time.
- 5.7.3.4 Refunds: The system shall provide the ability to reject refund requests.

## 5.7.4 Revenue Distribution

The system shall provide revenue distribution and reporting capabilities.

- 5.7.4.1 Create Revenue Distribution (Trial Balance): The system shall support the summarization and reporting of DMV fund-level financial activity to the State

Treasurer and Comptroller through the State-wide Accounting system (CoreCT).

- 5.7.4.2 Special Interest and Program Plate: The system shall track the organizational plates issued, process collections of fees and automatically distribute funds to proper accounts.

## **5.8 License and Manage Regulated Businesses**

DMV is responsible for licensing applicants to conduct auto-related business as new or used car dealerships, manufacturers, general and limited repairers, junkyards, leasing companies or auto clubs in the State of Connecticut. DMV is also responsible for regulating and providing oversight of their business operations, and in the event of a violation of the Connecticut Statutes or Regulations, may take appropriate actions including suspension or cancellation of a license. DMV handles customer complaints, by establishing case files and conducting investigations to determine whether or not the licensee is in compliance or has committed a violation of statutes or regulations. In certain instances, the adjudication of identified violations is completed by an informal hearing and Stipulation and Settlement Agreements are rendered. If not in agreement with the decision, the licensee has the right to request a formal hearing, which are scheduled and administered through the DMV Administrative Hearing unit.

Licensing and Managing Regulated Businesses consists of the following main activities:

### **5.8.1 Business Entity Submits Application**

The applicant (auto dealer, repairer, leasing company, etc.) accesses the DMV Website to determine the requirements to apply for a license. The customer is presented with a checklist of documents and requirements based on the type of license. The list of documents includes, but is not limited to: proof of financial viability, surety bond, criminal background check, certificate from Secretary of State, tax number, list of personnel, approval from the Zoning Commissioner, survey map of the property, fee, and the completed application form that corresponds to the type of license. The applicant completes the electronic application form, submits the application electronically and attaches electronic versions of required documentation (e.g., evidence of surety bond, photos, etc.). The system indexes the documents for retrieval during the remaining investigation process and provides the applicant with a PIN number by which they can retrieve the status of their application via the DMV Website or by contacting DMV. Applicants may also submit payment for the application fee with a credit card using the DMV Website. The system initiates the Business License Application/Renewal workflow.

### **5.8.2 Collect Fees**

The applicant provides proper payment in the form of check, cash, e-check, credit card or debit card. The applicant may submit payment to the Licensing Services Agent or via the DMV website. Payments are recorded through the Point of Sale (Cashiering) system, are posted to the applicant's account and processed and distributed through the DMV Fiscal processes.

### **5.8.3 DMV Processes / Completes Application**

The Licensing Service Agent is prompted by the system to retrieve the application. The system automatically queries the Secretary of State records to verify the applicant is a valid company and the same officers are identified on the application. The Agent examines the application package for authenticity and completeness, responds to alerts provided by the system and resolves issues as needed. The Oversight Agent conducts inspections of the business site to

ensure that the location and equipment are in compliance with legal requirements. The inspection includes, but is not limited to: ensuring that signs in regard to labor and storage charge are displayed properly, performing mock transactions to ensure disclosure of legally required information (e.g. warranty information, reviewing explanation of estimates, charges, loan repairer plates, etc.), completing the Department of Environmental Protection (DEP) inspection sheet, etc. Using the DMV Website, the Oversight Agent completes the inspection forms, takes and indexes photos, etc. Wrecker inspections can be requested at any time by the licensee via the DMV Website, which sends an electronic alert to the Oversight Agent of the inspection request. Documentation that is provided via mail is scanned and associated with the application. If all documentation is in order and the inspection results prove compliance, the License Agent approves the application, prints and mails a license certificate to the applicant, and issues the proper plates to business. A business customer account is updated to reflect the completion of the application process.

#### **5.8.4 Manage Complaints and Compliance Issues**

At any time, consumers (primarily CT citizens or State Agencies) can access the DMV Web site (or via mail or office visit) to submit a complaint or notice of possible non-compliance. The DMV may also open a case related to non-compliance with the licensing requirements (e.g., expiration of the required surety bond, fraudulent business practices, etc.). The system automatically establishes a complaint case file and associates it with the business account that is the subject of the complaint. The process is supported through the use of pre-defined workflow (including multi-level supervisory review and approval) and managed through completion via a case management supporting tool.

If the complaint is paper-based the Agent enters the complaint, scans the document and associates it with the business customer record. For those complaints that are beyond the jurisdiction of the DMV, a notation is made in the case and notification is sent to the customer identifying the appropriate state agency to contact. For those within the jurisdiction of the DMV, an investigation is conducted and pending the results, the DMV will establish a hearing between the licensee and the consumer. For those cases that result in the revocation of the license, DMV seizes the property that belongs to DMV, e.g. license and any plates that have been issued.

#### **5.8.5 Self-Managed Business Account**

Dealers, repairers, leasing companies, etc. can log onto their account via the Business Portal on the DMV website. In a self-service mode, they can print out a duplicate license, update a name, manage inventory of dealer plates, etc. If the update requests approval, the system automatically will initiate the workflow, and the Agent is alerted to review and approve the transaction. All activity is logged for review and audit purposes.

#### **5.8.6 Requirements**

- 5.8.6.1 License Non-Compliance: Dealers or other regulated entities may not be able to renew their license due to auditing information or performance issues affecting their compliance status.
- 5.8.6.2 Workflow: The system shall provide the ability to defined workflow processes to manage one or more complaint cases.
- 5.8.6.3 Case Management: The system shall provide case management and workflow ability.
- 5.8.6.4 Associate Cases: The system shall provide the ability to associate cases that are of a related nature.

## 5.9 Business Partner Services

The DMV is driving fundamental change in the way they do business, and expanding their horizon by focusing on external collaboration with trusted business partners who are licensed, contracted, or certified by the DMV to perform particular operations/functions. To achieve this, DMV is building a successful business partner network through which to provide their customers superior service and products while at the same time providing lower-cost delivery channels. The DMV modernization is providing a business architecture that supports a consistent approach to business conduct, procedures and value chain to the citizens of Connecticut

Potential DMV Business Partners must present a business plan and pass stringent screening, as required, prior to being granted a license, contract or certification to represent the DMV and provide DMV and DMV-related services. Business partners are defined as *non-DMV* entities that provide motor vehicle services for DMV customers. These business partners fall into two categories based on the type of service they provide: 1) Provide services that DMV provides, e.g., titling, registration, inspections, renewals, etc. 2) Provide services DMV does not provide, e.g., driver improvement schools, Child Safety Training Providers, Interlock manufacturers and installers, professional driving schools, etc.

DMV also defines a business relationship with a group of third parties who request and use DMV information. Any request that is made for DMV information is handled by a process that evaluates the requestor and the nature of the request against established criteria and either approves or denies the request. The primary functions are:

- Registration of legal entities requesting access to data including managing profile information customer list and confirmation of business registration
- Review and authorization of requesting parties
- Review and authorization of each information request
- Evaluate cost of information preparation to assess appropriate fees
- Collection of fees
- Monitoring of information access and usage patterns
- Audit of information requestors and brokers including periodic reviews and covert audits

DMV is tasked with coordinating the authorization and supervision of these business partner service providers and information requestors. Connecticut DMV requires every Business Partner that conducts DMV business or requests information to sign an agreement that specifies the details of the business relationship and stipulates and commits the Business Partner to perform a required level of service and confidentiality. This contract is known as a Business Partner Agreement (BPA). A BPA covers issues as appropriate: specific services to be performed, information to be accessed, performance metrics/goals, technology requirements, support options, a guaranteed level of system performance as it relates to down time or uptime, security, training, problem management/resolution, terms of audit, inventory, record retention, backup and recovery, and termination of agreement and other pertinent contractual language.

DMV has established policies and procedures (for both internal and external partners) to meet statutory requirements and protect personal information contained within a motor vehicle record pursuant to the Driver Privacy Protection Act. Security policies and procedures are also in place to assure that only authorized people have access to DMV information. DMV also has in place quality assurance and training procedures to assure compliance with DMV policies and procedures and support the requirements stipulated in the BPA. For purposes of defining

requirements for business partners, internal DMV locations are viewed as 'Business Partners' as these two groups will follow the same procedures but may have different performance metrics and goals. Once a Business Partner Agreement (BPA) is executed, DMV oversees the relationship and ensures compliance with procedures, laws, performance requirements, and fee payment.

### **5.9.1 Business Partner Requirements**

- 5.9.1.1 Audit Criteria: The system shall verify auditing information from predefined sources during the renewal process.
- 5.9.1.2 Non-Compliance: The system shall prevent Dealers or other regulated entities who are non-compliant and no longer have a valid license from processing DMV transactions.
- 5.9.1.3 Fee Collection with Mobile Device: The system shall provide inspectors with the ability to collect fees using a mobile device.
- 5.9.1.4 Print Certificate/License: The system shall allow the regulated entity to access the DMV website to print their certificate/license/contract if all requirements are met and fees paid.
- 5.9.1.5 Partner Renewal Notices: The system shall provide the capability to automatically send business partners renewals and late alerts/notices.
- 5.9.1.6 Internet Renewals: The system shall provide the ability for business partners to renew through the DMV website.

## 6. DMV Business Support Processes Requirements

### 6.1 Records Management

The Connecticut State Records Administrator has adopted the following definition of Records Management: “The systematic control of all organizational records during the various stages of their life cycle: from their creation or receipt, through their processing, distribution, maintenance and use, to their ultimate disposition<sup>1</sup>” The Connecticut Statute defines electronic records and signature as follows:

- “Electronic record” means a record created, generated, sent, communicated, received or stored by electronic means, including, but not limited to, facsimiles, electronic mail, telexes and Internet messaging.
- “Electronic signature” means an electronic sound, symbol or process attached to or logically associated with a record and executed or adopted by a person with the intent to sign the record.

As an Executive and Administrative Branch of the government, the DMV is required to follow the public records standards and guidelines as defined by the State Records Administrator in compliance with the Connecticut statutes in fulfilling its mission of *providing the most complete and reliable information on Connecticut vehicle owners and drivers, etc.*

In fulfillment of its mission, the DMV is looking for a solution that supports their responsibility as caretaker of citizen information to 1) Maintain control over the retention, disposal and access to electronic records used internally (traditionally, the role of custodian has been played by IT) 2) Maintain control over information that is outsourced 3) Keep the integrity of records intact. The principals of Records Management apply to records in any format, e.g. electronic, digital, paper copy, e-mail.

The Records Management function at DMV involves: identifying, creating, imaging, classifying, archiving, preserving, and destroying records. Additionally, the Records Management function researches requests for information, retrieves and delivers copies of records to authorized staff, customers and external agencies and initiates reports.

The activities of the Records Management function establish and maintain:

- An up-to-date File Plan/Retention Schedule as guided by legal and regulatory requirements
- Approve physical record storage facilities
- Identify and preserve essential state records
- Inventory Records
- Ensure privacy and data protection and protect against fraudulent documents and identity theft
- Transfer historical records to the State Library
- Insure that certain information is not kept by disposing of records after written approval is granted

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<sup>1</sup> \*p. 585 “Information and Records Management”, 4th Ed., McGraw-Hill Robek, Brown, Stephens, 1996.



## 6.1.1 Records Management Requirements

- 6.1.1.1 Track and Store Records: The system must provide the ability to track and store records.
- 6.1.1.2 Capture Requestor Information: The systems shall capture the requestor of information and report on access by person, frequency, customer record requested, etc.
- 6.1.1.3 Record Properties: The system shall provide the ability to identify properties of records that enables a classification of a record for purposes of assigning a retention period:
  - Transitory Records – messages that are casual and routine
  - Public Records that have less than a permanent retention period
  - Public Records that have a permanent or archival retention period
- 6.1.1.4 Record Entry: The system shall provide for the entry of records by an authorized records management group or through auditable batch processing.
- 6.1.1.5 Record Edits: The system shall provide for the editing and validation of data through online and batch processes to assure validity.
- 6.1.1.6 Record Retrieval: The system shall provide for the retrieval of records for the life of the records (e.g. maintain human readable format).
- 6.1.1.7 E-Mail Records: The system shall support the capturing of records that identify e-mail transmission of information, e.g. the sending of renewal notices to an e-mail address as requested by the customer.
- 6.1.1.8 Electronic Signatures: The system shall support the capturing of electronic signatures and utilize the record in the processing of the DMV business functions.
- 6.1.1.9 Retention Period: The system shall track the retention period for each type of document.
- 6.1.1.10 Data Purge Approval: The system shall provide a listing of records that are scheduled to be purged and require authorized user to approve the purge before proceeding with the actual purge.
- 6.1.1.11 Automated Purge Process: The system shall provide records approved for purge to be purged via an automated process based on the retention periods set in the system.
- 6.1.1.12 Retrieval of Archived Records: The system shall provide for transparent retrieval of archived records.
- 6.1.1.13 Capture Electronic Images: DMV and Business Partner locations must be able to electronically capture images of documents to be stored as an accessible part of a customer's record.
- 6.1.1.14 Image Encryption: All images electronically transmitted via external or public networks must be secure and encrypted.
- 6.1.1.15 Audit Logs: Any creation and/or retrieval of images by DMV, customers or Business Partners must be tracked in an audit trail.
- 6.1.1.16 Authenticate Requestor: The system shall provide the ability to authenticate an information requestor's license or other identifying credential that substantiates their authority to receive requested information.

- 6.1.1.17 Title Copy Records: The system shall provide the ability to provide official copies of title documents and record information regarding the request, e.g. requestor, date, time, delivery method, etc.

## 6.2 Inventory Control

The DMV requires the capability to manage and control various items issued by the DMV and its Business Partners in the regulation of driver licensing and vehicle registration and titling. In order to prevent the fraudulent use of such controlled items (e.g. Driver Licenses/ID, vehicle plates, window/plate stickers, title document stock, handicap placards, etc.), the system must provide an integrated inventory management and control capability which will ensure that adequate inventory of such controlled items is available for day-to-day DMV operations, as well as the ability to fully account for all controlled items at any point in time.

### 6.2.1 Inventory Management

- 6.2.1.1 Inventory Control: The system shall maintain the inventory of all controlled, serialized items used by the DMV including, but not limited to plates, title document stock, window/plate stickers, handicap placards, drivers license/ID, etc.
- 6.2.1.2 Integrated Inventory Management: The inventory management capability shall be fully integrated with system components that perform DMV transactions (e.g. issue registrations, titles, licenses, etc.), able to track specific inventory items available for issuance, and receive information about reductions of inventory levels for specific items that are issued or used in DMV transactions.
- 6.2.1.3 Inventory Tracking: The system shall track inventory levels and usage of all controlled items located at multiple locations.
- 6.2.1.4 Inventory Items: The system shall support the addition and definition of controlled inventory items and item types.
- 6.2.1.5 Inventory Locations: The system shall support the addition and definition of locations for inventory to be stored or distributed.
- 6.2.1.6 Inventory Order Points: The system shall support maintenance of inventory item order points (minimum and maximum inventory levels) for each defined inventory item at each location.
- 6.2.1.7 Inventory Levels: The system shall provide the ability for authorized users to manually enter actual inventory levels for inventory items at DMV locations.
- 6.2.1.8 Auto Reorder: The system shall automatically generate orders/reorders for any inventory item that falls below its minimum inventory level.
- 6.2.1.9 Order Notification: The system shall be able to automatically notify the plate vendor of a plate order and other designated personnel.
- 6.2.1.10 Inventory Management: The system shall be capable of notifying designated personnel at DMV locations when replenishment is needed.
- 6.2.1.11 Order Processing: The system shall allow an operator with appropriate access to order controlled items.

- 6.2.1.12 **Maximum Order Limit:** The system shall prevent entry of orders/reorders that would increase the inventory level of any inventory item over its maximum level.
- 6.2.1.13 **Transfer Inventory Items:** The system shall provide the ability for authorized users to transfer inventory items between locations.
- 6.2.1.14 **Order Processing:** The system shall capture information about each order (inventory item type, quantity, operator, location, order number) and allow for operator "receipt" of the order when it arrives at their location.
- 6.2.1.15 **Inventory Order Receipt:** The system shall allow for an operator to "receipt" an order when it arrives at their location.
- 6.2.1.16 **Inventory Reporting:** The system shall provide the ability to track and report on inventory items associated with DMV transactions including license plates, registration stickers, titles, handicap placards, etc.
- 6.2.1.17 **Inventory Overrides:** The system shall provide the ability for authorized users to override and modify existing values including inventory item reorder/restocking levels, and inventory item orders/reorders.
- 6.2.1.18 **Inventory Bar Codes:** The system shall support the use of machine readable technology (e.g. bar code) readers to enter and identify inventory items in inventory at a location (e.g. plates, etc.).
- 6.2.1.19 **Audit Trails:** The system shall provide audit trails (user, date/time of change, data changed) for all changes to data and inventory levels.
- 6.2.1.20 **Inventory Suppliers:** The system shall interface with the (web-based) automated inventory control system of the DMV-authorized supplier of drivers license/ID controlled stock in order to maintain accurate inventory data.
- 6.2.1.21 **Inventory Interface:** The system shall interface with a vendor-provided unit which reads pre-serialized controlled stock for driver licenses/IDs and verifies inventory levels on hand at DMV licensing locations.

### 6.3 Audits

The state of Connecticut views as part of their critical and strategic vision instituting effective investigative processes, internal and external audit procedures and an internal control system to identify non-compliance with DMV defined policies and procedures and expedite the investigation and prosecution of criminal activities. DMV wishes to implement a system and enhances the monitoring for suspicious activity and identifying and selecting candidates for audit.

DMV recognizes the following areas of audit

:

- Internal audits of processes that are performed by DMV employees
- Business Partners that perform DMV services
- Business Partners that perform services that are not offered by DMV
- DMV recognizes an ever increasing need to evaluate, audit and manage information requestors
- Customers

Through the modernization effort, DMV has established consistent policies and procedures across all delivery channels and wishes to purchase a system that provides auditing tools (including alerts), audit support (case management) and capabilities, selection techniques that

identify trends and deviation from the prescribed policies and procedures and a tracking mechanism to determine re-audit notification.

Audit selection, status reporting, and case management are essential to managing compliance with established procedures to evaluate employee performance, ensure Business Partner compliance and detect fraudulent customer behavior. Working with the DMV established performance goals and the Business Partners, DMV will develop a consistent set of metrics that are designed to gauge customer satisfaction, productivity, speed of execution and overall performance during the course of DMV service delivery.

DMV is looking for a solution that provides a simple but robust method of audit administration and management.

### **6.3.1 The Process**

The audit process begins with a referral or an automated selection and ends with the rejection of the referral, a finding that there is no issue, change to the process, no action required, or a recommendation for corrective action with established follow up. These actions suggest that the audit process can be viewed in three steps or phases:

- Referral phase,
- Actual audit phase, and
- Audit resolution phase

The Audit plan defines each phase as a set of activities, assigns responsibility for those activities and the steps that need to be taken to complete the activity.

### **6.3.2 The Referral Phase**

Audit cases can be identified through pre-determined selection criteria as the system interrogates the Business Partner or employee transactions performed and within the context of other transactions. The selection process flags transaction(s)/locations that have certain auditable characteristics that the DMV has identified in the BPA or employee performance criteria to be monitored on a continual basis, e.g. any transaction that collects and records fees, etc. The specific Audit selection criteria are defined once the BPAs are executed and the performance and reporting metrics mutually agreed upon.

Audit Managers often also identify audit cases from tips ('squeal' reports) from other agencies or people, ad-hoc discovery methods, regularly scheduled location reports and the results of Quality Assurance checks. Investigations may result in corrective actions, which include warnings, probation, suspension, revocation and closure. Audit Managers also uses the system to create new audit cases.

The final step in the referral phase is for the Audit Manager to review the referrals and determine which are of no substance and which need to be assigned to an auditor for further action. This task is the responsibility of the Audit Supervisor/Manager. The audit supervisor either releases the referral or assigns the case to an auditor.

The Audit Supervisor/Manager uses the system to assign a case to an auditor. The system places the case in the auditor's work queue, notifies the assignee of the assignment and notifies the Audit Manager that the assignment was successful. The Audit Manager may add instructive notes to the case. If the case is not referred for audit, the system shall allow for the Supervisor/Manager to document the reason an audit was not performed for future reference.

### 6.3.3 Audit Phase

There are two steps in the audit phase; the audit and the audit review by the audit supervisor. During the first step of the audit phase the actual audit is conducted and reviewed. Once the audit is complete the auditor prepares a virtual folder with supporting documents (all related documents are scanned and indexed to the referral and case numbers) and worksheets. The folder becomes part of the audit case file. Once these activities are complete the case is forwarded to the audit supervisor for review.

The audit supervisor reviews the case prepared by the auditor. In a situation where the case needs to be revised or corrected by the auditor, the audit supervisor returns the case to the auditor with instructions. When the audit supervisor is satisfied with the prepared case, the case goes forward for resolution and appropriate action. In the case where the audit has yielded no required action the audit supervisor closes the case. This ends the first step in the audit phase.

As Auditors work an audit case through the life cycle, they capture time spent on each phase, record notes and associate imaged documents with the case. Audit Supervisors and Audit Managers also are able to add notes to the case information. The system captures this information and Audit Supervisors and Audit Managers reviews this information when determining whether the case should be marked complete.

The second part of this phase is managing the audit. The Auditors use the system to track the progress of audit cases through the audit lifecycle. The system communicates this progress to Auditors, Audit Supervisors and the Audit Manager. The Audit Manager requests Audit Inventory Management reports to assist in managing the audit caseload. The reports generated by the system should provide the Audit Manager with the ability to analyze and change procedures and to evaluate Auditor performance.

Auditors, Audit Supervisors and Audit Managers need to view a list of audit cases as well as the detailed information for each case. The system should present a summary listing that uniquely identifies each audit case. From this view, Auditors, Audit Supervisors and Audit Managers will be able to select a case and 'drill down' to view the detailed data.

The system should forward the Auditor's request for a formal review and case completion to the Audit Manager. The Audit Manager uses the system to examine the case and determine whether the case should be marked complete. Once the case has been reviewed and approved for completion, the Audit Manager marks the case complete. The Audit Manager may also add final notes to the case file.

The Audit QA Manager conducts a review of established procedures to ensure that the procedures satisfy the needs for which they were established. The Quality Review addresses both the management of the processes and the products delivered by the DMV and their Business Partners in fulfilling their mission. From this review, the QA Manager may recommend changes to procedures to eliminate causes of unsatisfactory performance.

### 6.3.4 Audit Resolution Phase

In this phase an approved audit is carried through to resolution and appropriate action taken and recorded. The system prepares a summary of actions taken during the audit resolution phase.

#### *DMV Processes Related to Audit Activity*

The Business Partner and internal audits are in the transaction-processing pipeline. All audits are 'post transaction'; that is, the transaction is completed and the audit takes place only on completed transactions and utilizes data from those transactions. The system is defined with adequate edits to assure that the transactions are processed properly without stopping the transaction and intervening in the process for an Audit review.

### ***Audit Scorecard***

The DMV Audit Scorecard includes performance analysis metrics in the following key areas:

*Confidentiality and Proper use of Information* - Assures that the information provided to the third party is protected and used only in the agreed upon manner.

*Monetary Audit* - Checks and balances to assure that fees are collected properly and the fund transfers are handled promptly and within contract guidelines.

*Controlled Inventory Items* - All controlled inventory items are accounted for and a physical inventory conducted where deemed necessary. All controlled inventory items must be kept secure from theft or misuse and items such as plates, tabs and decals properly handled and accounted for.

*Transaction Audit* - Proper transaction documentation are reviewed and the DMV and Business Partners are required to substantiate the existence of critical paperwork upon request.

*Security* - The physical workstation must be secure from unauthorized access and not left unattended while on-line. Passwords may not be shared.

*Customer Satisfaction* - Baseline of satisfaction determined based upon feedback surveys.

Continuous improvement initiatives will be customer satisfaction driven.

*Retained paperwork* - Customer privacy is of utmost importance. If the Business Partner/Branch Office is required to retain paperwork or copies of the paperwork that falls under a privacy law, the Business Partner/Branch Office must maintain strict control of the documents and protect them from unauthorized access. This includes all imaged copies of documents.

*Dealer Licensing and Compliance*- Dealers' business practices are reviewed to confirm proper use of Dealer Plates, etc.

### **6.3.5 Requirements**

The following is a list of requirements that support DMV's audit policies and procedures:

- 6.3.5.1 Mobile Devices: The system shall allow Auditors and investigators to use mobile devices to conduct site inspections and audits.
- 6.3.5.2 Capture BPA Specifics: The system shall provide the ability to capture specifics of a BPA to enable the automated selection of possible audit candidates.

- 6.3.5.3 Audit Workflow: The system shall provide the ability to configure workflow to support the DMV audit plan – workload balancing, selection of audit candidates, etc.
- 6.3.5.4 Audit Logs: The system shall maintain detailed audit logs when any form of tender is received, disbursed or refunded or any controlled stock is issued.
- 6.3.5.5 Automated Audit Selection: The system shall have the ability to create automated audit selection routines.
- 6.3.5.6 Monitor Revenue Collection: The system shall provide the capability to monitor revenue collection and transaction details for DMV’s business partners and internal staff.
- 6.3.5.7 Audit History: The system shall track the date that each business partner or DMV location was last audited and provide authorized users a view of this data.
- 6.3.5.8 Schedule Re-Audit: The system shall provide the ability to schedule re-audits based on the results of previous audits.
- 6.3.5.9 Audit Life Cycle: The system shall provide the ability for the user to initiate, extend, or terminate an audit.
- 6.3.5.10 Audit Action Reasons: The system shall require recording of the reason for the audit action being taken.
- 6.3.5.11 Audit Requirement List: The system shall provide user defined list from which audit requirements can be elected for an individual audit
- 6.3.5.12 Update Audit Requirement List: The system shall provide a user screen from which requirements can be added, modified, or deleted from the list.
- 6.3.5.13 Manual Audit Selection: The system shall support initiating an audit on a parent company, DBA, or specific dealer site.
- 6.3.5.14 Business Intelligence: The system shall provide the ability to export information into a Business Intelligence facility to enable trend analysis and auditing capabilities.
- 6.3.5.15 Case Management: The system shall provide Case Management capabilities to manage audit workload, audit activities and detailed tracking of case plan steps
- 6.3.5.16 Case Plans: The system shall provide the ability to define standardized case plans/work papers and track the activities.
- 6.3.5.17 Audit Information Requestors: The system shall provide the ability to evaluate, audit and manage information requestors.
- 6.3.5.18 Query and Access Logging: The system shall provide query and access logging – for both internal and external requestors including the information and image requested and provided –both single and batch queries.
- 6.3.5.19 Alert Triggers: The system shall provide a tracking mechanism and alert triggers to support covert and other audit procedures
- 6.3.5.20 Automatic Assignment of Case: The system shall allow the ability for workflow functionality to automatically assign an auditor based on availability

- 6.3.5.21 Audit Logs: The system shall maintain an audit trail of all transactions including inquiries for pre-determined records, performed by contracted third parties.
- 6.3.5.22 Workflow: The system shall provide workflow capabilities that will provide routing and queuing of business partner compliance issues and audit assignments to defined compliance analysts.
- 6.3.5.23 Audit Report: The system shall provide the ability to provide reports to support audit activities.
- 6.3.5.24 Image Audit Reports: The system shall provide the ability to image audit reports and associate them with a customer, clerk/examiner or contract office record.
- 6.3.5.25 Digital Pictures: The system shall support the ability to upload digital pictures and associate virtual tours or pictures of a business partner facility

## **6.4 Hearing and Appeals**

Requests for a hearing or an appeal by customers can be initiated as a result of an action taken against a privilege from all core business functional areas:

- Driving Privilege withdrawal / re-instatement criteria – Result of conviction or report based withdrawal of driving privilege or establishment of re-instatement criteria
- Registration suspension – Result of a suspension of a vehicle registration for lack of compliance with payment of property tax, emissions inspections, insurance compliance, parking tickets, safety inspections, etc.
- Third Party / Business Partners – Suspension of privilege as a result of an audit finding of non-compliance with partnership agreements
- Licensed and Regulated Businesses - Suspension, cancellation, revocation of license resulting from non-compliance or fraudulent activity identified during a review, audit, customer complaint, etc.

### **6.4.1 Hearing or Appeal Request**

When a privilege is suspended, cancelled or revoked the DMV sends a notification of the immediate or pending action to the impacted customer. If the customer disputes the initial action, the customer or the customer's attorney must request a hearing in writing or file a Petition for Consideration through a web-based form via the DMV website within the permitted timeframe to respond. Notices of appeal typically are received from the courts, however, the customer may also notify DMV in writing of their planned appeal.

The request for hearing or notice of appeal initiates an alert to a DMV work queue and automatically opens a case. The Customer Record is also updated with the hearing request type (e.g., Hearing, Consideration, or Appeal to Superior Court) so Agents have full visibility to the status of the credential at all times.



## **6.4.2 Hearing Preparation and Scheduling**

The agent reviews the customer record and associates relevant documents and transactions to the case file. For example, for a medical review hearing, relevant medical reports and documents are associated with the case.

The agent then reviews a calendar of available hearing officers and facilities to find open hearing times and schedules the hearing. Once the Hearings Office coordinates the hearing date with the pertinent parties (e.g., petitioner, law enforcement offices, attorneys, etc), the system then produces a notice for the hearing date to be mailed or e-mailed to the customer.

## **6.4.3 Hearing**

The assigned Hearings Officer can electronically access the customer case file to review pertinent hearings documents and conducts the hearing. A recording of the hearing is attached to the case file. The Hearing Officer may sustain or rescind the original decision. The decision is in a standard auto-form, which is contained with the case file. The hearing officer is the only one authorized to enter the decision and to close the case officially. The system records a closed case notification and prepares a notice to the customer of the results of the hearing.

For prolonged hearings, the hearing officer enters periodic status updates into the case file, which is reflected in the customer view. For example, if the hearing is delayed or rescheduled, the officer or administrative staff updates the hearing date in the case file. Again, the concept is to allow anyone with access to the customer information visibility to the status of that credential.

## **6.4.4 Re-Hearing**

The customer may request a Petition for Reconsideration after the original hearing decision. The customer has to request a Petition for Consideration, again using the DMV web site. This alerts the Hearing Officer, who then updates the customer's case and accepts or rejects the Petition for Consideration request. This action updates the Customer Record and sends a notice to the customer. If the officer accepts the request, then the process of scheduling and managing a consideration begins, more or less following the hearings process above. If the officer rejects the request for re-hearing, the case file is closed.

## **6.4.5 Appeal**

In the event a customer appeals a DMV hearing decision, all appeals are handled through the Superior Court system and DMV is notified by the court of the pending appeal and the case status is updated to under appeal. Appropriate action is taken on the status of the customer record depending on the nature of the case. The DMV will need to provide pertinent information from the existing case file for the appeal and monitor the status of this appeal within the case file. When a decision has been rendered, the court notifies DMV and the system updates the case to reflect that decision and initiates appropriate action (reinstate, suspend, rescind, etc). Again, all statuses of the case file will be reflected in the customer view so all agents have a full view of the credential status.

## **6.4.6 Hearing and Appeals Requirements**

- 6.4.6.1 Scheduling: A scheduling system that includes the following: Master calendar that can schedule cases by next available date/time or by type of case

- 6.4.6.2 Alerts: The system shall provide the ability to send alerts that can keep Hearing staff abreast of impending hearings, distribute results to relevant DMV units, receive requests from other DMV units
- 6.4.6.3 Search capabilities: The system shall provide users with the ability to search for information (by date, case, by attorney, by hearing location, etc)
- 6.4.6.4 Report Generation Capabilities: The system shall have the ability to track and report statistical information (such as traffic volumes) and basic management data
- 6.4.6.5 Audio Record: The system shall have the ability to electronically the hearing.
- 6.4.6.6 Hearing and Appeals Processing: The system shall have the ability to manage appeals, stayed hearing pending, stay orders and petitions for review.
- 6.4.6.7 Hearing Workflows: The system shall provide the ability to configure unlimited number of hearing and appeals workflows.
- 6.4.6.8 Appeals Summary by Sanction: The system shall be able to show a summary of all appeals by sanction.
- 6.4.6.9 Appeal Details: The system shall allow a drill-down into the details for each appeal.
- 6.4.6.10 Associate Documents: The system shall have the ability to associate relevant documents with the case
- 6.4.6.11 Capture and Apply Appeal Results: The system shall have the ability to capture information about the results of any appeal (regardless of level) and apply the decision to the appealed sanction.
- 6.4.6.12 Appeal Results: When processing the appeal result, the system must automatically reinstate a stayed sanction; rescind a sanction; or rescind the sanction, but apply other restrictions.
- 6.4.6.13 Appeal Management: Appeal Management is rule-driven and shall track which sanctions allow appeals and which sanctions can be stayed. It also tracks the progress of a sanction through the various appeal types and levels.
- 6.4.6.14 Appeal Scheduling: The system shall provide the ability to schedule or docket appeals in a calendar or the system shall provide an interface with an outside application to schedule appeals.

## 6.5 Inspections and Enforcements

The Commercial Vehicle Safety Division (CVSD) serves as the enforcement arm of the department in the areas of truck safety, school bus safety and general vehicle safety and driver safety/qualification as it relates to both equipment and commercial drivers. The CVSD staff perform a multitude of tasks, most of which are dedicated to the enforcement of state and federal laws and regulations that are specific to commercial vehicle operations and in large part funded through a Motor Carrier Safety Assistance program (MCSAP) grant from the Federal Motor Carrier Safety Administration (FMCSA). As such, CVSD uses federally-supported systems (e.g. STV SafetyNet, CDLIS, etc) in order to fulfil its mission. CVSD will continue to access these external systems, and these systems will not be replaced or affected by this modernization effort. CVSD staff will require access to the Integrated Vehicle and Licensing System through on-site office workstations as well as through mobile devices, such as laptops, via the State's

wireless network. In addition, automated data exchange will be needed to transfer data from these external federal systems and the DMV systems.

Table 3 below contains a list of functions performed by CVSD in accordance with the MCSAP grant:

**Table 3: CT DMV Commercial Vehicle Safety Division (CVSD) Function**

| <b>MCSAP Associated Functions</b>  |   |
|--|---|
| Truck Inspections at roadside  | Motor Carrier Terminal audit, inspection of vehicles and required files (cargo and passenger)   |
| Carrier suspension proceedings   | Judicial outreach   |
| Technology Maintenance and Support   | Assists with Post-Accident Inspections  |
| Motor Coach Destination Inspections (Casino's)   | Roadside Inspection follow-up (IRAP)  |
| New Entrant Safety Audits  | Highway Traffic Safety Enforcement (CSP Joint Operation)  |
| Compliance Reviews   | Assign US DOT CT Numbers  |
| <b>Non - MCSAP Associated Functions</b>  |   |
| School Bus/Student Transportation Vehicle (STV) Inspections and related data collection/filing | Operation of Inspection Lanes for inspecting Grey Market Vehicles, Taxi cabs, heavy and light duty trucks, Ambulances, homemade trailers, commercial trailers, composite vehicles, salvage titled vehicles, service buses, wreckers, driver education vehicles, vehicle identification number verification and inspections for written warnings |
| Traffic safety enforcement operations with local and state police - state wide                 | Anti-theft vehicle I.D. inspections at automobile auctions throughout the state   |
| Union Ct. Weigh/Inspection Facility Operation  | Inspection of Fire Apparatus (upon request)   |

### 6.5.1 CVSD Requirements

- 6.5.1.1 Mobile Access: CVSD staff shall have the ability to access the system using mobile devices, such as laptops, through the state's wireless network.
- 6.5.1.2 CVSD Appointments: The system shall provide the ability to schedule inspections for school buses, roadside inspection follow-ups, etc.
- 6.5.1.3 Intrastate DOT Number: There shall be facilities to automatically populate customer records with new or updated DOT Numbers. These numbers are created through CVSD federally-supported application systems and stored in the CVIEW database.
- 6.5.1.4 Registration suspension information: There shall be facilities to automatically populate customer records with new or updated registration suspension information. This information is created and stored through CVSD application systems - e.g. SafetyNet.

## **7. Business Administration Functions Requirements**

### **7.1 Business Rules**

One of the concepts of the future CT DMV system is that business rules will need to be externalized and stored either in database tables or in a business rules engine. This will result in simplified application maintenance and accurate/consistent business logic across application systems.

#### **7.1.1 Rules Management**

- 7.1.1.1 Table-driven rules: At a minimum, simple rules will be stored in database tables. There will be facilities to define and update these rules by authorized administrators.
- 7.1.1.2 Rules Repository: It is desirable to have one single rules repository where DMV business rules will be defined, updated and maintained. Once defined, the rules engine can be deployed at multiple locations, if needed.
- 7.1.1.3 Rules Definition: Rules will be defined using a high-level language with a flexible syntax, similar to natural languages. A DMV business analyst will be able to maintain the rules using this language, without extensive training requirements.
- 7.1.1.4 Version Control: There will be version control capabilities. A set of business rules can have multiple versions, some of which can be concurrently deployed. This is important because, in some instances, past business rules will need to be retro-actively applied.
- 7.1.1.5 Security: There shall be granular security authorization capabilities. Different users can be authorized to manage different rule sets.
- 7.1.1.6 Reporting: There will be extensive reporting capabilities, including rules update history, where used, and cross references.
- 7.1.1.7 Validation: There shall be capabilities to extensively test the business rules to ensure correctness.
- 7.1.1.8 Rules Testing: There shall be capabilities to test and monitor business rule.
- 7.1.1.9 Rules Maintenance: The system shall provide extensive capability to define and maintain the business rules that are used by the system to edit or make decisions.
- 7.1.1.10 Rules Configuration: Rules are able to be configured and maintained by business personnel (or business-oriented technical personnel), instead of requiring system software code maintenance and/or system enhancements when business processes or statutes change.
- 7.1.1.11 Rules Override: Rules shall be applied and enforced, but users shall be able to override rules based upon their security profile. Rule bypass/override shall be possible immediately by the operator, through supervisor approval, or by DMV help desk without restarting a transaction.

### **7.2 Reporting capabilities**

- 7.2.1.1 Management Reporting: General “management reporting/operational reporting” capabilities associated with operations – e.g. Workload Management, Productivity tracking, standard fiscal reports, etc.).

- 7.2.1.2 Operational Reports: The system shall have the ability to generate comprehensive ad hoc and standardized reporting capabilities for operational database(s).

### **7.3 Business Intelligence capabilities**

- 7.3.1.1 Customer Requests and Usage: Customer request and usage information for all service channels (e.g. IVR, e-gov channels, etc.)
- 7.3.1.2 Analysis Capabilities: Inquiry and analysis capabilities for all DMV operational systems data.
- 7.3.1.3 BI Tools: The system shall have a robust ad hoc inquiry and business intelligence tools and capability.
- 7.3.1.4 Reporting Wizards: The system shall have “reporting wizards” to facilitate the definition of ad hoc and standard reports.
- 7.3.1.5 Usage Statistics: The system shall have the ability to track and report on the usage of ad hoc and standard reports.

### **7.4 Training Requirements**

DMV’s training philosophy is that training is not an ‘event’ but an on-going process and recognizes the need to evaluate training effectiveness through operational monitoring of business employee, Business Partner and IT staff performance. Underperformance may require mandated tutorial assistance, remedial training, etc. The new system must significantly reduce the time required to train state personnel in business and IT processes. The application of “lead-through processing” design features should significantly influence the realization of this objective. However, the training strategy associated with the new System must recognize the individual training needs of current business users, and an effective approach to training must be developed.

The training approach should combine traditional training methods (e.g. classroom training, training manuals, job aids, hands-on training, etc.) and electronic training resources (e.g. e-Learning modules for self-study, on-line context-sensitive help facilities, on-line wizards to guide system users through infrequent, complex transactions, etc.).

#### **7.4.1 Training Areas**

- 7.4.1.1 There shall be training provided for all solution business areas. This training shall be delivered to the appropriate business area users, including both DMV staff and Business Partners.
- 7.4.1.2 There shall be training provided for state IT staff. This training shall include application development/maintenance, systems administration and systems operations.

#### **7.4.2 Training Approach**

- 7.4.2.1 Lead-Through: The system shall provide lead-through training and real-time job aids (just-in-time coaching tools for typical and non-typical procedures).
- 7.4.2.2 On-Line: The system shall provide On-line learning (e-Learning) capabilities/modules for self-service training.

7.4.2.3 Learning Management: The system shall provide Learning Management System capabilities for administration, scheduling, delivery, and tracking of on-line and instructor-led training.

### **7.4.3 Curriculum development for key business process training**

7.4.3.1 Training Plan: A training plan shall be created and maintained, per deployment.

7.4.3.2 Per Deployment: The training defined per deployment phase to include number of personnel per class, per functions, as approved by State Contract manager.

### **7.4.4 Delivery**

7.4.4.1 Training Delivery for key business and operations personnel: The Training Delivery Plan shall address components that include DMV functions common to all personnel.

7.4.4.2 Role Based Training: The training shall include components for specific roles or business functions, e.g. Fiscal, Registration Examiners, Credentialing Examiners, Computer System Operators etc.

### **7.4.5 Training Deliverables**

7.4.5.1 Instructor Guides: Master instructor guides and support materials

7.4.5.2 Learner Guides: Master learner guides and support materials

7.4.5.3 Delivery: Training delivery (per deployment requirements)

7.4.5.4 Format: Training deliverables shall be delivered in electronic form or reproducible format

7.4.5.5 IT documentation: There shall be a comprehensive set of documentation for the application system that includes the following:

- Application design
- Program specifications and descriptions
- System customization and configuration
- System implementation procedures
- System operation procedures
- Database documentation, including logical data model, physical data model and metadata repository

### **7.4.6 On-Line Help**

7.4.6.1 On-Line Help: The system shall provide an on-line help system accessible from the on-line application and via the DMV web-site.

7.4.6.2 Contextual / Field Help: The on-line help system shall be context and field sensitive.

7.4.6.3 Printing of On-Line Help: Each individual help topic shall be individually printable.

7.4.6.4 Procedural / Conceptual Help: The help shall include task-based procedures as well as conceptual information to assist the user in understanding the system.

- 7.4.6.5 Search On-Line Help: The system shall allow a user to search for a help topic by keyword or portion of keyword or topic.
- 7.4.6.6 Maintain Help: The system shall allow for an authorized user to update the help content.
- 7.4.6.7 Effective Date: The system shall maintain an effective start and expiration date for the help content.

## 8. Enterprise Electronic Capabilities Requirements

### 8.1 Document Management

The future CT DMV application system will need to have the capability to scan, store and retrieve document images. These images will be associated with other data items needed for workflow and case management purposes. Together with document imaging processing, there are related technology requirements that are also discussed here. These requirements include:

- Bar Coding: Selected documents will have bar codes to expedite processing
- Other Multi-media Data: There are other types of data that will need to be gathered, stored and retrieved in the same manner. This data will include fax images and email data.

The following are requirements for the document imaging system:

#### 8.1.1 Document Imaging

- 8.1.1.1 Centralized Document Scanning and Indexing: Batched incoming and outgoing documents shall be scanned for image capture. Scanning shall be capable of being performed at a centralized location. Documents shall be batched together for high-speed scanning. A flexible set of indices can be defined for the documents. After scanning, the documents shall be indexed prior to storing.
- 8.1.1.2 Distributed Document Scanning and Indexing: At DMV office locations, as part of select on-line transactions, related documents shall be scanned and captured. These scanning activities will be integrated with the business transactions. Scanned images shall be automatically stored, indexed and associated with related transaction information.
- 8.1.1.3 Document Storage: All scanned documents shall be stored online for the duration of the retention period. After which the documents can be backed up and deleted with authorization. The image shall be stored at a minimum resolution of 200 dots per inch (dpi).
- 8.1.1.4 Document Retrieval: All documents within the retention period shall be able to be retrieved using one of the indices that are defined and entered for the document.
- 8.1.1.5 Document Security: Only authorized users can access documents. Authorization shall be set at a document level, or at a case level.
- 8.1.1.6 Document Association: Documents shall be associated with corresponding transaction data items – e.g. Driver History, Vehicle Titles, etc.
- 8.1.1.7 Web Browser Display: Document images shall be able to be displayed inside a browser.
- 8.1.1.8 Industry Standard Format: Document images shall be stored in an industry standard image format, such as TIFF or JPEG.
- 8.1.1.9 Document Notation: It is desirable to be able to add notations, in free text form, to a document image.
- 8.1.1.10 Document Properties: The following document properties shall be supported: multi-page documents, double-sided documents, and different document sizes.



## **8.1.2 Bar Coding**

- 8.1.2.1 Outbound Documents: All documents issued by the DMV that are generated by the DMV application system shall contain a unique identifier that can be used to associate with the customer, type of document, and variable data contained within the document. This information shall be stored in a character sequence and in an appropriate industry standard bar code format.
- 8.1.2.2 Inbound Documents: All inbound documents containing bar codes shall be scanned for bar code information. Scanning shall be performed either at offices, or at a central location.
- 8.1.2.3 Document Correlation: When processing incoming documents, scanning the bar code and capturing the unique identifier shall bring up on the screen associated data – including customer information, document information, and any related transaction information.

## **8.1.3 Other Multi-media Data**

- 8.1.3.1 Fax Data: Inbound and outbound fax data will have the option to be captured, stored, associated, and retrieved in the same manner as documents. Retrieved fax data can be displayed through a Web browser.
- 8.1.3.2 E-mail Data: Inbound and outbound e-mails will also have the option to be captured, stored, associated, and retrieved in the same manner as documents. Retrieved e-mail data will be displayed with Microsoft Outlook or through a web browser.

## **8.2 Workflow and Case Management**

### **8.2.1 Workflow and Case Management**

Workflow and Case Management will be an important component of the future CT DMV solution. Many areas of DMV business operations, such as driver license issuance, fraud control, vehicle registration, hearing and adjudication, involve creating, handling, collaborating and routing cases through the DMV organization. Associated requirements include the following:

- 8.2.1.1 Work Queues/Assignments: Select DMV employees shall have assigned work queues. An employee can examine their work queue at any time and review any outstanding assignments that will require their attention.
- 8.2.1.2 Priority Cases: Some cases can be assigned high priority – either automatically through business rules, or manually assigned by employees. Priority cases shall be placed on the front of a worker’s work queue.
- 8.2.1.3 Automated Routing with Manual Overrides: Based on the status of a case and pre-defined business rules, a case shall be automatically routed to the next individual. Authorized personnel can also override the automatic routing, and assign the case to a specific employee.
- 8.2.1.4 Workgroup Definitions: There shall be capabilities to define teams and departments. Through this definition, case workload can be distributed among employees. Supervisors within a department shall have with have the ability to make specific assignments.

- 8.2.1.5 **Calendaring and Scheduling:** There shall be facilities for employees to specify their schedule and availability. For cases assigned to employees that are not available, they shall be automatically routed to their backup.
- 8.2.1.6 **Data Access and Update:** Through the case assignment, an employee shall be able to automatically access all information associated with the case with from a client, DMV, Business Partner, etc. location. This information shall include transaction records, document images, or other types of related data such as fax or email. Authorized users can also update associated records as part of case activity. These activities shall be integrated with the case management screen sessions.
- 8.2.1.7 **Integration:** It is desirable that the case management system will integrate with other DMV components. For example there will be one single set of user sign-on, and one single definition of user groups and employee calendars.
- 8.2.1.8 **Logging and Tracking:** All cases and associated workflow shall be logged. Reports shall be available on cases, workflow, efficiency and effectiveness.
- 8.2.1.9 **Case Management:** The system shall integrate all DMV sanctioning functions to manage cases through an integrated case management capability. Case information can include information such as hearings, investigations, re-exams, Medical Review requests, etc.
- 8.2.1.10 **Case Entry:** The system shall allow case information to be entered for different case or request types such as Hearings, Medical Reviews, etc. Other details pertaining to the request shall be tracked. These can be processed online or triggered automatically in the batch cycle when qualified history events are added to the customer's driver record.
- 8.2.1.11 **Case Lists:** The system shall include case lists to allow users to navigate directly to the specific case data or the functional area to manage their cases, view statuses or schedules, make updates, forward to external parties, or process the specific details and to close the case.
- 8.2.1.12 **Managing Case Activity:** The system must provide the ability to manage case activity at a location, for a customer, on a particular date, or assigned to a DMV staff member, enabling each office to manage staffing and appointment needs. Managing all case types for a customer provides a mechanism to address all the needs of the customer.
- 8.2.1.13 **Remote Case Management:** The system shall provide the ability to perform case management from a remote location.

## **8.3 Forms and Correspondence**

### **8.3.1 Email and Fax**

The future CT DMV system shall have capabilities for electronic correspondence management between DMV and its customers – e-mail and fax. The following are requirements for correspondence management:

- 8.3.1.1 **Security Capabilities:** Information will be transmitted unencrypted through public networks using e-mail and fax. Confidential information cannot be contained in these correspondences.

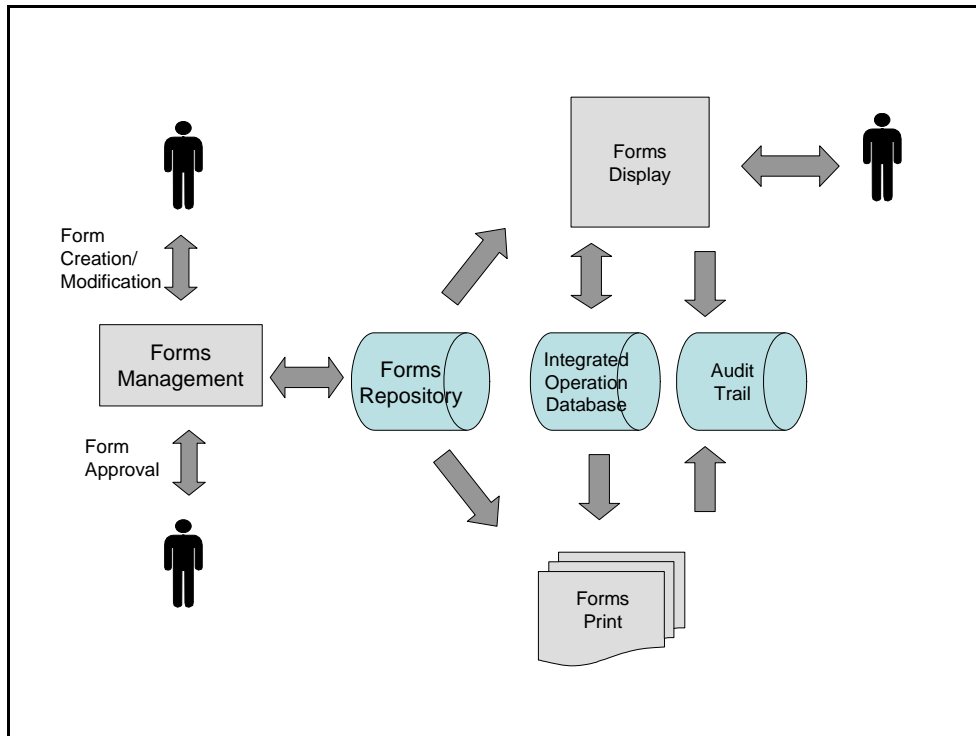
- 8.3.1.2 Inbound e-mail and fax: Inbound e-mail and fax from customers will be manually received and reviewed, with no programmed interface to automatically retrieve and inspect. However, there shall be capabilities to log these correspondences for auditing purposes. The log shall include information on sender, data/time, and topics. It is desirable that the logging activities will be automated.
- 8.3.1.3 Storage Medium: E-mail contents and fax images shall be stored in the document image database. This data shall be associated with customers, and can be accessed and retrieved as part of a case.
- 8.3.1.4 E-mail system: E-mails shall be based on existing CT DMV Exchange e-mail system.
- 8.3.1.5 Fax Interface: There shall be a programmatic interface with the fax system. Outbound fax shall be automatically created and sent as a result of DMV processes – such as notifications, or customer requests through Internet or IVR.
- 8.3.1.6 E-mail Interface: There shall be a programmatic interface with the e-mail system. Outbound emails shall be automatically created and sent as a result of DMV processes – such as notifications, or customer requests through Internet or IVR.
- 8.3.1.7 Customer Contact Information: To accommodate outbound correspondence, customer e-mail addresses and fax numbers shall need to be stored and maintained in the customer contact database. Customers shall manage this information themselves, through enrollment/account maintenance activities available on their web home pages.

### **8.3.2 Forms Management**

Forms are an important communication mechanism for CT DMV. In order to present a common, united appearance to DMV customers, it is important that all forms have a similar look and feel across the agency. A robust forms management system in conjunction with the appropriate policies and procedures will aid CT DMV in presenting and maintaining this consistency to its customers and business partners.

In the future DMV will continue to have a large number of forms. These forms will be available both in paper and electronic formats. A well-designed and architected solution for forms management will be needed to properly administer and utilize these forms.

An integrated forms management solution needs to evolve around a centralized forms database. There will be one source for administration of forms. Through this database the electronic copy of a form can be retrieved for use. The following diagram illustrates the CT DMV form management architecture.



**Figure 6: CT DMV Forms Management Architecture**

- 8.3.2.1 Forms Creation: there shall be a facility to easily create forms. There shall also be facilities to create bar codes on the forms.
- 8.3.2.2 Forms Modification: there shall be capabilities to modify an existing form, using the same facilities.
- 8.3.2.3 Forms Approval: there shall be policies and procedures for forms approval process, where an authorized user can accept or reject a created or modified form.
- 8.3.2.4 Form Management Security and Audit Trail: only authorized users can create, modify or approval forms. There shall be an audit trail on these activities.
- 8.3.2.5 Multiple Form versions: there shall be facilities to manage multiple versions of the same form, with indicators identifying current versions, prior versions, and expired versions.
- 8.3.2.6 Form storage: there shall be a central database for all these forms, with functions for efficient indexing, storage and retrieval of forms.
- 8.3.2.7 Standard document format: the forms shall be stored in standard document formats, such as PDF.
- 8.3.2.8 Overlay for printing: there shall be application capabilities to retrieve these forms as overlays for printing. The retrieved form shall be merged with data from the integrated operation database, to be incorporated as part of outbound notices/correspondences to customers.

- 8.3.2.9 Template for electronic forms: there shall be application capabilities to use these forms as templates to be displayed under a web browser. Once retrieved these electronic forms can be:
- used as a template for the user to enter data
  - merged with data from the integrated operation database to provide user with form viewing and modification capabilities
  - downloaded to a workstation in PDF format for local data entry and printing functions
- 8.3.2.10 Form Usage Audit and Image: all usage of these forms – for printing and web access – shall be logged in an audit trail, together with the actual data that are displayed, entered or printed. For some predefined forms types, the filled-in form will be imaged and stored in the image repository.
- 8.3.2.11 Automatic Generation and Tracking of Correspondence: The system shall have an integrated electronic Forms and Correspondence capability to automatically generate and track correspondence with the customer.
- 8.3.2.12 Custom Correspondence: The system shall have the ability to generate and track custom correspondence for a customer, such as, for example, a driver reinstatement letter.
- 8.3.2.13 Electronic Forms: The system shall have the ability to create and manage electronic forms accessible through on-line access points for use in e-gov applications as well as internal uses within the DMV
- 8.3.2.14 Barcode Correspondence: The system shall have the ability to utilize bar codes as a vehicle for tracking correspondence and electronic or physical folders associated with the correspondence.

#### **8.4 Appointment / Scheduling**

The system shall have an integrated Appointment/Scheduling capability that enables customers as well as DMV staff to schedule appointments for various purposes including, but not limited to:

- 8.4.1.1 Schedule Hearings: The system shall provide the ability to schedule (and cancel) hearings through various service channels (e.g. telephone, internet, etc.).
- 8.4.1.2 Agency-wide Scheduling: The system shall provide the ability to provide agency-wide scheduling/calendar management capability for specified types of DMV events/functions – e.g. driving tests, vehicle inspections, hearings, etc.
- 8.4.1.3 Display Schedules: The system shall have the ability to display schedules by time-frame (e.g. next available time, specified times/dates, etc), by resource (e.g. hearing officer, hearing room), by resource (e.g. hearing room, etc.), and by type of DMV “event”.
- 8.4.1.4 Self-Service Scheduling: The system shall provide the ability for customers to schedule such things as driving test, inspections, etc. via the DMV website.

## 9. Service Delivery Channel Requirements

The future DMV system will include a set of Customer Service Delivery Channels. These channels will provide convenience, flexibility and choice for DMV's customers. Together with these channels, there will be a number of channel application systems. These systems include the following:

- Internet Self-Service (e-Gov) – web-based applications where customers can perform select DMV transactions directly through a browser. The Proposer shall include this capability in the proposal.
- Interactive Voice Response (IVR) - telephony applications where customers can perform DMV transactions through a telephone. The State has selected an IVR solution, to be implemented as a separate initiative. The Contractor shall provide an interface to this solution. The requirements are specified in the Interface section of this document.
- E-mail/Fax Communication – The Contractor shall provide E-mail and Fax applications, as described in the E-mail/Fax section of this document.
- Business Partner portal - web portal applications where business partners can perform select DMV transactions through a browser. The Proposer shall include this capability in the proposal.
- Branch Office Walk-in Services – customer service improvements including customer queue management systems. This is a business initiative currently undertaken by CT DMV. The future DMV system will need to integrate with these systems when and if they are implemented.
- Kiosks – self-service workstations located in branch offices which provide walk-in customers the ability to access e-gov capabilities. Kiosk systems are not included in this RFP.

### 9.1 Internet Self-Service

The Proposer shall include web self-service system in the proposal. The system will be used by the public in performing business transactions with the agency. Examples include registration renewal, vanity plate lookup and other activities. The following are requirements for the portal system:

- 9.1.1.1 Internet Access: the DMV web site shall be accessed securely through the Internet, using standard Internet protocols.
- 9.1.1.2 Browser: customers shall access the DMV web site using web browsers including Microsoft Internet Explorer, Apple Safari, and Mozilla Firefox.
- 9.1.1.3 Secure transaction: There shall be capabilities for customer to execute the DMV transaction securely, using facilities such as one-time PIN numbers.
- 9.1.1.4 Transaction processing: Customers shall be able to perform only those transactions that they are authorized to perform and access data that they are authorized. These transactions will communicate directly with DMV applications, and shall be performed on a real-time basis.
- 9.1.1.5 Help screens: There shall be help facilities, as specified in Training and Support.

- 9.1.1.6 Section 508 compliance: Screen displays shall comply with Federal Section 508 Web Content Accessibility standards.
- 9.1.1.7 CT state standards compliance: The system shall conform on CT Web Application standards and guidelines, as described in Appendix E.

## 9.2 Web Portals

The Proposer shall include portal system in the proposal. The portal will be used by DMV business partners in conducting their business transactions with the agency. The following are requirements for the portal system:

- 9.2.1.1 Internet Access: the DMV portal shall be accessed securely through the Internet, using standard Internet protocols.
- 9.2.1.2 Browser customers shall access the DMV web site using web browsers including Microsoft Internet Explorer, Apple Safari, and Mozilla Firefox.
- 9.2.1.3 Automated User Registration: There shall be facilities for business partners to automatically register to the portal system safely and securely, with minimal manual intervention. At the same time the user identity shall be validated against DMV records of authorized DMV Business Partners.
- 9.2.1.4 Secure sign-on: There shall be capabilities for business partners to sign-on to the DMV system securely, using tools such as user identifier and passwords.
- 9.2.1.5 Security provisions: There shall be security capabilities as described in the Security Requirements section.
- 9.2.1.6 Personalization: Business partners shall be able to specify the layout and content of their web pages.
- 9.2.1.7 Transaction processing: Customers shall be able to perform only those transactions that they are authorized to perform and access data that they are authorized. These transactions will communicate directly with DMV applications, and shall be performed on a real-time basis.
- 9.2.1.8 Alerts and Notifications: After a user has signed on, there shall be highlighted messages displayed on the home page if specific actions are required by this business partner. Clicking on the message shall bring the user to the appropriate screen to perform the actions.
- 9.2.1.9 Help screens: There shall be help facilities, as specified in Training and Support.
- 9.2.1.10 Section 508 compliance: Screen displays shall comply with Federal Section 508 Web Content Accessibility standards.
- 9.2.1.11 Usage reporting: There shall be fixed and ad hoc reporting capabilities on portal usage activities.
- 9.2.1.12 CT state standards compliance: The portal shall conform on CT Web Application standards and guidelines, as described in Appendix E.

## **10. Data Requirements**

### **10.1 Database management system**

- 10.1.1.1 Database system: All enterprise data shall be stored in relational database management systems (RDBMS). The RDBMS shall be mainstream, robust, and conform to ANSI SQL standards for application program interfaces.
- 10.1.1.2 Standards compliance: The DBMS shall use standard ANSI-compliant SQL language. It shall be compliant with SQL:1999 core standards.

### **10.2 Data modelling**

- 10.2.1.1 Data Modelling: There shall be a structured data modelling and database design method, utilizing related tools.
- 10.2.1.2 Metadata Directory: There shall be a metadata directory that contains all data elements, descriptions, and usages.
- 10.2.1.3 Customer-centric data model: There shall be an integrated data model built around the notion of a single DMV customer, similar to the model outlined in Section 4.3 Target Conceptual Data Model.

### **10.3 Data conversion and migration requirements**

- 10.3.1.1 Data conversion: The Contractor shall perform extraction, transformation and loading of all existing operational data that are stored in current VSAM and other data stores into the target integrated operational database.
- 10.3.1.2 Conversion testing: The Contractor shall assist DMV in testing the converted data for accuracy and usability.
- 10.3.1.3 Data cleansing: A DMV data cleansing project is currently in progress. As part of the data conversion process, the Contractor shall work with DMV staff in cleaning data that are required as part of the conversion process.
- 10.3.1.4 Data synchronization: If the Contractor recommends a phased implementation approach, then for a period of time both legacy and new databases will need to co-exist with each other. In this case, the Contractor shall develop a synchronization process, where changes at one data store will need to be reflected and updated correspondingly at the other data store in a near-real-time manner.
- 10.3.1.5 Tools selection and usage: DMV has purchased licenses of IBM's DataStage suite of products for data conversion and cleansing. The Contractor shall use these products if tools are needed to facilitate the process. These products include DataStage, QualityStage and ProfileStage.



## 11. Interface Requirements

### 11.1 General

- 11.1.1.1 Architected interface: the Contractor shall provide an architected method of interfacing with external and internal systems.
- 11.1.1.2 Real-time interfaces: all internal interfaces with channel systems shall be real-time. For external interfaces, while many of them are batch today, the direction is to transition to real-time. The DMV system shall be adaptable to real-time interfaces in the future.
- 11.1.1.3 Integration with other DMV business initiatives: CT DMV is currently undertaking a number of other business initiatives. These initiatives are in various stages of formulation and development. They are described in Section 3.5 of this document. The future DMV system shall integrate with these initiatives when and if they are implemented.

### 11.2 External interfaces

- 11.2.1.1 External interfaces: All existing external interfaces shall be supported. These interfaces include, but not limited to, the following:

#### ***Vehicle Services: Title and Registration***

- Tax Town Assessors
- Connecticut Towns
- CT DMV Emissions Vendor
- Financial Institutions (Payment Collection)
- CORE-CT (State's Integrated Financial System)
- Connecticut State Police
- ACS Vista IRP System
- Connecticut Department of Corrections
- Dealer-related service vendors
- National Crime Information Center (NCIC)

#### ***Driver Services: Credentialing and Sanctioning***

- Connecticut Courts
- Connecticut State Police
- Driver Training Vendors
- External Vendors – insurance, credit, bus driving, car rental etc
- Problem Driver Pointer System (PDPS)
- Commercial Driver License Information System (CDLIS)
- National Driver Registry (NDR)
- Social Security Online Verification (SSOLV)
- DMV customers who receives Driver License information from CT DMV

Descriptions of these interfaces are contained in Appendix D.

- 11.2.1.2 COLLECT interface: Department of Public Safety's (DPS) Connecticut Online Law Enforcement Criminal Telecommunications (COLLECT) is a system used by Law Enforcement to access information, including DMV data. The new DMV system shall provide a DMV interface through a flat file on a regularly

scheduled basis to COLLECT. This file shall contain all required Drivers and Registration information.

- 11.2.1.3 Real ID compliance: CT DMV will comply with Real ID act and the system shall support Real ID interface requirements.
- 11.2.1.4 Security, Privacy and Audit compliance: The DMV system shall comply with all associated security, privacy and audit requirements when interfacing or accessing data with Federal and other State agencies.

### **11.3 Internal Interfaces**

- 11.3.1.1 Commercial Vehicle Safety Division (CVSD): CVSD utilizes a number of Federal and AAMVA applications. While today there are no automated interfaces with other DMV applications, there shall be integration requirements in the future. These include:
  - A monthly batch interface with SafetyNet. SafetyNet is a federal system that is currently used by CVSD for vehicle inspections. A file will be extracted from SafetyNet containing registration suspension information. This file will be sent to the registration system for update.
  - A weekly batch interface file from the CVIEW database. CVIEW is an integral part of the Commercial Vehicle Information System Network environment, used for data exchange with other states and Federal Government. Newly created and updated US DOT numbers will be extracted, together With related carrier and status information. This file will be used for input into the integrated customer database.
- 11.3.1.2 Digital Driver's License (DDL): as a direction to implement the Real ID Act, the current Digital Driver's License system will be replaced. There will be tight integration with the future DMV system. The following interfaces shall be needed:
  - There will be photo and data capture at the front-end, when a customer first enters a DMV office to obtain a driver license. The photo image and data shall be made available to the DMV Driver Service system on a real-time basis.
  - Upon completion of the driver issuance process, driver demographic data shall be made available to the Digital Drivers License system on a real-time basis.
  - There shall be links between the DMV system's integrated database and the Digital Drivers License image database. It shall be possible to retrieve a customer's data together with his photograph from the DMV system.
- 11.3.1.3 Driver License Knowledge Testing System: the knowledge testing system – Juno Automated Drivers License Knowledge Testing System - is a standalone, self-contained application. This system includes Examiner Console and Test Units at testing sites, and a centralized data warehouse server at the back office. The system shall provide a real-time interface with to the Knowledge Testing System to record the results on the customer's credential record.
- 11.3.1.4 Mid-range systems: The state has the option to modernize its mid-range DMV application systems, or leave them in place. The Proposer's solution shall interface with existing DMV mid-range systems should they not be replaced. These systems include: Dealer and Repairer License, Dealer and Repairer

Complaints, Adjudication, Administrative Per Se, Flashing Lights and Siren, and Insurance Reporting. Internal interfaces to these systems are described in D.

## **11.4 Channel interfaces**

- 11.4.1.1 IVR interface: DMV will implement Aspect Software's Customer Self Service IVR system. It will provide an integrated telephony and contact center solution for DMV customers. The future DMV system shall interact with this IVR system through a real-time interface, providing service using Aspect application programming interfaces.
- 11.4.1.2 Portal interface: The Proposer shall provide a Portal solution in its response. However, DMV might elect to implement the Portal separately. If this is the case, the future DMV system shall interact with the web portal system through a real-time interface..
- 11.4.1.3 Web self-service interface: The Proposer shall provide a web self-service solution in its response. However, DMV might elect to implement this component separately. If this is the case the future DMV system shall interact with the web self-service system through a real-time interface.
- 11.4.1.4 Channel interface architecture: there shall be an architected approach to design and implement channel system interfaces. The architecture will need to address the notion of channel-independence. Customers should be able to conduct DMV business through a variety of channels. The delivery channel will be separated from DMV processes to ensure flexibility and reusability.
- 11.4.1.5 Channel security: the DMV system shall ensure that transaction originated from public delivery channels will be processed securely. There shall be application-level security provisions that will operate in conjunction with security provided through the channel environments.
- 11.4.1.6 Standardized interface: It is desirable that channel interfaces for Portal and Web self-service utilize standard-based protocols such as web services, SOAP and XML.

## 12. Application Lifecycle Requirements

### 12.1 Project Management

- 12.1.1.1 Project Plan: The Proposer's' response shall include an initial project plan using Microsoft Project that provides a detailed breakdown of tasks, milestones and the time line for completing those tasks. The proposed schedule shall include tasks that relate to all required functions, tasks, and deliverables listed in this RFP. The proposed schedule shall show the resources proposed for each task (expressed in labor days for both Contractor and state personnel).
- 12.1.1.2 Project Status Reporting: The Contractor shall offer a methodology for providing weekly status report to DMV. The project status report shall include at least the following elements:
  - Project tasks addressed during the reporting period
  - Project milestones reached since last report
  - Project tasks planned for the reporting period
  - Project concerns and unresolved problems
  - Issues that need to be addressed

### 12.2 Application Lifecycle Methodology

- 12.2.1.1 Established SDLC method: A recognized system development lifecycle (SDLC) method shall be used. This method shall encompass the full lifecycle from requirements through deployment. This method shall be comparable to state's standard SDM (System Development Methodology). Together with the method, a set of consistent, established toolsets shall be provided to support the method.
- 12.2.1.2 DoIT standards compliance: The SDLC method shall comply with DoIT's standards for application development. This standard is described in Appendix E.

### 12.3 Requirements Definition

- 12.3.1.1 Requirements process: There shall be a rigorous requirements definition process. This process shall be conducted together with CT DMV staff.
- 12.3.1.2 Requirements definition toolset: The Contractor shall specify and implement a requirements definition tool to support the requirements process.
- 12.3.1.3 Requirements traceability: There shall be traceability capabilities that track requirements throughout the application development lifecycle.

### 12.4 Design and Development

- 12.4.1.1 Design/development methods and tools: There shall be established design/development methods, together with associated tools and products, in the design and development of the DMV applications.
- 12.4.1.2 Deployment Products: The Contractor shall select associated products needed for the implementation of the full DMV application systems. These products might include web enablement, data integration, database management, reporting, and others.

- 12.4.1.3 Systems integration: The Contractor shall perform all required development, integration, and configuration of products and customized programs required to deliver the DMV solution.
- 12.4.1.4 Service-oriented Architecture: It is desirable that the DMV solution be implemented using a Service-oriented Architecture (SOA). This architecture will utilize current industry standards.

## **12.5 Application Testing**

- 12.5.1.1 Testing Methods and Tools: There shall be an established testing method utilizing commercially available testing tools to automate the testing process wherever possible.
- 12.5.1.2 Test Scripting: The Contractor shall develop a complete set of testing scripts to enable thorough testing of all requirements. These scripts shall be developed in conjunction with CT DMV staff.
- 12.5.1.3 Test Case Traceability: All test cases will be traceable to functional requirements defined in the Requirements and Analysis phases.

## **12.6 Application Deployment**

CT DoIT will provide hosting of the DMV application system. The DMV applications shall be enabled to provide a robust deployment environment at the hosting location. Refer to Appendix E for DoIT hosting standards and guidelines.

- 12.6.1.1 High Availability: The system shall support a high-availability, 24x7 operating environment.
- 12.6.1.2 Systems Management: The system shall support systems management capabilities. These include:
  - Application level alert – the application programs shall send alert messages when abnormal conditions occur.
  - Performance measurement – the application system shall enable facilities to capture and measure performance metrics, including response time, batch processing time, transaction volumes, and others.
  - Remote monitoring and diagnostics – the system shall provide the capabilities to monitor the system and fix any problems remotely.
  - Lights-out operations – the system shall implement capabilities to operate the system remotely – such as start-up, shut-down, restart, backup, recovery, etc.
  - Software distribution – While it is not desirable to have application components residing on workstations, there might be instances where it is necessary. If so, the Contractor shall provide procedures for automated software download, distribution and installation.
- 12.6.1.3 Scalability: The system shall provide flexibility through scaling (e.g. by adding devices, servers, or communication paths). There shall not be any inherent limitations in the scalability of the application or operating systems. The system shall scale as the number of DMV services increases, as the number of activities supported by the system increases, as the number of people using the system to do their work increases, and as the data storage requirement increases. The system shall scale for both capacity and performance.

## 12.7 Development Location

Application development can occur either on-site at CT DMV locations, or off-site remotely at a Contractor-selected place.

- 12.7.1.1 Location: the Proposer shall recommend whether development will occur on-site, off-site or a mix of both.
- 12.7.1.2 On-site development: if the recommendation is on-site, the Proposer shall specify:
  - On-site facilities – office space and equipments needed for the development team.
  - Development equipment – workstations, servers, printers and other peripherals that will be located at DMV and DoIT locations.
- 12.7.1.3 Off-site development: if the recommendation is off-site, the Proposer shall specify:
  - Communication plans – methods to update DMV on progress and status of development
  - On-site activities – personnel and tasks that will be performed on-site at CT DMV.
  - On-site hardware/software/network facilities – equipments that will be installed at CT DMV and CT DoIT.
  - Development environment transition – upon completion of development, how the environment will be transitioned to DMV.

## 13. Hardware, System Software and Network Requirements

### 13.1 Hardware/Software requirements

- 13.1.1.1 Hardware/Software specifications: The Proposer shall list all hardware and software that are required to implement the DMV application system. This list shall include products, models, quantities, and specifications. These products include:
- Server hardware
  - Server peripherals, such as tape drives and printers
  - Server storage
  - Server operating systems
  - Server-based software
  - Workstations
  - Workstation attachments
  - Other office equipments, such as printers and servers
  - Workstation software
- 13.1.1.2 Platform: It is desirable to have one deployment platform for all the DMV application components.
- 13.1.1.3 Platform specification: It is preferred and highly desirable that the deployment platform for DMV business process application systems (for vehicle services, driver services, fiscal management, Business Partner services) be based on Microsoft .NET framework.
- 13.1.1.4 Centralized servers: It is desirable to have a centralized hardware environment where all servers are located centrally at the DoIT data center. The Proposer shall describe and justify any servers that need to be distributed at other locations.
- 13.1.1.5 Workstation: The client workstation shall utilize an Intel/Windows platform.
- 13.1.1.6 Browser interface: It is highly desirable that the user interface utilize a thin-client, browser-based environment. The browser shall be supported by IE 6.0 and above.
- 13.1.1.7 Environments: There shall be, at a minimum, the following environments - development, testing, staging, training and production.
- 13.1.1.8 Hosting: The testing, staging and production server environments shall be hosted at CT DoIT facilities. Depending on the development location, development server location will be either at DoIT or a remote location managed by the Contractor.
- 13.1.1.9 Server Installation: The Contractor shall be responsible for initial installation of all hardware and software for the servers.
- 13.1.1.10 Client workstation: The Proposer shall specify the client environment. These include: desktop workstations, laptop workstations, remote printers, document scanners, bar-code readers, and other attachments. The Contractor shall assist with initial installation of the client environment. Wherever possible, existing equipments and facilities will be reused.

## **13.2 Network requirements**

- 13.2.1.1 Network environment: The current CT DMV network environment shall be used. This includes the wide-area network throughout the state, a wireless network for mobile users, and local-area network at each location. The Proposer shall specify any additions required to the current network system.
- 13.2.1.2 Network protocol: TCP/IP shall be the primary means of network transport.
- 13.2.1.3 Web enablement: Standard web-based protocols – including HTTP, HTML, HTTP-S – shall be used for web-based traffic.
- 13.2.1.4 Network security: The system shall provide secure transmission of sensitive data – including Social Security Numbers, passwords, and others – through established security methods such as SSL and HTTP-S.
- 13.2.1.5 Mobile workers: It is anticipated that there will be mobile workers (e.g. DMV inspectors) who will need to access DMV applications through laptops and the state-wide CDMA wireless network. The user interface will be the same user interface that DMV office workers use. The DMV application shall be able to support this environment.



## 14. System Operations and Management Requirements

### 14.1 Security requirements

As stewards of personal information relating to the citizens of Connecticut, DMV views security of the utmost importance. DMV's focus is on assuring that only authorized users have access to data and information. The following are security requirements for the future DMV system:

#### 14.1.1 Identification and Authentication

There will be two types of users, internal and external:

##### 14.1.1.1 Internal Users

Internal Users are DMV employees: For these users there shall be the following identification and authentication requirements:

- There shall be role-based user definition and authentication:
  - Each user is defined based on his role, which includes:
    - Which office they belong to
    - Whether they are a supervisor or a staff
    - If they are a systems administrator
    - If they are responsible for title/registration, drivers, both, or inquiry only
  - A user can be defined for multiple roles
  - Each user identifier shall have an associated password
  - There shall be flexibility in setting policies for password standards – such as password format, reset procedure and expiry dates.
- Passwords shall be masked at entry and stored in encrypted format.
- User IDs can be suspended and subsequently resumed by security administrators.
- Passwords cannot be exposed to security administrators

14.1.1.2 Internal User's IDs and Passwords: It is desirable that there will be a minimum number of IDs and passwords. Ideally each user should have only one set of IDs and passwords. However the DMV solution might possibly include a number of products and packages, and each will likely have its own security system. Every effort should be made to consolidate these into a single set of security identification/authentication environment.

##### 14.1.1.3 External Users

External Users will access the DMV system through Internet and IVR. For these users there shall be the following identification and authentication requirements:

- All external users shall need to be uniquely identified for web and IVR sign-on.
- The identification shall be through a single set of user ID and PIN number.
- There shall be flexibility in setting policies for PIN standards – such as PIN format, reset procedure and expiry dates.
- User IDs can be suspended and subsequently resumed by security administrators.
- PINs cannot be exposed to security administrators.

14.1.1.4 External User's IDs and Passwords: It is desirable for a user to have the same ID and PIN for both Web/IVR.

### **14.1.2 Access Control**

14.1.2.1 Access Control: For both internal and external user groups, access control shall be performed at two levels:

- By function– this refers to specific application functions, or groups of functions, that a user can or cannot perform.
- By data content – a user can be restricted to access individual records, or groups of records, within an application function.

### **14.1.3 User Management**

14.1.3.1 Internal Users Management: IDs shall be established through security administrators. Security administration functions can be deleted by function and/or user groups.

14.1.3.2 External Users Management: Customers shall be able to perform self-enrollment through Internet or IVR. Security activities, such as password reset, shall be notified through email. Security administration functions can be delegated from the security administrator to other DMV staff.

### **14.1.4 Roles and Privileges Management**

14.1.4.1 User Groups: Users can be aggregated by groups and sub-group capabilities.

14.1.4.2 Group Level Security: Once groups are defined, privileges and authorities can be assigned at the group level.

14.1.4.3 Group Membership: A user can belong to multiple groups, but can only sign on with the authorities of one group at any one time.

### **14.1.5 Encryption**

14.1.5.1 Encryption Techniques: Standard Internet encryption techniques, including the use of Secure Socket Layer (SSL), 128-bit encryption, digital certificates through recognized Certificate Authorities, shall all be used.

14.1.5.2 Encrypt Selected Data: Selected data shall be encrypted through public or private networks.

14.1.5.3 Transmit Encrypted Passwords: All passwords shall be transmitted in encrypted form.

- 14.1.5.4 Store Encrypted Passwords: All passwords shall be stored in encrypted form.
- 14.1.5.5 Federal Standards Compliance: Federal security standards shall be adhered to whenever required (e.g. transmission and storage of Social Security Numbers).

#### **14.1.6 Intrusion Detection**

- 14.1.6.1 Network Security: The system shall support standard network security provisions, including use of firewalls and Demilitarized Zone (DMZ).
- 14.1.6.2 Inappropriate Network Activities: Inappropriate network activities (e.g. DOS attack) shall be identified and alerted at the time of occurrence.

#### **14.1.7 Real ID support**

- 14.1.7.1 Real ID support: The system shall support all Real ID security requirements, including secure transmission and storage of sensitive data.

#### **14.1.8 Supporting Security Services**

- 14.1.8.1 Web Security Formats: Standard web security formats and protocols - including SSL, HTTP-S - shall be used.
- 14.1.8.2 Timeout logoff: There shall be automated logoff capabilities after a specified period of inactivity.
- 14.1.8.3 Secure Data Transmission: All secure data transmission shall use a minimum of 128-bit encryption.
- 14.1.8.4 Directory Server: A consolidated directory server shall be used for user authentication. This server shall be a mainstream product - such as Microsoft Active Directory, or LDAP-based directory servers.
- 14.1.8.5 Log Security Events: The system shall produce an audit log for all security events. Security events might include sign-on attempts, access to data, and access to selected functions
- 14.1.8.6 Audit Policies: The system shall support three types of audit policies:
  - None - do not generate an audit record
  - Failure - generate an audit record for access violations
  - All - generate an audit record regardless of result
- 14.1.8.7 Security Logging: There shall be other levels of logging that can be specified by the security administrator.
- 14.1.8.8 Security Administration: All security administration activities shall be logged.
- 14.1.8.9 Security Reports: There shall be canned and ad hoc reporting capabilities against the security logs.
- 14.1.8.10 Security Violation Alerts: There shall be alerts, at a real time basis, on any security violations.

### **14.2 Availability and Performance requirements**

- 14.2.1.1 High availability: the DMV applications shall be designed and developed to support a highly available, 7x24 environment. This includes the following:

- Minimize unplanned downtime: the DMV applications shall be designed and developed to support a high degree of fail-safe processing. In particular, field office should not experience frequent unplanned outages. And when outages occur, the system shall be brought back in service in an expedient manner. The Contractor shall implement a system that facilitates this environment.
  - Automated recovery: the DMV applications shall have automated restart of failed server and database components. High availability server and database components are recommended to alleviate failed component problems
- 14.2.1.2 Capacity requirements: The hardware, system software and application shall provide the capacity for support concurrent users and business volumes during peak hours. These users include:
- Headquarters staff
  - Branch office staff
  - DMV business partners
  - General public performing self-service transactions directly through electronic channels
- 14.2.1.3 Response time: Screen response time shall be comparable to best-of-breed web-based applications. While response times vary with types of workload, for transaction processing involving retrieval/update of individual customer records to be displayed under a web browser, the response time shall be less than 2 seconds, measured at the server with no network delay.
- 14.2.1.4 Business processing response time: The Proposer shall provide information such as the average time to conduct various business transactions, employing the Proposer's solution. These business processing times shall be less than or equal to existing business process response times.
- 14.2.1.5 Performance test: Prior to system acceptance of each deployment, the Contractor shall provide up to 5 performance tests that will measure throughput and response time. These tests shall use hardware/software configurations, transaction volumes and databases sizes equivalent to the deployment environment. Test scripts and requirements to the performance tests shall be jointly developed by the Contractor and CT DMV.

### **14.3 Backup/Recovery**

- 14.3.1.1 Nightly Backups: The DMV systems shall have two nightly backup copies of all data files and databases in encrypted form. One copy of the backups will be sent offsite for secure storage.
- 14.3.1.2 Volume Backups: The DMV systems shall have two full volume backup copies of all disk volumes, in encrypted form, each week. One copy of the backups will be sent offsite for secure storage.
- 14.3.1.3 Audit Logs: All database systems shall have audit log files that capture before and after images.
- 14.3.1.4 Recovery Capability: All databases shall have point-in-time recovery capabilities. This means that upon any failure, the database can be recovered to the last point of consistent state.

## 14.4 Disaster Recovery / Business Continuity Plans

Disaster Recovery and Business Continuity are primarily functions performed through facilities management. However, the Proposer needs to describe how the solution enables and supports these functions.

- 14.4.1.1 Disaster Recovery Backup Site: In the event of disaster at the hosting site, application systems shall be transferred to a backup site. There shall be capabilities to restore the application systems, together with application data, to the state of previous evening when the last backup was taken.
- 14.4.1.2 Critical Business Function Timeframes: Critical business functions shall be restored within a specified number of days, to be determined during requirement gathering phase.
- 14.4.1.3 Non-critical Business Functions: Non-critical business functions shall be restored within a specified number of business days, to be determined during requirement gathering phase.
- 14.4.1.4 Disaster Recovery Plan: The Contractor shall participate in the development of a detailed disaster recovery plan, describing all backup/recovery and related procedures.
- 14.4.1.5 Disaster Recovery Tests: The Contractor shall participate in a minimum of one disaster recovery procedure for each deployment.
- 14.4.1.6 Hardware/Software Equipment: Identical or compatible hardware/software equipment shall be available at the backup site.

## 15. DoIT Standards Compliance Requirements

On July 1, 1997 the Connecticut Department of Information Technology (DoIT) was created by combining the Office of Information and Technology, a Division of the Office of Policy and Management\* (OPM), and the Bureau of Technical Services, formerly in the Department of Administrative Services. DoIT is administered by a Chief Information Officer (CIO).

DoIT responsibilities include establishing policy and direction for the appropriate, effective use of information technology (IT), designing and acquiring the state's telecommunications infrastructure, planning and implementing telecommunication systems for state agencies and supporting the IT needs of state functions by working with agencies to develop appropriate technology solutions. Services include providing operations support through CATER, the State Data Center, telecommunications services and support, application development methodology support, assisting state agencies to meet business objectives by providing technology guidance and planning support.

Conformance to Department of Information Technology Standards and Policies is an important requirement for the future DMV application system. DoIT Standards and Policies are available at the following link:

<http://www.ct.gov/doit/cwp/view.asp?a=1245&q=253976&doitNav=|>

In addition, the relevant DoIT documents are attached in Appendix E of this document.

The following are requirements for adherence to DoIT standards and guidelines:

### 15.1 DoIT Application Hosting Architecture Standards

The Application Hosting Architecture Standards provide guidelines for all applications hosted at Department of Information Technology (DoIT).

- 15.1.1.1 Application Hosting Architecture compliance: It is desirable the system will conform to the DoIT Application Hosting Architecture Standards.
- 15.1.1.2 Application Hosting Architecture approval: Where these standards cannot be met, DoIT approval shall be required before the system can be deployed and hosted at DoIT.

### 15.2 DoIT Development Guidelines for Web Based Applications

These Web Development Guidelines provide information on the State's IT architecture, including various standards and guidelines that support the state's web-based computing environments – intranet, extranet, and Internet. DoIT will not approve any procurement for products or services that would result in contravention of these guidelines.

- 15.2.1.1 Development Guidelines compliance: The system shall conform to the DoIT Development Guidelines for Web Based Applications.

### **15.3 DoIT Strategic Standards and Products**

Appendix E provides technical and product standards for applications, collaboration, data management, middleware, networking, platforms, security and systems management.

- 15.3.1.1 Strategic Standards and Products compliance: It is desirable that the system will conform to the DoIT Strategic Standards and Products.
- 15.3.1.2 Strategic Standards and Products approval: Where these products and standards cannot be met, DoIT approval shall be required.

**STATE OF CONNECTICUT  
DEPARTMENT OF INFORMATION TECHNOLOGY**

[www.ct.gov/doi](http://www.ct.gov/doi)

**REQUEST FOR PROPOSALS**

**RFP #08ITZ 0069  
Connecticut Integrated Vehicle and Licensing System  
(CIVLS) Modernization Program  
Of the  
Connecticut Department of Motor Vehicles**

Date Issued: August 1, 2008

**Schedule A - Solutions Requirements Appendices**



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## 1. Appendix A: Current Drivers application overview

### 1.1 Appendix A: Driver Credentialing related Applications

This set of application systems is responsible for driver credentials issuance. It includes the following:

| Application              | Sub Application   | Description   | Technology  |
|--------------------------|-------------------|---|---|
| <i>Digitized Imaging</i> |                   |   |   |
|                          | Digitized Imaging | Application which produces the physical License, Non-Driver Id or a Permit to the customer. It also stores and manages digitized photo images. The operations and maintenance of this application system are outsourced to a vendor. There are interfaces between the Digitized Imaging system and Driver License systems.  | Web-based, Windows 2000, based on Viisage Technologies. Software including Visual C++, Oracle database and MQSeries. Software upgrade for this system is due in 2009. |
| <i>Driver License</i>    |                   |   |   |
|                          | License Non-CDL   | This application system supports the issuance and maintenance (renew, duplicate, etc) of all non-CDL Class D driver licenses. It is an online system accessed through CICS. There are also batch components, such as renewal notices. Driver License information are stored in 2 VSAM master files. Transaction data are captured in two intermediate transaction VSAM files. These files are shared between Non-CDL and CDL license systems. | Mainframe application. Software including COBOL, CICS, Assembler, MQSeries and VSAM   |

| Application | Sub Application                        | Description  | Technology  |
|-------------|--|--|---|
|             | License CDL                            | This application system supports the issuance and maintenance (renew, duplicate, etc) of all CDL driver licenses. It is an online system accessed through CICS. There are also batch components, such as renewal notices. License information are stored in 2 VSAM master files. Transaction data are captured in two intermediate transaction VSAM files. These files are shared between Non-CDL and CDL license systems. | Mainframe application. Software including COBOL, CICS, Assembler, MQSeries and VSAM |
|             | Non Driver ID                          | This application system supports the issuance and maintenance (renew, duplicate, etc) of all Non-driver IDs. It is an online system accessed through CICS. There are also batch components, such as renewal notices. License information is stored in self-contained VSAM master files.  | Mainframe application. Software including COBOL, CICS, Assembler, MQSeries and VSAM |
|             | Learners Permit                        | This application system supports the issuance and maintenance of Learners Permits. It is an online system accessed through CICS. Permit information is stored in self-contained VSAM master files.   | Mainframe application. Software including COBOL, CICS, Assembler, MQSeries and VSAM |
|             | Out of State Permit                    | This system maintains Out-of State permits. It is "grandfathered" snf being used for data retrieval and reference purposes only. There are no new or updates on the existing data. It is an online system accessed through CICS. Permit information is stored in self-contained VSAM master files.   | Mainframe application. Software including COBOL, CICS, Assembler, MQSeries and VSAM |
|             | Commercial Driver Instructional Permit | This system maintains Commercial Driver learner's permits. It is an online system accessed through CICS. Permit information are stored in self-contained VSAM master files.  | Mainframe application. Software including COBOL, CICS, Assembler, MQSeries and VSAM |

| <b>Application</b>                | <b>Sub Application</b>    | <b>Description</b>   | <b>Technology</b>   |
|-----------------------------------|---------------------------|--|---|
|                                   | Motor Cycle Permit        | This system maintains Motor Cycle permits. It is an online system accessed through CICS. For Connecticut residents Motorcycle Permits are issued as an endorsement to driver licenses. For out-of-state residents the Permits are issued independently. This system is therefore closely coupled with the Driver License - non-CDL system. Permit information is stored in self-contained VSAM master files. | Mainframe application. Software including COBOL, CICS, Assembler, MQSeries and VSAM       |
|                                   | License Historical System | This application system creates an audit trail of all driver licensing related activities. It is invoked by all Driver License applications described here. The audit trail is captured in a VSAM file. Customized reports are created on-demand as requested by users.  | Mainframe application. Software including COBOL, CICS, Assembler and VSAM                 |
| <b><i>Driver License Exam</i></b> |                           |  |   |
|                                   | Driver License Exam       | This is a standalone batch application that creates paper-based Driver License exams in both English and Spanish. DMV's Driver License Examination operations and application systems are outsourced to an external vendor. However, this system is still used on an on-demand basis for driving school tests in some instances.   | Mainframe application. Software including COBOL   |
| <b><i>License Appointment</i></b> |                           |  |   |
|                                   | License Appointments      | This is an application for managing appointments for driver road tests. It is an online system accessed through CICS. Appointments are stored in a stand-alone VSAM master file.   | Mainframe application. Software including COBOL, CICS, Assembler, Vision Results and VSAM |

## 1.2 Appendix A: Driver History related Applications

The purpose of this set of systems is to collect and maintain a driving record of all drivers that commit a motor vehicular offense in the state of Connecticut (commercial driver, non-commercial driver, out-of-state driver, non-driver identification and learner's permits); and to monitor driving behavior and determine retraining and/or punitive actions. It includes the following:

| Application                          | Description  | Technology   |
|--------------------------------------|--|--|
| Administrative Per Se System         | This system has been mandated by the legislature. An officer acting for the Commissioner of Motor Vehicles will immediately revoke an offender's operator's license if at the time of the alleged offense the ratio of alcohol of such person was beyond that according to Connecticut law. The police documents are entered into the system through data entry and stored in a Per Se file. This system also performs administrative hearing functions - including scheduling and entering decisions. | The data entry portion of this system is based on the mainframe, the remainder of the system - scheduling of hearings, entering decisions and generating confirmation letters and reports are based on the midrange applications.  |
| Administration Per Se Hearing System | This system works in conjunction with the Administrative Per Se System. It performs administrative hearing activities including scheduling and documenting findings and outcomes.  | This is a 2-tier client/server application system. It uses Delphi, DB2 UDB and Crystal Reports (Runtime) on Windows platform. It is a thick client implementation, meaning that the application resides on the user's workstation. The database system is located on a centralized server. |
| Change-State-of-Record System        | This system receives, stores and processes the histories transmitted by old SOR (state of record) when a driver with a pointer on the CDLIS database transfers to our state, as well as requested histories from the responses of the 10-year history check . As the new SOR (state of record), the information is reviewed before it is added to the driver's record on our master database   | Mainframe based - COBOL, CICS, VSAM, Vision Results.   |

| Application              | Description   | Technology   |
|--------------------------|---|--|
| Child Safety System      | Public Act #96-257, an Act strengthening the law concerning child restraint systems. This system records and enforces training for the operators convicted of this offense. They are required to attend a child car seat safety course.   | Mainframe based - COBOL, CICS, VSAM, Vision Results. |
| Corrections System       | These systems comprise several databases that house revisions from the courts; errors to be corrected, and changes to be applied to existing data information already on file.  | Mainframe based - COBOL, CICS, VSAM, Vision Results. |
| Driver Retraining System | The Commissioner of Motor Vehicles requires any licensed motor vehicle operator who has been convicted and is a repeat offender of moving violations attend a retraining program. This system tracks all repeat offenders, and maintains class completions. Retraining is provided by contracted vendors.   | Mainframe based - COBOL, CICS, VSAM, Vision Results. |
| Operator Control System  | This system receives motor vehicular infractions or violations sent by the courts, or received electronically from other states throughout the union, and suspends and revokes licenses and privileges to operate in the state of Connecticut. If needed it sends data electronically to other states for notification. It updates the Driver History master file. It also extracts from the master file and update the Suspension file. It provides a number of CICS transactions. One (MI09) for drivers to request driving history at the branch office. One (MIR2) for police to directly retrieve driver suspension information from the Suspension File, through COLLECT. Many DMV departments - including Fiscal, CVSD and Driver Services, can update the system directly for violations through CICS transactions. | Mainframe based - COBOL, CICS, VSAM, Vision Results. |

| Application                                    | Description   | Technology   |
|--|---|--|
| Problem Driver Pointer System (PDPS)           | The Federal Highway Safety Act authorized the creation of a register (NDR) containing a central index of adverse driver information. Pointer records are created for all drivers who have had their license suspended or withdrawn and sent to the repository database. NDR would furnish the requesting jurisdiction all relevant information provided to them by the states of conviction.  | Mainframe based - COBOL, CICS, VSAM, Vision Results. |
| Restoration System                             | The purpose of this system is to restore an operator's license and/or privilege that had been suspended or revoked. The operator MUST have a restoration notice issued by the Department before they are eligible to drive.   | Mainframe based - COBOL, CICS, VSAM, Vision Results. |
| Subsequent DUI Offenders                       | This system tracks DUI offenders and maintains class completions. The court may order for such person to participate in an alcohol education and treatment program. Classes are provided by contracted vendors.   | Mainframe based - COBOL, CICS, VSAM, Vision Results. |
| Substitute SSN and Out-of-State Negates System | The Commercial Motor Vehicle Safety Act of 1986 requires that records of ALL operators of commercial motor vehicles be added to CDLIS. This includes drivers who are convicted of any offense in a CMV without a valid commercial drivers license. This system creates pointer records to be added to CDLIS. In addition to creating the pointer, the conviction of an out-of-state driver is sent to the home state or state of record. When an offense needs to be negated or rescinded, a negate record is created by the state of conviction, and sent to the home state or state of record through CDLIS | Mainframe based - COBOL, CICS, VSAM, Vision Results. |

| Application           | Description   | Technology   |
|-----------------------|---|--|
| Vendor History System | This system allows access to the driver history databases by private sector companies. DMV controls the access by assigning unique IDs and passwords. AAMVAnet provides the connectivity between the DMV and the companies or subscribers through an application known as CTDMVMVR on the AAMVAnet/Advantis product selection screen; Produces billing invoices and generates reports to facilitate random auditing of data bought and sold by these companies. | Mainframe based - COBOL, CICS, VSAM, Vision Results. |
| Work Permits System   | This system issues, deletes and revokes the work permit, which is an application for a special permit to operate a motor vehicle to and from work, while an offender's license is suspended. The work permit is a bearer document. Operation is limited to the hours specified on the document. Law enforcement has access to this system through the COLLECT network.  | Mainframe based - COBOL, CICS, VSAM, Vision Results. |



## 2. Appendix B: Current Title and Registration application overview

| Application  | Description  | Technology   |
|--------------|--|--|
| Adjudication | This self-contained application handles administrative hearing functions for all DMV actions except DUI. There are five function areas - Dealer/Repairer complaints, Driver services, Commercial Vehicle safety, Insurance compliance and International Registration Plan. Supported activities include scheduling, findings and actions on all cases. | Adjudication is a 2-tier client/server application system. It uses Delphi, DB2 UDB and Crystal Reports (Runtime) on Windows platform. It is a thick client implementation, meaning that the application resides on the user's workstation. The database system is located on a centralized server. |
| Assessors    | This application is a batch system that pulls records from the Registration Master File, and distributes them to tax towns. Tax towns use this information to assess vehicle values and send out bills for vehicle property taxes. This system runs twice a year - in October (full run) and in July (supplemental pull).                              | Assessors is a Mainframe-based application system. It uses Assembler (N.A.D.A. Module), COBOL, Dylacor DYL280 Vision, and VSAM   |

| Application                             | Description   | Technology  |
|---|---|---|
| Advanced Work Station                   | <p>AWS is a stand-alone cashiering system used extensively within DMV. Most Motor Vehicle transactions are fee based and require the support of the cashiering system. All fiscal information associated with transactions and fees is captured into the system during a session with an authorized examiner. The AWS application is loaded onto each examiner's workstation. Examiners enter the required information for a specific transaction in the appropriate business application. They then re-enter a subset of the same information into the AWS to calculate and summarize the appropriate fees and validate the transaction and payment. These fees collect and transmit to the Mainframe each night for financial reporting. Technically, the AWS operates in a client-server environment. The data can be stored either on the client workstation or on a Novell server. In today's environment, large branch offices have servers that consolidate all cashiering data in the office. Small offices, with one or two workstations often run in standalone mode with no servers.</p> | <p>Client Workstation - Windows 3.1 (migrating to Windows 98); Server - Novell 3.12 (migrating to Windows server) ; Network protocol - APTNet; Visual C 1.0.5; Panel Plus (screen design)</p>   |
| Bond Calculation                        | <p>This is an online system providing examiners in Wethersfield a tool to calculate bond value for specific vehicles.</p>   | <p>Bond Calculation is a Mainframe-based application system. It uses: CICS; COBOL; N.A.D.A.</p>   |
| Dealers and Repairers Complaints (DARC) | <p>While this system started out as a Dealer/Repairer complaint management system, it is now a multi-purpose "Case Management" system. There are four types of cases: dealer/repairer complaints, enforcement, inspection and transporter insurance. These cases are manually entered into the system. A case number is automatically created. Inspectors are assigned for the cases. Inspectors sign-on to the system to check for cases and update case status (open, close, re-</p>  | <p>DARC is a 2-tier client/server application system. It uses Delphi, DB2 UDB and Crystal Reports (Runtime) on Windows platform. It is a thick client implementation, meaning that the application resides on the user's workstation. The database system is located on a centralized server.</p> |

| Application                          | Description  | Technology   |
|--------------------------------------|--|--|
|                                      | open, in progress). Once it is determined that a hearing is needed for the cases, this system directly update Adjudication databases with the case number.   |  |
| Dealers and Repairers License (DARL) | The Dealers and Repairers License (DARL) application system tracks dealer licenses (including issuances, renewals and plates) and performs fee calculations. It provides an online and real-time interface for the Dealers and Repairs Department. Data stored in DARL updates into the Registration Master File on a weekly basis.            | DARL is a 2-tier client/server application system. It uses Delphi; DB2 UDB and Crystal Reports (Runtime) running on a Windows platform. It is a thick client implementation, meaning that the application resides under the user's workstation. The database system is located on a centralized server.        |
| Delinquent Tax                       | The system addresses the compliance issues relating to delinquent taxes. All 169 towns (and Fire Districts) send in files containing delinquent tax information. File contents are validated and then transfers into the DRIP file.  | Delinquent Tax is a Mainframe-based application system. It uses CICS; Assembler; COBOL; Dylacor DYL280 Vision and VSAM.  |
| Emissions                            | This system addresses compliance issues relating to emission regulation. A vendor (Systech) is responsible for emissions processing. This system provides extensive interfaces for data exchange with the vendor. It populates associated internal master files, and generates correspondences and reports for associated customers and users. | Emissions is a Mainframe-based application system. It uses CICS; COBOL; Dylacor DYL290 Vision; VSAM and MQSeries   |
| Flashing Light and Siren             | The Flashing Light and Siren application system manages the initial issuance and subsequent renewal of Flashing Light and Siren license permits. It is a standalone application system.  | Flashing Light and Siren is a 2-tier client/server application system. It uses Delphi, DB2 UDB and Crystal Reports (Runtime) on Windows platform. It is a thick client implementation, meaning that the application resides on the user's workstation. The database system is located on a centralized server. |

| Application                | Description   | Technology   |
|----------------------------|---|--|
| Financial Reporting System | FRS provides consolidated financial reporting capabilities for all DMV registration-related functions. It performs the following: Accumulates all DMV financial information; Provides the DMV Fiscal Unit with the ability to make adjustments; Produces paper and electronic financial reports; Provides financial reconciliation functions; Conducts research and statistical analysis; and Generates a set of data files that support the current DMV Advanced Work Stations.  | The Financial Reporting System is a Mainframe-based application system. It uses TSO; COBOL; DB2; and QMF.                            |
| Handicapped Parking Permit | This is a self-contained system used to manage the issuance of Handicapped Parking Permits. Applicants can request temporary or permanent permits at offices or through mail. These requests are processed through CICS screens. Subsequent maintenance – updates and deletions – are also managed through CICS.  | Handicapped Parking Permit is a Mainframe-based application system. It uses CICS; Assembler; COBOL; Dylacor DYL280 Vision; and VSAM. |
| Hotsheet                   | The “Hotsheet” application is an online data entry system for managing temporary cardboard plates. These temporary plates are typically used by smaller dealers. The plates are valid for 90 days. Dealers request these plates at branch offices. Branch examiners enter plates issued into the “Hotsheet” system. Deletion of these plates from the system occurs when 1. Plates expire (through a weekly batch job; 2. New plates appear in the Registration Master File; or 3. New plates issue through Wethersfield. | “Hotsheet” is a Mainframe-based application system. It uses CICS; Assembler; COBOL; Dylacor DYL280 Vision; and VSAM.                 |

| Application                   | Description   | Technology   |
|-------------------------------|---|--|
| Insurance Compliance Online   | The Insurance Compliance Online system is a Mainframe-based application that ensures registered vehicles are compliant with insurance requirements. It performs the following: -Mails letters to registrants without insurance; -Manages feedback between registrants and DMV; -Updates the DRIP file for insurance compliance; and - Updates the Registration Master File with external compliance feeds.  | The Insurance Compliance Online system is a Mainframe-based application system. It uses CICS; COBOL; Dylacor DYL280 Vision; and VSAM.  |
| Insurance Reporting           | The Insurance Reporting system is a web-based application that collects data from approximately 100 insurance companies on Connecticut registered vehicles' insurance activities. Matching of this information occurs against registration data to identify vehicles with no insurance. The insurance companies and DMV's Insurance Compliance Unit at Wethersfield access this system.   | The Insurance Reporting system is a Windows based system with a J2EE (Java 2 Enterprise Edition) application environment, utilizing the following products: -Websphere Application Server; -DB2 UDB; and - Websphere Application Developer (WSAD) development environment. |
| Internet Registration Renewal | This system allows registrants with "clean" records to renew their registrations through the Internet. These registrants receive an invitation to renew through the Internet together with an 8-digit PIN number that they enter when they access the system. This system has two components: The first component is a web environment that interacts with registrants through the Internet. DoIT now provides management and support. The system now operates under a Microsoft environment (.net, IIS, SQL Server, and others). The second environment is an extension of the current Registration Renewal system that adds to the current batch lockbox-based system to provide interaction with the web system above. | The web environment is developed and supported through DoIT. The interface component is a Mainframe-based application system: CICS; COBOL and VSAM.  |

| Application              | Description  | Technology   |
|--------------------------|--|--|
| IRP Interface            | Commercial vehicle IRP (International Registration Plan) registration activities is performed through ACS Vista. Periodically, retrieval and updates to registration information stored in the Vista system proceed into the Registration Master File.   | IRP Interface is a Mainframe-based application system: COBOL; Dylacor DYL280 Vision; and VSAM.           |
| Long Island Sound Plates | The Long Island Sound Plates application system places orders for Long Island Sound plates for customers. A customer can send a plate request to DMV. Plate processing occurs through the Registration Records department. The supervisor then enters the plate request through this system. Next, a mailing label prints for each Off-the-Shelf plate request. For customized plate requests, a faxed copy transmits to the Department of Corrections. Once receipt of the plate occurs, it proceeds to the customer via postal carrier. Once the plate is mailed, the Registration Master File receives an update to reflect the new plate information for the registration. | The Long Island Sound Plates system is a Mainframe-based application system: CICS; COBOL; and Assembler. |
| Motor Boat               | Motor Boat is a self-contained application that manages the registration of Motor Boats. All motor boats are uniquely identified by a Hull Number. Registration activities include initial and renewals. They are performed through CICS transactions. Renewals occur annually in April. Users of the system include examiners, DMV Vessel Unit, Department of Environment Protection, and State Police.   | Motor Boat is a Mainframe-based application system: CICS, COBOL; Dylacor DYL280 Vision; and VSAM.        |

| Application                         | Description  | Technology   |
|-------------------------------------|--|--|
| Motor Boat Report                   | This application system downloads data from the mainframe Motor Boat system, and provides reporting functions for Motor Boat users. The downloaded data are stored in two DB2 database tables – for active and historical Motor Boat registrations. Users sign on to this system, and invoke pre-defined Crystal Report queries to generate and print reports.   | Motor Boat Report is a 2-tier client/server application system. It uses Delphi, DB2 UDB and Crystal Reports (Runtime) on Windows platform. It is a thick client implementation, meaning that the application resides on the user's workstation. The database system is located on a centralized server |
| Online Dealers/Leasing Registration | The Online Dealers/Leasing Registration system helps selected dealers and leasing companies to perform online data entry of registration related activities, including new registration, vehicle transactions, renewals, sub-registrations, as well as other transactions. Service provision occurs through two vendors – TriVIN and CVR. These vendors offer systems that directly service the dealers and leasing companies, and access this DMV system for real-time interactions. The Online Dealers/Leasing Registration system in turn captures the registration information, and forwards for batch update to the Registration Master File and Title Master File. | Online Dealers/Leasing Registration is a Mainframe-based application system: CICS; COBOL; and VSAM.  |
| Online Registration (MI21)          | The Online Registration (MI21) application provides online registration functions for a wide range of users – including Branch examiners, Data Entry, Mail Operations, and Online Dealers/Leasing Companies. Through this system, users can perform various registration functions, including add/renew registrations, address changes, class transfers, sub-registration, as well as other transaction types.   | Online Registration (MI21) is a Mainframe-based application system. It uses CICS; COBOL; and Assembler.  |

| Application                         | Description   | Technology  |
|-------------------------------------|---|---|
| Parking Ticket Inquiry              | Sometimes, it is necessary for towns and other jurisdictions to inquire into names and addresses for given plate numbers or to follow up parking ticket violations issued to Connecticut-registered vehicles. The Parking Ticket Violations system allows towns and other vendors to submit plate numbers in batch to perform these inquiries.          | Parking Ticket Inquiry is a Mainframe-based application system. It is developed using COBOL.  |
| Parking Ticket Violations           | The Parking Ticket Violations system addresses the compliance issue of parking violations ("P" in the DRIP Files). Twenty towns in Connecticut currently participate in this program. As needed (on-demand) each town sends in a file containing parking ticket violations. This violation information transfers into the DRIP files.                   | Parking Ticket Violations is a Mainframe-based application system. It is developed using COBOL and VSAM.                                |
| Plate Confiscation                  | The Plate Confiscation (Insurance Compliance) system identifies all vehicles with plates confiscated due to insurance noncompliance. It also provides recognition to the police officer who performs this action.   | Plate Confiscation (Insurance Compliance) is a Mainframe-based application system. It uses CICS, COBOL, Dylacor DYL280 Vision and VSAM. |
| Registration Centralized Data Entry | The Registration Centralized Data Entry system is the mechanism used by the Data Entry department to input H13 data for various transactions, such as new registration, vehicle transfer, ownership change, as well as other transaction types. Once entered, the system updates the Registration Master File, and provides input for Title processing. | This is a Mainframe-based application system. It uses CICS, COBOL, Assembler, Dylacor DYL280 Vision and VSAM.                           |
| Registration Inquiry                | The Registration Inquiry system supports both internal DMV users (examiners, dealer unit, etc.) and selected external users (e.g. police, dealers). It provides an online facility to inquire into registration data using plate number, name, or VIN as search keys.   | This is a Mainframe-based application system. It uses CICS, COBOL, and VSAM.  |



| Application           | Description  | Technology   |
|-----------------------|--|--|
| Registration Refund   | Upon cancellation of a registration, a customer can get a refund if there is outstanding equity (i.e. if there is at least one year left in a 2-year registration). The request for refund comes in through the Online Registration system (MI21). The State Comptroller (through CORE-CT) receives notification and a refund check issues with subsequent distribution via mail carrier to the customer.  | This is a Mainframe-based application system. It uses CICS, COBOL, Dylacor DYL280 Vision and VSAM. |
| Registration Renewal  | For all registration renewals, the Registration Renewal system prints and sends invitation letters to registrants 60 days in advance, twice a month. The registrants mail their applications and payments to People's Bank. The bank sends the responses back in five batch files: -A regular batch that contains "clean" renewals, -A change batch that contains renewals with potential problems, -A special D batch that has delinquent taxes, parking tickets, or insurance non-compliance issues, -A special X batch that contains cases where DMV must verify before renewal, and -A Special S batch that contains cases where a piece of paper is needed to renew (e.g. IRS 2290 for vehicles over 55,000 lbs). The change batch goes to Wethersfield examiners that examine and enter the renewals through MI21, the online renewal system. The clean batch goes through the regular batch cycle of the Registration Renewal system. All other batches are handled manually by Mail Processing Unit. | This is a Mainframe-based application system. It uses CICS, COBOL, and VSAM.                       |
| Sales Tax Calculation | The Sales Tax Calculation application is an online system that provides examiners a tool to calculate sales tax for specific vehicles, up to 20 years old.   | This is a Mainframe-based application system. It uses CICS, COBOL, and N.A.D.A.                    |

| Application             | Description  | Technology   |
|-------------------------|--|--|
| Special Interest Plates | The Special Interest Plates application system places orders for Special Interest plates for customers. A customer can send a plate request to DMV. The plate request processes through the Registry Records Department. The supervisor then enters the plate request through this system. For Off-the-Shelf plate requests, a label prints to facilitate mailing. For customized plate requests, a faxed copy transmits to the Department of Corrections. Once receipt of the plate occurs, it proceeds via mail carrier to customer. Once mailed, the Registration Master File receives an update to reflect new plate information for the registration. | This is a Mainframe-based application system. It uses CICS, COBOL, and Assembler.            |
| State Police Pull       | The State Police Pull application is a batch system providing reports for ad hoc State Police queries. Police request vehicle related information on an on-demand basis. The performance of specific queries occurs against motor vehicle files, and the generation of reports occurs to satisfy these requests.   | This is a Mainframe-based application system. It uses COBOL, Dylacor DYL280 Vision and VSAM. |
| Tax Town Inquiry        | A tax town is the town of residency where a registrant pays tax. The Tax Town system is available to Connecticut towns to examine registration, delinquent tax and driver license data. Towns access this application through AAMVAnet, DoIT and DMV networks and systems. Around 15 to 20 towns participate in this activity.   | This is a Mainframe-based application system. It uses COBOL, Dylacor DYL280 Vision and VSAM. |

| Application          | Description  | Technology  |
|----------------------|--|---|
| Title                | <p>The Title application provides titling functions for a wide range of users – including the Title Department at Wethersfield, Branch examiners, Data Entry, and Mail Operations. The Titling system permits multiple types of title transactions, including new title issuance, duplicate title issuance, and title updates. Title applications received in branch locations are batch processed on a periodic basis to the Title Master Record on the DMV Mainframe. Similarly, the Title Department at Wethersfield processes applications directly from customers. Wethersfield application data update the Title Master Record daily. Once the application clears validation, title documents proceed via mail carrier to the applicant.</p> | <p>This is a Mainframe-based application system. It uses CICS, COBOL, Assembler and VSAM.</p> |
| Vanity Plate Inquiry | <p>The Vanity Plate Inquiry system is an application available on the Internet. It applies only to passenger plates. The public can enter a desired plate value, together with a plate style (standard or special interest). The system responds if this plate is available, or if it has already been issued and cannot be requested. It also provides information and forms for plate orders. This system has two components: - The first component is the web environment that interacts with the public through the Internet. Management and support comes from DoIT; - The second component is an extract program that pulls data about plates used and passes the file to DoIT.</p>  | <p>The second component is a Mainframe-based application system, using COBOL and VSAM.</p>    |

### 3. Appendix C: Current Hardware/Software/Network overview

Today's DMV applications run on two platforms - mainframe and mid-range. Both systems are hosted through Connecticut Department of IT (DoIT).

#### 3.1 Appendix C: Mainframe

The current Connecticut DMV mainframe-based systems operates at DoIT's Connecticut Administrative Technology Center (CATER) on an IBM mainframe running under an MVS/ESA environment. The DMV Mainframe Systems are written in COBOL, VISION RESULTS and contain both batch and on-line (COBOL CICS) updates. The files are a combination of VSAM KSDS, VSAM ESDS and sequential disk.

#### Hardware

The following products are currently installed at the Department of Information Technology (DoIT) Mainframe Environment:

**Computers:** IBM 2096-V03 64 bit, z/OS R1.7(Release 1.9 planned for August time frame) , 867 MIPS, 20GIG Real Storage

#### Disk Storage:

- IBM 2107 DS8100 Disk array subsystem 4TB

#### Tape:

- IBM Tape Library System with VTS and Native 3590 Support
- 64 VTS Drives and
- 30 3590-B1A Drives
- IBM 3480 Tape Drives 4
- Connectivity: IBM 3745 Communications Controller
- TCP/IP
- CISCO Routers

#### Software

Products at Department of Information Technology

#### Product Name Product Name

|                     |                         |
|---------------------|-------------------------|
| ABENDAID/CICS       | JES2                    |
| ABENDAID/MVS        | KOMAND/PACE             |
| ACF2                | L/E                     |
| AFP FONT COLLECTION | LISTCAT-PLUS            |
| APTNET              | MAILSTREAM PLUS         |
| BMC IMS UTILITES    | MQSERIES                |
| BMS/GT              | MVS/QUICKREF            |
| BOOKMANAGER/READER  | NETMASTER               |
| CA-DISK             | OGL/370                 |
| CA-1                | OMEGAMON XE CICS        |
| CA90S               | OMEGAMON XE DB2         |
| CA-DISPATCH         | OMEGAMON XE z/OS        |
| CA-JCLCHECK         | OMEGAMON XE WEBSHERE/MQ |

CA-MIM  
CA-SPOOL  
CICS/TS  
CICS/MESSAGE  
CICS/MORNING NEWS  
CODE 1 PLUS  
CONNECT/DIRECT  
CRYPTO SERV  
CYBERMATION ENCORE  
CYBERMATION WKLD MGR  
DADS  
DATA DICTIONARY FOR IMS  
DB2 FOR z/OS  
DB2/EXPAIN  
DBA-EXPERT  
DCF  
DFSMS  
DITTO/ESA  
DYNASTEP  
EASYTREV/PLUS  
EDGE  
ENCINA TOOLKIT  
EREP  
FDR/DSF  
FILEAID-DB2  
FILEAID-IMS  
FILEAID-MVS  
FILESAVE  
FOCUS  
GDDM BASE  
GDDM/PGF  
HIGH LEVEL ASSEM  
HIGH-LEVEL ASSEMBLER TOOLKIT  
HOTPRINT  
HTTP SERVER  
IBM COBOL  
IBM EXPEDITE BASE  
IMS  
IMS UTILITIES  
IOCP  
IOF  
ISPF PRODUCTIVITY TOOL  
ISPF  
JAVA2 TECH EDITION

OMEGAVIEW  
OPS/MVS  
OSA EXPRESS  
PANVALET  
PAN/ISPF  
PI AND SPECIAL FONTS  
PKZIP  
PQEDIT for MQSERIES  
POSTAL BAR CODES  
PPFA/370  
PSF  
QMF  
QUICKINDEX  
RMF  
SAS  
SMP/E  
SONORAN SANS SERIF FONTS  
SONORAN SERIF FONTS  
SPACE RECOVERY System  
SYNCSORT  
SYSTEM SSL SECLVL3  
TAO  
TCP/IP  
TIVOLI ENTERPRISE PORTAL  
TIVOLI NETVIEW  
TSO/E  
TSO/PC FILE XFER  
USCCOPY  
VIASOFT  
VIASOFT-INSIGHT  
VIASOFT-SMARTEDIT  
VISION  
VSAM-ASSIST  
VSUM  
VTAM  
XML TOOLKIT  
XPEDITER/CICS  
XPEDITER/TSO  
z/OS

### 3.2 Appendix C: Servers

#### 3.2.1 DMV Production Servers

| Computer name   | OS                | Processor                    | Ram | Raid Level | Free space                | Dell PowerEdge |
|---|-------------------|------------------------------|-----|------------|---------------------------|----------------|
| DMV-SV03-PAD<br>(Domain Controller)   | MS Server<br>2003 | Xeon 3.60GHz Dual<br>Core    | 1GB | 1          | 61GB                      | 2850           |
| DMV-SV03-SAD<br>(Domain Controller,<br>File server)                                       | MS Server<br>2003 | Xeon 3.60GHz Dual<br>Core    | 4GB | 5          | 13GB,<br>414GB,<br>157GB  | 2850           |
| DMV-SV03-WTBY-DC<br>(Domain Controller,<br>File server in<br>Waterbury)                   | MS Server<br>2003 | Xeon 3.2GHz Dual<br>Core     | 4GB | 5          | 4.5GB,<br>1.3TB,<br>460GB | 2800           |
| DMV-SV03-DOT-DC<br>(Domain Controller,<br>File Server) Disaster<br>Recovery Server at DOT | MS Server<br>2003 | Xeon 3.0GHz Dual<br>Core     | 4GB | 5          | 16GB,<br>808GB            | 2950           |
| DMV-SV04-109441<br>(DB2, Midrange<br>Application Server)                                  | MS Server<br>2003 | Xeon 3.60GHz Dual<br>Core    | 4GB | 5          | 13GB,<br>567GB,<br>16GB   | 2850           |
| DMV-SV03-109442<br>(Development Server)   | MS Server<br>2003 | Xeon 3.60GHz Dual<br>Core    | 4GB | 5          | 13GB,<br>376GB,<br>169GB  | 2850           |
| DMV-SV03-Util<br>(Windows update and<br>Utility server)                                   | MS Server<br>2003 | Xeon 3.0GHz Dual<br>Core     | 4GB | 5          | 13GB,<br>304GB            | 2950           |
| DMV-SV03-Backup<br>(Tivoli Server)  | MS Server<br>2003 | (2) Xeon 3.0GHz Dual<br>Core | 4GB | 5          | 4.8GB,<br>899GB           | 2950           |

| Computer name   | OS             | Processor              | Ram | Raid Level | Free space       | Dell PowerEdge |
|---|----------------|------------------------|-----|------------|------------------|----------------|
| DMV-SV03-PW-WETH<br>(Planet Watch server)                                   | MS Server 2003 | Xeon 3.60GHz Dual Core | 1GB | 1          | 52GB             | 2850           |
| DMV-SV03-PW-DOIT<br>(Planet Watch server in East Hartford)                  | MS Server 2003 | Xeon 3.60GHz Dual Core | 1GB | 1          | 63GB             | 2850           |
| DMV-SV03-DOT-DR1<br>(Application Server)<br>Disaster Recovery Server at DOT | MS Server 2003 | Xeon 3.0GHz Dual Core  | 4GB | 5          | 15.8GB,<br>813GB | 2950           |

### 3.2.2 DMV Development Servers

| Computer name   | OS                        | Processor              | Ram | Raid Level | Free space               | Dell PowerEdge |
|-----------------|---------------------------|------------------------|-----|------------|--------------------------|----------------|
| DMV-SV03-DSG    | MS Server 2003            | Xeon 3.60GHz Dual Core | 4GB | 5          | 12GB,<br>494GB,<br>249GB | 2850           |
| DMV-SV03-DS2    | MS Server 2003            | Xeon 3.73GHz Quad Core | 4GB | 5          | 15GB,<br>624GB           | 2950           |
| DMV-SV03-DS1    | MS Server 2003            | Xeon 3.73GHz Quad Core | 4GB | 5          | 15GB,<br>658GB           | 2950           |
| DMV-SV03-APP04D | MS Server 2003            | Xeon 3.60GHz Dual Core | 7GB | 5          | 15GB,<br>114GB           | 2650           |
| DMV-SV03-APP01D | MS Server 2003 Enterprise | Xeon 3.0GHz Dual Core  | 8GB | 10         | 16GB,<br>533GB           | 2950           |
| DMV-SV03-APP02D | MS Server 2003            | Xeon 3.0GHz Dual Core  | 8GB | 10         | 16GB,<br>533GB           | 2950           |

| Computer name                        | OS                        | Processor             | Ram | Raid Level | Free space  | Dell PowerEdge |
|--------------------------------------|---------------------------|-----------------------|-----|------------|-------------|----------------|
|                                      | Enterprise                |                       |     |            |             |                |
| DMV-SV03-APP03D                      | MS Server 2003 Enterprise | Xeon 3.0GHz Dual Core | 8GB | 10         | 16GB, 533GB | 2950           |
| DMV-SV03-DBS01D                      | MS Server 2003 Enterprise | Xeon 3.0GHz Dual Core | 8GB | 10         | 16GB, 533GB | 2950           |
| DMV-SV03-DBS02D                      | MS Server 2003 Enterprise | Xeon 3.0GHz Dual Core | 8GB | 10         | 16GB, 533GB | 2950           |
| DMV-SV03-DBS03D                      | MS Server 2003 Enterprise | Xeon 3.0GHz Dual Core | 8GB | 10         | 16GB, 533GB | 2950           |
| DMV-SV03-DSS01D                      | MS Server 2003 Enterprise | Xeon 3.0GHz Dual Core | 8GB | 10         | 16GB, 533GB | 2950           |
| DMV-SV03-MON01D                      | MS Server 2003 Enterprise | Xeon 3.0GHz Dual Core | 8GB | 10         | 16GB, 533GB | 2950           |
| DMV-SV03-SHAREP (Share Point Server) | MS Server 2003 Enterprise | Xeon 3.0GHz Dual Core | 8GB | 10         | 16GB, 533GB | 2950           |



### 3.2.3 CVSD Servers

| Computer name | OS                      | Processor             | Ram    | Raid Level | Free space                    | Dell PowerEdge |
|---------------|-------------------------|-----------------------|--------|------------|-------------------------------|----------------|
| Server2       | MS Server 2003 Standard | Xeon 3.2GHz Dual Core | 2GB    | 5          | 7.5GB,220GB, 162GB,28GB, 36GB | 2800           |
| CTDMV2        | MS Server 2000          |                       | 512 MB |            | 7.5GB, 54.6GB                 | 2400           |
| CVSD02        | MS Server 2001          |                       | 1GB    |            | 60MB, 7GB,4.7GB               | 4600           |

### 3.2.4 Other Servers

| Computer name                                 | OS     |
|---|--------|
| NTBDC01 (NT4 Backup Domain Controller)        | NT 4.0 |
| NTPDC1 ( NT4 Domain Controller)               | NT 4.0 |
| NTBDC02 (NT4 Backup Domain Controller)        | NT 4.0 |
| NTAPP01( Old NT4 Midrange Application Server) | NT 4.0 |

### 3.3 Appendix C: Network

#### Wide Area Network

The following network diagram is the physical overview of the current network infrastructure that was completed in August 2007. It describes the current network configurations for the DMV enterprise, and connections to branch offices. These networks are administered and managed through DoIT (Connecticut Department of Information Technology). The internal LANS for each DMV Branch Office is administered by DMV IST Division.

The backbone of the network is a number of dedicated OC3 Circuits (155.52 Mbps) interconnecting DoIT (where the mainframe and other servers reside) with primary DMV locations – Wethersfield and most branch offices. Other locations – including AAA and small part-time offices – are connected through dedicated T1 lines. Various network protocols flow through the network, including SNA and TCP/IP. Encrypted Cisco multi-protocol routers and switches are used to direct network traffic. Today mainframe-based applications and AWS (Advanced Workstation System) are SNA based – including LU2 3270 for CICS screens, and APTNet for AWS Novell IPX. IBM 3174 network controllers are located at all offices to manage SNA devices. Workstations at Wethersfield and Branch Offices include a mix of Windows-based PCs and fixed-function 3178-type terminals.

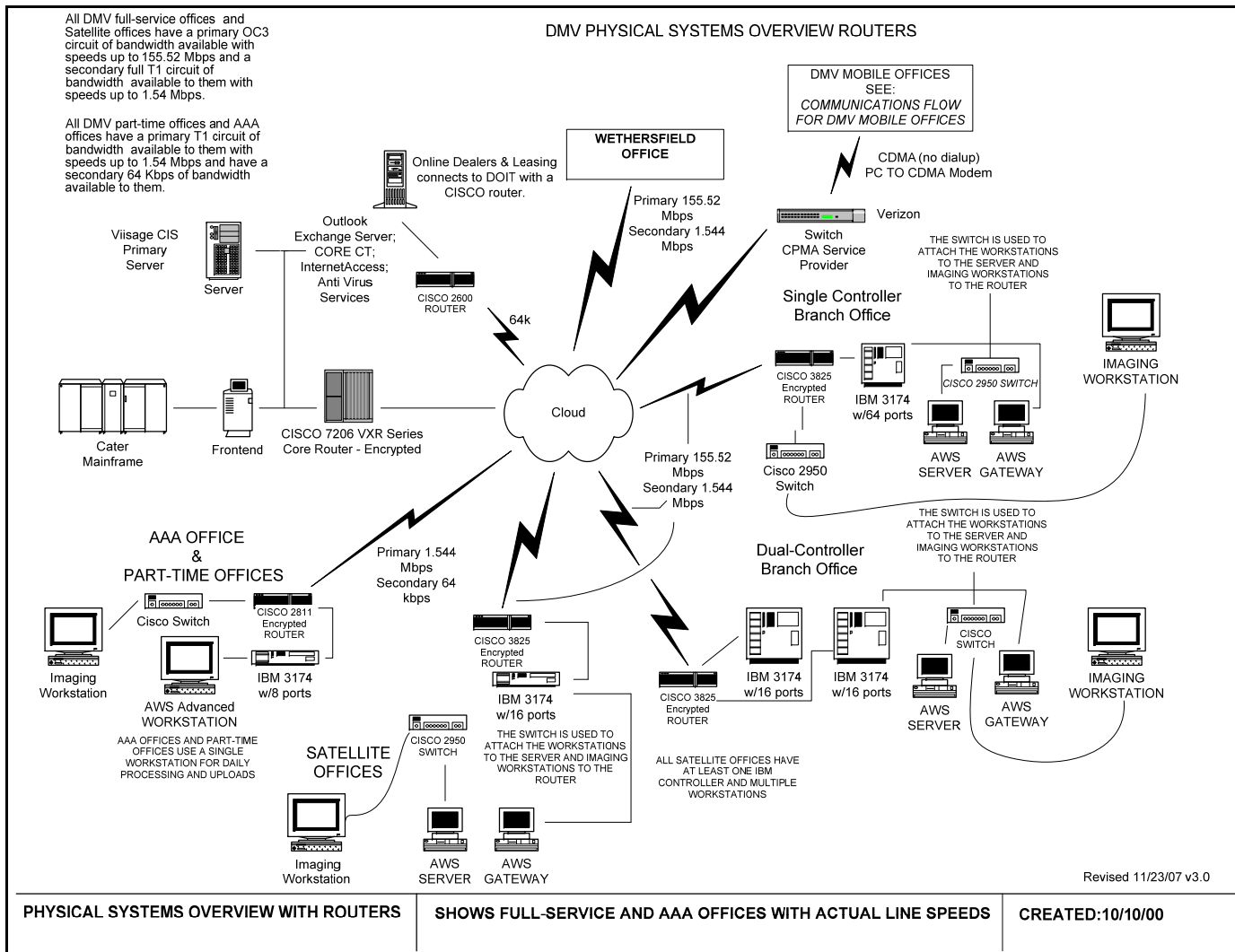
Currently there are tasks underway to upgrade the internal LAN infrastructure over the next few months. The objectives of the upgrade are:

- Increase the bandwidth of all communication links
- Migrate away from an SNA-based network, towards a more homogeneous, TCP/IP environment

To accomplish these objectives, the following activities are being planned:

- Replace all fixed-function, 3178-type terminals with Windows-based PCs
- Convert all LU2 3270 traffic to TCP/IP-based TN3270
- Migrate the AWS environment from Windows 3.1, Novell and APTNet to Windows 98, Windows Server, and TCP/IP
- Eliminate all 3174 controllers

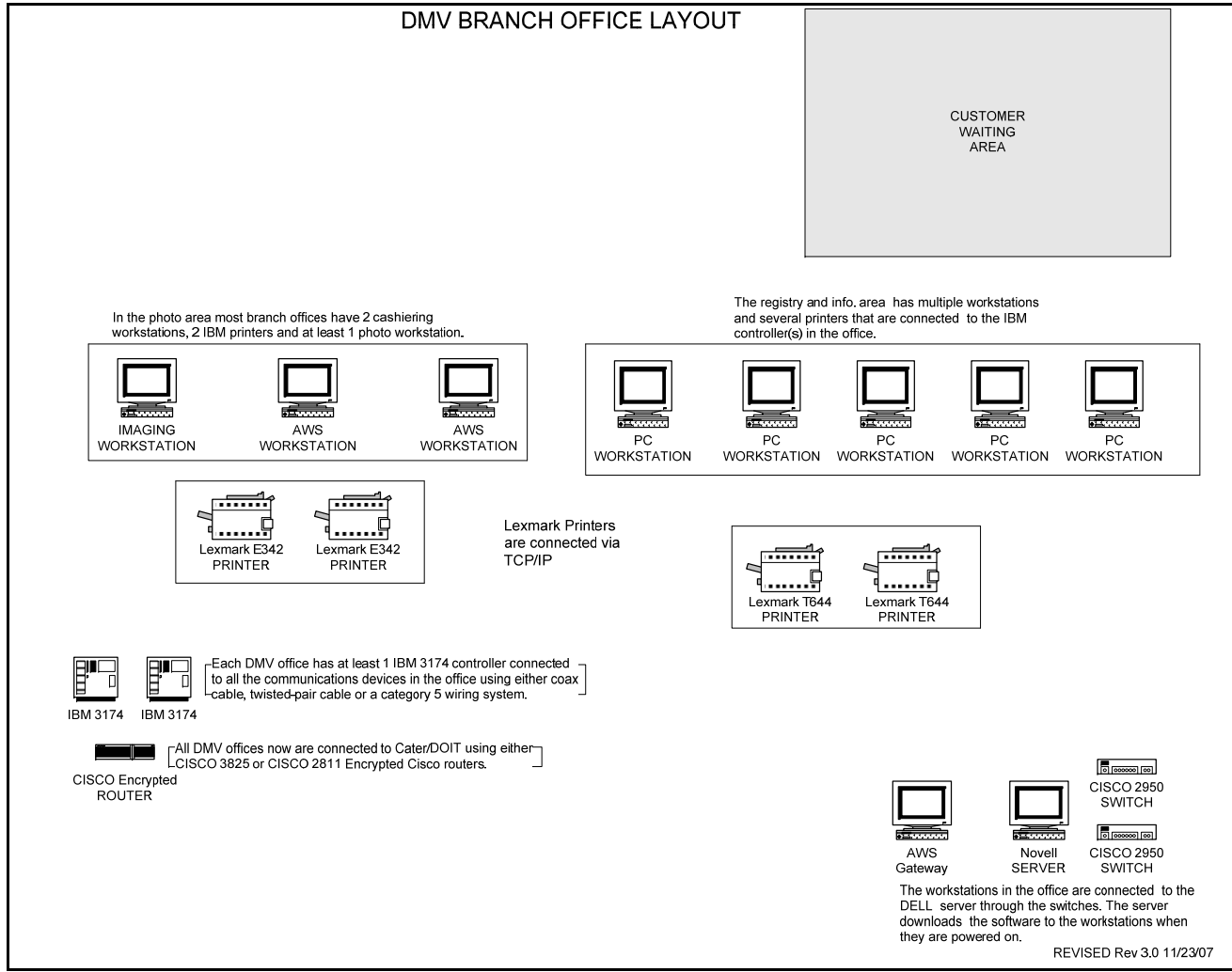
These tasks are targeted for completion by year end 2008. Once completed, the DMV network environment will be ready for future application needs – high band-width requirements (graphical user interface, multi-media data), and robust network management capabilities.



**Figure 1: Wide Area Network Overview**

## **Local Area Network**

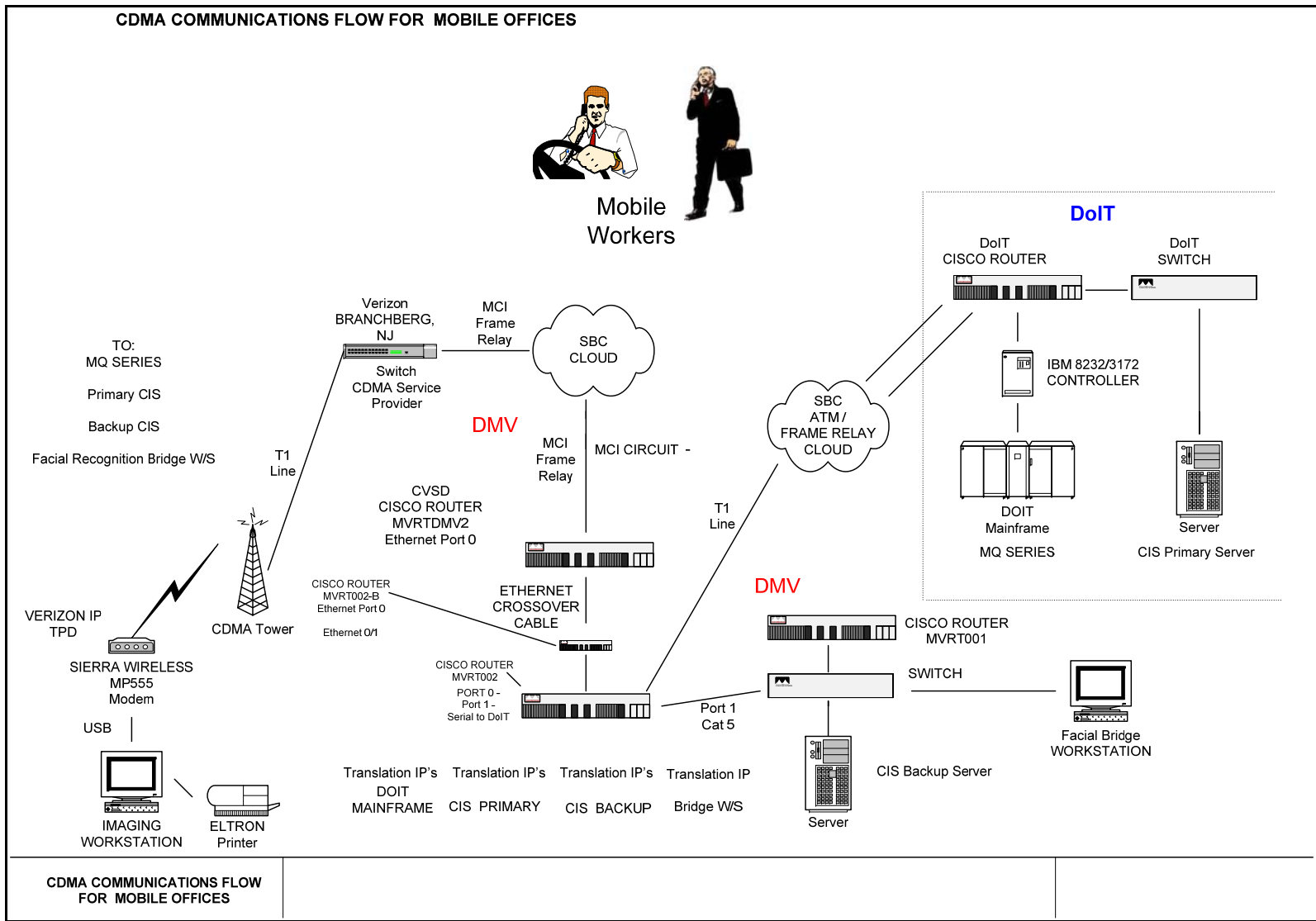
All DMV Full Service offices have a photo license area, a registry renewal area, new drivers testing area, vehicle inspection area and various background terminals and printers used to process customers' transactions. A branch office also has a bookkeeping area that processes the day's receipts. All these areas have terminals or workstations that are connected to the offices IBM SNA controllers or via TCP/IP. Viisage Photo License workstations access the mainframe data with MQ Series and connect to the DoIT mainframe and Viisage Image Server via TCP/IP. All LANs are TCP/IP connected in all the DMV Offices.



**Figure 2: Branch Overview**

## **Wireless Network**

The Connecticut DMV Commercial Vehicle Safety Division (CVSD) currently uses a CDMA (Code Division Multiple Access) network for field enforcement and inspection personnel to use when inspecting motor carriers for safety and weight violations. The DMV currently uses Verizon CDMA services that communicates with various law-enforcement applications like NCIC, NLETS, and CDLIS, and returns information back to the wireless laptop of the enforcement officer. The DMV uses the same system in their DMV mobile business offices, which will provide DMV services. The following diagram describes the wireless network environment.



**Figure 3: Wireless Network Overview**

### 3.4 Appendix C: Office Equipment

This section lists the quantities of desktop workstations, laptops and printers located at all DMV office locations. They represent best-effort estimates used for planning purposes. There are three types of office equipments:

#### 3.4.1 Appendix C: Advanced Workstation

These workstations are used for cashiering and DMV transaction functions.

|                | REGISTRY | PHOTO | GATEWAY | GENERAL | TOTAL |
|----------------|----------|-------|---------|---------|-------|
| BRIDGEPORT     | 11       | 5     | 1       |         | 17    |
| DANBURY        | 8        | 4     | 1       |         | 13    |
| ENFIELD        | 8        | 3     | 1       |         | 12    |
| HAMDEN         | 12       | 6     | 1       |         | 19    |
| NEW BRITAIN    | 9        | 5     | 1       |         | 15    |
| NORWALK        | 10       | 8     | 1       |         | 19    |
| NORWICH        | 9        | 4     | 1       |         | 14    |
| OLD SAYBROOK   | 8        | 4     | 1       |         | 13    |
| WATERBURY      | 11       | 4     | 1       |         | 16    |
| WETHERSFIELD   | 13       | 13    | 1       |         | 27    |
| WILLIMANTIC    | 7        | 3     | 1       |         | 11    |
| S-NORTHWEST    | 6        | 3     | 1       |         | 10    |
| S-PUTNAM       | 3        | 1     | 1       |         | 5     |
| S-STAMFORD     | 2        | 2     | 1       |         | 5     |
| REV ACCOUNTING | 0        | 0     | 1       |         | 1     |
| BUSES          | 0        | 0     | 0       | 1       | 1     |
| CVSD           | 0        | 0     | 0       | 1       | 1     |
| DEALERS        | 0        | 0     | 0       | 1       | 1     |
| IRP            | 0        | 0     | 0       | 1       | 1     |
| MOD            | 0        | 0     | 0       | 10      | 10    |
| REG RECORDS    | 0        | 0     | 0       | 3       | 3     |
| PHONE CENTER   | 0        | 0     | 0       | 1       | 1     |
| SUSPENSION     | 0        | 0     | 0       | 2       | 2     |



|   |   |   |    |               |            |
|---|---|---|----|---------------|------------|
| INS COMPLIANCE  | 0 | 0 | 0  | 4             | 4          |
| Marshel Unit  | 0 | 0 | 0  | 1             | 1          |
| PLCs  | 0 | 0 | 7  |               | 7          |
| AAAs  | 0 | 0 | 16 |               | 16         |
| Weth-DMV_DEPTS  | 0 | 0 | 1  |               | 1          |
| Lab/Spares/Repairs  | 0 | 0 | 0  | 7             | 7          |
|   |   |   |    | <b>TOTAL:</b> | <b>253</b> |
| All workstations have the following configurations: Dell<br>Optiplex 150, P3 933, 128mb, 20 gb HDD, Win 3.1 |   |   |    |               |            |

**3.4.2 Appendix C: Other Workstations**

These represent other general-purpose workstations. They include desktop PCs and laptops installed at headquarters and field offices.

|                                       |     | XP  | 2000 | NT | Win 98 | Win 95 |
|---------------------------------------|-----|-----|------|----|--------|--------|
| <b>Desktops</b>                       |     |     |      |    |        |        |
| Wethersfield                          | 235 | 127 | 46   | 4  | 55     | 3      |
| Waterbury (Rowland Government Center) | 109 | 95  | 12   |    | 2      |        |
| Waterbury - Emissions                 | 17  | 12  | 1    |    | 4      |        |
| Cheshire - Emissions                  |     |     |      |    |        |        |
| Emissions Tech Center                 | 18  | 18  |      |    |        |        |

|  |            | XP | 2000 | NT | Win<br>98 | Win<br>95 |
|--|------------|----|------|----|-----------|-----------|
| CVSD   | 22         | 18 |      |    | 3         | 1         |
| COLLECT  | 27         | 27 |      |    |           |           |
| Branch Data Terminal<br>(Replaced Dumb<br>terminals) | 42         | 31 |      |    | 11        |           |
| Branch Offices Mgr PC's                              | 22         | 22 |      |    |           |           |
| Branch Visa PC's (Main<br>Branch Offices)            | 12         | 12 |      |    |           |           |
| Branch Internet PC's<br>(Intranet Access)            | 14         |    |      |    | 14        |           |
| <b>TOTAL Desktops</b>                                | <b>518</b> |    |      |    |           |           |
|  |            |    |      |    |           |           |
| <b>Laptops</b>                                       |            |    |      |    |           |           |
| Wethersfield   | 51         | 48 | 3    |    |           |           |
| Waterbury Rowland<br>Government Center               | 15         | 9  | 6    |    |           |           |
| Cheshire - Emissions                                 |            |    |      |    |           |           |
| Emissions Tech center                                | 35         | 35 |      |    |           |           |
| Emissions Administration                             | 1          | 1  |      |    |           |           |
| Branches   | 48         | 48 |      |    |           |           |
| CVSD Inspectors                                      | 114        | 90 | 24   |    |           |           |
| <b>TOTAL Laptops</b>                                 | <b>264</b> |    |      |    |           |           |
|  |            |    |      |    |           |           |
| <b>TOTAL Workstations</b>                            | <b>782</b> |    |      |    |           |           |

**3.4.3 Appendix C: Printers**

These represent remote printers at all locations. They include Lexmark laser printers, with various models.

| <b><u>LEXMARK PRINTERS</u></b> |   |                            |
|--------------------------------|---|----------------------------|
|                                |   | NCIC and Branch Office     |
| <b>MODEL</b>                   |   | <b>LOCATION</b>            |
| E240                           | 6 | MEDICAL QUALIFICATIONS     |
| E332N                          | 2 | RGC - INTERNAL AUDIT       |
| E332N                          | 3 | PUBLIC ROOM                |
| E332N                          | 1 | MOD                        |
| E332N                          | 1 | INFO DESK PUBLIC ROOM      |
|                                | 7 |                            |
| E342N                          | 1 | PHOTO LICENSE WETH - NCIC  |
| E342N                          | 1 | NORTHWEST SATELLITE - NCIC |
| E342N                          | 1 | WATERBURY BRANCH - NCIC    |
| E342N                          | 1 | NORWICH BRANCH - NCIC      |
| E342N                          | 1 | WETH - PUBLIC TRANS - NCIC |
| E342N                          | 1 | CVSD DISPATCH - NCIC       |

| <u>LEXMARK PRINTERS</u> |   |                                   |
|-------------------------|---|-----------------------------------|
| E342N                   | 1 | NEW BRITAIN BRANCH - NCIC         |
| E342N                   | 1 | CVSD ANTI-THEFT - NCIC            |
| E342N                   | 1 | NORWALK BRANCH - NCIC             |
| E342N                   | 1 | STAMFORD SATELLITE - NCIC         |
| E342N                   | 1 | CVSD DISPATCH - NCIC              |
| E342N                   | 1 | WILLIMANTIC BRANCH - NCIC         |
| E342N                   | 1 | TITLE - NCIC                      |
| E342N                   | 1 | OLD SAYBROOK BRANCH - NCIC        |
| E342N                   | 1 | WETH INSPECTION STATION -<br>NCIC |
| E342N                   | 1 | DEALERS & REPAIRERS - NCIC        |
| E342N                   | 1 | HAMDEN BRANCH - NCIC              |
| E342N                   | 1 | BRIDGEPORT BRANCH - NCIC          |
| E342N                   | 1 | DANBURY BRANCH - NCIC             |
| E342N                   | 1 | ENFIELD BRANCH - NCIC             |
| E342N                   | 6 | DEALERS & REPAIRERS - NCIC        |
| E342N                   | 1 | WETH - INVESTIGATIONS - NCIC      |
| E342N                   | 1 | WETH - PUBLIC TRANS - NCIC        |
| E342N                   | 1 | RGC - INVESTIGATIONS - NCIC       |
| E342N                   | 1 | DANBURY BRANCH - NCIC             |
| E342N                   | 1 | HAMDEN BRANCH - NCIC              |
| E342N                   | 1 | ROOM 145 PHOTO LICENSE -<br>NCIC  |
| E342N                   | 1 | WETH/INFO STN.                    |
| E342N                   | 1 | TITLE                             |
| E342N                   | 1 | DEALERS & REPAIRERS               |
| E342N                   | 1 | MOD -                             |

|       |    |                                |
|-------|----|--------------------------------|
|       |    | <b><u>LEXMARK PRINTERS</u></b> |
| E342N | 1  | RGC - REG. SERVICES            |
| E342N | 5  | RGC - FISCAL                   |
|       | 42 |                                |
|       |    |                                |
| T630N | 2  | INSURANCE COMPLIANCE           |
| T630N | 4  | HAMDEN BRANCH                  |
| T630N | 1  | MIDDLETOWN PLC                 |
| T630N | 4  | NEW BRITAIN BRANCH             |
| T630N | 3  | BRIDGEPORT BRANCH              |
| T630N | 3  | DANBURY BRANCH                 |
| T630N | 1  | DERBY TRAIN STATION            |
| T630N | 3  | ENFIELD BRANCH                 |
| T630N | 7  | NORWALK BRANCH                 |
| T630N | 2  | OLD SAYBROOK BRANCH            |
| T630N | 1  | PUTNAM BRANCH                  |
| T630N | 2  | STAMFORD BRANCH                |
| T630N | 3  | WATERBURY BRANCH               |
| T630N | 2  | WILLIMANTIC BRANCH             |
| T630N | 2  | WINSTED OFFICE                 |
| T630N | 2  | RENEWALS ROOM 145              |
| T630N | 2  | RENEWALS ROOM 164              |
| T630N | 2  | PUBLIC ROOM                    |
| T630N | 2  | DRIVER SERVICES                |
| T630N | 1  | RGC                            |
| T630N | 1  | DATA ENTRY                     |
| T630N | 2  | MOD                            |

|       |    | <u>LEXMARK PRINTERS</u>           |
|-------|----|-----------------------------------|
| T630N | 1  | BOATING                           |
| T630N | 2  | PHONE CENTER                      |
| T634n | 1  | REGISTRY RECORDS                  |
| T630N | 1  | REGISTRY RECORDS                  |
| T630N | 2  | TITLE                             |
| T630N | 1  | PHONE CENTER                      |
| T630N | 1  | WATERBURY BRASS MILL              |
| T630N | 1  | DEALER ONLINE                     |
| T630N | 1  | TECH SUPPORT - Weth.              |
| T630N | 1  | IST                               |
| T630N | 1  | IST Tab Room                      |
|       | 65 |                                   |
|       |    |                                   |
| T342N | 3  | Branch - Danbury                  |
| T342N | 1  | Branch - New Milford BANK PLC     |
| T342N | 2  | Branch - Old Saybrook             |
| T342N | 4  | Branch - Norwalk                  |
| T342N | 2  | Branch - Stamford                 |
| T342N | 1  | Branch - Willimantic              |
| T342N | 2  | Branch - Norwich                  |
| T342N | 3  | Branch - Bridgeport               |
| T342N | 1  | Branch - Derby Train Station PLC  |
| T342N | 1  | Branch - Putnam                   |
| T342N | 4  | Branch - Hamden                   |
| T342N | 1  | Branch - Milford PLC              |
| T342N | 1  | Branch - Waterbury Brass Mill PLC |

|       |    |                                |
|-------|----|--------------------------------|
|       |    | <b><u>LEXMARK PRINTERS</u></b> |
| T342N | 2  | Branch - Waterbury             |
| T342N | 2  | Branch - New Britain           |
| T342N | 4  | Branch - Wethersfield          |
| T342N | 2  | Branch - Winsted               |
| T342N | 1  | Branch - Middletown PLC        |
| T342N | 3  | Branch - Enfield               |
|       |    |                                |
| T342N | 1  | AAA - Manchester               |
| T342N | 1  | AAA - Danbury                  |
| T342N | 1  | AAA - Plainville               |
| T342N | 1  | AAA - West Hartford            |
| T342N | 1  | AAA - Avon                     |
| T342N | 1  | AAA - Enfield                  |
| T342N | 1  | AAA - Cromwell                 |
| T342N | 1  | AAA - Branford                 |
| T342N | 1  | AAA - Old Saybrook             |
| T342N | 1  | AAA - Stamford                 |
| T342N | 1  | AAA - Westport                 |
| T342N | 1  | AAA - Stratford                |
| T342N | 1  | AAA - Orange                   |
| T342N | 1  | AAA - Waterford                |
| T342N | 1  | AAA - Waterbury                |
| T342N | 1  | AAA - Hamden                   |
| T342N | 4  | IST Weth                       |
|       | 60 |                                |

## 4. Appendix D: Current Interface overview

### 4.1 Appendix D: Driver Credentialing and History Interfaces

#### 4.1.1 Appendix D: Driver Credentialing Interfaces

The Mainframe-based Driver Credentialing systems are tightly coupled. It is expected that these systems will be migrated together. Internal interfaces among these systems are not reviewed.

The following interfaces are described:

- Interfaces to mainframe Driver Credentialing systems – transactional
- External Interfaces to mainframe Driver Credentialing systems - informational

**Interfaces – Transactional:** These are interfaces needed as a result of performing licensing transactions:

| Application              | Interface  | Type     | Description   |
|--------------------------|--|----------|---|
| Driver License - Non-CDL |  |          |   |
|                          | Problem Driver Pointer System (PDPS)                 | External | PDPS is accessed through AAMVA UNI on a real time basis as part of the validation process for Driver License issuance.                            |
|                          | Commercial Driver License Information System (CDLIS) | External | CDLIS is accessed through AAMVA UNI on a real time basis as part of the validation process for Driver License issuance.                           |
|                          | Social Security Online Verification (SSOLV)          | External | SSOLV is accessed through AAMVA UNI on a real time basis as part of the validation process for Driver License issuance.                           |
|                          | Driver History                                       | Internal | The Driver History master file is accessed through VSAM file retrieval as part of the validation process for Driver License issuance.             |
|                          | Digitized Imaging                                    | Internal | Driver information is passed to the Digitized Imaging system for digital photo. This is a real-time interface utilizing MQSeries.                 |
|                          | Registration   | Internal | Various Registration applications reads Driver License master file directly to retrieve name and address information using driver license number. |



| Application                              | Interface  | Type     | Description   |
|--|--|----------|---|
| <b>Driver License - CDL</b>              |  |          |   |
|  | Problem Driver Pointer System (PDPS)                   | External | PDPS is accessed through AAMVA UNI on a real time basis as part of the validation process for CDL issuance.                             |
|  | Commercial Driver License Information System (CDLIS)   | External | CDLIS is accessed through AAMVA UNI on a real time basis as part of the validation process for CDL issuance.                            |
|  | Social Security Online Verification (SSOLV)            | External | SSOLV is accessed through AAMVA UNI on a real time basis as part of the validation process for CDL issuance.                            |
|  | Transportation Security Administration (TSA) Clearance | External | TSA Clearance is accessed through AAMVA UNI on a real time basis as part of the validation process for HAZMAT CDL issuance.             |
|  | Driver History   | Internal | The Driver History master file is accessed through VSAM file retrieval as part of the validation process for CDL issuance.              |
|  | Digitized Imaging                                      | Internal | Driver information is passed to the Digitized Imaging system for digital photo. This is a real-time interface utilizing MQSeries.       |
|  | Registration   | Internal | Various Registration applications reads VSAM master file directly to retrieve name and address information using driver license number. |
| <b>Driver License - Non Driver ID</b>    | Social Security Online Verification (SSOLV)            | External | SSOLV is accessed through AAMVA UNI on a real time basis as part of the validation process for ID issuance.                             |
|  | Driver History   | Internal | The Driver History master file is accessed through VSAM file retrieval as part of the validation process for ID issuance.               |
|  | Digitized Imaging                                      | Internal | ID information is passed to the Digitized Imaging system for digital photo. This is a real-time interface utilizing MQSeries.           |
|  | Registration   | Internal | Various Registration applications reads Driver License master file directly to retrieve name and address information using ID number.   |
| <b>Driver License - Learner's Permit</b> | Social Security Online Verification (SSOLV)            | External | SSOLV is accessed through AAMVA UNI on a real time basis as part of the validation process for Permit issuance.                         |
|  | Driver History   | Internal | The Driver History master file is accessed through VSAM file retrieval as part of the validation process for Permit issuance.           |

| Application  | Interface  | Type     | Description   |
|--|--|----------|---|
|  | Digitized Imaging                                    | Internal | Driver information is passed to the Digitized Imaging system for digital photo. This is a real-time interface utilizing MQSeries. |
|  | Registration   | Internal | Various Registration applications reads VSAM master file directly to retrieve name and address information using permit number.   |
| <b>Driver License - Out of State Permit</b>                    | No interfaces  |          | There are no interfaces.  |
| <b>Driver License - Commercial Driver Instructional Permit</b> | Commercial Driver License Information System (CDLIS) | External | CDLIS is accessed through AAMVA UNI on a real time basis as part of the validation process for Instructional Permit issuance.     |
|  | Digitized Imaging                                    | Internal | Driver information is passed to the Digitized Imaging system for digital photo. This is a real-time interface utilizing MQSeries. |
|  | Registration   | Internal | Various Registration applications reads VSAM master file directly to retrieve name and address information using permit number.   |
| <b>Driver License - Motor Cycle Permit</b>                     | Digitized Imaging                                    | Internal | Driver information is passed to the Digitized Imaging system for digital photo. This is a real-time interface utilizing MQSeries. |
|  | Registration   | Internal | Various Registration applications reads VSAM master file directly to retrieve name and address information using permit number.   |
| <b>Driver License - License Historical System</b>              | No interfaces  |          | There are no interfaces except to other Driver License applications.  |
| <b>Driver License Exam</b>                                     | No interfaces  |          | There are no interfaces.  |
| <b>License Appointment</b>                                     | No interfaces  |          | There are no interfaces except to other Driver License applications.  |



**External Interfaces – Informational:** These are interfaces needed as a result of providing licensing information to external public/private sector:

| NAME   | DMV FILES  |
|--|--|
| DRS (Department of Revenue Services)                                 | Access to master files thru CATER/Batch License information every two weeks-full registration & title files quarterly  |
| DCF (Department of Children and Families)                            | Access to master files thru CATER 4/03-Private providers-given no fee Copy Records access-frequent requester program= DHR  |
| DCF/DMV (Department of Children and Families)                        | Public Act 07-224 requiring DMV to check whether an Applicant for an S or V Public Passenger Endorsement (hereinafter “Applicant”) is listed on the Central Registry of Perpetrators of Abuse and Neglect maintained by the Department of Children and Families. |
| DSS (Department of Social Services)                                  | Access to master files including Motor Boat.   |
| DMHAS (Department of Mental Health and Addiction Services)           | Driving History requests   |
| DDS (Department of Developmental Services)                           | Driving history/License check/ employees   |
| DOSR (Division of Special Revenue)                                   | Operator licensing/driver histories/registration on-line inquiry basis through COLLECT.  |
| Connecticut Tax Collectors Association                               | Registration/delinquent tax/operator license files-inquiry through on-line access  |
| DAS (Department of Administration Services)                          | Current name & address/ on-line access   |
| Division of Public Defender Services-Office of Chief Public Defender | on-line inquiry for License and registration   |

| NAME   | DMV FILES  |
|--|--|
| DOT (Department of Transportation)   | op license /driver histories/registration on-line inquiry basis thru CATER   |
| Chief State Attorney Prosecutor  | Driver Histories/Suspension, registration, Driver License, & Boat registration   |
| DPS (Department of Public Safety) - State Police COLLECT system                                  | All file info available thru communications with CATER-Driver History, License and Registration Suspension, Work Permits, CT Operator License and Non-Driver ID, Registration, Motorboat, Handicap Permits, and Title. |
| CCMC (Connecticut Children Medical Center), UCONN (University of Connecticut) School of Medicine | License file & Driving Histories   |
| Selective Service System - Federal Agency  | Names & address of males born  |
| US Department of Defense   | Names & address of M & F's born 8-1-83 through 12-31-84  |
| UCONN, Division of Business and Administration   | Registration file info- Parking Ticket Violations Agreement  |
| US District Court  | License file info for jury selection   |
| Town of Mansfield  | Registration file for Parking Tickets  |
| City of Hartford   | Registration file for Parking Tickets  |
| CT State Board of Parole   | DHR  |
| Department of Veterans Affairs   | Registration file info   |
| City of Waterbury  | Registration file for Parking Ticket Violation   |
| DPH (Department of Public Health)  | Operator Licensing and registration files annually   |
| Office of the Attorney General   | on-line access to DMV master files on CATER System   |

| NAME   | DMV FILES   |
|--|---|
| DEP (Department of Environmental Protection)                     | on-line access to MBT/ boat registration/MV registration & DL data/information upon request throughout the year 10/04/07- started receiving DMV's monthly active motorboat file-mv3901g |
| DOT (Department of Transportation)                               | on-line access to DMV master files on CATER System  |
| Office of the Secretary of the State                             | DL verification program for voter registration purposes   |
| City Of Bridgeport   | periodic request for state wide active registration (grand list)  |
| City of New Haven  | periodic request for state wide active registration (grand list)  |
| City of Danbury  | periodic request for state wide active registration (grand list)  |
| DOL (Department of Labor)  | periodic request for operator license file  |
| Social Security Administration                                   | on-line & batch SSN verification  |
| TST (Office of the State Treasurer)                              | CATER   |
| UCONN's Administration and Operations Services                   | Registration Records for Parking Ticket Inquires & Violations   |
| DRS (Department of Revenue Services)                             | Access to master files thru CATER/Batch Licensing information every two weeks- full registration & title files quarterly  |
| DEMHS (Department of Emergency Management and Homeland Security) | Periodic request for Name and Address information   |
| US Coast Guard   | Periodic request for full motor boat file   |
| Department of Treasury - IRS                                     | access to DMV records through COLLECT   |
| Connecticut State Library  | Request for access to DL file for residency verification  |
| UCONN Health Center, Center on Aging                             | ID & DL Files / N,A & DOB of individuals born thru 12/31/64   |

| NAME  | DMV FILES  |
|---|--|
| Ct Judicial Branch- Office of Chief Court Administrator | on-line inquiry thru CATER-annual request for complete Licensing Operator's file               |
| DSS (Department of Social Services)                     | request to amend to allow DL information to be used for ConnPace by third party contractor EDS |
| Greater Bridgeport Planning Authority                   | Name and Address information / Parking Ticket Inquiry  |
| State Elections Enforcement Commission                  | Request to Commissioner for access to License & registration information via CATER             |

| NAME                             | DMV FILES  |
|----------------------------------|--|
| Choicepoint                      | Driver Histories - on line & batch tape  |
| ADR                              | Driver Histories-on line - provided through AAMVAnet connection to DMV's mainframe |
| USIS Commercial Services Inc.-   | Driver Histories-on line - provided through AAMVAnet connection to DMV's mainframe |
| TML Info. Services               | Driver Histories-on line   |
| Costa                            | Driver Histories-on line - provided through AAMVAnet connection to DMV's mainframe |
| Choicepoint                      | Operator License File-3480 cartridge   |
| Complus Data Innovators          | Parking Ticket inquiries - FTP through Tumbleweed                                  |
| MVP Enterprises, LLC             | Parking Ticket inquiries/ 9 track - 3480 cartridge                                 |
| Lockheed Martin IMS              | Parking Ticket inquiries & electronic violations- FTP Tumbleweed                   |
| NetTech Solutions                | Parking Ticket inquiries FTP Tumbleweed  |
| New York State Thruway Authority | Parking Ticket inquiries-processed thru FTP  |

| NAME                                 | DMV FILES  |
|--------------------------------------|--|
| Experian Information Solutions, Inc. | Weekly Registration Transaction/ monthly title files - FTP Tumbleweed  |
| R. L. Polk                           | Weekly Registration Transaction/ monthly title files FTP- Tumbleweed   |
| iiX                                  | Driver Histories-on line - provided through AAMVAnet connection to DMV's mainframe   |
| Explore Information Services, LLC    | License operator file-21& under - FTP - Tumbleweed   |
| Info-Link Technologies               | Boat Registrations/9 track-request FTP- MB Pull from library moved to FTP 5/03- program modified to move to production & provide automated monthly file-2/05-2005 moved to tumbleweed for FTP transfer of batch file                   |
| Statistical Surveys, Inc             | Boat Registrations - FTP   |
| American Driving Records, Inc        | Driver Histories-on line   |
| Acxiom Corporation                   | Operator License File-Batch Job# MVP0153G-4/04 cannot conform to DMV/FTP policy-data processed 3480 cartridge -Sept05 moved to DMV's Tumbleweed Server for transfer of data file   |
| GMAC/FMCC<br>Deloitte                | Hard copy plate receipts   |
| New England Organ Bank               | Those who have registered as organ and tissue donors from License Operator file for a Connecticut organ donor registry-mvp0118/automated program creates add-delete file every Thursday/ zipped file sent via ftp to tumbleweed server |



| NAME                                  | DMV FILES   |
|---------------------------------------|---|
| LifeChoice Donor Services             | Same as New England Organ Bank-shared program   |
| AFL-CIO                               | FEB03-1x copy of registration file - April05-request for 1x copy of registration file |
| CarFax, Inc                           | Request for emissions data 2003/2004/2005   |
| ChoicePoint/Public Records Group      | 11/05 request for vehicle registration file   |
| Municipal Management Associates, Inc. | PTV inquiries & no fee violation program via FTP & Tumbleweed server                  |
| Softech International Inc.            | Driver Histories-on line - provided through AAMVAnet connection to DMV's mainframe    |

#### 4.1.2 Appendix D: Driver History Interfaces

There are primarily two sets of Driver History applications:

- Mainframe-based systems that include: Administrative Per Se, Change-State-of-Record, Child Safety, Corrections, Driver Retraining, Operator Control, Problem Driver Pointer System, Restoration, Subsequent DUI Offenders, Substitution SSN and Out-of-State Negates, Vendor History and Work Permits
- Server-based system that includes Administrative Per Se Hearing System

The Mainframe-based Driver History systems are tightly coupled. It is expected that these systems will be migrated together. Internal interfaces among these systems are not reviewed.

The following interfaces are described:

- External interfaces to Driver History systems
- Interface between Mainframe-based Driver History systems and Server-based Administration Per Se Hearing system

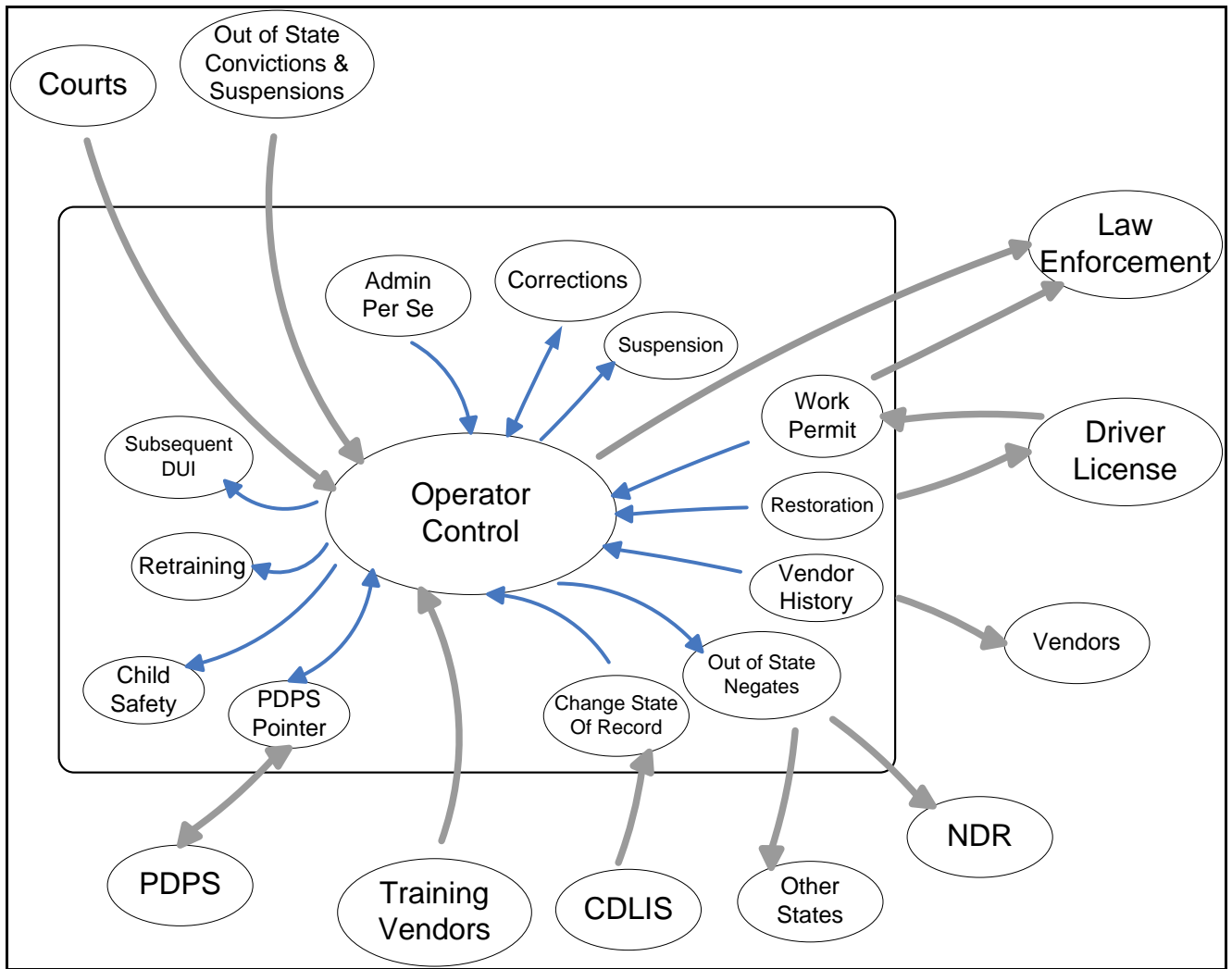


Figure 4: Driver History Interface Overview

| <b>Application</b>                          | <b>Interface</b>             | <b>Type</b> | <b>Description</b>   |
|---|------------------------------|-------------|--|
| <b>Administrative Per Se Hearing System</b> | Printed notices to offenders | External    | Each night notices are created and mailed to offenders.  |
| <b>Administrative Per Se System</b>         | Law Enforcement              | External    | Police send in reports in paper on a daily basis. These reports are manually entered into the system and update the Per Se file.   |
| <b>Administrative Per Se System</b>         | Printed notices to drivers   | External    | Each night notices are created and mailed to offenders.  |
| <b>Child Safety</b>                         | Vendors                      | External    | Vendors responsible for driver training sends non-compliant information to this system through FTP via Tumbleweed.   |
| <b>Driver Retraining</b>                    | Vendors                      | External    | Vendors responsible for driver training sends non-compliant information to this system through FTP via Tumbleweed.   |
| <b>Operator Control System</b>              | CT Courts                    | External    | The courts system creates a sequential file on the mainframe every night. It contains all closed cases on driver violations. An Operator Control system batch job runs each night to read from this file and retrieve all transactions that needs to be processed. |
| <b>Operator Control System</b>              | Law Enforcement              | External    | State Police access this system online, through COLLECT and CICS (MIR2) to retrieve suspension information.  |
| <b>Operator Control System</b>              | Printed notices to drivers   | External    | Each week a batch job prints suspension notices and sent to drivers.   |
| <b>Subsequent DUI Offenders</b>             | Vendors                      | External    | Vendors responsible for driver training sends non-compliant information to this system through FTP via Tumbleweed.   |
| <b>Vendor History</b>                       | Vendors                      | External    | Vendors (include insurance, credit, bus driving, car rental and other companies) access CICS transactions of this system through the AAMVNet/Advantis network to retrieve driver history information.  |
| <b>Work Permit System</b>                   | Law Enforcement              | External    | Police access this system through COLLECT and invoke CICS transactions. These transactions issue, revoke and delete work permits issued to offenders.  |
| <b>Administrative Per Se Hearing System</b> | Administrative Per Se System | Internal    | This system receives and sends file each night with the Administration Per Se System. It receives case numbers and court notifies information. It sends any data on Grant/Rescind of 15 day extensions.  |

| <b>Application</b>                  | <b>Interface</b>              | <b>Type</b> | <b>Description</b>   |
|-------------------------------------|-------------------------------|-------------|--|
| <b>Administrative Per Se System</b> | Administration Per Se Hearing | Internal    | This system sends and receives files each night to the Per Se Hearing system. It sends case numbers and court notice information to the Per Se Hearing system. It receives information on Grant/Rescind of 15 day extension. |

## 4.2 Appendix D: Title and Registration Interfaces

| Application                  | Interface                               | Type     | Description   |
|------------------------------|---|----------|---|
| <b>Adjudication</b>          | Dealers and Repairers Complaints (DARC) | Internal | DARC directly updates Adjudication databases with a case number, once it is determined that the case requires a hearing.  |
| <b>Assessors</b>             |   |          |   |
|                              | Registration Master File                | Internal | Assessors access this file during batch runs to retrieve information on vehicle, name and addresses.  |
|                              | N.A.D.A.                                | Internal | Assessors access the NADA (National Automobile Dealer’s Association) system during batch jobs to retrieve the estimated price of vehicles.  |
|                              | Finalist                                | Internal | Assessors access the Pitney Bowles Group 1 address package - Finalist - during batch to retrieve zip codes.   |
|                              | Tax Town Assessors                      | External | Twice a year (July, October) assessor files are transmitted to the 169 Tax Towns (primarily represented by three vendors). File transfers are performed through Tumbleweed.                                       |
| <b>Advanced Work Station</b> | Financial Reporting System (FRS)        | Internal | Each night the various AWS systems residing on servers and workstations transmit their financial data to FRS. This multi-stage file movement process transfers data from Windows to the Mainframe through APTNet. |
|                              |   |          | FRS manages and updates a number of configuration and reference tables used by AWS. On a regular basis, these table files transmit through APTNet to the AWS servers and workstations. These files include:       |
|                              |   |          | · Registration/Transaction fee tables   |
|                              |   |          | · Stamp files identifying AWS users   |
|                              |   |          | · Clock files specifying Machine IDs  |
|                              |   |          | · Registration type tables  |
|                              |   |          | · Registration subtype tables   |
|                              |   |          | · Transaction type tables   |
| · Transaction subtype tables |   |          |   |
| <b>Bond</b>                  |   |          |   |

| Application                      | Interface                | Type     | Description  |
|----------------------------------|--------------------------|----------|--|
| Calculation                      | N.A.D.A.                 | Internal | A CICS program accesses a Mainframe-based N.A.D.A. package to retrieve the estimated price of the vehicle based on VIN. From this price, the bond value calculation occurs and displays on the terminal.   |
|                                  | Registration Inquiry     | Internal | Access Registration Inquiry system to retrieve the VIN by Plate Number. Subsequent entry of the VIN into the N.A.D.A. system for each query.   |
| Dealers and Repairers Complaints | Adjudication             | Internal | This system directly updates Adjudication databases with a case number, once it is determined that the case requires a hearing.  |
| Dealers and Repairers License    |                          |          |  |
|                                  | Registration Master File | Internal | Data are stored in and accessed from a centralized database (DB2 UDB). Data is retrieved, uploaded and copied into the Registration Master File on a weekly basis.   |
| Delinquent Tax                   |                          |          |  |
|                                  | Connecticut Towns        | External | All 169 towns (and Fire Districts) submit delinquent tax information on demand through Tumbleweed. There are three types of delinquent tax information - "Put Ons", "Take Offs" and "Purge Requests". (Through a purge request, a town can request the deletion of all its delinquent tax information and can reload it through the "Put Ons" process). As part of the submission process, an email transmits to DMV to indicate the submission of a file. |
|                                  |                          |          | Each Wednesday collected delinquent tax files are accumulated, edited and saved. The Delinquent Tax Master File then receives this aggregated record. Errors, if found, are sent to the towns to be resolved. Summary Reports transmit to the towns. Files are transferred through Tumbleweed.   |
|                                  | DRIP File                | Internal | Information gathered from the towns is sent to the Delinquent Tax Master File. On a weekly basis (Thursday) a batch job runs and the DRIPE file receives an update with current Delinquent Tax information.  |
|                                  | Registration Master File | Internal | Delinquent Tax system accesses the Registration Master file during batch jobs. It is used for data validation before records are entered into the Delinquent Tax Master File.  |
|                                  |                          |          |  |
| Emissions                        | Vendor (Systech)         | External | Through a dedicated network link, Systech sends files to this system on a regular basis via FTP:   |
|                                  |                          |          | · A list of all tested vehicles is sent on a daily basis   |
|                                  |                          |          | · A list of new "late test" registrants is sent on a daily basis   |

| Application                       | Interface                   | Type     | Description   |
|-----------------------------------|-----------------------------|----------|---|
|                                   |                             |          | Through the dedicated network link, Systech accesses the Emissions system on a real-time basis to inquire into the latest emissions data. Performance of this function occurs through MQSeries that triggers an inquiry into the emissions CICS system. |
|                                   |                             |          | Through the dedicated network link, the Emissions system sends the following to Systech:  |
|                                   |                             |          | · A list, transmitted daily via FTP, of vehicles not eligible for registration renewal due to emissions compliance  |
|                                   |                             |          | · A list of all letters sent to registrants requiring emission tests on a weekly basis  |
|                                   | Registrants                 | External | Each day Emissions batch job generates and mails letters to registrants to notify requirements for emissions test.  |
|                                   | Emissions Master File       | Internal | Daily batch job updates the Emissions Master File. It is available to other systems for DRIPE compliance validation.  |
|                                   | People's Bank               | External | Late Fee payments are collected through the Bank and payment information retrieval occurs through the Lockbox file, which transmits nightly.  |
|                                   | Registration Master File    | Internal | Emissions batch and online programs access the Registration Master File to retrieve registrant and vehicle information.   |
| <b>Flashing Light and Siren</b>   |                             |          |   |
|                                   | Registration Master File    | Internal | Every two weeks the Registration Master File is sent to Flashing Light and Siren through FTP. The Registration Master File extract then becomes a vehicle registration reference table for this application.  |
| <b>Financial Reporting System</b> | Advanced Workstation System | Internal | Each night, the various AWS systems residing on servers and workstations send their financial data to FRS. This multi-stage file movement process transfers data from Windows to the Mainframe through APTNet.  |
|                                   |                             |          | FRS manages and updates a number of configuration and reference tables used by AWS. On a regular basis, these table files transmit through APTNet to the AWS servers and workstations. These files include:   |
|                                   |                             |          | · Registration/Transaction fee tables   |
|                                   |                             |          | · Stamp files identifying AWS users   |
|                                   |                             |          | · Clock files specifying Machine IDs  |



| Application                        | Interface                           | Type     | Description  |
|------------------------------------|-------------------------------------|----------|--|
|                                    |                                     |          | Registration type tables   |
|                                    | Core-CT                             | External | Each night FRS summarizes and formats financial data and transfers a file to CORE-CT, the state's integrated financial system.   |
|                                    | People's Bank                       | External | Each night People's bank creates and sends a Lockbox file with all financial transactions received from registrants.   |
|                                    | Online Dealer/ Leasing Registration | Internal | Each night, the Online Dealer/Leasing Registration system creates a file that transmits to FRS to report collections from dealers and leasing companies.   |
|                                    | Registration Renewal                | Internal | Registration payment information collected by Registration Renewal transmits to FRS through a GDG (Generation Data Group) dataset each night.  |
| <b>Handicapped Parking</b>         |                                     |          |  |
|                                    | Driver License                      | Internal | Handicapped Parking CICS transactions accesses Driver License master files to retrieve name and address data using driver license number.  |
| <b>Hotsheet</b>                    |                                     |          |  |
|                                    | Report to Towns                     | External | On a monthly basis, Hotsheet generates and distributes, through FTP, a report on all temporary commercial plates issued for the town.  |
|                                    | Registration Master File            | Internal | During weekly batch job runs, the Registration Master File is referenced to identify new plates.   |
| <b>Insurance Compliance Online</b> |                                     |          |  |
|                                    | Registrants                         | External | For registrants who are non-compliant, this system prints out various types of letters - lapse, warning, and suspension. These letters are mailed to the Registrants.  |
|                                    | Insurance Reporting System          | Internal | This system sends files once a month (2 <sup>nd</sup> Friday) to the IRS. These files transmit, via FTP, and contain all resolved insurance cases. IRS receives this file and updates its records accordingly and prepares for that month's matching process for all private passenger active registrants. |
|                                    |                                     |          | Once, every week, IRS sends files containing all registrations without insurance (30, 60, or 90 days). These files transmit via FTP to the Insurance Compliance System.  |
|                                    | DRIP                                | Internal | The update of Insurance Compliance information to the DRIPE file occurs once a week through a batch job.   |

| Application   | Interface                   | Type     | Description  |
|---|-----------------------------|----------|--|
|   | Plate Confiscation System   | Internal | On a weekly basis (Thursday), a VSAM file ("Hotfile") is created containing records identifying registrations suspended for not having insurance. The Plate Confiscation System, the Insurance System and DRIPE processing all use this file. Tumbleweed to dispense files throughout the state. |
|   | Registration Master File    | Internal | As registration status changes, the Registration Master File receives an update via online and batch processes. A batch job updates this on a weekly basis. This file is accessed for registration verification purposes.  |
|   | Titles Master File          | Internal | This file is accessed for title verification purposes.   |
|   | Driver License System       | Internal | The Driver License System is referenced for legal address if the registrant's driver license number is available.  |
|   | State Police                | External | On a weekly basis (Thursday) the "Hotfile" containing registrants suspended without insurance transmits via FTP to State Police over the Tumbleweed system. Based on this information, the police can identify vehicles with violations. Tumbleweed then dispenses files throughout the state.   |
| <b>Insurance Reporting</b>  |                             |          |  |
|   | Insurance Company           | External | On a monthly basis, insurance companies sign onto the system through a secure Internet connection (https://). They then send in files that contain vehicle insurance information.  |
|   |                             |          | Entire batch files, or individual records, can be rejected after data validation. If this happens, insurance companies are notified by email. The insurance company can correct and resubmit the file as described above.  |
|   | Insurance Compliance System | Internal | The Mainframe-based Insurance Compliance System sends files once a month (2 <sup>nd</sup> Friday) to this system through FTP. These files contain all resolved insurance cases and all active private passenger registrants.   |
| Once a month (2 <sup>nd</sup> Friday) a matching process occurs. This process identifies all registrations without insurance (30, 60 or 90 days). |                             |          |  |
|   |                             |          | Once, every week, IRS sends files containing all registrations without insurance (30, 60, or 90 days). These files transmit via FTP to the Insurance Compliance System.  |
| <b>Internet</b>   |                             |          |  |

| Application                     | Interface                         | Type     | Description   |
|---------------------------------|-----------------------------------|----------|---|
| <b>Registration Renewal</b>     | Registrant                        | External | Invitations are mailed to registrants with clean records to register through Internet. This invitation contains the web site (HTTP://DMVCT.ORG) and access information (PIN, Plate Number, Class code). Based on this information, registrants can sign onto the site managed through DoIT.           |
|                                 | DoIT Internet Registration System | External | A file transmits, via FTP, to DoIT containing necessary Internet renewal information. This file includes PIN number, Plate number, Class Code, Vehicle Description, and other information. The file transmits two times a month.  |
|                                 |                                   |          | DoIT sends a file, seven days a week, through FTP containing information on all renewals performed through the internet. The file contains Plate number, payment, and other information. Reception of the file occurs seven days a week. Once received, contents of this file are saved into 4 files: |
|                                 |                                   |          | · An Internet Lockbox file that simulates the layout of the Lockbox file from the People's Bank that loads into FRS nightly.  |
|                                 |                                   |          | · A Transaction file for logging purposes   |
|                                 |                                   |          | · An Inquiry File containing credit card confirmation number and other payment information for on-line query purposes   |
|                                 |                                   |          | · Fourth file is Internet Exam File.  |
|                                 | Registration Renewal System       | Internal | The standard Registration Renewal process uses the Internet Exam File created above as an input.  |
| <b>IRP Interface</b>            |                                   |          |   |
|                                 | ACS Vista System                  | External | Every Friday, ACS places a file on Tumbleweed. This file contains all updated IRP information processed for the week.   |
|                                 | Registration Master File          | Internal | A scheduled batch job runs every Friday. This job collects the file from ACS Vista and updates the Registration Master Transaction File with current IRP records.   |
| <b>Long Island Sound Plates</b> |                                   |          |   |
|                                 | Registration Master File          | Internal | Prior to LIS plate mailing out to customers, the Registration Master File receives an update with the new plate information. This updated is performed by a Registration Records Supervisor through CICS.   |
|                                 | Department of Corrections         | External | A batch job runs every Wednesday night. The job prints all plate orders for the past week. A fax of the output transmits to the Department of Correction to request customized LIS plates.  |
|                                 | Online Registration               | Internal | This system access Online Registration CICS transactions to retrieve registration   |

| Application                                | Interface                           | Type     | Description   |
|--|-------------------------------------|----------|---|
|  |                                     |          | information.  |
| <b>Motor Boat</b>                          | Driver License                      | Internal | Motor Boat CICS transactions accesses Driver License master files to retrieve name and address data using driver license number.  |
|  | Dept of Environmental Protection    | External | On a monthly basis a file containing all active registrations is sent to DEP through FTP and Tumbleweed.  |
|  | Motor Boat Report                   | Internal | On a monthly basis a file containing all registrations is downloaded to Motor Boat Report system.   |
| <b>Motor Boat Report</b>                   | Motor Boat                          | Internal | On a monthly basis a file containing all Motor Boat registrations is downloaded to this system. The data are loaded into DB2 tables for reporting purposes.   |
|  |                                     |          |   |
| <b>Online Dealers/Leasing Registration</b> | TriVIN                              | External | TriVIN is a vendor that provides online services to Dealers and Leasing Companies. Through "screen scraping" facilities, TriVIN accesses CICS screens of this system and performs online registration functions.                                      |
|  | CVR                                 | External | CVR is a vendor that provides online services to Dealers and Leasing Companies. Through "screen scraping" facilities, CVR accesses CICS screens of this system and performs online registration functions.  |
|  | Financial Reporting System          | Internal | A daily batch job creates a file that transmits to FRS to report collections from dealers and leasing companies.  |
|  | DRIP                                | Internal | CICS accesses the DRIP file online to check and validate DRIPE compliance. Batch jobs also access this file prior to transmission to Online Registration.   |
|  | Registration Master File            | Internal | A copy of the Registration Master File is updated with renewals twice a week (Tues/Thurs). This file is then referenced during online CICS transactions.  |
|  | Registration Centralized Data Entry | Internal | Registration transactions captured from this system reside in a transaction file. Twice a week (Tues/Thurs) eligible transactions transmit, through batch, to the Registration Centralized Data Entry System for batch processing and title issuance. |
|  | Title                               | Internal | CICS accesses the Title Master File online for references.  |
|  | Emissions                           | Internal | CICS accesses the Emissions file online to check and validate emissions compliance.   |
| <b>Online</b>                              |                                     |          |   |

| Application                   | Interface                | Type   | Description   |
|-------------------------------|--------------------------|--|---|
| <b>Registration (MI21)</b>    | Registration Renewal     | Internal   | Registration Renewal updates a Renewal Pending file. Online Registration accesses this file to update records that require synchronization, especially for compliance purposes.   |
|                               | Lockbox                  | External   | People's Bank sends payment information in batch to this system every night.  |
|                               | Registration Refund      | Internal   | If a refund requested by a registrant (plate cancellation) occurs, then records manifest in files (Registration Refund, Refund Cross-reference). MREF (Registration Refund) system reads these files to support refund-processing activities. |
|                               | Emissions                | Internal   | MI21 accesses an Emissions file containing late fees to determine if the registration requires late fee payments.   |
|                               | Special Interest Plates  | Internal   | This system access Online Registration CICS transactions to retrieve registration information.  |
|                               | Long Island Sound Plates | Internal   | This system access Online Registration CICS transactions to retrieve registration information.  |
|                               | Registration Master File | Internal   | Online Registration reads and updates this file when performing registration activities.  |
|                               | Driver Licensing         | Internal   | MI21 validates a Registrant's Driver License number against the Driver License master file.   |
|                               | DRIP File                | Internal   | MI21 accesses the DRIPE file to determine compliance status for the registrant. If there is an outstanding insurance suspension, then the registration cannot proceed. Display of other compliance issues presents on the screen.             |
|                               | Finalist                 | Internal   | MI21 use Group 1's addressing package system - Finalist - to obtain addressing information including zip code.  |
| VINA                          | Internal                 | MI21 use the VINA package occurs validate VIN numbers and obtain vehicle information.    |   |
| <b>Parking Ticket Inquiry</b> |                          |  |   |
|                               | Towns and Vendors        | External   | Towns and vendors submit list of plates to DMV for inquiry on an on-demand basis. As part of the submission process, an email transmits to DMV to serve notice of a file submission.  |
|                               |                          |  | Once processed, reports containing plates with corresponding names/addresses transmits to the towns and vendors through Tumbleweed. Output files typically transmit on Tuesdays and Wednesdays.   |
| Registration Master File      | Internal                 | Batch jobs read this file occurs to retrieve names and addresses based on plate numbers. |   |

| Application                                | Interface                           | Type     | Description  |
|--|-------------------------------------|----------|--|
| <b>Parking Ticket Violations</b>           |                                     |          |  |
|  | Connecticut Towns                   | External | Towns submit "Put Ons" and "Take Offs" of parking ticket violations by Plate Numbers on demand through Tumbleweed. As part of the submission process, an email transmits to DMV to provide notice of file submission.  |
|  |                                     |          | Once processed, the summary and detailed reports transmit to the towns through the Tumbleweed system. Any errors also transmit back to the towns for correction.   |
|  | Registration Master File            | Internal | Batch jobs access this file for input to validate names and plate numbers.   |
|  | DRIP File                           | Internal | On a weekly basis, a batch job updates the DRIPE file with current Parking Violation data.   |
| <b>Plate Confiscation</b>                  |                                     |          |  |
|  | Insurance Compliance Online System  | Internal | Every Thursday Insurance Compliance Online updates Plate Confiscation containing all registrations suspended due to insurance noncompliance.   |
| <b>Registration Centralized Data Entry</b> |                                     | Internal | The Registration Data Entry application creates a Registration Transaction file as part of the online data entry process which is used twice a week to update the Registration Master File(s)  |
|  | DMV Data Entry                      |          |  |
|  | Outside Vendor                      | External | If there is significant workload, outside vendors receive a contract to perform auxiliary data entry functions. There is a transfer of entered data to a diskette. This diskette distributes to Wethersfield via a manual process where entry of this data into the system can occur.  |
|  | Online Dealers/Leasing Registration | Internal | Dealers and Leasing Companies also perform registration data entry functions through the Online Dealers/Leasing Registration system. Transactions captured reside in a transaction file. Twice a week (Tues/Thurs) eligible transactions transmit through batch to the Registration Centralized Data Entry System for batch processing and title issuance. |
|  | VINA                                | Internal | The VINA package is referenced for VIN verification.   |
|  | Registration Master                 | Internal | Nightly registration batch jobs process Registration Collection and Pending files. Use of these inputs serves to update the Registration Master File.  |
|  | Title                               | Internal | Data Entry Title related activities are captured into a Title Application File. Every night, batch jobs from the Title application use this file as an input source and make updates to the Title Master File.   |
|  | Report for Data Entry Supervisor    | External | Data entry errors are captured in the Registration Pending File. Each night, error reports are created and transmitted to the Data Entry Supervisor for corrections.   |

| Application                      | Interface                | Type     | Description  |
|----------------------------------|--------------------------|----------|--|
|                                  | Drivers License          | Internal | The Driver License application system serves as a reference to retrieve customer related information.  |
| <b>Registration Inquiry</b>      | Registration Master File | Internal | Twice a week the Registration Master File is read, a copy is generated. Based on the copy, six files are created:  |
|                                  |                          |          | 1. Internal file indexed by Plate  |
|                                  |                          |          | 2. Internal file indexed by VIN  |
|                                  |                          |          | 3. Internal file indexed by Name   |
|                                  |                          |          | 4. External file indexed by Plate  |
| 5. External file indexed by VIN  |                          |          |  |
| 6. External file indexed by Name |                          |          |  |
|                                  |                          |          | Internal users reference the internal files, and external users reference the external ones.   |
|                                  | Bond Calculation         | Internal | Access by Bond Calculation to retrieve VIN by Plate Number.  |
|                                  | Sales Tax Calculation    | Internal | Access by Sales Tax Calculation to retrieve VIN by Plate Number.   |
| <b>Registration Refund</b>       |                          |          |  |
|                                  | Online Registration      | Internal | Online Registration creates a refund file as needed. This file processes through a batch job six nights a week to support refund processing.   |
|                                  | State Comptroller        | External | A "List" file containing payment forms images transmits to the State Comptroller via FTP on a daily basis. This file contains records processed through the Core-CT system, and can be printed by State Comptroller on demand to verify payment details. |
|                                  | Core-CT                  | External | A Core-CT refund file is created when a refund batch is created as above. This file is "pulled" to Core-CT, the state's integrated financial system.   |
| <b>Registration Renewal</b>      |                          |          |  |
|                                  | People's Bank            | External | People's Bank sends in Registration Renewal information with payment information. These files contain registration renewal information processed by the Bank throughout the day.   |
|                                  | Registrant               | External | Printed letters proceed via postal carrier to registrants. These letters include the following:  |
|                                  |                          |          | <ul style="list-style-type: none"> <li>· Invitations for renewal, including messages for compliance activities</li> <li>· Notifications of problems/errors associated with renewal application</li> </ul>  |

| Application                    | Interface                  | Type             | Description   |
|--------------------------------|----------------------------|------------------|---|
|                                |                            |                  | · Final registration documents upon successful renewal  |
|                                | DRIP file                  | Internal         | Registration renewal batch jobs reference DRIP file for compliance validation.  |
|                                | Online Registration        | Internal         | Branch examiners produce invitations and/or final documents as required by customer needs.  |
|                                | Registration Master File   | Internal         | The Registration Master File receives references and updates during batch runs.   |
|                                | Financial Reporting System | Internal         | Registration payment information transmits to the Financial Reporting System nightly through a GDG (Generation Data Group) dataset.   |
|                                | Emissions                  | Internal         | A file transmits to Emissions System nightly providing notice of any paid emissions late fees.  |
| <b>Sales Tax Calculation</b>   |                            |                  |   |
|                                | N.A.D.A.                   | Internal         | A CICS program accesses a mainframe-based N.A.D.A. package to retrieve an estimated price of the vehicle based on VIN. From this price, the sales tax calculation occurs and displays on the operator's screen.         |
|                                | Registration Inquiry       | Internal         | A Registration Inquiry CICS transaction is invoked real-time to retrieve VIN by Plate Number.   |
| <b>Special Interest Plates</b> |                            |                  |   |
|                                | Registration Master File   | Internal         | Prior to Special plates mailing out to customers, the Registration Master File receives an update with the new plate information. Performance of this transaction is by a Registration Records Supervisor through CICS. |
|                                | Department of Corrections  | External         | A batch job runs every Wednesday night. The job prints all plate orders for the past week. The output faxes to the Department of Correction to request customized Special plates.                                       |
|                                | Labels Printing            | External         | Labels print to facilitate mailing the plate to the customer.   |
|                                | Online Registration        | Internal         | This system access Online Registration CICS transactions to retrieve registration information.  |
| <b>State Police Pull</b>       |                            |                  |   |
|                                | Registration Master File   | Internal         | Twice a week, a batch job runs to extract the Registration Master File into 4 separate files:   |
|                                |                            |                  | · Japanese Vehicles   |
|                                |                            |                  | · American Vehicles   |
|                                |                            |                  | · German Vehicles   |
|                                |                            | · Other Vehicles |   |



| Application      | Interface                           | Type     | Description   |
|------------------|-------------------------------------|----------|---|
|                  | State Police                        | External | On an on-demand basis, state police request registration and vehicle information by filling in forms and sending them to DMV.   |
| Tax Town Inquiry |                                     |          |   |
|                  | Registration Master File            | Internal | This system accesses the Registration Master File and retrieves information on registrations related to the Tax Town.   |
|                  | DRIP File                           | Internal | This system accesses the DRIPE File and retrieves information on delinquent tax related to the Tax Town.  |
|                  | Driver License File                 | Internal | This system accesses the Driver License file and retrieves information on drivers related to the Tax Town.  |
| Title            |                                     |          |   |
|                  | TriVIN                              | External | TriVIN is a vendor that provides online services to Dealers and Leasing Companies. Through "screen scraping" facilities, TriVIN accesses CICS screens of this system and performs online titling data entry functions.              |
|                  | CVR                                 | External | CVR is a vendor that provides online services to Dealers and Leasing Companies. Through "screen scraping" facilities, CVR accesses CICS screens of this system and performs online titling data entry functions.                    |
|                  | Registration Centralized Data Entry | Internal | The Registration Data Entry application creates a Title Application File as part of the data entry process. This file processes nightly by Title to put data into Title Master File.  |
|                  | Title Owners                        | External | At the completion of title processing, a title prints for each owner and proceeds via mail carrier.   |
|                  | Registration Master File            | Internal | The Registration Data Entry application creates a Title Application File as part of the data entry process. This file processes nightly by Title to put data into Title Master File.  |
|                  | Title Master File                   | Internal | The Title Master File contains all DMV title information. References and updates occur as part of CICS and batch processing. There are 6 files, Files 1-5 contains old system data, and File 6 contains current title information.  |
|                  | NCIC                                | External | During batch titles processing, title applicants receive validation against the NCIC (National Crime Information Center) system. The request generates through a CICS transaction, with request information placed in a Queue File. |
|                  |                                     |          | Replies from NCIC proceed, real-time, into a Response File. The batch job queries this file for validation results from NCIC.   |

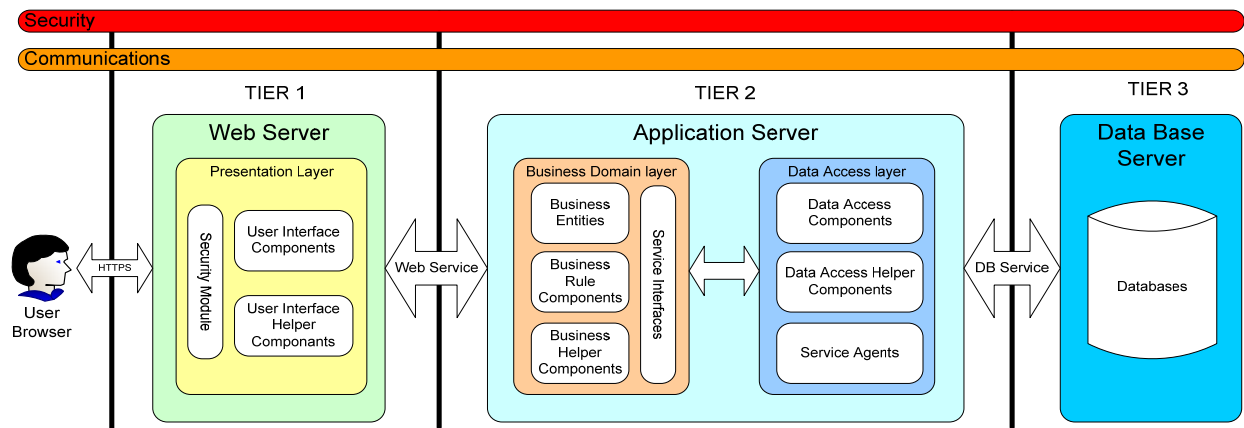
| Application          | Interface                               | Type     | Description   |
|----------------------|---|----------|---|
|                      | VINA                                    | Internal | During titles processing, the VINA package receives references for VIN verification   |
| Vanity Plate Inquiry |   |          |   |
|                      | DoIT Internet System                    | External | A file transmits, via FTP, to DoIT containing plate information on a weekly basis.  |
|                      | Registration Inquiry application system | Internal | A weekly batch job extracts data from the Registration Master File. Vanity plate related information are placed in a file and transmit to DoIT via FTP. This file is used by the Internet application to determine available vanity plates. |

## 5. Appendix E: DoIT Standards and Guidelines

### 5.1 Appendix E: Application Hosting Architecture Standards

#### Department of Information Technology (DoIT) Application Hosting Architecture Standards

- DoIT supports Microsoft ASP dot Net Framework with a SQL Database on Distributive Windows based servers or J2EE, either with Oracle Application Server and Oracle Database on Distributive Sun UNIX Platforms or IBM Websphere and UDB Database on Distributive Windows based servers
- Three Tier Logical and Physical Application Architecture will be used for Public Access Hosted Applications as depicted in the below -



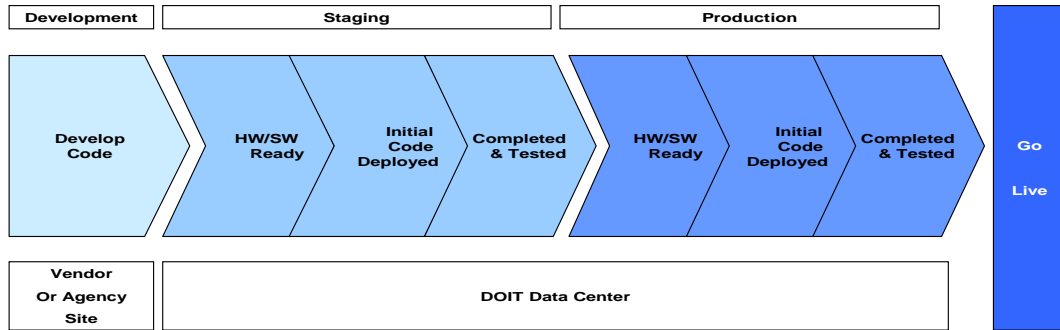
- The User's Web Browser will only talk to the presentation layers on the Web Server and the Web Server is considered the 1<sup>st</sup> Tier in the State 3 Tier model. DoIT standards do not allow any direct presentation layer access to the database
- DoIT has two network models, one for Internal State use and one for External Public access use. Any application requiring user access from both internal and external users will be standardized on an external model.
- For Microsoft dot NET - DoIT requires a separate Web Server as the presentation layer. DELL Hardware / Microsoft Windows 2003 SP2 server systems. The server specifications are determined by the Distributive Server Systems team in coordinated with the application performance needs. DoIT supports MS .Net 2.0 Framework and above, All SQL databases must be SQL 2005. Stored procedures are allowed but restricted.

- For J2EE - DoIT requires a Web Server with a Java plug-in as the presentation layer. All Web servers are DELL Hardware / Microsoft Windows 2003 SP2 server systems. DoIT supports IBM Websphere or Oracle Application Server for the Application engine. DoIT pairs JAVA Application Software with Database Software, the two models supported are - IBM Websphere Application Server with IBM UDB database or Oracle Application Server with Oracle Database.
- Secured Socket Layer (SSL) 128 bit encryption must be used for External or External/Internal combination applications. Best practice to use a certificate for the leading URL only.
- Mirrored Staging and Production environments must be used for each applications, other environments such as Training can be added at the request of the customer
- DoIT adheres to server consolidation strategies by deploying virtualization with VMWare. Virtual and shared servers are standard for staging environments. Virtual and shared servers are available in production environments if the application load and performance meets certain specifications and cost is a primary option.
- Load Balancing will only be used for extremely high volume transaction applications only and the technology will be supplied by DoIT. High Availability architecture with Load Balancing systems will only be used for applications that require true 24X7 user access such as Public Safety systems
- Application databases will be deployed on a Storage Area Network device, local disk is only used for base Operation System
- Crystal Reports software is the standard reporting software tool. Heavy reporting solutions must separate the transaction and reporting databases into two servers (Physical or Virtual depending on environment).
- Applications must use the DoIT centralized PayFlow server and software for online Credit Card processing. The DoIT development team will supply the application developer with the needed instructions on how to integrate to the PayFlow system.
- DoIT deploys a Novell Access Manager Single Sign-on solution with an HTTP proxy component of Novell Access Manager. Novell's Access Gateway is used to transform identity provider authentication and services into standard Web headers, form-fill responses and basic authentication responses. With this compatibility, Access Manager enables many existing Web applications to support the new identity standards without change.
- The DoIT application hosting team will deploy all software with hands-off guidance from the vendor application development deployment team.

Deployment instructions must be supplied by the vendor 30 days prior to installation date.

- Vendors/Agency Staff will not have any direct unsupervised access to systems or software hosted at DoIT. All deployment work will be supervised and any changes to the application code will be deployed by DoIT hosting staff.
- Vendors/Agency Staff must supply ALL documentation with regards to software deployments, configuration and ongoing support (upgrades, patches, etc)
- Applications must have integration and data flow diagrams with regard to deploying a 3 tier physical application and they must be port specific, see below -
- Application tier connection traffic should be configurable at deployment in a configuration file. This should include database connection configurations.
- All application administration functions that need to be performed by an agency staff member must be done through a web browser or application thin client.
- Vendors/Agency Staff will be able to FTP all application code to and from DoIT secured areas for initial deployment and ongoing upgrades. Vendors will have the ability to deploy and test code in staging only.
- Vendors/Agency Staff will not have remote support access, all support work will be done by DoIT hosting staff with guidance from the vendor support team
- Stress and regression test scripts and software must be used to fully test the application after any new release or upgrade and before moving from staging to production. Testing parameters will be supplied through Internal State documents for Agency user requirements.
- Vendors/Agency Staff must adhere to DoIT ITIL based change control procedures and process. DoIT deploys an ITIL Release Management process, all code must be tested in staging environment and UAT accepted before moving to production

environments



## 5.2 Appendix E: Development Guidelines for Web Based Applications

### Development Guidelines for Web Based Applications

Date: Sept 27, 2006 Version 3

#### Purpose

These Web Development Guidelines are intended to inform prospective bidders of the State's IT architecture, including various standards and guidelines that support our web-based computing environments - intranet, extranet, and Internet.

#### Background

The State has built, and is committed to maintaining a secure, cost effective computing environment capable of supporting various web pages and applications.

The State must protect its investment by ensuring that vendors develop according to the State's architecture requirements. Compliance with these standards will ensure the portability necessary to host agency applications and web pages and will also ensure the compatibility, reusability, and scalability of applications. The goal of these standards and architectures is to enhance an agency's ability to shorten development time, ensure security and reliability, and extend application longevity.

In addition to the guidelines within this document, the State has adopted a set of Conceptual Architecture Principles. These principles are intended to align technology solutions that meet the current business needs of the State. The complete list of these principles is in Appendix 1,

In sum, to make the highest and best use of the State's IT assets, these guidelines have been prepared. Compliance with the standards and guidelines shall be considered when evaluating proposals for state computer systems. The Department of Information Technology (DoIT) will not approve any procurement for products or services that would result in a contravention of these guidelines.

#### Request for Waiver

Deviation from these guidelines requires prior approval by DoIT. The existing Architecture Exception process should be used for this purpose.

#### Requirements

1. **N-tiered application development.** All Web applications shall be designed with the presentation, business logic and data layers both logically and physically separated to increase portability, scalability, re-usability and to support simplicity. This design is commonly referred to as n-tier application development architecture. The State requires the use of at least 3 logical tiers implemented as at least 3 physical security zones. These tiers are presentation, business or application logic, and data base (or data storage). As an example using a Microsoft based solution architecture this would imply an IIS web server, a separate IIS based application server (for ASP.NET, or VB.NET or C#.NET object

and application components, plus data access, and an SQL Server or other DBMS on a third server. These servers are physically located in security zones isolated from one another by firewalls. (Note: VMware partitions can be used instead of physical servers, but the traffic between the partitions must be through either hardware or software firewalls.)

2. **Technology Standards.** The State maintains a dynamic listing of current technology standards for consideration in new application and web page development. These are available on the DoIT website at the following URL:  
<http://www.ct.gov/doit/cwp/view.asp?a=1245&q=253976&doitNav=>
3. **Accessibility.** All applications and pages developed for the State must be compatible with the principles and goals contained in the electronic and information technology accessibility standards adopted by the Architectural and Transportation Barriers Compliance Board under Section 508 of the Federal Rehabilitation Act of 1973 (29 U.S.C. 749d), as amended, and with the State Accessibility guidelines developed pursuant to HEA 1926, Acts of 2001. These guidelines are listed via a link available at <http://www.access.state.ct.us/policies/accesspolicy40.html>.
4. **Hosting.** Both the logical and physical separation of the presentation, application and database layers is crucial to the State's hosting strategy. The Technical Review Board will conduct a technical evaluation of each application. This evaluation, among other reviews, will determine the appropriate location and security zone for hosting each of the presentation, application and database layers/servers. The technical evaluation will occur in the Business Requirements Analysis phase (or early in the System Design phase) of the State's System Development Methodology.
5. **Support.** Unless exempted in a RFP or an ITB, vendors are required to include a plan for ongoing application and page support. The plan shall include information regarding the appropriate technical skill sets and approximate quantity of support required. The plan shall also identify whether application support is to be conducted from within the State's network backbone or from an external source outside of the State's firewall systems which must be done using the State VPN.
6. **Security – Protocols.** Only HTTP and HTTPS traffic (port 80 and port 443) will be allowed from the client to the Presentation layer through the State's firewall systems for Internet based applications. Extranet applications must use the State VPN for communications between the client and Presentation layer. Applications requiring additional ports opened on the State's firewall systems are strongly discouraged. In all cases, no direct client access to either the Business Logic layer or Database layer will be permitted. If a specific technical solution requires that additional firewall ports be opened, then the presentation of that technical solution must include and clearly identify the advantages to the state for taking on such an additional security risk. Applications and solutions will be designed to allow for the configuration of ports utilized at implementation, however, applications and solutions will not utilize or implement dynamic allocation of ports.
7. **Security - Presentation Layer Input Validation.** Safeguards must be included in all applications to protect the State's data and technical resources. Presentation layer coding must include (at a minimum) specified user input validation checks to guard against unauthorized access. Appendix 2 provides detail of specific presentation layer input validation guidelines.



8. **Security – Web Authentication.** The State’s direction is to allow users to input the same username and password to access different services. This strengthens the State’s goal of providing a common look and feel environment in which users perceive they are interacting with State government as a whole, as opposed to many agencies and departments individually. The State has adopted a single sign-on solution utilizing Novell eDirectory and iChain products.  
The use of a secondary or alternate sign-on process is not allowed. All agency-specific secondary sign on processes are in addition to, not in lieu of, the above mentioned authentication products. Multiple factor authentication is also allowed as a complement to the single sign-on solution. The use of Active Directory for authentication is limited to Exchange, legacy support and file and print scenarios.  
A formal set of more complete guidelines has been developed and is available.
9. **Security Review.** The State reserves the right to test all applications from a security perspective and require that any vulnerabilities identified by such testing be subject to remediation. Testing will occur prior to implementation and may occur post implementation (possibly on a recurring basis).
10. **Documentation.** All system architectures, applications and application components will be documented at a level sufficient to allow for individuals other than the original developer(s) to maintain, support and enhance the application solution. Additional information and guidance on documentation will be provided in the near future as part of the State's System Development Methodology. (See item 13 below for additional documentation requirements).
11. **Source Code.** The State retains the right to review application source code prior to implementation and while in production status.
12. **Development, Test and Production Servers, Monitoring and Logging.** All web-based applications must be tested in an appropriate n-tiered environment to ensure compatibility, reliability and reasonable performance under load while operating in the State's production environment. It is anticipated that the sophistication and completeness of the testing environment, tools and procedures will be proportional to the size and complexity of the target system. The test environment configuration, tools and procedures will be presented to the agency and the production hosting organizations for review and approval. Applications in development or test status will not be permitted on production servers.
13. **Disaster Backup and Recovery (DBAR).** All critical applications will be designed with Disaster Recovery and Business Continuity in mind. The planning and documentation of such critical applications will include the necessary DBAR content.

### 5.3 Appendix E: Technical and Product Standards

6/4/08

Applications

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| <b>APPLICATIONS</b>  |   |
|--|---|
| <b>Technical Standards</b>                                   |   |
| <b><i>Client Interface Standards (Presentation tier)</i></b> |   |
|  | Web Browser User Interface  |
|  | PDA - Microsoft Mobil 5.0   |
| <b><i>Standard Business Tier Languages</i></b>               |   |
|  | COBOL LE  |
|  | JAVA (J2EE 1.4 SDK) for use with WebSphere 6.0 (for new projects)               |
|  | J2EE 1.3 SDK for use with WebSphere 5.1 (for "legacy" application support only) |
|  | VB 2005 (for new projects)  |
|  | VB.NET 2003 (for "legacy" application support only)                             |
|  | ASP.NET 2003  |
|  | .NET Framework 3.0  |
|  | .NET Framework 2.0  |
|  | .NET 1.1 for "legacy" application support only)                                 |
| <b><i>Inter/Intra Application Communication</i></b>          |   |
|  | SOAP ver 1.2  |
|  | XML ver 1.0 / 1.1   |
|  | W3C XML Schema ver 1.1  |
|  | XSLT 1.1  |
|  | XPath 1.0   |
| <b><i>Web Development Standards</i></b>                      |   |
|  | ASP.NET 2005  |
|  | HTML 4.0  |
|  | Java Server Pages / Servlets  |
|  | JavaScript (limited client side edits, dynamics)                                |
| <b>Product Standards</b>                                     |   |
| <b><i>Software Development Kits (SDKs)</i></b>               |   |
|  | SUN J2EE 1.4 SDK (JAVA)   |
|  | Microsoft .NET 1.1 SDK  |
| <b><i>Integrated Development Environments (IDEs)</i></b>     |   |
|  | Borland JBuilder Enterprise 2006 (JAVA)   |
|  | Visual Studio 2005 (note: this does not include the Team version)               |
|  | Blue Sky RoboHelp (Help file creation)  |
| <b><i>Configuration (Source Code) Management</i></b>         |   |
| <b>Mainframe</b>   |   |
|  | HCM (IBM)   |
| <b>.NET</b>  |   |
|  | Microsoft Visual SourceSafe 6.0c  |
| <b>JAVA</b>  |   |
|  | left blank  |

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| <b>APPLICATIONS</b> |  |
|---------------------|--|
|                     | <b>Code Analysis Tools</b>                                     |
|                     | left blank   |
|                     | <b>Object Modeling Tools</b>                                   |
|                     | JAVA   |
|                     | left blank   |
|                     | .NET   |
|                     | Visual Modeler (part of Visual Studio 2005)                    |
|                     | <b>Enterprise Reporting / Structured Information Delivery</b>  |
|                     | Mainframe  |
|                     | QMF (Mainframe only)   |
|                     | Server Based   |
|                     | Crystal Professional 11  |
|                     | MS SQL Server Report Services 2005 (.NET only)                 |
|                     | <b>Ad Hoc Query/Analysis</b>                                   |
|                     | Mainframe  |
|                     | QMF  |
|                     | Server Based   |
|                     | left blank   |
|                     | Desktop  |
|                     | SAS  |
|                     | <b>Online Analytical Processing (OLAP)</b>                     |
|                     | left blank   |
|                     | <b>Geographic Information Systems (GIS)</b>                    |
|                     | ESRI ArcGIS Desktop 8.x (Includes ArcView 8.x and ArcInfo 8.x) |
|                     | Intergraph GeoMedia Professional 5.x (limited)                 |
|                     | ESRI ArcPad 8.x  |
|                     | ESRI ArcIMS 4.x  |
|                     | <b>Standard Project Management Tools</b>                       |
|                     | MS Project (individual)  |
|                     | <b>Application Coding Standards</b>                            |
|                     | JAVA   |
|                     | left blank   |
|                     | VB.net   |
|                     | Visual Basic .2005 (for new projects)                          |
|                     | VB.NET 2003 (for "legacy" application support only)            |
|                     | <b>Video Media Content Creation</b>                            |
|                     | Live Broadcast   |
|                     | Microsoft Media Encoder ver. 9                                 |
|                     | <b>Mixed PowerPoint and Video</b>                              |
|                     | Microsoft Producer for PowerPoint 2003                         |

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| <b>Collaboration</b>                       |   |
|--|---|
| <b>Technical Standards</b>                 |   |
| <b>Protocols</b>                           |   |
|  | SMTP 3.0  |
|  | MIME  |
|  | LDAP  |
|  | XML 1.0 3rd Edition   |
|  | Novell DirXML   |
| <b>Product Standards</b>                   |   |
| <b>E-Mail; Calendar Sharing/Scheduling</b> |   |
| <b>Server Products</b>                     |   |
|  | Exchange 2005   |
| <b>Client Products</b>                     |   |
|  | Outlook 2003  |
|  | Outlook Web Access 2003   |
| <b>Extended Collaboration</b>              |   |
|  | Exchange 2003 (routing of documents)                                    |
|  | FileNet P8 Document Management  |
|  | FileNet P8 IDM & Desktop Capture  |
|  | Traction 3.x (Threaded discussions and blogs)                           |
| <b>Process Management</b>                  |   |
|  | FileNet P8 Workflow   |
| <b>Directory Services</b>                  |   |
|  | Active Directory - Mail Account Mgmt for Exchange 2005                  |
|  | Active Directory - Win2003 Server file and print services               |
|  | NDS e-directory ver 8.9 (for web authentication and for single sign-on) |
| <b>Secure E-Mail and FTP</b>               |   |
|  | Tumbleweed MailGate (updated version of Tumbleweed)                     |
| <b>Other Standards</b>                     |   |
| <b>Web Related</b>                         |   |
|  | DSF Portal Management 2.x   |
|  | Web Accessibility Standards - 508 compliant                             |
| <b>Office Productivity</b>                 |   |
|  | MS Office XP (2003)   |

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| <b>Data Management</b>               |                                       |
|--------------------------------------|---------------------------------------|
| <b>Data Base Products</b>            |                                       |
| <b>Mainframe</b>                     |                                       |
|                                      | IBM DB2                               |
| <b>Server Based Products</b>         |                                       |
|                                      | ORACLE VER 10                         |
|                                      | SQL Server 2005                       |
|                                      | SQL Server 2000 (legacy support only) |
|                                      | IBM DB2 (UDB)                         |
| <b>GIS Data Base (Specialty)</b>     |                                       |
|                                      | ESRI ARCSDE                           |
|                                      | ESRI GEO DB                           |
| <b>Desktop</b>                       |                                       |
|                                      | MS Access 2002/2003 (Personal use)    |
|                                      | SAS                                   |
| <b>Tools</b>                         |                                       |
| <b>Data Modeling Tools</b>           |                                       |
|                                      | ERWIN                                 |
| <b>Database Management</b>           |                                       |
|                                      | left blank                            |
| <b>Database Back-up and Recovery</b> |                                       |
| <b>"Batch"</b>                       |                                       |
|                                      | DB2 UTILITIES                         |
|                                      | ORACLE UTILITIES                      |
|                                      | IMPORT/ EXPORT                        |
|                                      | SQL SERVER UTILITIES                  |
| <b>"Live Backup"</b>                 |                                       |
|                                      | Tivoli Storage Manager 5.2            |
|                                      | EMC Agent                             |
| <b>ETL (Extract Transform Load)</b>  |                                       |
| <b>Mainframe</b>                     |                                       |
|                                      | INFORMATICA                           |
| <b>Server Based</b>                  |                                       |
|                                      | left blank                            |
| <b>Data Dictionary/Repository</b>    |                                       |
|                                      | left blank                            |
| <b>Data Base Middleware</b>          |                                       |
| <b>Language/Product Specific</b>     |                                       |
|                                      | ADO dot NET (2003)                    |
|                                      | DB2 CONNECT-DRDA                      |
|                                      | JDBC ver 2.1                          |
| <b>Generic</b>                       |                                       |
|                                      | ODBC 3.x                              |
|                                      | OLE DB                                |

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| <b>MIDDLEWARE</b>                |                                |
|----------------------------------|--------------------------------|
| <b>Technical Standards</b>       |                                |
| <b>Interface / Transport</b>     |                                |
| Protocols/APIs                   |                                |
|                                  | ODBC 3.x                       |
|                                  | JDBC ver 2.1                   |
|                                  | AMI (IBM)                      |
|                                  | OLE DB                         |
|                                  | MSMQ API                       |
|                                  | XPath 1.0                      |
| <b>Messaging Format</b>          |                                |
|                                  | SOAP 1.2                       |
|                                  | XML 1.0 / 1.1                  |
|                                  | EDI X12                        |
|                                  | UDDI v 2.0 / 3.0               |
| <b>Object Oriented</b>           |                                |
| RPC/API                          |                                |
|                                  | OMG/CORBA                      |
|                                  | RMI over IIOP (Sun)            |
| <b>JAVA</b>                      |                                |
|                                  | JTS ver. 1.0                   |
|                                  | EJB (J2EE 1.4)                 |
|                                  | J2EE 1.4                       |
| <b>.NET</b>                      |                                |
|                                  | DNA/DCOM+ (Microsoft)          |
|                                  | .NET (Microsoft)               |
| <b>Product Standards</b>         |                                |
| <b>TP Monitors</b>               |                                |
|                                  | IBM TX Series (CICS)           |
|                                  | Microsoft MTS                  |
|                                  | JTS ver. 1.0                   |
| <b>Terminal Emulation (3270)</b> |                                |
| <b>Server Based</b>              |                                |
|                                  | IBM WebSphere Host Publisher   |
| <b>Personal Computer Based</b>   |                                |
|                                  | Basic: MochaSoft TN3270 (FREE) |
|                                  | Advanced: Seagull BlueZone     |

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| <b>MIDDLEWARE</b>      |  |
|------------------------|--|
|                        | <b><i>Messaging</i></b>  |
|                        | WebSphere MQ V5.2 (IBM)  |
|                        | <b><i>Application Integration</i></b>  |
|                        | <b>Integration Servers</b>   |
|                        | Oracle 10iAS Application Server (for Oracle only environments)                 |
|                        | Oracle 9iAS Application Server (for Oracle only environments)                  |
|                        | IBM WebSphere 6.0 (for new projects)   |
|                        | WebSphere 5.3 for "legacy" application support only (limited support timeline) |
|                        | <b>Integration Software</b>  |
|                        | WebSphere Message Broker   |
|                        | .NET (Microsoft)   |
|                        | <b>DBMS Middleware</b>   |
|                        | left blank   |
|                        |  |
| <b>Other Standards</b> |  |
|                        | <b><i>Message Definitions</i></b>  |
|                        | XSL 1.0 (XSL-FO)   |
|                        | EDI X12  |
|                        | EDI UN/EDIFACT   |
|                        | XLT 1.0  |
|                        |  |

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| <b>NETWORKING</b>                                  |   |
|--|---|
| <b>Technical Standards</b>                         |   |
| <b>Cabling</b>                                     |   |
|  | Twisted Pair Category 5E UTP                    |
|  | Twisted Pair Category 6 UTP                     |
|  | Category 6E UTP                                 |
|  | Fiber - Multimode 62.5db                        |
| <b>Protocols LAN</b>                               |   |
|  | Link layer access protocol, Ethernet IEEE 802.3 |
|  | TCP/IP  |
|  | Wireless LAN IEEE 802.11g Wireless LAN          |
|  | 100BaseT  |
|  | 1000BaseT                                       |
| <b>Protocols WAN</b>                               |   |
|  | TCP/IP  |
|  | Link layer access protocol, Ethernet IEEE 802.3 |
|  | Domain Name System (DNS)                        |
|  | SSL ver 3                                       |
|  | VPN Nortel/Secure Dynamics                      |
|  | ATM   |
|  | Frame Relay                                     |
|  | ISDN  |
|  | ADSL  |
|  | EIGRP   |
|  | BGP (Border Gateway Protocol)                   |
| <b>Wireless cellular telephone communications.</b> |   |
|  | TDMA  |
|  | CDMA  |
|  | CDPD  |
|  | GSM)  |
| <b>VIDEO</b>                                       |   |
| <b>Network Protocols</b>                           |   |
|  | ITU H.320 (audio)                               |
|  | ITU H.323 interoperability standards            |
| <b>CODECs</b>                                      |   |
|  | MPEG2   |
|  | WMV 9   |

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|  |                                   |
|--|-----------------------------------|
| <b>Private Branch Exchange (PBX)</b>         |                                   |
| Protocols                                    |                                   |
|  | ISDN PRI compatibility            |
|  | Analog services compatibility     |
|  | T-1 compatibility                 |
| Telephony                                    |                                   |
|  | Session Initiation Protocol (SIP) |
| <b>Fibre</b>                                 |                                   |
|  | Fibre Channel 2.0                 |
| Protocols - Storage                          |                                   |
|  | FICON                             |
|  | SCON                              |
| File Access                                  |                                   |
|  | SFIS                              |
|  | NFS                               |
| <b>Product Standards</b>                     |                                   |
| <b>Routers</b>                               |                                   |
|  | CISCO                             |
| <b>HBAs</b>                                  |                                   |
|  | Emulex LP10000 (PCI-x 1.0)        |
|  | Emulex LP11000 (pci-x 2.0)        |
|  | Emulex LP9802 (legacy support)    |
| <b>Fibre Switches (for SAN connectivity)</b> |                                   |
| Edge Switches                                |                                   |
|  | Brocade 3850 v5.0.3a              |
|  | Brocade 2900 v3.2.1               |
| Director Switch                              |                                   |
|  | Brocade 24000 v5.2.1a             |
| <b>Other Standards</b>                       |                                   |
| <b>Remote Monitoring</b>                     |                                   |
|  | Cricket 1.0.5                     |

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| <b>PLATFORMS</b>                            |  |
|---|--|
| <b>Technical Standards</b>                  |  |
| <b>Mainframe</b>                            |  |
|   | IBM Z-Series   |
| <b>Mid-Range</b>                            |  |
|   | SUNFire 440  |
|   | IBM P-Series 6xx   |
| <b>Application Server</b>                   |  |
|   | DELL PowerEdge 1950, 2950 Series (Intel XEON dual core)<br>PREFERRED         |
|   | HP Proliant DL Series (Intel XEON)<br>FOR Current HP based environments only |
| <b>Workstation</b>                          |  |
|   | Intel® Core™ 2 Duo E6600   |
| <b>Desktop</b>                              |  |
|   | Intel® Core 2 Duo Processor, E4400; Intel® Q35 Express                       |
| <b>Notebook</b>                             |  |
|   | Intel Core 2 Duo Processor; Intel Graphics Media Accelerator X3100;          |
| <b>System Software</b>                      |  |
| <b>Operating System</b>                     |  |
| <b>Mainframe</b>                            |  |
|   | IBM Z/OS   |
| <b>Server</b>                               |  |
|   | Sun Solaris 9  |
|   | IBM-AIX 5.3  |
|   | MS Windows 2003 SP1 / SP2  |
| <b>Desktop/Notebook</b>                     |  |
|   | MS Windows XP Professional, SP2  |
| <b>Local Area Network Operating Systems</b> |  |
|   | MS Windows 2003 SP1  |
| <b>Virtual Partitions Intel Platform</b>    |  |
|   | Wmware Workstation 5 (desktops only)   |
|   | Wmware ESX Version 3.01/3.02 (servers)                                       |
|   | VMWare Virtual Infrastructure 2.1  |
| <b>Dedicated Infrastructure Server</b>      |  |
|   | RedHat Enterprise Linux ES ver. 3  |

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| <b>PLATFORMS</b>  |                                      |
|---|--------------------------------------|
| <b>Utility Software</b>   |                                      |
|   | <i>Distributed Patch Management</i>  |
| <span style="background-color: lightgreen; color: lightgreen;">■</span> | PatchLink Update 6.x                 |
|   | <i>Server Monitoring</i>             |
| <span style="background-color: red; color: red;">■</span>               | Uptime Software                      |
|   | <i>Software Distribution</i>         |
|   | left blank                           |
|   | <i>TN 3270 Terminal Emulation</i>    |
|   | Basic: MochaSoft TN3270 (FREE)       |
|   | Advanced: Seagull BlueZone           |
|   |                                      |
| <b>SAN, Storage, Tape</b>   |                                      |
|   | <i>Managed Enterprise SAN</i>        |
|   | EMC Clariion CX500, CX700            |
|   | <i>Managed SAN / NAS</i>             |
|   | EMC Clariion CX300                   |
|   | <i>Tape Backup System Software</i>   |
|   | Tivoli Storage Manager ver. 5.2      |
|   | Veritas Backup EXEX 10               |
|   |                                      |
| <b>Other Standards</b>  |                                      |
|   | <i>Thin Client</i>                   |
| <span style="background-color: lightgreen; color: lightgreen;">■</span> | CITRIX Client ver 10.1               |
| <span style="background-color: lightgreen; color: lightgreen;">■</span> | CITRIX ZenApp Server 4.5 (SP10)      |
| <span style="background-color: lightgreen; color: lightgreen;">■</span> | Microsoft Terminal Services 2003 SP2 |
|   |                                      |

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|  |  |
|--|--|
| <b>SECURITY</b>  |  |
| <b>Technical Standards</b>   |  |
| <i>Security Protocols</i>  |  |
|  | SSLv3  |
|  | 802.1x   |
|  | IPSec  |
| <i>Secret Key Technology</i>   |  |
|  | Kerberos   |
|  | AES 256 bit encryption   |
| <i>Directory</i>   |  |
|  | LDAPv3   |
|  | X.509  |
|  | LDIF 1   |
| <b>Product Standards</b>   |  |
| <i>Access Control</i>  |  |
| <i>Firewalls</i>   |  |
|  | software & hardware products not provided due to security concerns |
| <i>Proxy</i>   |  |
|  | left blank   |
| <span style="background-color: red; color: black;">■</span> <i>Data Encryption</i> |  |
| <i>Full Disk Encryption</i>  |  |
| <span style="background-color: red; color: black;">■</span>                        | McAfee (SafeBoot) Full Disk Encryption 5.3 (Windows)               |
| <i>File / Folder Encryption</i>  |  |
| <span style="background-color: red; color: black;">■</span>                        | McAfee (SafeBoot) Content Encryption 3 (Windows)                   |
|  | WebTrack SMARTFILTER DA  |
|  | N2H2   |
| <i>Intrusion Detection and Prevention</i>  |  |
| <i>Network</i>   |  |
| <span style="background-color: lightgreen; color: black;">■</span>                 | IBM Proventia Network Intrusion Prevention System (IPS)            |
| <i>Host Based</i>  |  |
|  | left blank   |
| <i>Protocol Analysis</i>   |  |
|  | NAI Sniffer Pro  |
|  | TCPDump  |
| <i>Scanning and Penetration Testing</i>  |  |
| <i>Software - DBMS</i>   |  |
|  | AppDetective   |
| <i>Software - Application</i>  |  |
|  | left blank   |
| <i>Hardware</i>  |  |
|  | NESSUS   |
|  | SARA   |
| <i>E-Mail Content Filtering and Virus Protection</i>                               |  |

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■ new strategic product or technical standard since 2006

■ updated strategic product or technical standard since 2006

2-Apr-2008

| <b>SECURITY</b>       |   |
|-----------------------|---|
|                       | McAfee 3300 (WebShield A/V and Anti Spam)   |
|                       | <b>Desktop Anti-Virus and Anti-Spyware</b>  |
|                       | McAfee Enterprise 8.5   |
|                       | <b>System Configuration/Management</b>  |
|                       | McAfee E-Policy Orchestrator  |
|                       | <b>System Logging Infrastructure</b>  |
|                       | <i>left blank</i>   |
|                       | <b>Directory</b>  |
|                       | Novell eDirectory ver. 8.9 (for web authentication and single sign-on)                      |
|                       | Active Directory 2003 for file and print services; for Exchange authentication              |
|                       | <b>Virtual Private Networks (VPN)</b>   |
|                       | Nortel Contivity VPN  |
|                       | <b>Secure Email and FTP</b>   |
|                       | <b>Intranet</b>   |
|                       | Tumbleweed MailGate (updated version of Tumbleweed) - used for secure e-mail and secure FTP |
|                       | <b>Internet</b>   |
|                       | <i>left blank</i>   |
| <b>Authentication</b> |   |

strategic standards and products april 2008.xls

new strategic product or technical standard since 2006  
  updated strategic product or technical standard since 2006  
 2-Apr-2008

| <b>SYSTEMS MANAGEMENT</b>                                  |  |
|--|--|
| <b>Technical Standards</b>                                 |  |
| <i>Protocols</i>   |  |
|  | SNTP (Simple Network Time Protocol)    |
|  | RMON                                   |
|  | Web-Based Enterprise Management (WBEM) |
|  | Java Management API (JMAPI)            |
|  | DMI ver 2.0s                           |
|  | SNMP v2                                |
| <b>Product Standards</b>                                   |  |
| <i>Help Desk problem ticketing, tracking etc.</i>          |  |
|  | IMPACT                                 |
| <i>Asset Management</i>                                    |  |
|  | left blank                             |
| <i>Remote Monitoring Desktop/Server systems management</i> |  |
|  | NetView 6000                           |
|  | What's Up Gold                         |
|  | Cricket 1.0.5                          |
| <i>Remote Monitoring mainframe</i>                         |  |
|  | Omagamon                               |
|  | NetView for OS/390                     |
|  | TMON                                   |
| <i>Network Management</i>                                  |  |
| <i>General Purpose</i>                                     |  |
|  | NetView 6000                           |
| <i>Hardware Specific</i>                                   |  |
|  | Cisco Works                            |
| <i>Other</i>   |  |
|  | Fluke Network Inspector                |
| <i>SAN Management</i>                                      |  |
|  | EMC Control Center                     |
| <i>Web Site Analysis</i>                                   |  |
|  | Cricket 1.0.5                          |
| <i>Software Distribution/Imaging</i>                       |  |
| <i>Server</i>  |  |
|  | Ghost                                  |
| <i>Router</i>  |  |
|  | Cisco Works                            |
| <i>Desktop</i>   |  |
|  | PatchLink 6.3                          |
|  | Ghost                                  |
| <i>System Recovery</i>                                     |  |
|  | left blank                             |

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## 6. Appendix F: Glossary

The tables below provide a list of commonly used motor vehicle and I/T terms and acronyms and provide readers a basis for common understanding. First defined in the current state environment, they have been redefined where required for the future environment and additional definitions added.

**Table 1: List of Acronyms**

| Acronym  | Expanded   | Usage   |
|----------|--|---|
| .NET     | .NET Framework                                       | Microsoft describes the .NET Framework as “a development and execution environment that allows different programming languages and libraries to work together seamlessly to create Windows-based applications that are easier to build, manage, deploy, and integrate with other networked systems.”  |
| AAMVA    | American Association of Motor Vehicle Administrators | Operates PDPS, CDLIS, and SSN Verification systems through their network service, AAMVANet. Provides standards to encourage uniformity and reciprocity among the states and provinces and guidelines for more effective public service.   |
| AAMVANet | AAMVANet   | Network services provided through AAMVA.  |
| ACD      | AAMVA Code Dictionary                                | A set of codes used nation-wide to identify either the type of conviction or the reason for a withdrawal of driving privileges.   |
| ACH      | Automated Clearinghouse                              | A highly reliable and efficient nationwide batch-oriented electronic funds transfer system governed by the NACHA OPERATING RULES which provide for the inter-bank clearing of electronic payments for participating depository financial institutions. (NACHA is the Electronic Payments Association. See <a href="http://www.nacha.org">www.nacha.org</a> .) |
| ACS      | Affiliated Computer Service                          | 3rd Party organization that operates the Motor Vehicle Systems (MVS) Express system used for commercial registrations for IRP and International Fuel Tax Agreement (IFTA).  |
| ANSI     | American National Standards Institute                | A private, non-profit organization that administers and coordinates the U.S. voluntary standardization and conformity assessment system.  |
| AWS      | Advanced Workstation System                          | DMV's cashiering system.  |
| BI       | Business Intelligence                                | Accurate, consolidated enterprise information at the right time, to the right people in the format they can best makes strategic decisions to face business challenges.   |
| CATER    | Connecticut Administrative Technology Center         | Connecticut State facilities and organization that provide computer data processing services.   |

| Acronym    | Expanded  | Usage   |
|------------|---|---|
| CDL        | Commercial Driver License   | License required to legally operate a commercial vehicle.   |
| CDLIS      | Commercial Drivers License Information System                         | CDLIS provides states with the ability to check a nationwide information system before issuing a commercial license to an applicant. If the driver is recorded in CDLIS, the inquiring state is directed electronically to the state that maintains the current driver record. CDLIS is intended to assist jurisdictions in the meeting the basic tenet "...that each driver, nationwide, have only one driver license and one record," through the cooperative exchange of problem driver information between jurisdiction. CDLIS directs inquiries to the State of Record for a response to the State of Inquiry. |
| CDMA       | Code Division Multiple Access   | A technology for transmitting simultaneous signals over a shared portion of the spectrum. Typically this is used in the digital cellular telephone networks.  |
| CICS       | Customer Information Control System                                   | A product from IBM that provides transaction processing for IBM mainframes  |
| COLLECT    | Connecticut Online Law Enforcement Criminal Telecommunications System | The <b>Connecticut On-Line Law Enforcement Communications Teleprocessing (COLLECT)</b> System is utilized throughout Connecticut to access valuable online State and Federal law enforcement resources.   |
| Contractor | Contractor  | Any person to whom a contract is awarded in response to this request for proposal.  |
| Core-CT    | Core-CT   | Connecticut state government's integrated financial, human resources and payroll system.  |
| COTS       | Commercials Off-the-Shelf   | Refers to shrink wrap Software with little or no user customization to operate.   |
| CVIEW      | Commercial Vehicle Information Exchange Windows                       | Information repository under CVISN containing carrier safety and authority information pertaining to commercial truck and passenger carriers  |



| Acronym    | Expanded                                      | Usage  |
|------------|---|--|
| CVISN      | Commercial Vehicle Information System Network | CVISN (Commercial Vehicle Information Systems and Networks) refers to the collection of information systems and communications networks that support commercial vehicle operations. These include information systems owned and operated by governments, motor carriers, and other stakeholders. The Federal Motor Carrier Safety Administration (FMCSA) CVISN program is not trying to create a new information system, but rather to create a way for existing and newly designed systems to exchange information through the use of standards and available communications infrastructure. The CVISN program provides a framework or "architecture" that will enable government agencies, the motor carrier industry, and other parties to exchange information and conduct business transactions electronically. The goal of the CVISN program is to improve the safety and efficiency of commercial vehicle operations. |
| CVP        | Courtesy Verification Program                 |  |
| CVSD       | Commercial Vehicle Safety Division            | CVSD is a Connecticut DMV department, with a uniformed force of inspectors. These inspectors are equipped with motorcycles to inspect and weigh trucks on both the New York and Massachusetts borders.   |
| DARC       | Dealer and Repairer Complaints                | DMV's application system that handles complaints from Dealers and Repairers.   |
| DARL       | Dealer and Repairer Licensing                 | DMV's application system that manages licenses for Dealers and Repairers.  |
| DGWW       | Declared Gross Weight                         | See Glossary   |
| DMZ        | Demilitarized Zone                            | A DMZ is a small network inserted as a "neutral zone" between internal private network and the outside public network. It prevents outside users from getting direct access to internal servers.   |
| DoIT       | Department of Information Technology          | DOIT is State of Connecticut's IT organization that provides effective use of technology to improve government operations and provide better services to taxpayers.  |
| DOS Attack | Denial of Service Attack                      | A type of attack on a network that is designed to bring it down by flooding it with useless traffic.   |
| DOT        | Department of Transportation                  | Issue a DOT number, overweight and oversize permits, authorize issuance of taxi and livery plates.   |
| DPI        | Dots Per Inch                                 | A measure of printing or video resolution, it specifies the number of individual dots or pixels within the span of one square inch.  |

| Acronym | Expanded   | Usage   |
|---------|--|---|
| DPS     | Department of Public Safety  | The Connecticut Department of Public Safety is a state agency that provides enforcement, regulatory and scientific services for the state. It is composed of three divisions: the Division of State Police, the Division of Fire, Emergency and Building Services and the Division of Scientific Services.  |
| DRIP    | Delinquent Tax, Registration suspension, Insurance compliance and Parking ticket violations            | DRIP refers to the business process of registration compliance requirements. It also refers to the IT implementation of a DRIP file containing all related compliance information.  |
| DRIFE   | Delinquent Tax, Registration suspension, Insurance compliance, Parking ticket violations and Emissions | Emissions is the compliance requirement for registration renewal in addition to DRIP. The related information is stored on a separate Emissions file. DRIFE refers to the combination of the DRIP and the Emission files for the complete compliance information needed for registration.   |
| EAI     | Enterprise Application Integration   | EAI is an architected and structured method of sharing of data and business processes across applications, both internally within an organization, and externally with other companies.   |
| EFT     | Electronic Funds Transfer  | Transfer of money initiated through electronic terminal, automated teller machine, computer, telephone, or magnetic tape. In the late 1990s, this increasingly includes transfer initiated via the World-Wide Web. The term also applies to credit card and automated bill payments.  |
| e-GOV   | Electronic Government  | Connecticut State's initiative to provide government services through electronic channels   |
| ELT     | Electronic Lien and Title System   | Provides the capability to electronically exchange lien and title information between the lien holder and the motor vehicle agency.   |
| EVVE    | Electronic Verification of Vital Events  | A national system that will enable federal and state agency staff to verify the paper birth certificate presented to them against the appropriate state vital records database. This solution will establish a means by which appropriate authorized federal and state agency users with a single interface can generate an electronic query to any participating vital records jurisdiction throughout the country to verify the contents of a paper birth certificate. An electronic response from the participating vital records jurisdiction as to whether there is a birth record in their database that matches the paper birth certificate will be returned to the user, along with an indication if the matching birth record has been flagged 'deceased'. |
| FBI     | Federal Bureau of Investigation  | One of several federal agencies who coordinate on the approval or disapproval of commercial driver Hazmat endorsement applications.   |

| Acronym | Expanded   | Usage   |
|---------|--|---|
| FMCSA   | Federal Motor Carriers Safety Association            | Primary mission is to reduce crashes, injuries and fatalities involving large trucks and buses.   |
| FRS     | Financial Reporting System                           | DMV's application system that manages financial reporting and interfaces with Core-CT   |
| FTP     | File Transfer Protocol                               | An industry standard method of transferring files between systems.  |
| GAAP    | Generally Accepted Accounting Principles             | The common set of accounting principles, standards and procedures that companies use to compile their financial statements. GAAP is a combination of authoritative standards (set by policy boards) and simply the commonly accepted ways of recording and reporting accounting information.  |
| GDG     | Generation Data Group                                | A method to organize files on the mainframe. It is collection of files, each a modification of the previous one, with the newest numbered 0, the next -1, and so forth, and organized so that each time a new file is added the oldest is deleted.  |
| GVWR    | Gross Vehicle Weight Rating                          | The value specified by the manufacturer as the maximum loaded weight of a vehicle or a vehicle combination (per 66-1-4.7 B).  |
| HIN     | Hull Identification Number                           | The number, letters, or combination of numbers and letters assigned by the manufacturer, by the department, or in accordance with the laws of another state or country for the purpose of identifying a boat.   |
| HTML    | Hypertext Markup Language                            | A markup language designed for the creation of web pages with hypertext and other information to be displayed in a web browser.   |
| HTTP    | Hypertext Transfer Protocol                          | The protocol used to transfer web pages written in HTML through a network.  |
| HTTP-S  | Hypertext Transfer Protocol over Secure Socket Layer | Same as HTTP but provides secure network communication using SSL.   |
| ICE     | Immigration and Customs Enforcement                  | ICE is a bureau within the Department of Homeland Security (DHS). The mission of ICE is to prevent acts of terrorism by targeting the people, money, and materials that support terrorist and criminal activities. ICE is the largest investigative arm of the DHS and is responsible for identifying and shutting down vulnerabilities in the nation's border, economic, transportation, and infrastructure security. ICE inherited enforcement functions from several federal agencies, including the agency formerly known as the Immigration and Naturalization Service (INS). The benefit functions of the INS have transitioned to another bureau within the DHS - the U.S. Citizenship and Immigration Services (USCIS). The USCIS is responsible for the administration of immigration and naturalization adjudication functions and establishing immigration services policies and priorities. |

| Acronym | Expanded  | Usage  |
|---------|---|--|
| IFTA    | International Fuel Tax Agreement                                | IFTA is an agreement among all states (except Alaska and Hawaii) and Canadian provinces (except Northwestern Territories, Nunavut, and Yukon) to simplify the reporting of fuel used by motor carriers operating in more than one jurisdiction. The IFTA license offers several benefits to the interstate/inter-jurisdictional motor carrier. These benefits include one license, one set of decals, one quarterly fuel tax report that reflects the net tax or refund due.                                   |
| IRP     | International Registration Plan                                 | The International Registration Plan is an agreement providing for registration reciprocity among states of the United States, including the District of Columbia, and provinces of Canada requiring only one license plate and one cab card be issued for each fleet vehicle when registered under the plan. The plan provides for payment of vehicle registration fees on the basis of the proportion of total distance operated in all jurisdictions by the fleet of which the vehicle is part.              |
| ITIL    | Information Technology Infrastructure Library                   | A standard set of concepts and techniques for managing Information Technology infrastructure, development, and operations.   |
| IVR     | Interactive Voice Response                                      | Telephone technology operated by DMV to provide constituents with a phone-based self-service capability.   |
| J2EE    | Java 2 Enterprise Edition                                       | This is a platform that originated from Sun, but has been adopted and implemented by various vendors. Sun describes the J2EE platform as “a set of coordinated specifications and practices that together enable solutions for developing, deploying, and managing multi-tier server-centric applications. Building on the Java 2 Platform, Standard Edition (J2SE), the J2EE platform adds the capabilities necessary to provide a complete, stable, secure, and fast Java platform to the enterprise level”. |
| JPEG    | Joint Photographic Experts Group                                | JPEG is a standard-based and commonly used method of compressing photographic images for storage and exchange purposes.  |
| LAN     | Local Area Network  | Network architecture used to provide communications between information systems within a localized building or area.   |
| LDAP    | Lightweight Directory Access Protocol                           | LDAP is a standard for organizing directory hierarchies and interfacing to directory servers.  |
| MCMIS   | Motor Carrier Management Information System                     | DOT/Federal Motor Carrier Safety Administration's (FMCSA) record system.   |
| MCO     | Manufacturers Certificate of Origin, see Certificate of Origin. | The 'birth certificate' of a vehicle - provides the base document to title new vehicles in the state of New Mexico.  |

| Acronym | Expanded  | Usage   |
|---------|---|---|
| MOTS    | Modifiable Off-the-Shelf  | A MOTS product is typically a COTS product whose source code can be modified. The product may be customized by the purchaser, by the vendor, or by another party to meet the requirements of the customer.  |
| NADA    | National Auto Dealers Association                               | Provides information on new car pricing, used car values, model comparisons, and buying resources for new and used vehicles.  |
| NCIC    | National Crime Information Center                               | National database of criminal justice information operated by the FBI.  |
| NCOA    | National Change of Address                                      | Verification process provided by the United States Post Office (USPS) to verify that an address is current.   |
| NDR     | National Driver Register  | A central repository of information on individuals whose privilege to drive has been revoked, suspended, canceled or denied or who have been convicted of serious traffic-related offenses. The records maintained at the NDR consist of identification information including name, date of birth, gender, driver license number, and reporting State. All of the substantive information, the reason for the suspension or conviction and associated dates, resides in the reporting State.      |
| NIEM    | National Information Exchange Model                             | NIEM, the National Information Exchange Model, is a partnership of the U.S. Department of Justice and the Department of Homeland Security. It is designed to develop, disseminate and support enterprise-wide information exchange standards and processes that can enable jurisdictions to effectively share critical information in emergency situations, as well as support the day-to-day operations of agencies throughout the nation. (see <a href="http://www.niem.gov">www.niem.gov</a> ) |
| NMVTIS  | National Motor Vehicle Title Information System.                | NMVTIS reduces titling of stolen cars and fraud by allowing state titling agencies to verify the validity of ownership documents before they issue new titles. NMVTIS also checks to see if the vehicle is reported "stolen" -- if so, the states don't issue the new titles. Brands are not lost when the vehicle travels from state to state, because NMVTIS keeps a history of all brands ever applied by any state to a vehicle.  |
| OCR/ICR | Optical character recognition/intelligent character recognition | The technology that translates scanned text within document images into machine readable format. Data can then be read and manipulated by the computer to make intelligent decisions.   |

| Acronym   | Expanded   | Usage   |
|-----------|--|---|
| PDPS      | Problem Driver Pointer System                          | The PDPS is used to search the National Driver Register (NDR). Based on information received as a result of an NDR search, PDPS will "point" the inquiring jurisdiction to the State of Record, where an individual's driver status and history information is stored. PDPS is intended to assist jurisdictions in the meeting the basic tenet "...that each driver, nationwide, have only one driver license and one record," through the cooperative exchange of problem driver information between jurisdictions. Accessed by DMV via AAMVA. |
| Per Se    | Per Se   | Connecticut has DUI laws that deem "per se intoxicated" any driver with a blood-alcohol concentration (BAC) at or above .08 percent. This means that drivers with a BAC at or above .08 are intoxicated in the eyes of the law, and no additional proof of driving impairment is necessary.   |
| PIN       | Personal Identification Number                         | A secret numeric password shared between a user and a system that can be used to authenticate the user to the system.   |
| PMO       | Project Management Office                              | PMO is the department that defines and maintains the standards and processes for project management within an organization.   |
| POS       | Point of Sale  | The point at which a product or service is purchased - also known as point of purchase.   |
| Proposer  | Proposer   | Any person, entity (individual, partnership, association, LLC or corporation) that is seeking a Contract with the State in response to this solicitation.   |
| RDBMS     | Relational Database Management System                  | Relational Database Management System is a type of database systems that store, process and manage data arranged in relational tables, using industry standard methods. It is a popular data storage system used for transaction processing and data warehouses.  |
| SAFER     | Safety and Fitness Electronic Records                  | The SAFER system is provided by FMCSA and contains carrier safety data.   |
| SafetyNet | SafetyNet  | SafetyNet is a computer system utilized by state law enforcement agencies and the FMCSA, for the collection and management of commercial motor vehicle data.  |
| SAN       | Storage Area Network                                   | High availability high volume system for storing data directly accessible on the local area network.  |
| SAVE      | Systematic Alien Verification for Entitlements Program | The Systematic Alien Verification for Entitlements (SAVE) Program is responsible for administering programs involving customer access to information contained in the Verification Information System (VIS) database. This database is a nationally accessible database of selected immigration status information on over 60 million records.  |

| Acronym | Expanded                       | Usage   |
|---------|--------------------------------|---|
| SDLC    | Software Development LifeCycle | SDLC is a structured process of developing IT application systems through a formalized set of methods of requirements gathering, analysis, design, implementation, testing and maintenance.   |
| SDM     | System Development Methodology | State of Connecticut's software development lifecycle methodology   |
| SNA     | System Network Architecture    | IBM's mainframe network standards introduced in 1974. Originally a centralized architecture with a host computer controlling many terminals, enhancements have adapted SNA to a peer-to-peer communications and distributed computing environment.  |
| SOA     | Service Oriented Architecture  | SOA is an architecture that implements secure and integrated delivery of IT solutions meeting business requirements. Solutions must implement, optimize and guide business process execution by combining the functionality of separate, discreet, reusable services. SOA moves away from complex application development, promoting a focus on standardizing interfaces between atomic service components with centralized management and distributed implementation   |
| SOAP    | Simple Object Access Protocol  | SOAP (Simple Object Access Protocol) is a standardized method for a program running in one platform to communicate with a program in the same or another platform by using the standard Hypertext Transfer Protocol (HTTP) and its Extensible Markup Language (XML) as the mechanisms for information exchange. SOAP specifies exactly how to encode an HTTP header and an XML file so that a program in one computer can call a program in another computer and pass it information. It also specifies how the called program can return a response. |
| SQL     | Structured Query Language      | A set of syntax commands for defining and manipulating data from a relational database. It is the industry standard for program language interfaces in most relational database management systems.   |
| SSA     | Social Security Administration | Federal agency responsible for assigning and tracking social security identification numbers.   |
| SSL     | Secure Socket Layer            | A common and standard-based networking method for managing the security of message transmission through private and public networks, using web-based protocols.   |

| Acronym | Expanded  | Usage  |
|---------|---|--|
| SSOLV   | Social Security On-Line Verification            | An application developed by AAMVA to enable U.S. jurisdictions to submit identifying information to the Social Security Administration (SSA). SSA runs this data against its master SSN database and informs the inquirer if the submitted biographic information and SSN matches with the information on the SSA database. It is one of many fraud prevention and identification security efforts aimed at preventing identity theft, and preventing the issuance of a driver license or ID to a person who may be using stolen or otherwise false identity documents. It allows driver licensing agencies to immediately verify that the SSN is in fact the number issued to the person with that name and date of birth. There are many instances where the biographic information will not match up because the applicant changed their name but did not process the name change with the SSA. |
| TCP/IP  | Transmission Control Protocol/Internet Protocol | A protocol for communication between computers, used as a standard for transmitting data over networks and as the basis for standard Internet protocols.   |
| TIFF    | Tagged Image File Format                        | JPEG is a standard-based and commonly used method of compressing photographic images for storage and exchange purposes.  |
| TSO     | Time Sharing Option                             | An IBM mainframe facility that provides interactive time sharing and online functions from terminals.  |
| UAT     | User Acceptance Test                            | The final phase in a software development process in which the software is given to the intended audience to be tested for a variety of purposes, including functionality and performance.   |
| VIN     | Vehicle Identification Number                   | The number, letters, or combination of numbers and letters assigned by the manufacturer, by the department, or in accordance with the laws of another state or country for the purpose of identifying the vehicle or a component part of the vehicle to prevent fraudulent removal and tampering of a VIN.   |
| VINA    | Vehicle Identification Number Analysis          | Polk VINA provides information on passenger vehicles, trucks (light to heavy) and motorcycles. It verifies VIN accuracy and generates vehicle descriptions.  |
| VPN     | Virtual Private Network                         | Network technology to provide secure communications between the headquarters data center and the field offices, municipalities, and private agents.  |
| VSAM    | Virtual Storage Access Method                   | An IBM access method for storing data, widely used in IBM mainframes. It uses the tree method for organizing data.   |
| WAN     | Wide Area Network                               | Network architecture used to provide communications between information systems on different LANs.   |
| XML     | Extensible Markup Language                      | XML (Extensible Markup Language) is a standard-based and flexible method to create common information formats and for storing, transmitting and sharing on public and private networks.  |





## Schedule B – Solutions Summary Matrix

Attached following this page

**STATE OF CONNECTICUT  
DEPARTMENT OF INFORMATION TECHNOLOGY**

[www.ct.gov/doiit](http://www.ct.gov/doiit)

**REQUEST FOR PROPOSALS**

**RFP #08ITZ 0069  
Connecticut Integrated Vehicle and Licensing System  
(CIVLS) Modernization Program  
Of the  
Connecticut Department of Motor Vehicles**

**Date Issued: August 1, 2008**

**Schedule B - Solutions Summary Matrix**

**Note to Proposers responding to Schedule B:**

**The heading for Column B is truncated from the original spreadsheet. In its entirety, the Heading Column reads, “B: ("X") if included as an extension of the Proposer's current MOTS solution offering through customization.”**

| Solutions Requirements<br>Section # | SCHEDULE B - SOLUTIONS SUMMARY MATRIX<br>Solutions Requirements Section Description  | A: ("X") if included in Proposer's current base MOTS offering  |                        |                     |                            | NOTE: For A and B an "X" means the requirement in the associated section is MET by the Proposer's proposed solution. For C, an "X" means req't is NOT part of proposed solution. For column D, an "X" means an alternative solution is provided and described in proposal section § __; (Proposal § number is identified in this column) |
|-------------------------------------|--|--|------------------------|---------------------|----------------------------|--|
|                                     |  | B: ("X") if included as an extension of the Proposer's current MOTS solution offering through custom |                        |                     |                            |  |
|                                     |  | C: ("X") Not part of the Proposer's solution offering  |                        |                     |                            |  |
|                                     |  | D: ("X") Alternative solution(s) offered (described in Proposal § __)                                |                        |                     |                            |  |
|                                     |  | A: (X) std MOTS offering   | B: (X) a customization | C: (X) not included | D: (X) alternative offered |  |
| <u>5</u>                            | <u>DMV Business Process Requirements</u>   |  |                        |                     |                            |  |
| <u>5.1</u>                          | <u>Enterprise Level Requirements</u>   |  |                        |                     |                            |  |
| <u>5.1.1</u>                        | <u>Enterprise Requirements</u>   |  |                        |                     |                            |  |
| <u>5.1.1.1</u>                      | Integrated Solution: The system shall provide an integrated solution for the regulation of vehicle, regulation of driver and all common business functions.  |  |                        |                     |                            |  |
| <u>5.1.1.2</u>                      | Pre-Process Application: The system shall provide the ability for customers to 'pre-process' electronic applications for service requests through the DMV Website for retrieval when completing the transaction at a |  |                        |                     |                            |  |
| <u>5.1.1.3</u>                      | Lead-Through Processing: The system shall perform transaction using a lead-through processing with on-line help and system prompts to ensure consistency of interaction with the customer.                           |  |                        |                     |                            |  |
| <u>5.1.1.4</u>                      | Internal Controls: The solution must provide internal controls to trace all transactions from their source to provide secure, auditable fiscal management capabilities.  |  |                        |                     |                            |  |

| Solutions Requirements Section # | SCHEDULE B - SOLUTIONS SUMMARY MATRIX<br>Solutions Requirements Section Description   | A: ("X") if included in Proposer's current base MOTS offering  |                        |                     |                            |
|----------------------------------|---|--|------------------------|---------------------|----------------------------|
|                                  |   | B: ("X") if included as an extension of the Proposer's current MOTS solution offering through custom |                        |                     |                            |
|                                  |   | C: ("X") Not part of the Proposer's solution offering  |                        |                     |                            |
|                                  |   | D: ("X") Alternative solution(s) offered (described in Proposal § __)                                |                        |                     |                            |
|                                  |   | A: (X) std MOTS offering   | B: (X) a customization | C: (X) not included | D: (X) alternative offered |
| <a href="#">5.1.1.5</a>          | Source Code: All relevant source code for the software and any modification to the software shall be provided to the DMV as part of installation on the State's hardware by the Contractor.                             |  |                        |                     |                            |
| <a href="#">5.1.1.6</a>          | Document Template: The system shall have the ability to accommodate multiple designs or templates that are effective dated.   |  |                        |                     |                            |
| <a href="#">5.1.1.7</a>          | Pending Transactions: The system shall have the ability to 'pend' transactions that do not meet edit or documentation requirements and retrieve 'pended' transactions when a customer requests a service in the future. |  |                        |                     |                            |
| <a href="#">5.1.1.8</a>          | Undeliverable Mail: The system shall allow for address to be designated as undeliverable – for USPS address as well as email addresses.   |  |                        |                     |                            |
| <a href="#">5.1.1.9</a>          | Validate Address: The system shall provide the ability to validate the new customer address with the 'legal' address on their driver license or ID record   |  |                        |                     |                            |
| <a href="#">5.1.1.10</a>         | Valid Address: The system shall provide the ability to validate that the address is a valid address for the state and location.   |  |                        |                     |                            |

| Solutions Requirements<br>Section # | SCHEDULE B - SOLUTIONS SUMMARY MATRIX<br>Solutions Requirements Section Description   | A: ("X") if included in Proposer's current base MOTS offering  |                        |                     |                            |
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|                                     |   | B: ("X") if included as an extension of the Proposer's current MOTS solution offering through custom |                        |                     |                            |
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|                                     |   | A: (X) std MOTS offering   | B: (X) a customization | C: (X) not included | D: (X) alternative offered |
| <a href="#">5.1.1.11</a>            | Electronic Forms: The system shall provide access to the electronic forms via the DMV Website.  |  |                        |                     |                            |
| <a href="#">5.1.1.12</a>            | Output Document Bar Codes: The system shall bar code all outgoing official documents, plates, notices, invitations and letters with the information required to retrieve the associated record(s) for follow-on processing. |  |                        |                     |                            |
| <a href="#">5.1.1.13</a>            | Multiple Transactions Per Payment: The system shall provide the ability to process multiple transactions (Registration, Title, Lien Fees, etc.) and pass fees and taxes data to 'check out' with one payment transaction.   |  |                        |                     |                            |
| <a href="#">5.1.1.14</a>            | Multiple Tender Types Per Transaction: The system shall provide the ability to process multiple tender types per payment transaction.   |  |                        |                     |                            |
| <a href="#">5.1.1.15</a>            | Calculate Fees and Taxes: The system shall calculate the fees and taxes due based on transaction type using user-defined fee calculation rules.   |  |                        |                     |                            |

| Solutions Requirements Section # | SCHEDULE B - SOLUTIONS SUMMARY MATRIX<br>Solutions Requirements Section Description  | A: ("X") if included in Proposer's current base MOTS offering  |                        |                     |                            |
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| <a href="#">5.1.1.16</a>         | Allocate Fees: The system shall provide the ability to allocate fees collected to user-defined revenue account tables upon completion of the service transaction.  |  |                        |                     |                            |
| <a href="#">5.1.1.17</a>         | Notes: The system shall provide for the recording of notes associated at the transaction and customer level.   |  |                        |                     |                            |
| <a href="#">5.1.1.18</a>         | Document Capture: The system shall provide for the ability to scan and index documents provided by the customer when performing a DMV related transaction and to retrieve documents by key attributes, e.g. Name, Customer ID, Transaction, Date Range, etc. . |  |                        |                     |                            |
| <a href="#">5.1.1.19</a>         | Verification Checklist: Provide a checklist for all verification checks performed, the status, and the date verified.  |  |                        |                     |                            |
| <a href="#">5.1.1.20</a>         | Searches: The system shall be able to perform searches using partial information in the search fields.   |  |                        |                     |                            |
| <a href="#">5.1.1.21</a>         | Customer Correspondence: The system shall allow a list of correspondence history related to a customer to be displayed and be selected for drill down.   |  |                        |                     |                            |



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| <a href="#">5.1.1.22</a>            | Mailing Labels: The system shall create mailing labels in conjunction with notifications and letters that will be mailed.  |  |                        |                     |                            |  |
| <a href="#">5.1.1.23</a>            | Queuing: The system shall have the ability to interface with a customer queuing system to track service transaction delivery and customer interaction time.  |  |                        |                     |                            |  |
| <a href="#">5.1.1.24</a>            | Statistics: The system shall provide the ability to capture, report and maintain data to provide Point in Time statistics, e.g. number of vehicles registered by registration type, location; type of plates issued; type of |  |                        |                     |                            |  |
| <a href="#">5.1.1.25</a>            | External Inquiries: The system shall provide the ability for other authorized agencies and entities to inquire on DMV information (e.g. Law Enforcement roadside inquiries of vehicle registration, driver status, etc.).    |  |                        |                     |                            |  |

| Solutions Requirements<br>Section # | SCHEDULE B - SOLUTIONS SUMMARY MATRIX<br>Solutions Requirements Section Description  | A: ("X") if included in Proposer's current base MOTS offering  |                        |                     |                            |
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| <a href="#">5.1.1.26</a>            | Application Processing: The system shall provide the ability to record and process applications through the entire life cycle, e.g. title, registration, title and registration transfers, credentials, endorsements, re-instatement, replacement plates, handicap plates, permits, etc. |  |                        |                     |                            |
| <a href="#">5.1.1.27</a>            | History: The system shall maintain a history of transactions and components: customer, vehicle, title, liens, registration, credentialing, sanctioning, compliance, plate, etc. that are available for display and printing with proper authority.                                       |  |                        |                     |                            |
| <a href="#">5.1.1.28</a>            | Confidential Address: The system shall have the ability to support confidential addresses that cannot be viewed.   |  |                        |                     |                            |
| <a href="#">5.1.1.29</a>            | Suppressed Identify: The system shall have the ability to support customers who, because of the nature of their work, must live and work under an assumed name and must keep their real identity suppressed.   |  |                        |                     |                            |

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| <a href="#">5.1.1.30</a>            | Transaction Search: The system shall provide options for Search Criteria which may include one or more of the following combinations: Transaction type (Title, Registration, Renewals, Plate Application, etc); Date; Time, Range; Receipt Number; Type of Payment (check, credit card, cash, etc); Title Number; Vehicle Information; Customer Information; Plate Information; Customer Account Number; Lien Perfection Unique Identifier, etc.) |  |                        |                     |                            |
| <a href="#">5.1.1.31</a>            | Application Processing: The system shall have the ability to record and track the status of service applications, e.g. title, registration, duplicate title, driver license, endorsements, etc. from initiation through the life cycle of the application: pending, rejected, approved, etc.  |  |                        |                     |                            |
| <a href="#">5.1.1.32</a>            | Notifications: The system shall provide the ability to print and send (through preferred communication method) suspension notifications relating to compliance issues, e.g. emissions, safety inspection violations, driver actions, etc.   |  |                        |                     |                            |

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| <u>5.2</u>                       | <u>Customer</u>   |  |                        |                     |                            |  |
| <u>5.2.1</u>                     | <u>Create Customer Record</u>   |  |                        |                     |                            |  |
| <u>5.2.1.1</u>                   | Unique Customer Identifier: The system shall automatically assign a unique customer identifier during the process of adding a new customer.   |  |                        |                     |                            |  |
| <u>5.2.1.2</u>                   | Individual Customer Profile: Each individual that conducts business or receives services from DMV has a customer "record" or profile that contains attributes such as, but not limited to: Legal name, alias names, Street Address, Mailing Address, date of birth (DOB), eligibility (e.g. program, military, plate, etc.), exemptions, etc. |  |                        |                     |                            |  |

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| <a href="#">5.2.1.3</a>          | Business Customer Profile: Each business that conducts business or receives services from DMV has a customer profile. A business customer profile may contain attributes such as, but not limited to: Legal name of the business, a DBA name, one or more location identities, Social Security Number or Federal Employer Identification Number, or other identifiers, Mailing address, Contact information, Type of organization (LLC, corporation, etc.), identification information for owners, officers, partners, exemptions, etc. |  |                        |                     |                            |
| <a href="#">5.2.1.4</a>          | Data Requirements: The system shall have user defined rules to identify the mandatory data elements based on the function (e.g. driver license, vehicle title and registration, sanctioning).   |  |                        |                     |                            |
| <a href="#">5.2.1.5</a>          | Customer Role: The system shall be able to record the role that a customer has in a transaction, such as owner and lien holder.   |  |                        |                     |                            |

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| <a href="#">5.2.1.6</a>          | Customer Information: The system shall provide the ability to enter detailed information about a customer including preferred methods of communication, general commentary, and alerts.  |  |                        |                     |                            |
| <a href="#">5.2.1.7</a>          | Digital Images: The system shall provide the ability to store and/or associate digital images from the secure DL/ID credentialing system.  |  |                        |                     |                            |
| <a href="#">5.2.1.8</a>          | Supporting Documentation: The system shall provide the ability to capture, store, and associate electronic images of supporting documentation with the customer record.  |  |                        |                     |                            |
| <a href="#">5.2.1.9</a>          | Complex Relationships and Associations: The system shall provide the ability to relate individual customer accounts, customer roles (e.g. Power of Attorney, vehicle owner, business owner, board of directors, etc.) in order to provide a consolidated view of all relationships a customer may have with DMV. |  |                        |                     |                            |

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| <u>5.2.2</u> Update Customer Information (Profile) |   |  |                        |                     |                            |  |
| <u>5.2.2.1</u>                                     | Employee ID: The system shall be able to record and associate the identity of the DMV employee, customer or business partner completing a transaction with the customer record of that transaction. |  |                        |                     |                            |  |
| <u>5.2.2.2</u>                                     | Profile Updates: The system shall provide the ability to change a customer's name, address, etc. at the request of the customer.  |  |                        |                     |                            |  |
| <u>5.2.2.3</u>                                     | Customer Notes: The system shall provide the ability to enter detailed notes about a customer including telephone, e-mail, and paper correspondence information.                                    |  |                        |                     |                            |  |
| <u>5.2.2.4</u>                                     | Interfaces: The system shall support interfaces from internal and external sources for the purpose of adding, modifying, or authenticating customer data (e.g. CTJIS, CT Secretary of State, etc.)  |  |                        |                     |                            |  |
| <u>5.2.2.5</u>                                     | One-Time Mailing Address: The system shall allow for the use of a one-time mailing  |  |                        |                     |                            |  |

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| <a href="#">5.2.2.6</a>             | Merge Customer Records: The system shall allow a customer account to be merged with another (as an alias) customer account to create a single view.   |  |                        |                     |                            |
| <a href="#">5.2.2.7</a>             | Unmerge Customer Records: The system shall allow merged customer accounts to be separated.  |  |                        |                     |                            |
| <a href="#">5.2.2.8</a>             | Audit Trail: The system shall record a complete audit trail of the customer record of transactions, including the identity of the DMV employee completing a transaction.  |  |                        |                     |                            |
| <a href="#">5.2.2.9</a>             | Audit Log: The system shall capture activity logs that identify the type of transaction, user performing the transaction, records accessed, frequency of access, type of access being performed, e.g. creating, updating, printing, viewing, etc. |  |                        |                     |                            |
| <a href="#">5.2.2.10</a>            | Organ Donor: The system shall have the ability to capture organ donor information.  |  |                        |                     |                            |
| <a href="#">5.2.2.11</a>            | Voter Registration: The system shall have the ability to record voter registration information and transmit to Secretary of State.  |  |                        |                     |                            |



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| <a href="#">5.2.3</a>            | <a href="#">Inquire Customer Information</a>  |  |                        |                     |                            |  |
| <a href="#">5.2.3.1</a>          | Customer Search: The system shall support searches for customer data elements using access points such as (but not limited to) DL number, plate, title number, birth date, name, business name, DBA, passport #, TIN, SSN, etc.   |  |                        |                     |                            |  |
| <a href="#">5.2.3.2</a>          | Previous Name Search: The system shall provide the ability to inquire on a customer's previous name(s) and return all records associated with the customer.   |  |                        |                     |                            |  |
| <a href="#">5.2.3.3</a>          | Soundex Search: The system shall support inquiries/searches for customer records including a "soundex search" capability for customer records that are "close to" the given name and other demographics. ("Soundex" is a phonetic algorithm for indexing names by sound, as pronounced in English.) |  |                        |                     |                            |  |

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| <a href="#">5.2.4</a>            | <a href="#">Check Customer Compliance</a>   |  |                        |                     |                            |  |
| <a href="#">5.2.4.1</a>          | Validation Sources: The system shall support the use of state and federal sources to standardize and validate customer information such as business names, individual identities, addresses, SSN, etc. (e.g. CT Secretary of State, AAMVA, SSOLV, PDPS, ICE/SAVE, bio-facial recognition, Real ID Act checks, |  |                        |                     |                            |  |
| <a href="#">5.3</a>              | <a href="#">Compliance</a>  |  |                        |                     |                            |  |
| <a href="#">5.3.1</a>            | <a href="#">Compliance Requirements</a>   |  |                        |                     |                            |  |
| <a href="#">5.3.1.1</a>          | Compliance information: The system shall provide the ability to record compliance information, e.g. emissions inspection, safety inspection and VIN verification data, <del>insurance, medical reports, etc.</del>  |  |                        |                     |                            |  |
| <a href="#">5.3.1.2</a>          | Transparency: The system shall provide for transparent compliance checks that are 'hidden' from users and the overall solution and notify the user of the non-compliance  |  |                        |                     |                            |  |
| <a href="#">5.3.1.3</a>          | Customer Compliance: The system shall be able to check customer compliance rules as they relate to the title, credentialing, sanctioning and registration processes and define workflows based on the results.  |  |                        |                     |                            |  |

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| <a href="#">5.3.1.4</a>          | Provide Customer Information: The system shall retrieve and display information relating to the customer account status.   |  |                        |                     |                            |
| <a href="#">5.3.1.5</a>          | Compliance Retrieval: The system shall automatically determine which compliance checks are required based on the type of service request, retrieve and verify compliance data without the user re-entering   |  |                        |                     |                            |
| <a href="#">5.3.1.6</a>          | Batch and On-Line: The system shall provide the ability to access compliance data in both on-line and batch processes and create notification of compliance violations.                                      |  |                        |                     |                            |
| <a href="#">5.3.1.7</a>          | Architecture: The compliance module shall be a self-contained combination of data and  |  |                        |                     |                            |
| <a href="#">5.3.1.8</a>          | Standardized Interface: The solution shall provide a standardized interface and implemented as web services to allow use through a single well-defined interface.  |  |                        |                     |                            |
| <a href="#">5.3.1.9</a>          | Data Model: The compliance module shall have its own subject area data model within the overall solution data model and share common identifiers such as Customer ID, Vehicle Information Number (VIN), etc. |  |                        |                     |                            |

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| <a href="#">5.3.1.10</a>         | Inaccurate Records: The system shall provide the ability to apply edits and reject incomplete or inaccurate records from the data sources providing compliance data.  |  |                        |                     |                            |  |
| <a href="#">5.3.1.11</a>         | Future Additions: The compliance data model shall provide for ease in adding compliance status for future regulations without requiring modifications to the customer or vehicle portions of the overall solution data model. |  |                        |                     |                            |  |
| <a href="#">5.3.1.12</a>         | Business Rules: The system shall provide the ability to define business rules in data tables or in a rules engine that establish and remove or 'clear' the compliance.  |  |                        |                     |                            |  |
| <a href="#">5.3.1.13</a>         | Business Rule Updates: The system shall provide the ability for authorized users to update business rules.  |  |                        |                     |                            |  |
| <a href="#">5.3.1.14</a>         | Printing Rules: The system shall provide the ability for compliance status and corrective actions to be printed for the customer;   |  |                        |                     |                            |  |

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| <a href="#">5.3.1.15</a>         | Associate Compliance with Customer: The system shall provide for the association of customer account data with customer specific compliance data using unique customer identifier.         |  |                        |                     |                            |  |
| <a href="#">5.3.1.16</a>         | Access: The system shall provide the ability to access compliance information directly or through real-time interfaces with external data sources.   |  |                        |                     |                            |  |
| <a href="#">5.3.1.17</a>         | Stop Transactions: The system shall provide the ability to stop transactions from being completed if compliance violations are found during an on-line or batch process.                   |  |                        |                     |                            |  |
| <a href="#">5.3.1.18</a>         | Supervisory overrides: The system shall provide for supervisory override capability to allow authorized personnel to process a transaction when the system returns a non-compliant status. |  |                        |                     |                            |  |
| <a href="#">5.3.1.19</a>         | Real-time Update: The system shall allow users with proper authority to perform a real-time update of any compliance information consistent with business rules defined.                   |  |                        |                     |                            |  |

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| <a href="#">5.3.1.20</a>            | Document Update Reason: The system shall require a user performing a real-time update to document the reason for the update and attach scanned supporting documentation.  |  |                        |                     |                            |  |
| <a href="#">5.3.1.21</a>            | Audit Logging: The system shall log all real-time updates and supervisory overrides to compliance status including user ID, data, time, etc., before and after values.  |  |                        |                     |                            |  |
| <a href="#">5.3.1.22</a>            | Statistics: the system shall maintain statistics of non-compliance checks for use in operational and management decisions.  |  |                        |                     |                            |  |
| <a href="#">5.3.1.23</a>            | Emissions Database (EDBMS): The system shall interface with the EDBMS to determine or receive emissions compliance.   |  |                        |                     |                            |  |
| <a href="#">5.3.1.24</a>            | Invitation to Renew: The system must read compliance information and generate appropriate notification of non-compliance and corrective action required when creating invitations to renew for both vehicle registrations and drivers licenses. |  |                        |                     |                            |  |

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| <a href="#">5.3.1.25</a>            | Identifiers: The system shall provide the ability to add external identifiers such as Secretary of State Numbers / Department of Transportation (DOT) Number, etc.  |  |                        |                     |                            |  |
| <a href="#">5.3.1.26</a>            | Inform Customer of Privilege or Compliance Issues: The system shall make the customer aware of any privilege or compliance issues during interaction with the DMV.  |  |                        |                     |                            |  |
| <a href="#">5.3.1.27</a>            | Automatic Background Checks: The system shall automatically begin conducting checks with PDPS, CDLIS, and SSOLV with the initiation of an application whether via the web site or by an Agent on-line.                      |  |                        |                     |                            |  |
| <b>5.4</b>                          | <b><u>Vehicle Services: Title and Registration</u></b>  |  |                        |                     |                            |  |
| <b>5.4.1</b>                        | <b><u>Title and Registration Common Requirements</u></b>  |  |                        |                     |                            |  |
| <a href="#">5.4.1.1</a>             | Owner Retrieval: The system shall provide the ability to identify and retrieve registration and title owner of a vehicle by identifiers such as: Customer ID, Passport ID, Driver License ID, CT ID Card, CT/US DOT #, etc. |  |                        |                     |                            |  |
| <a href="#">5.4.1.2</a>             | Title / Registration Owner: The System shall support a titled owner to be different from the registration owner.  |  |                        |                     |                            |  |

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| <a href="#">5.4.1.3</a>             | VIN Validation: The system shall provide the ability to require VIN validation for all transactions.   |  |                        |                     |                            |
| <a href="#">5.4.1.4</a>             | Vehicle Compliance: The system shall provide the ability to perform compliance checks based on vehicle identifiers, e.g. if the vehicle tax is current, there are no outstanding parking tickets, emissions checks are current, insurance is in effect, safety violation, vehicle is not stolen and the registration is not suspended for some reason. |  |                        |                     |                            |
| <a href="#">5.4.1.5</a>             | Vehicle Searches: The system shall have the ability to search for a vehicle by key attributes including but not limited to: customer name or number, MSO number, fleet number, VIN/HIN, partial name, etc.   |  |                        |                     |                            |
| <a href="#">5.4.1.6</a>             | VIN: The system shall interface with a third-party VIN validation service, such as VINA, to validate the VIN and populate vehicle fields.  |  |                        |                     |                            |
| <a href="#">5.4.1.7</a>             | Vehicle Attributes: The system shall provide the ability to require user defined mandatory information by vehicle type in order to create or update a vehicle record.  |  |                        |                     |                            |



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| <a href="#">5.4.1.8</a>          | Replacement VIN: The system shall provide the ability to issue replacement Vehicle Identification Numbers.                      |  |                        |                     |                            |  |
| <a href="#">5.4.1.9</a>          | Variable Length VIN: The system shall provide the ability to accept variable length alphanumeric VIN numbers.                   |  |                        |                     |                            |  |
| <a href="#">5.4.1.10</a>         | Multiple VINS: The system shall provide the ability to capture/display multiple VIN/HIN and designate as primary or secondary.  |  |                        |                     |                            |  |
| <a href="#">5.4.1.11</a>         | Fuel Type: The system shall track all fuel types as well as vehicles with multiple fuel types (hybrid vehicles).                |  |                        |                     |                            |  |
| <a href="#">5.4.1.12</a>         | Vehicle Valuation: The system shall provide the ability to get vehicle valuation data from an external source or to be entered. |  |                        |                     |                            |  |
| <a href="#">5.4.1.13</a>         | Vehicle Exemptions: The system shall provide for the ability to set and verify exemptions at the vehicle level.                 |  |                        |                     |                            |  |
| <a href="#">5.4.1.14</a>         | Fleet ID: The system shall provide the ability to associate or remove a vehicle from a Fleet.                                   |  |                        |                     |                            |  |
| <a href="#">5.4.1.15</a>         | Vehicle Notes: The system shall provide the ability to enter detailed notes about a vehicle.                                    |  |                        |                     |                            |  |

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| <a href="#">5.4.1.16</a>         | Marine Vessels: The system shall provide the ability to title and register marines (watercrafts), including boats.   |  |                        |                     |                            |  |
| <a href="#">5.4.1.17</a>         | Title and Registration Owners: The system shall provide the ability to have a titled owner different from the registration owner.  |  |                        |                     |                            |  |
| <a href="#">5.4.1.18</a>         | Release of Financial Responsibility: The system shall be able to record the receipt and details of a Release of Financial Liability associated with a vehicle record registered to a person 18 or less years of age.     |  |                        |                     |                            |  |
| <a href="#">5.4.1.19</a>         | Vehicle Weight / Rating: The system shall provide the ability to track the gross vehicle weight, gross vehicle weight rating and the vehicle light weight.   |  |                        |                     |                            |  |
| <a href="#">5.4.1.20</a>         | Multiple Titles / Registrations: The system shall provide the ability to support multiple titles and registrations for a vehicle (e.g. Amphibious vehicles will be titled and registered for both land and water usage). |  |                        |                     |                            |  |

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| <a href="#">5.4.1.21</a>                       | Suppressed Titles: The system shall provide the ability to create a title history for vehicles that are classified as 'suppressed' (e.g. the vehicle is owned by someone whose identity is suppressed).  |  |                        |                     |                            |
| <a href="#">5.4.1.22</a>                       | Validation Sources: The system shall support the use of state and federal sources to standardize and validate vehicle information (e.g. NMVTIS, DOT, Secretary of State, NCIC,   |  |                        |                     |                            |
| <a href="#">5.4.2</a><br><a href="#">5.4.3</a> | <u>Title</u><br><u>Process Title Application</u>   |  |                        |                     |                            |
| <a href="#">5.4.3.1</a>                        | Process Title Application: The system shall provide the ability to process applications for title services (e.g. new, voluntary and involuntary transfers, cancellations, etc.) and includes requirements common to title and registration – listed above. |  |                        |                     |                            |
| <a href="#">5.4.3.2</a>                        | Title Processing: The system shall provide the ability to issue, store, print and maintain motor vehicle titles.   |  |                        |                     |                            |
| <a href="#">5.4.3.3</a>                        | Title Only: The system shall allow the registered or legal owner(s) of a vehicle the option of titling without applying for  |  |                        |                     |                            |

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| <a href="#">5.4.3.4</a>             | Title Mailing Address: The system shall have a mailing indicator that points to which owner address(es) to which the title and renewal bills are to be mailed.                         |  |                        |                     |                            |
| <a href="#">5.4.3.5</a>             | Non-Electronic Titles: The system shall be able to process transactions for titles that are not stored electronically, e.g. old paper or purged titles.                                |  |                        |                     |                            |
| <a href="#">5.4.3.6</a>             | Title Comments: The system shall allow a title record to have an area for comments to be stored.   |  |                        |                     |                            |
| <a href="#">5.4.3.7</a>             | Duplicate Title: The system shall be able to print and track the issuance of duplicates and reprint titles over the life of the vehicle.   |  |                        |                     |                            |
| <a href="#">5.4.3.8</a>             | Transaction Detail: The system shall capture all title transactions types, the ID of the person performing the transaction, the location, etc. e.g. who and where a title was printed. |  |                        |                     |                            |

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| <a href="#">5.4.3.9</a>          | Title Searches: The system shall provide the capability to search for title, based on key attributes: current and previous owners, customer number, partial customer name, title number, plate number, full or partial VIN, lessee, lessor, lien holder, etc. |  |                        |                     |                            |
| <a href="#">5.4.3.10</a>         | Certificate of Search: The system shall have the ability to generate a 'Certificate of Search' showing the title history.   |  |                        |                     |                            |
| <a href="#">5.4.3.11</a>         | Application Status: The system shall provide the ability to inquire on title and title application status.  |  |                        |                     |                            |
| <a href="#">5.4.3.12</a>         | ELT Interface: The system shall be able to send and receive messages of errors in title information to/from ELT providers and place inbound error message into a work queue for a user to review.   |  |                        |                     |                            |
| <a href="#">5.4.3.13</a>         | NMVTIS Interface: The system shall allow secured inquiry access to the VIN pointer, brand, and MCO files through NMVTIS   |  |                        |                     |                            |
| <a href="#">5.4.3.14</a>         | Out of State Title: The system shall capture the Out-of-State Title Number and State abbreviation.  |  |                        |                     |                            |

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| <a href="#">5.4.3.15</a>            | Jurisdiction Code: The system shall be able to accept and change the jurisdiction code information received from the zip code to automatically populate the tax jurisdiction code when an address is entered. |  |                        |                     |                            |
| <a href="#">5.4.3.16</a>            | Title Status: The system shall provide the ability to check the status of the title when processing a title, vehicle or registration transaction and suspend the transaction based on business rules.         |  |                        |                     |                            |
| <a href="#">5.4.3.17</a>            | Title Owners: The system shall allow an unlimited number of owners on a title.  |  |                        |                     |                            |
| <a href="#">5.4.3.18</a>            | Seller Information: The system shall provide the ability to capture seller information (dealer / private seller) as well as date of purchase, purchase price, trade-in amount, etc.                           |  |                        |                     |                            |
| <a href="#">5.4.3.19</a>            | Sales Tax Exempt: The system shall be able to differentiate vehicles by sales tax exempt status and use that information when assessing charges.  |  |                        |                     |                            |

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| <a href="#">5.4.3.20</a>         | Sales Tax Basis: The system must be able to determine sales tax based on valuation. Valuation is determined based on numerous things including, but not limited to method of sale (dealer or not), trade in, year, and type of vehicle. |  |                        |                     |                            |  |
| <a href="#">5.4.4</a>            | <a href="#">Validate Customer / Documentation</a>   |  |                        |                     |                            |  |
| <a href="#">5.4.4.1</a>          | Compliance Checks: The system shall be able to provide customer compliance checks for title transactions as defined by business   |  |                        |                     |                            |  |
| <a href="#">5.4.5</a>            | <a href="#">Validate Vehicle Compliance</a>   |  |                        |                     |                            |  |
| <a href="#">5.4.5.1</a>          | Vehicle Compliance: The system shall be able to check vehicle compliance rules as they relate to the title process.   |  |                        |                     |                            |  |
| <a href="#">5.4.6</a>            | <a href="#">Record Vehicle Brands</a>   |  |                        |                     |                            |  |
| <a href="#">5.4.6.1</a>          | Interface: The system shall interface with insurance companies to receive notification of total loss as an electronic file.   |  |                        |                     |                            |  |

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| <a href="#">5.4.6.2</a>             | Salvage: The system shall be able to record a salvage transaction against a vehicle record hat includes a complete vehicle description, name and address of owner and any lien holder, issue date and time, any title brands, user comments, User ID, and name of insurance company submitting the salvage |  |                        |                     |                            |
| <a href="#">5.4.6.3</a>             | Brand History: The system shall maintain brand history associated with the title including brand and state.  |  |                        |                     |                            |
| <a href="#">5.4.6.4</a>             | Bonded Titles: The system shall provide for bonded titles, e.g. record the receipt of the bond, bond amounts, name of surety, name of the principle, etc. and titles that are subsequently issued, etc.  |  |                        |                     |                            |
| <a href="#">5.4.6.5</a>             | Remove Brand: The system shall provide for the removal of brands recorded in error by an authorized user.  |  |                        |                     |                            |
| <a href="#">5.4.6.6</a>             | Standard Brand Designations: The system shall use standard brand designations.   |  |                        |                     |                            |



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| <a href="#">5.4.7</a>            | <a href="#">Record/Release Security Interest (Lien)</a>  |  |                        |                     |                            |  |
| <a href="#">5.4.7.1</a>          | Select Lien Holder: The system shall be able to select Lien Holder information from a list of common lien holders when entering a lien holder onto a vehicle record. |  |                        |                     |                            |  |
| <a href="#">5.4.7.2</a>          | Maintain Lien Holder List: The system shall provide the ability to maintain a list of common lien holders to be selected from when recording a lien.                 |  |                        |                     |                            |  |
| <a href="#">5.4.7.3</a>          | Record Lien: The system shall be able to record a new lien on a vehicle title record.  |  |                        |                     |                            |  |
| <a href="#">5.4.7.4</a>          | Release Lien: The system shall record a lien release for a vehicle using the unique lien identifier.   |  |                        |                     |                            |  |
| <a href="#">5.4.7.5</a>          | Multiple Lien holders: The system shall be able to accept and record information for more than one lien holder.  |  |                        |                     |                            |  |
| <a href="#">5.4.7.6</a>          | Self-Service Lien Holder: The system shall provide the ability for pre-approved lien holders to do electronic lien extensions, transmit lien releases, and view lien |  |                        |                     |                            |  |

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| <a href="#">5.4.7.7</a>          | Inquiry: The system shall provide inquiry capability for lien holder information associated with customers by Lien holder Name, Lien holder I.D., and Lien holder |  |                        |                     |                            |  |
| <a href="#">5.4.7.8</a>          | Promote Secondary Lien: The system shall allow a secondary lien to be promoted to primary when the primary lien is removed or released                            |  |                        |                     |                            |  |
| <a href="#">5.4.8</a>            | <u>Issue Title</u>  |  |                        |                     |                            |  |
| <a href="#">5.4.8.1</a>          | NMVTIS Standards: The system shall be compliant with NMVTIS interface standards.  |  |                        |                     |                            |  |
| <a href="#">5.4.8.2</a>          | Title Receipt: The system shall generate an application for title document (with status) as a receipt to customers and have the ability to reprint.               |  |                        |                     |                            |  |
| <a href="#">5.4.8.3</a>          | Title Print / Reprint: The system shall have the ability to print a "no-fee" new, revised, or duplicate title.  |  |                        |                     |                            |  |

| Solutions Requirements Section # | SCHEDULE B - SOLUTIONS SUMMARY MATRIX Solutions Requirements Section Description   | A: ("X") if included in Proposer's current base MOTS offering  |                        |                     |                            |
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| <a href="#">5.4.8.4</a>          | Title Formats: The system shall provide for information formats to be in accordance with the Universal Title layout recommended by the American Association of Motor Vehicle Administrators (AAMVA) and the National Highway Traffic Safety Administration |  |                        |                     |                            |
| <a href="#">5.4.8.5</a>          | New Title Number: The system shall have the ability to generate a new unique title number for user designated service transactions.  |  |                        |                     |                            |
| <a href="#">5.4.8.6</a>          | Electronic or Paper Title: The system shall allow the options of issuing a paper title or maintaining an electronic title.   |  |                        |                     |                            |
| <a href="#">5.4.8.7</a>          | Inventory Control Number: The system shall capture the inventory control number when issuing a title.  |  |                        |                     |                            |
| <a href="#">5.4.8.8</a>          | Brand Designators: The system shall be able to print a user-defined number of brand designations on a title.   |  |                        |                     |                            |
| <a href="#">5.4.8.9</a>          | Print Title: The system shall provide for the printing of titles 'on demand' at authorized locations and in a batch mode.  |  |                        |                     |                            |

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| <u>5.4.9</u>                     | <u>Maintain Title Information / Status</u>   |  |                        |                     |                            |  |
| <u>5.4.9.1</u>                   | Duplicate Title Iterations: The system shall track iterations of duplicate titles (such as duplicate number one, duplicate number two,   |  |                        |                     |                            |  |
| <u>5.4.9.2</u>                   | Title Corrections: The system shall have the ability to issue a 'corrected' title, e.g. correct lien information, correct erroneous title information, etc.  |  |                        |                     |                            |  |
| <u>5.4.9.3</u>                   | Electronic Title Status: The system shall be able to change the status of a single or multiple titles from paper to electronic upon receipt of an electronic notification from the lien holder, and shall send a confirmation to the service provider upon conversion of the |  |                        |                     |                            |  |
| <u>5.4.9.4</u>                   | Interface: The system shall provide the ability to send title surrenders to NMVTIS   |  |                        |                     |                            |  |
| <u>5.4.9.5</u>                   | Title Status: The system shall maintain a "Title Status" (e.g. Active, Assigned, Cancelled, Duplicate, Surrendered, Stop Bond, Withdrawn, Revoked).  |  |                        |                     |                            |  |
| <u>5.4.9.6</u>                   | Dealer Assignments: The system shall provide the ability for multiple dealer assignments, not just the selling dealer (chain of ownership).  |  |                        |                     |                            |  |

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| <u>5.4.10</u> <u>Transfer Title</u>                   |   |  |                        |                     |                            |  |
| <u>5.4.10.1</u>                                       | Notice of Sale: The system shall be able to notify the owner and any lien holders, when a request for lien sale is received from vehicle repossession action.             |  |                        |                     |                            |  |
| <u>5.4.10.2</u>                                       | Transfer Reasons: The system shall maintain a list of transfer reasons (voluntary and involuntary) and allow the title agent to select a transfer reason.                 |  |                        |                     |                            |  |
| <u>5.4.10.3</u>                                       | Transfer Rejection Reasons: The system shall allow for a DMV user with proper authority to maintain a table of approved transfer rejection reasons.                       |  |                        |                     |                            |  |
| <u>5.4.11</u> <u>Registration</u>                     |   |  |                        |                     |                            |  |
| <u>5.4.12</u> <u>Process Registration Application</u> |   |  |                        |                     |                            |  |
| <u>5.4.12.1</u>                                       | Vehicle Class / Sub-class: The system shall be able to set and update registration class / sub-class based on information provided about the vehicle usage and body type. |  |                        |                     |                            |  |

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| <a href="#">5.4.12.2</a>         | Process Registration Application: The system shall provide the ability to process applications for registration services (e.g. new, temporary, vehicle transfers, renewals, plate transfers, class transfers, etc.) and includes requirements common to title and registration |  |                        |                     |                            |   |
| <a href="#">5.4.13</a>           | <u>Validate Customer / Documentation</u>   |  |                        |                     |                            |   |
| <a href="#">5.4.13.1</a>         | Customer Compliance: The system shall be able to check customer compliance rules as they relate to the registration process.   |  |                        |                     |                            |   |
| <a href="#">5.4.13.2</a>         | Registration Address: The system shall provide the ability to designate and validate an address where the vehicle is domiciled for tax calculation purposes.   |  |                        |                     |                            |   |
| <a href="#">5.4.13.3</a>         | Registration Mailing Address: The system shall be able to designate addresses for specific purposes, e.g. renewal mail billing, plate delivery, etc.   |  |                        |                     |                            |   |
| <a href="#">5.4.13.4</a>         | Registration Owner Address: The system shall be able to determine the mailing address for the registration owner (e.g. lessee) when the vehicle is under lease.  |  |                        |                     |                            |   |

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| <a href="#">5.4.13.5</a>            | Registration Address Updates: The system shall allow the housed or registration address for the vehicle to be updated.   |  |                        |                     |                            |  |
| <a href="#">5.4.14</a>              | <u>Validate Vehicle Compliance</u>   |  |                        |                     |                            |  |
| <a href="#">5.4.14.1</a>            | Vehicle Compliance: The system shall be able to check vehicle compliance rules as they relate to the registration process.   |  |                        |                     |                            |  |
| <a href="#">5.4.15</a>              | <u>Select Plate</u>  |  |                        |                     |                            |  |
| <a href="#">5.4.15.1</a>            | Valid Vanity Plate Characters: The system shall provide the ability to maintain a list of characters that are unavailable either because they are currently assigned or they have been deemed inappropriate. |  |                        |                     |                            |  |
| <a href="#">5.4.15.2</a>            | Number of Plate Characters: The system shall allow for eight (8) or more plate   |  |                        |                     |                            |  |
| <a href="#">5.4.15.3</a>            | Plate Image: The system shall record the plate image - including alpha-numeric separator characters to be able to reproduce the plate as issued (e.g. DR.JOE).   |  |                        |                     |                            |  |

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| <a href="#">5.4.15.4</a>         | Unique Plate Characters: The system shall be able to check for unique plate characters without separator alphanumeric character (e.g. DR.JOE will be evaluated as unique plate characters DRJOE) by class / sub-class. |  |                        |                     |                            |  |
| <a href="#">5.4.15.5</a>         | Multiple Active Plate: The system shall be able to assign two or more active plates to a vehicle registration.   |  |                        |                     |                            |  |
| <a href="#">5.4.15.6</a>         | Preview Plate: The system shall allow the customer to choose the characters on any plate background to preview the finished product before applying  |  |                        |                     |                            |  |
| <a href="#">5.4.15.7</a>         | Plate History: The system shall maintain plate history.  |  |                        |                     |                            |  |
| <a href="#">5.4.15.8</a>         | Vanity Plate Background; The system shall have the ability to define valid options for vanity plate characters by plate background.  |  |                        |                     |                            |  |
| <a href="#">5.4.15.9</a>         | Reserve Vanity Plate Characters: The system shall reserve vanity plate characters.   |  |                        |                     |                            |  |
| <a href="#">5.4.15.10</a>        | Plate Eligibility: The system shall support eligibility requirements by plate backgrounds.   |  |                        |                     |                            |  |



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| <a href="#">5.4.15.11</a>        | Assign Plate: The system shall automatically assign the next sequential plate number out of the registrar's inventory of the plate type selected.                         |  |                        |                     |                            |  |
| <a href="#">5.4.15.12</a>        | Plate Orders Via Website: The system shall be able to accept and process, Special Interest, Special Program, Vanity and sample plate application/requests via the DMV web |  |                        |                     |                            |  |
| <a href="#">5.4.16</a>           | <u>Complete Registration</u>  |  |                        |                     |                            |  |
| <a href="#">5.4.16.1</a>         | Expiration Period: The system shall provide the ability to set registration and plate expiration periods by class / sub-class.  |  |                        |                     |                            |  |
| <a href="#">5.4.16.2</a>         | Temporary and Permanent Registration: The system shall provide the ability to identify that the Registration is temporary or permanent.                                   |  |                        |                     |                            |  |
| <a href="#">5.4.16.3</a>         | Registration Status: The system shall provide the ability to track the status of the Temporary and Permanent Registrations.   |  |                        |                     |                            |  |
| <a href="#">5.4.16.4</a>         | Registration Only: The system shall provide the ability to register a vehicle without titling in the state of CT (e.g. marine vessels).                                   |  |                        |                     |                            |  |

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| <a href="#">5.4.16.5</a>            | Point of Sale Printing: The system shall provide the ability to print a Decal or Sticker at time of sale.  |  |                        |                     |                            |
| <a href="#">5.4.16.6</a>            | Stickers: The system shall support the issuance of month and year Stickers for motor vehicles. Sticker number shall be unique and related to plate number.   |  |                        |                     |                            |
| <a href="#">5.4.16.7</a>            | Registration Receipt: The system shall print registration receipt (card) and allow for a reprint on request for registration receipt.                        |  |                        |                     |                            |
| <a href="#">5.4.16.8</a>            | Plate Order: The system shall complete the registration and electronically order the vanity or special interest plate from the Cheshire Production Facility. |  |                        |                     |                            |
| <a href="#">5.4.17</a>              | <a href="#">Renew Vehicle Registration</a>   |  |                        |                     |                            |
| <a href="#">5.4.17.1</a>            | Renewal Invitations: The system shall provide the ability to automatically generate bar coded invitations to renew based on registration expiration period.  |  |                        |                     |                            |
| <a href="#">5.4.17.2</a>            | Renewal Messages: The system shall have the ability to print custom and compliance messages on the invitation to renew.                                      |  |                        |                     |                            |

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| <a href="#">5.4.17.3</a>         | Internet Renewals: The system shall provide the ability to route internet renewals to a centralized DMV location for printing and mailing the stickers and registration receipt. |  |                        |                     |                            |  |
| <a href="#">5.4.18</a>           | <u>Transfer Vehicle (Plate)</u>  |  |                        |                     |                            |  |
| <a href="#">5.4.18.1</a>         | Plate Transfer: The system shall provide the ability to transfer an existing plate and remaining equity to another vehicle.  |  |                        |                     |                            |  |
| <a href="#">5.4.19</a>           | <u>Replace Registration/Plates/Decals</u>  |  |                        |                     |                            |  |
| <a href="#">5.4.19.1</a>         | Plate Replacement: The system shall support replacement of all or specific plate types based on user defined selection criteria.   |  |                        |                     |                            |  |
| <a href="#">5.5</a>              | <u>Driver Services: Credentialing and Sanctioning</u>  |  |                        |                     |                            |  |
| <a href="#">5.5.1</a>            | <u>Credentialing</u>   |  |                        |                     |                            |  |
| <a href="#">5.5.2</a>            | <u>Request Service / Apply for Credential</u>  |  |                        |                     |                            |  |
| <a href="#">5.5.2.1</a>          | Authentication and Verification: The system performs authentication and verification steps using existing and future external systems such as SSOLV, PDPS, NCIC, etc.            |  |                        |                     |                            |  |

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| <a href="#">5.5.2.2</a>             | Credentials: The system shall provide the ability to process applications and issue credentials for the following types: non-driver identification, non-commercial, commercial, learner's permit, motorcycle, endorsements,                  |  |                        |                     |                            |
| <a href="#">5.5.2.3</a>             | Checklists: The system shall provide the current checklist of documents that the customer is required to provide based on the type of service request.   |  |                        |                     |                            |
| <a href="#">5.5.2.4</a>             | Proofing Workstations: The system shall support the use of Proofing Workstations to authenticate passports and out-of-state licenses.  |  |                        |                     |                            |
| <a href="#">5.5.2.5</a>             | Bio-facial Matching: The system shall interface with the current bio-facial technology used by the DMV.  |  |                        |                     |                            |
| <a href="#">5.5.2.6</a>             | Background Checks: The system shall initiate appropriate background, criminal and security checks depending on the type of customer (e.g., non-U.S. citizen) and the type of credential/endorsement they seek to obtain (e.g., CDL license). |  |                        |                     |                            |

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| <a href="#">5.5.2.7</a>             | Real ID Compliance: the system shall support the Real ID credentialing guidelines.   |  |                        |                     |                            |
| <a href="#">5.5.2.8</a>             | Alert for Possible Fraud: The system shall provide the ability to suggest possible fraud situations based on information received and background and internal checks performed (e.g. multiple credentials for the same person, |  |                        |                     |                            |
| <a href="#">5.5.2.9</a>             | Federal Compliance: System must comply with all applicable federal (e.g. CDL, NDR, Real ID Act), compact (DLA/DLC- one license one person/surrender of Out of State license), and state laws.                                  |  |                        |                     |                            |
| <a href="#">5.5.2.10</a>            | Out of State Surrender: Receive and electronically record out-of-state license surrender and transmit to former JOR (Jurisdiction of Record).  |  |                        |                     |                            |
| <a href="#">5.5.2.11</a>            | In-State Surrender: Receive and electronically record/transmit the surrender of a CT license from a new JOR (Jurisdiction of Record).  |  |                        |                     |                            |

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| <u>5.5.3</u> <u>Schedule and Administer Tests</u> |   |  |                        |                     |                            |  |
| <u>5.5.3.1</u>                                    | Schedule Testing: The system shall provide the ability for DMV users or customers to schedule vision, written, and skills test appointments that are conducted at DMV |  |                        |                     |                            |  |
| <u>5.5.3.2</u>                                    | Test Results: The system shall provide the ability to electronically accept and record test results provided by a third party vendor.                                 |  |                        |                     |                            |  |
| <u>5.5.3.3</u>                                    | Interface: The system shall provide the ability to interface with the vision and written test stations to record the results on the customer's credential record.     |  |                        |                     |                            |  |
| <u>5.5.3.4</u>                                    | Skills Test Interface: The system shall provide the ability for testing agents to enter the results of skills tests through a mobile device.                          |  |                        |                     |                            |  |
| <u>5.5.3.5</u>                                    | Test History: The system shall provide the ability to capture a history of test results.  |  |                        |                     |                            |  |
| <u>5.5.4</u> <u>Issue Credential</u>              |   |  |                        |                     |                            |  |
| <u>5.5.4.1</u>                                    | Temporary and Permanent Credentials: The system shall support the issuance of both permanent and temporary credentials.   |  |                        |                     |                            |  |

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| <a href="#">5.5.4.2</a>             | Issue Credentials: The system shall have the ability to issue applicable classifications, endorsements, restrictions, NDID).  |  |                        |                     |                            |
| <a href="#">5.5.4.3</a>             | Update Credential: The system shall provide the ability to update and maintain history of credential information and status e.g., duplicate, modify name/address, photo update, upgrade/downgrade, surrender, and |  |                        |                     |                            |
| <a href="#">5.5.4.4</a>             | Set Effective Dates: The system shall calculate the inception and expiration dates based on business rules.   |  |                        |                     |                            |
| <a href="#">5.5.4.5</a>             | Interface: The system shall interface with the assembly equipment to produce the  |  |                        |                     |                            |
| <a href="#">5.5.4.6</a>             | Delivery Method: The system shall provide the ability to record the delivery method, e.g. central issuance, given to the customer or mailing address, if mailed, etc.   |  |                        |                     |                            |
| <a href="#">5.5.5</a>               | <a href="#">Renew Credential</a>  |  |                        |                     |                            |
| <a href="#">5.5.5.1</a>             | Renewal Invitations: The system shall provide the ability to automatically generate bar coded invitations to renew based on credential expiration period.   |  |                        |                     |                            |

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| <a href="#">5.5.5.2</a>          | Renewal Messages: The system shall have the ability to print custom and compliance messages on the invitation to renew.   |  |                        |                     |                            |  |
| <a href="#">5.5.5.3</a>          | Internet Renewals: The system shall provide the ability to route internet renewals to a centralized DMV location for printing and mailing the credentials.  |  |                        |                     |                            |  |
| <a href="#">5.5.5.4</a>          | Renewal Delivery Channels: The system shall provide the ability to renew credentials through various delivery channels, including the capability of central issuance for any or all credentials through a centralized DMV facility based on business rules: DMV Branch Office, DMV website, Business Partner location, mail-in, IVR, Customer Phone Center. |  |                        |                     |                            |  |
| <a href="#">5.5.6</a>            | <a href="#">Sanctioning</a>   |  |                        |                     |                            |  |
| <a href="#">5.5.7</a>            | <a href="#">Process Driver Control Action Request</a>   |  |                        |                     |                            |  |
| <a href="#">5.5.7.1</a>          | Interface: The system shall support the receiving of electronic feeds from in-state and out-of-state courts, CIDRIS, CDLIS, NDR/PDPS, DSS, DCF and Third Party program providers (e.g. IID, Driver Re-training Schools, Child Safety Schools, etc.).  |  |                        |                     |                            |  |



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| <a href="#">5.5.7.2</a>             | Receive Paper Updates: The system shall support the receiving and scanning of all OCR and non-OCR forms and correspondence.  |  |                        |                     |                            |  |  |  |  |
| <a href="#">5.5.7.3</a>             | Process Action Requests: The system shall provide the ability to process driver action requests such as: convictions, report-based offenses, expunge or rescind a court order, court affidavits, reinstatement requests, and results of a hearing or appeal.   |  |                        |                     |                            |  |  |  |  |
| <a href="#">5.5.7.4</a>             | Auto Adjudication: The system shall support the auto-adjudication of all action requests, e.g., record/amend the conviction or request, violation/ACD code, evaluating the request in the context of prior history and current status and taking the appropriate action (suspending the license, restoring license, generate relevant correspondence). |  |                        |                     |                            |  |  |  |  |
| <a href="#">5.5.7.5</a>             | Record Requests: The system shall have the ability to record and associate action requests with the customer record.   |  |                        |                     |                            |  |  |  |  |

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| <a href="#">5.5.7.6</a>             | Alerts: The system shall provide the ability to send an alert to a Driver Control work queue for those requests that are not configured to auto-adjudicate or are too complex.   |  |                        |                     |                            |
| <a href="#">5.5.7.7</a>             | Out of State Drivers: The system shall provide the ability to create a customer record if the offender is from another jurisdiction and notify the licensing jurisdiction.   |  |                        |                     |                            |
| <a href="#">5.5.7.8</a>             | Request for Hearing or Appeal: The system shall provide the ability to record and track hearing requests and record the results.   |  |                        |                     |                            |
| <a href="#">5.5.7.9</a>             | Configurable CT violation/ACD Rules: The system shall provide the ability to configure rules relating to violation/ACD codes relationship for generating the sanction, re-instatement requirements and reportability (PDPS, CDLIS, MCSIA, etc) for commercial and non-commercial driving privileges. |  |                        |                     |                            |
| <a href="#">5.5.7.10</a>            | Federal Mandates: The system must comply with the requirements of all applicable federal (e.g. CDL/MCSIA, National Driver Registry), Compacts (i.e. DLC/DLA, NRVC), and state laws for sanctioning.  |  |                        |                     |                            |

| Solutions Requirements Section # | SCHEDULE B - SOLUTIONS SUMMARY MATRIX<br>Solutions Requirements Section Description  | A: ("X") if included in Proposer's current base MOTS offering  |                        |                     |                            |
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| <a href="#">5.5.7.11</a>         | Driver History Views: The system shall support the ability to produce and process internal and external driving history views based on agency rules.   |  |                        |                     |                            |
| <a href="#">5.5.7.12</a>         | Plain English: The system shall be capable of producing driver history communications in plain english, e.g. including interpretation of codes into meaningful statements that are easily understood by the driver, etc.   |  |                        |                     |                            |
| <a href="#">5.5.8</a>            | <u>Withdraw Driving Privilege</u>  |  |                        |                     |                            |
| <a href="#">5.5.8.1</a>          | Notification – Withdrawal: The system shall provide the ability to automatically generate a notice (of immediate or pending action) to the driver and appropriate external entities (PDPS, CDLIS, employers, etc.) as  |  |                        |                     |                            |
| <a href="#">5.5.8.2</a>          | Actionable Offense: The system or Driver Control Agent shall use business rules established for violation/conviction/ACD codes, driver history, current suspension, etc. and determine whether there shall be a restriction, suspension, revocation, disqualification or cancellation applied to the |  |                        |                     |                            |

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| <a href="#">5.5.8.3</a>          | Driver History: The system shall provide the ability to establish rules to automatically evaluate the current action in the context of other control actions recorded on the driver record and notify or alert   |  |                        |                     |                            |  |
| <a href="#">5.5.8.4</a>          | Monitor Compliance - Withdrawal: The system shall support the continual monitoring of the driver record for compliance issues (e.g. ORP, SATP, IID, Work Permit, Medical Qualifications, High Points, 4 Speeding Violations, 4 Unsafe moving Violations, etc) and take appropriate action for failure to |  |                        |                     |                            |  |
| <a href="#">5.5.9</a>            | <b>Establish Re-instatement Criteria</b>   |  |                        |                     |                            |  |
| <a href="#">5.5.9.1</a>          | Re-instatement Criteria: The system shall provide the ability to automatically establish the driving privilege re-instatement criteria based on user defined rules relating to the suspension code and driver history.   |  |                        |                     |                            |  |
| <a href="#">5.5.9.2</a>          | Related Criteria: The system sets the suspension duration along with other criteria, e.g. notification of insurance, pay re-instatement fee, attend driver school, attend safety school, etc. in compliance with state   |  |                        |                     |                            |  |

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| <u>5.5.10</u>                    | <u>Reinstate Driving Privilege</u>  |  |                        |                     |                            |  |
| <u>5.5.10.1</u>                  | Expunge Records: The system shall provide for the ability to expunge records as required by court orders.   |  |                        |                     |                            |  |
| <u>5.5.10.2</u>                  | Rescind Court Order: The system shall provide to the ability to rescind a conviction.   |  |                        |                     |                            |  |
| <u>5.5.10.3</u>                  | Monitor Compliance – Reinstate: The system shall support the continual monitoring of the driver record, record re-instatement requirements completion and initiate a restoration workflow when all requirements are |  |                        |                     |                            |  |
| <u>5.5.10.4</u>                  | Notification – Re-instatement: The system shall provide the ability to automatically generate a notice to the driver and other parties (PDPS, CDLIS, etc) of the restoration of their driving privileges.           |  |                        |                     |                            |  |

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| <a href="#">5.6</a>              | <a href="#">Permits</a>   |  |                        |                     |                            |  |
| <a href="#">5.6.1</a>            | <a href="#">Flashing Light / Siren Permit</a>   |  |                        |                     |                            |  |
| <a href="#">5.6.2</a>            | <a href="#">Handicap Placard/Tinted Window Permit</a>   |  |                        |                     |                            |  |
| <a href="#">5.6.3</a>            | <a href="#">Privilege Permits</a>   |  |                        |                     |                            |  |
| <a href="#">5.6.4</a>            | <a href="#">Permit Requirements</a>   |  |                        |                     |                            |  |
| <a href="#">5.6.4.1</a>          | Multiple Types of Permits: The system shall have the ability to issue, track, report, and maintain data pertaining to multiple types of permits both at the customer and the vehicle level.                     |  |                        |                     |                            |  |
| <a href="#">5.6.4.2</a>          | Permit Fees: The system shall assess the proper permit fees.  |  |                        |                     |                            |  |
| <a href="#">5.6.4.3</a>          | Searching Permit Information: The system shall provide the ability to retrieve requested temporary permit information using search criteria such as owner names, lessee names, VIN, permit number, and barcode. |  |                        |                     |                            |  |
| <a href="#">5.6.4.4</a>          | Permanent Permits: The system shall have the ability to issue and track permanently disabled person placards.   |  |                        |                     |                            |  |
| <a href="#">5.6.4.5</a>          | Temporary Permits: The system shall have the ability to issue and track temporarily disabled person placards.   |  |                        |                     |                            |  |

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| <a href="#">5.6.4.6</a>          | Organizations Qualifying for Permanent Disabled Person Placards: The system shall track organizations that qualify for permanent disabled person placards.   |  |                        |                     |                            |
| <a href="#">5.6.4.7</a>          | Permit / Placard Renewal Notices: The system shall generate renewal notices for permits and placards.  |  |                        |                     |                            |
| <a href="#">5.6.4.8</a>          | External Agency Permits: The system shall provide the ability to track permit information issued by other agencies.  |  |                        |                     |                            |
| <a href="#">5.6.4.9</a>          | Handicap Permit Certification: The system shall provide for a Health Care Provider to certify handicapped eligibility via the DMV web site through their account.  |  |                        |                     |                            |
| <a href="#">5.7</a>              | <u>Fiscal Management</u>   |  |                        |                     |                            |
| <a href="#">5.7.1</a>            | <u>Cash Management</u>   |  |                        |                     |                            |
| <a href="#">5.7.1.1</a>          | Calculate Fees and Taxes: The system shall calculate the fees and taxes due, depending on the service or product transaction type, service delivered, vehicle class/sub-codes, and sales tax (for original registration only), |  |                        |                     |                            |

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| <a href="#">5.7.1.2</a>             | Payment Verification: The system shall provide the ability to perform payment verification for debit, credit and cash cards.  |  |                        |                     |                            |  |
| <a href="#">5.7.1.3</a>             | Collect Payment: The system shall post financial entries for collected payments and allow for multiple tender types per payment transaction and multiple service transactions per payment transaction   |  |                        |                     |                            |  |
| <a href="#">5.7.1.4</a>             | Reconcile Cash Drawer and Prepare Office Deposit: The system shall support the cash drawer reconciliation process and the preparation of a combined office deposit.   |  |                        |                     |                            |  |
| <a href="#">5.7.1.5</a>             | Submit ACH Batch Transfer and Process ACH Notification: The system shall support the accumulation of transactions for submission to a Clearinghouse for collection and transfer to the State Treasury, and receive electronic notice of settlement from the ACH |  |                        |                     |                            |  |
| <a href="#">5.7.2</a>               | <u>Reconciliation</u>   |  |                        |                     |                            |  |
| <a href="#">5.7.2.1</a>             | Reconcile Cash Drawer: The system shall support the reconciliation of all tender types in the cash drawer to the transactions completed.  |  |                        |                     |                            |  |



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| <a href="#">5.7.2.2</a>             | Reconcile Office: The system shall support the reconciliation of all tender types for all cash drawers in the Office to the transactions completed at that Office.   |  |                        |                     |                            |  |
| <a href="#">5.7.2.3</a>             | Reconcile Revenue: The system shall support the reconciliation of the aggregated DMV-wide view of recorded service transaction counts with the fees collected from all sources and recorded at all DMV "points of sale". |  |                        |                     |                            |  |
| <a href="#">5.7.2.4</a>             | Reconcile Bank Accounts: The system shall support the daily/monthly reconciliation of DMV recorded service transactions with bank deposits and credit/debit card settlements.  |  |                        |                     |                            |  |
| <a href="#">5.7.3</a>               | <b>Adjustments</b>   |  |                        |                     |                            |  |
| <a href="#">5.7.3.1</a>             | Create Revenue Adjustments: The system shall support the creation of revenue adjustments for financial, bank, and system transactions at the customer and summary  |  |                        |                     |                            |  |

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| <a href="#">5.7.3.2</a>             | Reclassify Funds: The system shall support the reclassification of funds and the creation of necessary revenue accounting entries to credit revenue accounts and debit liability accounts in order to maintain a correct customer account balance. |  |                        |                     |                            |   |
| <a href="#">5.7.3.3</a>             | Accounts Receivable: The system shall provide the ability to interface with an automated accounts receivable function to run the statements for a defined period of time.  |  |                        |                     |                            |   |
| <a href="#">5.7.3.4</a>             | Refunds: The system shall provide the ability to reject refund requests.   |  |                        |                     |                            |   |
| <a href="#">5.7.4</a>               | <b>Revenue Distribution</b>  |  |                        |                     |                            |   |
| <a href="#">5.7.4.1</a>             | Create Revenue Distribution (Trial Balance): The system shall support the summarization and reporting of DMV fund-level financial activity to the State Treasurer and Comptroller through the State-wide Accounting system                         |  |                        |                     |                            |   |
| <a href="#">5.7.4.2</a>             | Special Interest and Program Plate: The system shall track the organizational plates issued, process collections of fees and automatically distribute funds to proper  |  |                        |                     |                            |   |

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| <a href="#">5.8</a>              | <a href="#">License and Manage Regulated Businesses</a>   |  |                        |                     |                            |  |
| <a href="#">5.8.1</a>            | <a href="#">Business Entity Submits Application</a>   |  |                        |                     |                            |  |
| <a href="#">5.8.2</a>            | <a href="#">Collect Fees</a>  |  |                        |                     |                            |  |
| <a href="#">5.8.3</a>            | <a href="#">DMV Processes / Completes Application</a>   |  |                        |                     |                            |  |
| <a href="#">5.8.4</a>            | <a href="#">Manage Complaints and Compliance Issues</a>   |  |                        |                     |                            |  |
| <a href="#">5.8.5</a>            | <a href="#">Self-Managed Business Account</a>   |  |                        |                     |                            |  |
| <a href="#">5.8.6</a>            | <a href="#">Requirements</a>  |  |                        |                     |                            |  |
| <a href="#">5.8.6.1</a>          | License Non-Compliance: Dealers or other regulated entities may not be able to renew their license due to auditing information or performance issues affecting their compliance |  |                        |                     |                            |  |
| <a href="#">5.8.6.2</a>          | Workflow: The system shall provide the ability to defined workflow processes to manage one or more complaint cases.   |  |                        |                     |                            |  |
| <a href="#">5.8.6.3</a>          | Case Management: The system shall provide case management and workflow ability.   |  |                        |                     |                            |  |
| <a href="#">5.8.6.4</a>          | Associate Cases: The system shall provide the ability to associate cases that are of a related nature.  |  |                        |                     |                            |  |

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| <a href="#">5.9</a>              | <a href="#">Business Partner Services</a>   |  |                        |                     |                            |  |
| <a href="#">5.9.1</a>            | <a href="#">Business Partner Requirements</a>   |  |                        |                     |                            |  |
| <a href="#">5.9.1.1</a>          | Audit Criteria: The system shall verify auditing information from predefined sources during the renewal process.  |  |                        |                     |                            |  |
| <a href="#">5.9.1.2</a>          | Non-Compliance: The system shall prevent Dealers or other regulated entities who are non-compliant and no longer have a valid license from processing DMV transactions. |  |                        |                     |                            |  |
| <a href="#">5.9.1.3</a>          | Fee Collection with Mobile Device: The system shall provide inspectors with the ability to collect fees using a mobile device.  |  |                        |                     |                            |  |
| <a href="#">5.9.1.4</a>          | Print Certificate/License: The system shall allow the regulated entity to access the DMV website to print their certificate/license/contract if all requirements        |  |                        |                     |                            |  |
| <a href="#">5.9.1.5</a>          | Partner Renewal Notices: The system shall provide the capability to automatically send business partners renewals and late alerts/notices.                              |  |                        |                     |                            |  |
| <a href="#">5.9.1.6</a>          | Internet Renewals: The system shall provide the ability for business partners to renew through the DMV website.   |  |                        |                     |                            |  |

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| <u>6</u>                            | <u>DMV Business Support Processes Requirements</u>  |  |                        |                     |                            |  |
| <u>6.1</u>                          | <u>Records Management</u>   |  |                        |                     |                            |  |
| <u>6.1.1</u>                        | <u>Records Management Requirements</u>  |  |                        |                     |                            |  |
| <u>6.1.1.1</u>                      | Track and Store Records: The system must provide the ability to track and store records.  |  |                        |                     |                            |  |
| <u>6.1.1.2</u>                      | Capture Requestor Information: The systems shall capture the requestor of information and report on access by person, frequency, customer record requested, etc.                  |  |                        |                     |                            |  |
| <u>6.1.1.3</u>                      | Record Properties: The system shall provide the ability to identify properties of records that enables a classification of a record for purposes of assigning a retention period: |  |                        |                     |                            |  |
| <u>6.1.1.4</u>                      | Record Entry: The system shall provide for the entry of records by an authorized records management group or through auditable batch processing.                                  |  |                        |                     |                            |  |
| <u>6.1.1.5</u>                      | Record Edits: The system shall provide for the editing and validation of data through online and batch processes to assure validity.  |  |                        |                     |                            |  |
| <u>6.1.1.6</u>                      | Record Retrieval: The system shall provide for the retrieval of records for the life of the records (e.g. maintain human readable   |  |                        |                     |                            |  |

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| <a href="#">6.1.1.7</a>             | E-Mail Records: The system shall support the capturing of records that identify e-mail transmission of information, e.g. the sending of renewal notices to an e-mail address as requested by the customer. |  |                        |                     |                            |
| <a href="#">6.1.1.8</a>             | Electronic Signatures: The system shall support the capturing of electronic signatures and utilize the record in the processing of the DMV business functions.   |  |                        |                     |                            |
| <a href="#">6.1.1.9</a>             | Retention Period: The system shall track the retention period for each type of document.   |  |                        |                     |                            |
| <a href="#">6.1.1.10</a>            | Data Purge Approval: The system shall provide a listing of records that are scheduled to be purged and require authorized user to approve the purge before proceeding with the actual purge.               |  |                        |                     |                            |
| <a href="#">6.1.1.11</a>            | Automated Purge Process: The system shall provide records approved for purge to be purged via an automated process based on the retention periods set in the system.                                       |  |                        |                     |                            |
| <a href="#">6.1.1.12</a>            | Retrieval of Archived Records: The system shall provide for transparent retrieval of archived records.   |  |                        |                     |                            |

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| <a href="#">6.1.1.13</a>            | Capture Electronic Images: DMV and Business Partner locations must be able to electronically capture images of documents to be stored as an accessible part of a   |  |                        |                     |                            |
| <a href="#">6.1.1.14</a>            | Image Encryption: All images electronically transmitted via external or public networks must be secure and encrypted.  |  |                        |                     |                            |
| <a href="#">6.1.1.15</a>            | Audit Logs: Any creation and/or retrieval of images by DMV, customers or Business Partners must be tracked in an audit trail.  |  |                        |                     |                            |
| <a href="#">6.1.1.16</a>            | Authenticate Requestor: The system shall provide the ability to authenticate an information requestor's license or other identifying credential that substantiates their authority to receive requested information. |  |                        |                     |                            |
| <a href="#">6.1.1.17</a>            | Title Copy Records: The system shall provide the ability to provide official copies of title documents and record information regarding the request, e.g. requestor, date, time, delivery method, etc.               |  |                        |                     |                            |

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| <u>6.2</u>                       | <u>Inventory Control</u>  |  |                        |                     |                            |  |
| <u>6.2.1</u>                     | <u>Inventory Management</u>   |  |                        |                     |                            |  |
| <u>6.2.1.1</u>                   | Inventory Control: The system shall maintain the inventory of all controlled, serialized items used by the DMV including, but not limited to plates, title document stock, window/plate stickers, handicap placards, drivers license/ID,  |  |                        |                     |                            |  |
| <u>6.2.1.2</u>                   | Integrated Inventory Management: The inventory management capability shall be fully integrated with system components that perform DMV transactions (e.g. issue registrations, titles, licenses, etc.), able to track specific inventory items available for issuance, and receive information about reductions of inventory levels for specific items that are issued or used in DMV |  |                        |                     |                            |  |
| <u>6.2.1.3</u>                   | Inventory Tracking: The system shall track inventory levels and usage of all controlled items located at multiple locations.  |  |                        |                     |                            |  |
| <u>6.2.1.4</u>                   | Inventory Items: The system shall support the addition and definition of controlled inventory items and item types.   |  |                        |                     |                            |  |



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| <a href="#">6.2.1.5</a>             | Inventory Locations: The system shall support the addition and definition of locations for inventory to be stored or distributed.  |  |                        |                     |                            |
| <a href="#">6.2.1.6</a>             | Inventory Order Points: The system shall support maintenance of inventory item order points (minimum and maximum inventory levels) for each defined inventory item at each |  |                        |                     |                            |
| <a href="#">6.2.1.7</a>             | Inventory Levels: The system shall provide the ability for authorized users to manually enter actual inventory levels for inventory items at DMV locations.                |  |                        |                     |                            |
| <a href="#">6.2.1.8</a>             | Auto Reorder: The system shall automatically generate orders/reorders for any inventory item that falls below its minimum inventory  |  |                        |                     |                            |
| <a href="#">6.2.1.9</a>             | Order Notification: The system shall be able to automatically notify the plate vendor of a plate order and other designated personnel.                                     |  |                        |                     |                            |
| <a href="#">6.2.1.10</a>            | Inventory Management: The system shall be capable of notifying designated personnel at DMV locations when replenishment is needed.   |  |                        |                     |                            |
| <a href="#">6.2.1.11</a>            | Order Processing: The system shall allow an operator with appropriate access to order controlled items.  |  |                        |                     |                            |

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| <a href="#">6.2.1.12</a>            | Maximum Order Limit: The system shall prevent entry of orders/reorders that would increase the inventory level of any inventory item over its maximum level.   |  |                        |                     |                            |
| <a href="#">6.2.1.13</a>            | Transfer Inventory Items: The system shall provide the ability for authorized users to transfer inventory items between locations.   |  |                        |                     |                            |
| <a href="#">6.2.1.14</a>            | Order Processing: The system shall capture information about each order (inventory item type, quantity, operator, location, order number) and allow for operator "receipt" of the order when it arrives at their location. |  |                        |                     |                            |
| <a href="#">6.2.1.15</a>            | Inventory Order Receipt: The system shall allow for an operator to "receipt" an order when it arrives at their location.   |  |                        |                     |                            |
| <a href="#">6.2.1.16</a>            | Inventory Reporting: The system shall provide the ability to track and report on inventory items associated with DMV transactions including license plates, registration stickers, titles, handicap placards, etc.         |  |                        |                     |                            |

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| <a href="#">6.2.1.17</a>            | Inventory Overrides: The system shall provide the ability for authorized users to override and modify existing values including inventory item reorder/restocking levels, and inventory item orders/reorders.     |  |                        |                     |                            |
| <a href="#">6.2.1.18</a>            | Inventory Bar Codes: The system shall support the use of machine readable technology (e.g. bar code) readers to enter and identify inventory items in inventory at a location (e.g. plates, etc.).                |  |                        |                     |                            |
| <a href="#">6.2.1.19</a>            | Audit Trails: The system shall provide audit trails (user, date/time of change, data changed) for all changes to data and inventory   |  |                        |                     |                            |
| <a href="#">6.2.1.20</a>            | Inventory Suppliers: The system shall interface with the (web-based) automated inventory control system of the DMV-authorized supplier of drivers license/ID controlled stock in order to maintain accurate       |  |                        |                     |                            |
| <a href="#">6.2.1.21</a>            | Inventory Interface: The system shall interface with a vendor-provided unit which reads pre-serialized controlled stock for driver licenses/IDs and verifies inventory levels on hand at DMV licensing locations. |  |                        |                     |                            |

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| <a href="#">6.3</a>              | <a href="#">Audits</a>   |  |                        |                     |                            |  |
| <a href="#">6.3.1</a>            | <a href="#">The Process</a>  |  |                        |                     |                            |  |
| <a href="#">6.3.2</a>            | <a href="#">The Referral Phase</a>   |  |                        |                     |                            |  |
| <a href="#">6.3.3</a>            | <a href="#">Audit Phase</a>  |  |                        |                     |                            |  |
| <a href="#">6.3.4</a>            | <a href="#">Audit Resolution Phase</a>   |  |                        |                     |                            |  |
| <a href="#">6.3.5</a>            | <a href="#">Requirements</a>   |  |                        |                     |                            |  |
| <a href="#">6.3.5.1</a>          | Mobile Devices: The system shall allow Auditors and investigators to use mobile devices to conduct site inspections and audits.                                    |  |                        |                     |                            |  |
| <a href="#">6.3.5.2</a>          | Capture BPA Specifics: The system shall provide the ability to capture specifics of a BPA to enable the automated selection of possible audit candidates.          |  |                        |                     |                            |  |
| <a href="#">6.3.5.3</a>          | Audit Workflow: The system shall provide the ability to configure workflow to support the DMV audit plan – workload balancing, selection of audit candidates, etc. |  |                        |                     |                            |  |
| <a href="#">6.3.5.4</a>          | Audit Logs: The system shall maintain detailed audit logs when any form of tender is received, disbursed or refunded or any controlled stock is issued.            |  |                        |                     |                            |  |

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| <a href="#">6.3.5.5</a>             | Automated Audit Selection: The system shall have the ability to create automated audit selection routines.  |  |                        |                     |                            |
| <a href="#">6.3.5.6</a>             | Monitor Revenue Collection: The system shall provide the capability to monitor revenue collection and transaction details for DMV's business partners and internal staff. |  |                        |                     |                            |
| <a href="#">6.3.5.7</a>             | Audit History: The system shall track the date that each business partner or DMV location was last audited and provide authorized users a view of this data.              |  |                        |                     |                            |
| <a href="#">6.3.5.8</a>             | Schedule Re-Audit: The system shall provide the ability to schedule re-audits based on the results of previous audits.  |  |                        |                     |                            |
| <a href="#">6.3.5.9</a>             | Audit Life Cycle: The system shall provide the ability for the user to initiate, extend, or terminate an audit.   |  |                        |                     |                            |
| <a href="#">6.3.5.10</a>            | Audit Action Reasons: The system shall require recording of the reason for the audit action being taken.  |  |                        |                     |                            |

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| <a href="#">6.3.5.11</a>            | Audit Requirement List: The system shall provide user defined list from which audit requirements can be elected for an individual audit                                     |  |                        |                     |                            |
| <a href="#">6.3.5.12</a>            | Update Audit Requirement List: The system shall provide a user screen from which requirements can be added, modified, or deleted from the list.                             |  |                        |                     |                            |
| <a href="#">6.3.5.13</a>            | Manual Audit Selection: The system shall support initiating an audit on a parent company, DBA, or specific dealer site.   |  |                        |                     |                            |
| <a href="#">6.3.5.14</a>            | Business Intelligence: The system shall provide the ability to export information into a Business Intelligence facility to enable trend analysis and auditing capabilities. |  |                        |                     |                            |
| <a href="#">6.3.5.15</a>            | Case Management: The system shall provide Case Management capabilities to manage audit workload, audit activities and detailed tracking of case plan steps                  |  |                        |                     |                            |
| <a href="#">6.3.5.16</a>            | Case Plans: The system shall provide the ability to define standardized case plans/work papers and track the activities.  |  |                        |                     |                            |

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| <a href="#">6.3.5.17</a>            | Audit Information Requestors: The system shall provide the ability to evaluate, audit and manage information requestors.   |  |                        |                     |                            |
| <a href="#">6.3.5.18</a>            | Query and Access Logging: The system shall provide query and access logging – for both internal and external requestors including the information and image requested and provided –both single and batch queries. |  |                        |                     |                            |
| <a href="#">6.3.5.19</a>            | Alert Triggers: The system shall provide a tracking mechanism and alert triggers to support covert and other audit procedures  |  |                        |                     |                            |
| <a href="#">6.3.5.20</a>            | Automatic Assignment of Case: The system shall allow the ability for workflow functionality to automatically assign an auditor based on availability   |  |                        |                     |                            |
| <a href="#">6.3.5.21</a>            | Audit Logs: The system shall maintain an audit trail of all transactions including inquiries for pre-determined records, performed by contracted third parties.  |  |                        |                     |                            |
| <a href="#">6.3.5.22</a>            | Workflow: The system shall provide workflow capabilities that will provide routing and queuing of business partner compliance issues and audit assignments to defined compliance                                   |  |                        |                     |                            |

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| <a href="#">6.3.5.23</a>         | Audit Report: The system shall provide the ability to provide reports to support audit activities.   |  |                        |                     |                            |  |
| <a href="#">6.3.5.24</a>         | Image Audit Reports: The system shall provide the ability to image audit reports and associate them with a customer, clerk/examiner or contract office record. |  |                        |                     |                            |  |
| <a href="#">6.3.5.25</a>         | Digital Pictures: The system shall support the ability to upload digital pictures and associate virtual tours or pictures of a business partner facility       |  |                        |                     |                            |  |
| <a href="#">6.4</a>              | <a href="#">Hearing and Appeals</a>  |  |                        |                     |                            |  |
| <a href="#">6.4.1</a>            | <a href="#">Hearing or Appeal Request</a>  |  |                        |                     |                            |  |
| <a href="#">6.4.2</a>            | <a href="#">Hearing Preparation and Scheduling</a>   |  |                        |                     |                            |  |
| <a href="#">6.4.3</a>            | <a href="#">Hearing</a>  |  |                        |                     |                            |  |
| <a href="#">6.4.4</a>            | <a href="#">Re-Hearing</a>   |  |                        |                     |                            |  |
| <a href="#">6.4.5</a>            | <a href="#">Appeal</a>   |  |                        |                     |                            |  |
| <a href="#">6.4.6</a>            | <a href="#">Hearing and Appeals Requirements</a>   |  |                        |                     |                            |  |
| <a href="#">6.4.6.1</a>          | Scheduling: A scheduling system that includes the following: Master calendar that can schedule cases by next available date/time or by type of case            |  |                        |                     |                            |  |



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| <a href="#">6.4.6.2</a>          | Alerts: The system shall provide the ability to send alerts that can keep Hearing staff abreast of impending hearings, distribute results to relevant DMV units, receive requests from other DMV units |  |                        |                     |                            |  |
| <a href="#">6.4.6.3</a>          | Search capabilities: The system shall provide users with the ability to search for information (by date, case, by attorney, by hearing location, etc)  |  |                        |                     |                            |  |
| <a href="#">6.4.6.4</a>          | Report Generation Capabilities: The system shall have the ability to track and report statistical information (such as traffic volumes) and basic management data                                      |  |                        |                     |                            |  |
| <a href="#">6.4.6.5</a>          | Audio Record: The system shall have the ability to electronically the hearing.   |  |                        |                     |                            |  |
| <a href="#">6.4.6.6</a>          | Hearing and Appeals Processing: The system shall have the ability to manage appeals, stayed hearing pending, stay orders and petitions for review.   |  |                        |                     |                            |  |
| <a href="#">6.4.6.7</a>          | Hearing Workflows: The system shall provide the ability to configure unlimited number of hearing and appeals workflows.  |  |                        |                     |                            |  |

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| <a href="#">6.4.6.8</a>             | Appeals Summary by Sanction: The system shall be able to show a summary of all appeals by sanction.   |  |                        |                     |                            |
| <a href="#">6.4.6.9</a>             | Appeal Details: The system shall allow a drill-down into the details for each appeal.   |  |                        |                     |                            |
| <a href="#">6.4.6.10</a>            | Associate Documents: The system shall have the ability to associate relevant documents with the case  |  |                        |                     |                            |
| <a href="#">6.4.6.11</a>            | Capture and Apply Appeal Results: The system shall have the ability to capture information about the results of any appeal (regardless of level) and apply the decision to the appealed sanction.                   |  |                        |                     |                            |
| <a href="#">6.4.6.12</a>            | Appeal Results: When processing the appeal result, the system must automatically reinstate a stayed sanction; rescind a sanction; or rescind the sanction, but apply other restrictions.                            |  |                        |                     |                            |
| <a href="#">6.4.6.13</a>            | Appeal Management: Appeal Management is rule-driven and shall track which sanctions allow appeals and which sanctions can be stayed. It also tracks the progress of a sanction through the various appeal types and |  |                        |                     |                            |

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| <a href="#">6.4.6.14</a>         | Appeal Scheduling: The system shall provide the ability to schedule or docket appeals in a calendar or the system shall provide an interface with an outside application to   |  |                        |                     |                            |  |
| <a href="#">6.5</a>              | <a href="#">Inspections and Enforcements</a>  |  |                        |                     |                            |  |
| <a href="#">6.5.1</a>            | <a href="#">CVSD Requirements</a>   |  |                        |                     |                            |  |
| <a href="#">6.5.1.1</a>          | Mobile Access: CVSD staff shall have the ability to access the system using mobile devices, such as laptops, through the state's wireless network.  |  |                        |                     |                            |  |
| <a href="#">6.5.1.2</a>          | CVSD Appointments: The system shall provide the ability to schedule inspections for school buses, roadside inspection follow-ups,   |  |                        |                     |                            |  |
| <a href="#">6.5.1.3</a>          | Intrastate DOT Number: There shall be facilities to automatically populate customer records with new or updated DOT Numbers. These numbers are created through CVSD federally-supported application systems and stored in the CVIEW database. |  |                        |                     |                            |  |

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| <a href="#">6.5.1.4</a>          | Registration suspension information: There shall be facilities to automatically populate customer records with new or updated registration suspension information. This information is created and stored through CVSD application systems – e.g. SafetyNet. |  |                        |                     |                            |  |
| <a href="#">7</a>                | <a href="#">Business Administration Functions Requirements</a>   |  |                        |                     |                            |  |
| <a href="#">7.1</a>              | <a href="#">Business Rules</a>   |  |                        |                     |                            |  |
| <a href="#">7.1.1</a>            | <a href="#">Rules Management</a>   |  |                        |                     |                            |  |
| <a href="#">7.1.1.1</a>          | Table-driven rules: At a minimum, simple rules will be stored in database tables. There will be facilities to define and update these rules by authorized administrators.  |  |                        |                     |                            |  |
| <a href="#">7.1.1.2</a>          | Rules Repository: It is desirable to have one single rules repository where DMV business rules will be defined, updated and maintained. Once defined, the rules engine can be deployed at multiple locations, if needed.                                     |  |                        |                     |                            |  |

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| <a href="#">7.1.1.3</a>             | Rules Definition: Rules will be defined using a high-level language with a flexible syntax, similar to natural languages. A DMV business analyst will be able to maintain the rules using this language, without extensive training requirements.                      |  |                        |                     |                            |
| <a href="#">7.1.1.4</a>             | Version Control: There will be version control capabilities. A set of business rules can have multiple versions, some of which can be concurrently deployed. This is important because, in some instances, past business rules will need to be retro-actively applied. |  |                        |                     |                            |
| <a href="#">7.1.1.5</a>             | Security: There shall be granular security authorization capabilities. Different users can be authorized to manage different rule sets.  |  |                        |                     |                            |
| <a href="#">7.1.1.6</a>             | Reporting: There will be extensive reporting capabilities, including rules update history, where used, and cross references.   |  |                        |                     |                            |
| <a href="#">7.1.1.7</a>             | Validation: There shall be capabilities to extensively test the business rules to ensure correctness.  |  |                        |                     |                            |
| <a href="#">7.1.1.8</a>             | Rules Testing: There shall be capabilities to test and monitor business rule.  |  |                        |                     |                            |

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| <a href="#">7.1.1.9</a>             | Rules Maintenance: The system shall provide extensive capability to define and maintain the business rules that are used by the system to edit or make decisions.  |  |                        |                     |                            |
| <a href="#">7.1.1.10</a>            | Rules Configuration: Rules are able to be configured and maintained by business personnel (or business-oriented technical personnel), instead of requiring system software code maintenance and/or system enhancements when business processes or statutes change.                       |  |                        |                     |                            |
| <a href="#">7.1.1.11</a>            | Rules Override: Rules shall be applied and enforced, but users shall be able to override rules based upon their security profile. Rule bypass/override shall be possible immediately by the operator, through supervisor approval, or by DMV help desk without restarting a transaction. |  |                        |                     |                            |
| <a href="#">7.2</a>                 | <a href="#">Reporting capabilities</a>   |  |                        |                     |                            |
| <a href="#">7.2.1.1</a>             | <a href="#">Management Reporting: General "management reporting/operational reporting" capabilities associated with operations – e.g. Workload Management, Productivity tracking, standard fiscal</a>  |  |                        |                     |                            |

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| <a href="#">7.2.1.2</a>             | <a href="#">Operational Reports: The system shall have the ability to generate comprehensive ad hoc and standardized reporting capabilities for operational database(s).</a> |  |                        |                     |                            |
| <a href="#">7.3</a>                 | <a href="#">Business Intelligence capabilities</a>   |  |                        |                     |                            |
| <a href="#">7.3.1.1</a>             | Customer Requests and Usage: Customer request and usage information for all service channels (e.g. IVR, e-gov channels, etc.)  |  |                        |                     |                            |
| <a href="#">7.3.1.2</a>             | Analysis Capabilities: Inquiry and analysis capabilities for all DMV operational systems data.   |  |                        |                     |                            |
| <a href="#">7.3.1.3</a>             | BI Tools: The system shall have a robust ad hoc inquiry and business intelligence tools and capability.  |  |                        |                     |                            |
| <a href="#">7.3.1.4</a>             | Reporting Wizards: The system shall have "reporting wizards" to facilitate the definition of ad hoc and standard reports.  |  |                        |                     |                            |
| <a href="#">7.3.1.5</a>             | Usage Statistics: The system shall have the ability to track and report on the usage of ad hoc and standard reports.   |  |                        |                     |                            |

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| <a href="#">7.4</a>              | <a href="#">Training Requirements</a>  |  |                        |                     |                            |  |
| <a href="#">7.4.1</a>            | <a href="#">Training Areas</a>   |  |                        |                     |                            |  |
| <a href="#">7.4.1.1</a>          | There shall be training provided for all solution business areas. This training shall be delivered to the appropriate business area users, including both DMV staff and Business Partners. |  |                        |                     |                            |  |
| <a href="#">7.4.1.2</a>          | There shall be training provided for state IT staff. This training shall include application development/maintenance, systems administration and systems operations.                       |  |                        |                     |                            |  |
| <a href="#">7.4.2</a>            | <a href="#">Training Approach</a>  |  |                        |                     |                            |  |
| <a href="#">7.4.2.1</a>          | Lead-Through: The system shall provide lead-through training and real-time job aids (just-in-time coaching tools for typical and non-typical procedures).                                  |  |                        |                     |                            |  |
| <a href="#">7.4.2.2</a>          | On-Line: The system shall provide On-line learning (e-Learning) capabilities/modules for self-service training.  |  |                        |                     |                            |  |
| <a href="#">7.4.2.3</a>          | Learning Management: The system shall provide Learning Management System capabilities for administration, scheduling, delivery, and tracking of on-line and instructor-                    |  |                        |                     |                            |  |



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| <a href="#">7.4.3</a>               | <a href="#">Curriculum development for key business process training</a>  |  |                        |                     |                            |
| <a href="#">7.4.3.1</a>             | Training Plan: A training plan shall be created and maintained, per deployment.   |  |                        |                     |                            |
| <a href="#">7.4.3.2</a>             | Per Deployment: The training defined per deployment phase to include number of personnel per class, per functions, as approved by State Contract manager.   |  |                        |                     |                            |
| <a href="#">7.4.4</a>               | <a href="#">Delivery</a>  |  |                        |                     |                            |
| <a href="#">7.4.4.1</a>             | Training Delivery for key business and operations personnel: The Training Delivery Plan shall address components that include DMV functions common to all personnel.                              |  |                        |                     |                            |
| <a href="#">7.4.4.2</a>             | Role Based Training: The training shall include components for specific roles or business functions, e.g. Fiscal, Registration Examiners, Credentialing Examiners, Computer System Operators etc. |  |                        |                     |                            |
| <a href="#">7.4.5</a>               | <a href="#">Training Deliverables</a>   |  |                        |                     |                            |
| <a href="#">7.4.5.1</a>             | Instructor Guides: Master instructor guides and support materials   |  |                        |                     |                            |
| <a href="#">7.4.5.2</a>             | Learner Guides: Master learner guides and support materials   |  |                        |                     |                            |

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| <a href="#">7.4.5.3</a>          | Delivery: Training delivery (per deployment requirements)  |  |                        |                     |                            |
| <a href="#">7.4.5.4</a>          | Format: Training deliverables shall be delivered in electronic form or reproducible  |  |                        |                     |                            |
| <a href="#">7.4.5.5</a>          | IT documentation: There shall be a comprehensive set of documentation for the application system that includes the following:                                |  |                        |                     |                            |
| <a href="#">7.4.6</a>            | <a href="#">On-Line Help</a>   |  |                        |                     |                            |
| <a href="#">7.4.6.1</a>          | On-Line Help: The system shall provide an on-line help system accessible from the on-line application and via the DMV web-site.                              |  |                        |                     |                            |
| <a href="#">7.4.6.2</a>          | Contextual / Field Help: The on-line help system shall be context and field sensitive.   |  |                        |                     |                            |
| <a href="#">7.4.6.3</a>          | Printing of On-Line Help: Each individual help topic shall be individually printable.  |  |                        |                     |                            |
| <a href="#">7.4.6.4</a>          | Procedural / Conceptual Help: The help shall include task-based procedures as well as conceptual information to assist the user in understanding the system. |  |                        |                     |                            |
| <a href="#">7.4.6.5</a>          | Search On-Line Help: The system shall allow a user to search for a help topic by keyword or portion of keyword or topic.                                     |  |                        |                     |                            |

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| <a href="#">7.4.6.6</a>          | Maintain Help: The system shall allow for an authorized user to update the help content.  |  |                        |                     |                            |
| <a href="#">7.4.6.7</a>          | Effective Date: The system shall maintain an effective start and expiration date for the help content.  |  |                        |                     |                            |
| <a href="#">8</a>                | <a href="#">Enterprise Electronic Capabilities Requirements</a>   |  |                        |                     |                            |
| <a href="#">8.1</a>              | <a href="#">Document Management</a>   |  |                        |                     |                            |
| <a href="#">8.1.1</a>            | <a href="#">Document Imaging</a>  |  |                        |                     |                            |
| <a href="#">8.1.1.1</a>          | Centralized Document Scanning and Indexing: Batched incoming and outgoing documents shall be scanned for image capture. Scanning shall be capable of being performed at a centralized location. Documents shall be batched together for high-speed scanning. A flexible set of indices can be defined for the documents. After scanning, the documents shall be indexed prior to storing. |  |                        |                     |                            |

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| <a href="#">8.1.1.2</a>             | Distributed Document Scanning and Indexing: At DMV office locations, as part of select on-line transactions, related documents shall be scanned and captured. These scanning activities will be integrated with the business transactions. Scanned images shall be automatically stored, indexed and associated with related transaction information. |  |                        |                     |                            |
| <a href="#">8.1.1.3</a>             | Document Storage: All scanned documents shall be stored online for the duration of the retention period. After which the documents can be backed up and deleted with authorization. The image shall be stored at a minimum resolution of 200 dots per inch (dpi).   |  |                        |                     |                            |
| <a href="#">8.1.1.4</a>             | Document Retrieval: All documents within the retention period shall be able to be retrieved using one of the indices that are defined and entered for the document.   |  |                        |                     |                            |
| <a href="#">8.1.1.5</a>             | Document Security: Only authorized users can access documents. Authorization shall be set at a document level, or at a case level.  |  |                        |                     |                            |

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| <a href="#">8.1.1.6</a>             | Document Association: Documents shall be associated with corresponding transaction data items – e.g. Driver History, Vehicle Titles,                   |  |                        |                     |                            |  |
| <a href="#">8.1.1.7</a>             | Web Browser Display: Document images shall be able to be displayed inside a browser.   |  |                        |                     |                            |  |
| <a href="#">8.1.1.8</a>             | Industry Standard Format: Document images shall be stored in an industry standard image format, such as TIFF or JPEG.                                  |  |                        |                     |                            |  |
| <a href="#">8.1.1.9</a>             | Document Notation: It is desirable to be able to add notations, in free text form, to a document image.  |  |                        |                     |                            |  |
| <a href="#">8.1.1.10</a>            | Document Properties: The following document properties shall be supported: multi-page documents, double-sided documents, and different document sizes. |  |                        |                     |                            |  |

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| <a href="#">8.1.2</a>            | <a href="#">Bar Coding</a>   |  |                        |                     |                            |  |
| <a href="#">8.1.2.1</a>          | Outbound Documents: All documents issued by the DMV that are generated by the DMV application system shall contain a unique identifier that can be used to associate with the customer, type of document, and variable data contained within the document. This information shall be stored in a character sequence and in an appropriate industry |  |                        |                     |                            |  |
| <a href="#">8.1.2.2</a>          | Inbound Documents: All inbound documents containing bar codes shall be scanned for bar code information. Scanning shall be performed either at offices, or at a central  |  |                        |                     |                            |  |
| <a href="#">8.1.2.3</a>          | Document Correlation: When processing incoming documents, scanning the bar code and capturing the unique identifier shall bring up on the screen associated data – including customer information, document information, and any related transaction information.  |  |                        |                     |                            |  |

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| <u>8.1.3</u> Other Multi-media Data       |   |  |                        |                     |                            |  |
| <u>8.1.3.1</u>                            | Fax Data: Inbound and outbound fax data will have the option to be captured, stored, associated, and retrieved in the same manner as documents. Retrieved fax data can be displayed through a Web browser.                                      |  |                        |                     |                            |  |
| <u>8.1.3.2</u>                            | E-mail Data: Inbound and outbound e-mails will also have the option to be captured, stored, associated, and retrieved in the same manner as documents. Retrieved e-mail data will be displayed with Microsoft Outlook or through a web browser. |  |                        |                     |                            |  |
| <u>8.2</u> Workflow and Case Management   |   |  |                        |                     |                            |  |
| <u>8.2.1</u> Workflow and Case Management |   |  |                        |                     |                            |  |
| <u>8.2.1.1</u>                            | Work Queues/Assignments: Select DMV employees shall have assigned work queues. An employee can examine their work queue at any time and review any outstanding assignments that will require their attention.                                   |  |                        |                     |                            |  |

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| <a href="#">8.2.1.2</a>          | Priority Cases: Some cases can be assigned high priority – either automatically through business rules, or manually assigned by employees. Priority cases shall be placed on the front of a worker's work queue.  |  |                        |                     |                            |
| <a href="#">8.2.1.3</a>          | Automated Routing with Manual Overrides: Based on the status of a case and pre-defined business rules, a case shall be automatically routed to the next individual. Authorized personnel can also override the automatic routing, and assign the case to a specific employee. |  |                        |                     |                            |
| <a href="#">8.2.1.4</a>          | Workgroup Definitions: There shall be capabilities to define teams and departments. Through this definition, case workload can be distributed among employees. Supervisors within a department shall have with have the ability to make specific assignments.                 |  |                        |                     |                            |
| <a href="#">8.2.1.5</a>          | Calendaring and Scheduling: There shall be facilities for employees to specify their schedule and availability. For cases assigned to employees that are not available, they shall be automatically routed to their backup.   |  |                        |                     |                            |



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| <a href="#">8.2.1.6</a>             | Data Access and Update: Through the case assignment, an employee shall be able to automatically access all information associated with the case with from a client, DMV, Business Partner, etc. location. This information shall include transaction records, document images, or other types of related data such as fax or email. Authorized users can also update associated records as part of case activity. These activities shall be integrated with the case management screen |  |                        |                     |                            |
| <a href="#">8.2.1.7</a>             | Integration: It is desirable that the case management system will integrate with other DMV components. For example there will be one single set of user sign-on, and one single definition of user groups and employee calendars.  |  |                        |                     |                            |
| <a href="#">8.2.1.8</a>             | Logging and Tracking: All cases and associated workflow shall be logged. Reports shall be available on cases, workflow, efficiency and effectiveness.  |  |                        |                     |                            |

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| <a href="#">8.2.1.9</a>          | Case Management: The system shall integrate all DMV sanctioning functions to manage cases through an integrated case management capability. Case information can include information such as hearings, investigations, re-exams, Medical Review  |  |                        |                     |                            |  |
| <a href="#">8.2.1.10</a>         | Case Entry: The system shall allow case information to be entered for different case or request types such as Hearings, Medical Reviews, etc. Other details pertaining to the request shall be tracked. These can be processed online or triggered automatically in the batch cycle when qualified history events are added to the customer's driver record. |  |                        |                     |                            |  |
| <a href="#">8.2.1.11</a>         | Case Lists: The system shall include case lists to allow users to navigate directly to the specific case data or the functional area to manage their cases, view statuses or schedules, make updates, forward to external parties, or process the specific details and to  |  |                        |                     |                            |  |

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| <a href="#">8.2.1.12</a>            | Managing Case Activity: The system must provide the ability to manage case activity at a location, for a customer, on a particular date, or assigned to a DMV staff member, enabling each office to manage staffing and appointment needs. Managing all case types for a customer provides a mechanism to address all the needs of the customer. |  |                        |                     |                            |  |
| <a href="#">8.2.1.13</a>            | Remote Case Management: The system shall provide the ability to perform case management from a remote location.  |  |                        |                     |                            |  |
| <a href="#">8.3</a>                 | <a href="#">Forms and Correspondence</a>   |  |                        |                     |                            |  |
| <a href="#">8.3.1</a>               | <a href="#">Email and Fax</a>  |  |                        |                     |                            |  |
| <a href="#">8.3.1.1</a>             | Security Capabilities: Information will be transmitted unencrypted through public networks using e-mail and fax. Confidential information cannot be contained in these correspondences.  |  |                        |                     |                            |  |

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| <a href="#">8.3.1.2</a>          | Inbound e-mail and fax: Inbound e-mail and fax from customers will be manually received and reviewed, with no programmed interface to automatically retrieve and inspect. However, there shall be capabilities to log these correspondences for auditing purposes. The log shall include information on sender, data/time, and topics. It is desirable that the logging activities will be automated. |  |                        |                     |                            |
| <a href="#">8.3.1.3</a>          | Storage Medium: E-mail contents and fax images shall be stored in the document image database. This data shall be associated with customers, and can be accessed and retrieved as part of a case.   |  |                        |                     |                            |
| <a href="#">8.3.1.4</a>          | E-mail system: E-mails shall be based on existing CT DMV Exchange e-mail system.  |  |                        |                     |                            |
| <a href="#">8.3.1.5</a>          | Fax Interface: There shall be a programmatic interface with the fax system. Outbound fax shall be automatically created and sent as a result of DMV processes – such as notifications, or customer requests through Internet or IVR.  |  |                        |                     |                            |

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| <a href="#">8.3.1.6</a>          | E-mail Interface: There shall be a programmatic interface with the e-mail system. Outbound emails shall be automatically created and sent as a result of DMV processes – such as notifications, or customer requests through Internet or IVR.   |  |                        |                     |                            |  |
| <a href="#">8.3.1.7</a>          | Customer Contact Information: To accommodate outbound correspondence, customer e-mail addresses and fax numbers shall need to be stored and maintained in the customer contact database. Customers shall manage this information themselves, through enrollment/account maintenance activities available on their web home pages. |  |                        |                     |                            |  |
| <a href="#">8.3.2</a>            | <b>Forms Management</b>   |  |                        |                     |                            |  |
| <a href="#">8.3.2.1</a>          | Forms Creation: there shall be a facility to easily create forms. There shall also be facilities to create bar codes on the forms.  |  |                        |                     |                            |  |
| <a href="#">8.3.2.2</a>          | Forms Modification: there shall be capabilities to modify an existing form, using the same facilities.  |  |                        |                     |                            |  |

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| <a href="#">8.3.2.3</a>          | Forms Approval: there shall be policies and procedures for forms approval process, where an authorized user can accept or reject a created or modified form.                        |  |                        |                     |                            |
| <a href="#">8.3.2.4</a>          | Form Management Security and Audit Trail: only authorized users can create, modify or approval forms. There shall be an audit trail on these activities.                            |  |                        |                     |                            |
| <a href="#">8.3.2.5</a>          | Multiple Form versions: there shall be facilities to manage multiple versions of the same form, with indicators identifying current versions, prior versions, and expired versions. |  |                        |                     |                            |
| <a href="#">8.3.2.6</a>          | Form storage: there shall be a central database for all these forms, with functions for efficient indexing, storage and retrieval of  |  |                        |                     |                            |
| <a href="#">8.3.2.7</a>          | Standard document format: the forms shall be stored in standard document formats, such as PDF.  |  |                        |                     |                            |

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| <a href="#">8.3.2.8</a>          | Overlay for printing: there shall be application capabilities to retrieve these forms as overlays for printing. The retrieved form shall be merged with data from the integrated operation database, to be incorporated as part of outbound notices/correspondences to                               |  |                        |                     |                            |
| <a href="#">8.3.2.9</a>          | Template for electronic forms: there shall be application capabilities to use these forms as templates to be displayed under a web browser. Once retrieved these electronic  |  |                        |                     |                            |
| <a href="#">8.3.2.10</a>         | Form Usage Audit and Image: all usage of these forms – for printing and web access – shall be logged in an audit trail, together with the actual data that are displayed, entered or printed. For some predefined forms types, the filled-in form will be imaged and stored in the image repository. |  |                        |                     |                            |
| <a href="#">8.3.2.11</a>         | Automatic Generation and Tracking of Correspondence: The system shall have an integrated electronic Forms and Correspondence capability to automatically generate and track correspondence with the customer.  |  |                        |                     |                            |

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| <a href="#">8.3.2.12</a>            | Custom Correspondence: The system shall have the ability to generate and track custom correspondence for a customer, such as, for example, a driver reinstatement letter.                                |  |                        |                     |                            |  |
| <a href="#">8.3.2.13</a>            | Electronic Forms: The system shall have the ability to create and manage electronic forms accessible through on-line access points for use in e-gov applications as well as internal uses within the DMV |  |                        |                     |                            |  |
| <a href="#">8.3.2.14</a>            | Barcode Correspondence: The system shall have the ability to utilize bar codes as a vehicle for tracking correspondence and electronic or physical folders associated with the correspondence.           |  |                        |                     |                            |  |
| <a href="#">8.4</a>                 | <a href="#">Appointment / Scheduling</a>   |  |                        |                     |                            |  |
| <a href="#">8.4.1.1</a>             | Schedule Hearings: The system shall provide the ability to schedule (and cancel) hearings through various service channels (e.g. telephone, internet, etc.).   |  |                        |                     |                            |  |



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| <a href="#">8.4.1.2</a>                  | Agency-wide Scheduling: The system shall provide the ability to provide agency-wide scheduling/calendar management capability for specified types of DMV events/functions – e.g. driving tests, vehicle inspections,   |  |                        |                     |                            |
| <a href="#">8.4.1.3</a>                  | Display Schedules: The system shall have the ability to display schedules by time-frame (e.g. next available time, specified times/dates, etc), by resource (e.g. hearing officer, hearing room), by resource (e.g. hearing room, etc.), and by type of DMV "event". |  |                        |                     |                            |
| <a href="#">8.4.1.4</a>                  | Self-Service Scheduling: The system shall provide the ability for customers to schedule such things as driving test, inspections, etc. via the DMV website.  |  |                        |                     |                            |
| <a href="#">9</a><br><a href="#">9.1</a> | <a href="#">Service Delivery Channel Requirements</a><br><a href="#">Internet Self-Service</a>   |  |                        |                     |                            |
| <a href="#">9.1.1.1</a>                  | Internet Access: the DMV web site shall be accessed securely through the Internet, using standard Internet protocols.  |  |                        |                     |                            |

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| <a href="#">9.1.1.2</a>             | Browser: customers shall access the DMV web site using web browsers including Microsoft Internet Explorer, Apple Safari, and Mozilla Firefox.  |  |                        |                     |                            |
| <a href="#">9.1.1.3</a>             | Secure transaction: There shall be capabilities for customer to execute the DMV transaction securely, using facilities such as one-time PIN numbers.   |  |                        |                     |                            |
| <a href="#">9.1.1.4</a>             | Transaction processing: Customers shall be able to perform only those transactions that they are authorized to perform and access data that they are authorized. These transactions will communicate directly with DMV applications, and shall be performed on |  |                        |                     |                            |
| <a href="#">9.1.1.5</a>             | Help screens: There shall be help facilities, as specified in Training and Support.  |  |                        |                     |                            |
| <a href="#">9.1.1.6</a>             | Section 508 compliance: Screen displays shall comply with Federal Section 508 Web Content Accessibility standards.   |  |                        |                     |                            |
| <a href="#">9.1.1.7</a>             | CT state standards compliance: The system shall conform on CT Web Application standards and guidelines, as described in  |  |                        |                     |                            |

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| <u>9.2</u>                       | <u>Web Portals</u>  |  |                        |                     |                            |
| <u>9.2.1.1</u>                   | Internet Access: the DMV portal shall be accessed securely through the Internet, using standard Internet protocols.   |  |                        |                     |                            |
| <u>9.2.1.2</u>                   | Browser customers shall access the DMV web site using web browsers including Microsoft Internet Explorer, Apple Safari, and Mozilla Firefox.  |  |                        |                     |                            |
| <u>9.2.1.3</u>                   | Automated User Registration: There shall be facilities for business partners to automatically register to the portal system safely and securely, with minimal manual intervention. At the same time the user identity shall be validated against DMV records of authorized DMV Business Partners. |  |                        |                     |                            |
| <u>9.2.1.4</u>                   | Secure sign-on: There shall be capabilities for business partners to sign-on to the DMV system securely, using tools such as user identifier and passwords.   |  |                        |                     |                            |
| <u>9.2.1.5</u>                   | Security provisions: There shall be security capabilities as described in the Security Requirements section.  |  |                        |                     |                            |

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| <a href="#">9.2.1.6</a>          | Personalization: Business partners shall be able to specify the layout and content of their web pages.  |  |                        |                     |                            |  |
| <a href="#">9.2.1.7</a>          | Transaction processing: Customers shall be able to perform only those transactions that they are authorized to perform and access data that they are authorized. These transactions will communicate directly with DMV applications, and shall be performed on    |  |                        |                     |                            |  |
| <a href="#">9.2.1.8</a>          | Alerts and Notifications: After a user has signed on, there shall be highlighted messages displayed on the home page if specific actions are required by this business partner. Clicking on the message shall bring the user to the appropriate screen to perform |  |                        |                     |                            |  |
| <a href="#">9.2.1.9</a>          | Help screens: There shall be help facilities, as specified in Training and Support.   |  |                        |                     |                            |  |
| <a href="#">9.2.1.10</a>         | Section 508 compliance: Screen displays shall comply with Federal Section 508 Web Content Accessibility standards.  |  |                        |                     |                            |  |
| <a href="#">9.2.1.11</a>         | Usage reporting: There shall be fixed and ad hoc reporting capabilities on portal usage   |  |                        |                     |                            |  |

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| <a href="#">9.2.1.12</a>                   | CT state standards compliance: The portal shall conform on CT Web Application standards and guidelines, as described in  |  |                        |                     |                            |
| <a href="#">10</a><br><a href="#">10.1</a> | <a href="#">Data Requirements</a><br><a href="#">Database management system</a>  |  |                        |                     |                            |
| <a href="#">10.1.1.1</a>                   | Database system: All enterprise data shall be stored in relational database management systems (RDBMS). The RDBMS shall be mainstream, robust, and conform to ANSI SQL standards for application program |  |                        |                     |                            |
| <a href="#">10.1.1.2</a>                   | Standards compliance: The DBMS shall use standard ANSI-compliant SQL language. It shall be compliant with SQL:1999 core  |  |                        |                     |                            |
| <a href="#">10.2</a>                       | <a href="#">Data modelling</a>   |  |                        |                     |                            |
| <a href="#">10.2.1.1</a>                   | Data Modelling: There shall be a structured data modelling and database design method, utilizing related tools.  |  |                        |                     |                            |
| <a href="#">10.2.1.2</a>                   | Metadata Directory: There shall be a metadata directory that contains all data elements, descriptions, and usages.   |  |                        |                     |                            |

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| <a href="#">10.2.1.3</a>         | Customer-centric data model: There shall be an integrated data model built around the notion of a single DMV customer, similar to the model outlined in Section 4.3 Target Conceptual Data Model.                             |  |                        |                     |                            |
| <a href="#">10.3</a>             | <a href="#">Data conversion and migration requirements</a>  |  |                        |                     |                            |
| <a href="#">10.3.1.1</a>         | Data conversion: The Contractor shall perform extraction, transformation and loading of all existing operational data that are stored in current VSAM and other data stores into the target integrated operational database.  |  |                        |                     |                            |
| <a href="#">10.3.1.2</a>         | Conversion testing: The Contractor shall assist DMV in testing the converted data for accuracy and usability.   |  |                        |                     |                            |
| <a href="#">10.3.1.3</a>         | Data cleansing: A DMV data cleansing project is currently in progress. As part of the data conversion process, the Contractor shall work with DMV staff in cleaning data that are required as part of the conversion process. |  |                        |                     |                            |

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| <a href="#">10.3.1.4</a>                   | Data synchronization: If the Contractor recommends a phased implementation approach, then for a period of time both legacy and new databases will need to co-exist with each other. In this case, the Contractor shall develop a synchronization process, where changes at one data store will need to be reflected and updated correspondingly at the other data store in a |  |                        |                     |                            |
| <a href="#">10.3.1.5</a>                   | Tools selection and usage: DMV has purchased licenses of IBM's DataStage suite of products for data conversion and cleansing. The Contractor shall use these products if tools are needed to facilitate the process. These products include DataStage, QualityStage and ProfileStage.  |  |                        |                     |                            |
| <a href="#">11</a><br><a href="#">11.1</a> | <a href="#">Interface Requirements</a><br><a href="#">General</a>  |  |                        |                     |                            |
| <a href="#">11.1.1.1</a>                   | <a href="#">Architected interface: the Contractor shall provide an architected method of interfacing with external and internal systems.</a>   |  |                        |                     |                            |

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| <a href="#">11.1.1.2</a>            | <a href="#">Real-time interfaces: all internal interfaces with channel systems shall be real-time. For external interfaces, while many of them are batch today, the direction is to transition to real-time. The DMV system shall be adaptable to real-time interfaces in</a>   |  |                        |                     |                            |
| <a href="#">11.1.1.3</a>            | <a href="#">Integration with other DMV business initiatives: CT DMV is currently undertaking a number of other business initiatives. These initiatives are in various stages of formulation and development. They are described in Section 3.5 of this document. The future DMV system shall integrate with these initiatives when and if they are implemented.</a> |  |                        |                     |                            |
| <b>11.2</b>                         | <b>External interfaces</b>  |  |                        |                     |                            |
| <a href="#">11.2.1.1</a>            | <a href="#">External interfaces: All existing external interfaces shall be supported. These interfaces include, but not limited to, the following:</a>  |  |                        |                     |                            |



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| <a href="#">11.2.1.2</a>            | COLLECT interface: Department of Public Safety's (DPS) Connecticut Online Law Enforcement Criminal Telecommunications (COLLECT) is a system used by Law Enforcement to access information, including DMV data. The new DMV system shall provide a DMV interface through a flat file on a regularly scheduled basis to COLLECT. This file shall contain all required Drivers and Registration information. |  |                        |                     |                            |
| <a href="#">11.2.1.3</a>            | Real ID compliance: CT DMV will comply with Real ID act and the system shall support Real ID interface requirements.  |  |                        |                     |                            |
| <a href="#">11.2.1.4</a>            | Security, Privacy and Audit compliance: The DMV system shall comply with all associated security, privacy and audit requirements when interfacing or accessing data with Federal and other State agencies.  |  |                        |                     |                            |

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| <a href="#">11.3</a>             | <a href="#">Internal Interfaces</a>   |  |                        |                     |                            |  |
| <a href="#">11.3.1.1</a>         | Commercial Vehicle Safety Division (CVSD): CVSD utilizes a number of Federal and AAMVA applications. While today there are no automated interfaces with other DMV applications, there shall be integration requirements in the future. These include: |  |                        |                     |                            |  |
| <a href="#">11.3.1.2</a>         | Digital Driver's License (DDL): as a direction to implement the Real ID Act, the current Digital Driver's License system will be replaced. There will be tight integration with   |  |                        |                     |                            |  |
| <a href="#">11.3.1.3</a>         | Driver License Knowledge Testing System: the knowledge testing system – Juno Automated Drivers License Knowledge  |  |                        |                     |                            |  |
| <a href="#">11.3.1.4</a>         | Mid-range systems: The state has the option to modernize its mid-range DMV application systems, or leave them in place. The   |  |                        |                     |                            |  |

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| <a href="#">11.4</a>             | <a href="#">Channel interfaces</a>   |  |                        |                     |                            |  |
| <a href="#">11.4.1.1</a>         | IVR interface: DMV will implement Aspect Software's Customer Self Service IVR system. It will provide an integrated telephony and contact center solution for DMV customers. The future DMV system shall interact with this IVR system through a real-time interface, providing service using Aspect application programming interfaces. |  |                        |                     |                            |  |
| <a href="#">11.4.1.2</a>         | Portal interface: The Proposer shall provide a Portal solution in its response. However, DMV might elect to implement the Portal separately. If this is the case, the future DMV system shall interact with the web portal system through a real-time interface..  |  |                        |                     |                            |  |
| <a href="#">11.4.1.3</a>         | Web self-service interface: The Proposer shall provide a web self-service solution in its response. However, DMV might elect to implement this component separately. If this is the case the future DMV system shall interact with the web self-service system through a real-time interface.  |  |                        |                     |                            |  |

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| <a href="#">11.4.1.4</a>         | Channel interface architecture: there shall be an architected approach to design and implement channel system interfaces. The architecture will need to address the notion of channel-independence. Customers should be able to conduct DMV business through a variety of channels. The delivery channel will be separated from DMV processes to ensure flexibility and reusability. |  |                        |                     |                            |
| <a href="#">11.4.1.5</a>         | Channel security: the DMV system shall ensure that transaction originated from public delivery channels will be processed securely. There shall be application-level security provisions that will operate in conjunction with security provided through the channel   |  |                        |                     |                            |
| <a href="#">11.4.1.6</a>         | Standardized interface: It is desirable that channel interfaces for Portal and Web self-service utilize standard-based protocols such as web services, SOAP and XML.   |  |                        |                     |                            |

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| <a href="#">12</a>                  | <a href="#">Application Lifecycle Requirements</a>  |  |                        |                     |                            |  |
| <a href="#">12.1</a>                | <a href="#">Project Management</a>  |  |                        |                     |                            |  |
| <a href="#">12.1.1.1</a>            | Project Plan: The Proposer's response shall include an initial project plan using Microsoft Project that provides a detailed breakdown of tasks, milestones and the time line for completing those tasks. The proposed schedule shall include tasks that relate to all required functions, tasks, and deliverables listed in this RFP. The proposed schedule shall show the resources proposed for each task (expressed in labor days for both Contractor and state personnel). |  |                        |                     |                            |  |
| <a href="#">12.1.1.2</a>            | Project Status Reporting: The Contractor shall offer a methodology for providing weekly status report to DMV. The project status report shall include at least the following elements:  |  |                        |                     |                            |  |

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| <u>12.2</u>                      | <u>Application Lifecycle Methodology</u>  |  |                        |                     |                            |
| <u>12.2.1.1</u>                  | Established SDLC method: A recognized system development lifecycle (SDLC) method shall be used. This method shall encompass the full lifecycle from requirements through deployment. This method shall be comparable to state's standard SDM (System Development Methodology). Together with the method, a set of consistent, established toolsets shall be provided to support the |  |                        |                     |                            |
| <u>12.2.1.2</u>                  | DoIT standards compliance: The SDLC method shall comply with DoIT's standards for application development. This standard is described in Appendix E.  |  |                        |                     |                            |
| <u>12.3</u>                      | <u>Requirements Definition</u>  |  |                        |                     |                            |
| <u>12.3.1.1</u>                  | Requirements process: There shall be a rigorous requirements definition process. This process shall be conducted together with CT   |  |                        |                     |                            |
| <u>12.3.1.2</u>                  | Requirements definition toolset: The Contractor shall specify and implement a requirements definition tool to support the requirements process.   |  |                        |                     |                            |

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| <a href="#">12.3.1.3</a>            | Requirements traceability: There shall be traceability capabilities that track requirements throughout the application development   |  |                        |                     |                            |  |
| <a href="#">12.4</a>                | <u>Design and Development</u>  |  |                        |                     |                            |  |
| <a href="#">12.4.1.1</a>            | Design/development methods and tools: There shall be established design/development methods, together with associated tools and products, in the design and development of the DMV applications.   |  |                        |                     |                            |  |
| <a href="#">12.4.1.2</a>            | Deployment Products: The Contractor shall select associated products needed for the implementation of the full DMV application systems. These products might include web enablement, data integration, database management, reporting, and others. |  |                        |                     |                            |  |
| <a href="#">12.4.1.3</a>            | Systems integration: The Contractor shall perform all required development, integration, and configuration of products and customized programs required to deliver the DMV   |  |                        |                     |                            |  |

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| <a href="#">12.4.1.4</a>         | Service-oriented Architecture: It is desirable that the DMV solution be implemented using a Service-oriented Architecture (SOA). This architecture will utilize current industry standards.       |  |                        |                     |                            |
| <a href="#">12.5</a>             | <a href="#">Application Testing</a>   |  |                        |                     |                            |
| <a href="#">12.5.1.1</a>         | Testing Methods and Tools: There shall be an established testing method utilizing commercially available testing tools to automate the testing process wherever                                   |  |                        |                     |                            |
| <a href="#">12.5.1.2</a>         | Test Scripting: The Contractor shall develop a complete set of testing scripts to enable thorough testing of all requirements. These scripts shall be developed in conjunction with CT DMV staff. |  |                        |                     |                            |
| <a href="#">12.5.1.3</a>         | Test Case Traceability: All test cases will be traceable to functional requirements defined in the Requirements and Analysis phases.  |  |                        |                     |                            |
| <a href="#">12.6</a>             | <a href="#">Application Deployment</a>  |  |                        |                     |                            |
| <a href="#">12.6.1.1</a>         | High Availability: The system shall support a high-availability, 24x7 operating environment.  |  |                        |                     |                            |



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| <a href="#">12.6.1.2</a>         | Systems Management: The system shall support systems management capabilities. These include:   |  |                        |                     |                            |  |
| <a href="#">12.6.1.3</a>         | Scalability: The system shall provide flexibility through scaling (e.g. by adding devices, servers, or communication paths). There shall not be any inherent limitations in the scalability of the application or operating systems. The system shall scale as the number of DMV services increases, as the number of activities supported by the system increases, as the number of people using the system to do their work increases, and as the data storage requirement increases. The system shall scale for both capacity and |  |                        |                     |                            |  |
| <a href="#">12.7</a>             | <a href="#">Development Location</a>   |  |                        |                     |                            |  |
| <a href="#">12.7.1.1</a>         | Location: the Proposer shall recommend whether development will occur on-site, off-site or a mix of both.  |  |                        |                     |                            |  |
| <a href="#">12.7.1.2</a>         | On-site development: if the recommendation is on-site, the Proposer shall specify:   |  |                        |                     |                            |  |
| <a href="#">12.7.1.3</a>         | Off-site development: if the recommendation is off-site, the Proposer shall specify:   |  |                        |                     |                            |  |

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| <a href="#">13</a>               | <a href="#">Hardware, System Software and Network</a>  |  |                        |                     |                            |  |
| <a href="#">13.1</a>             | <a href="#">Hardware/Software requirements</a>   |  |                        |                     |                            |  |
| <a href="#">13.1.1.1</a>         | Hardware/Software specifications: The Proposer shall list all hardware and software that are required to implement the DMV application system. This list shall include products, models, quantities, and specifications. These products include:                   |  |                        |                     |                            |  |
| <a href="#">13.1.1.2</a>         | Platform: It is desirable to have one deployment platform for all the DMV application components.  |  |                        |                     |                            |  |
| <a href="#">13.1.1.3</a>         | Platform specification: It is preferred and highly desirable that the deployment platform for DMV business process application systems (for vehicle services, driver services, fiscal management, Business Partner services) be based on Microsoft .NET framework. |  |                        |                     |                            |  |
| <a href="#">13.1.1.4</a>         | Centralized servers: It is desirable to have a centralized hardware environment where all servers are located centrally at the DoIT data center. The Proposer shall describe and justify any servers that need to be distributed at other locations.               |  |                        |                     |                            |  |

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| <a href="#">13.1.1.5</a>         | Workstation: The client workstation shall utilize an Intel/Windows platform.  |  |                        |                     |                            |
| <a href="#">13.1.1.6</a>         | Browser interface: It is highly desirable that the user interface utilize a thin-client, browser-based environment. The browser shall be supported by IE 6.0 and above.   |  |                        |                     |                            |
| <a href="#">13.1.1.7</a>         | Environments: There shall be, at a minimum, the following environments – development, testing, staging, training and production.  |  |                        |                     |                            |
| <a href="#">13.1.1.8</a>         | Hosting: The testing, staging and production server environments shall be hosted at CT DoIT facilities. Depending on the development location, development server location will be either at DoIT or a remote location managed by the Contractor. |  |                        |                     |                            |
| <a href="#">13.1.1.9</a>         | Server Installation: The Contractor shall be responsible for initial installation of all hardware and software for the servers.   |  |                        |                     |                            |

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| <a href="#">13.1.1.10</a>        | Client workstation: The Proposer shall specify the client environment. These include: desktop workstations, laptop workstations, remote printers, document scanners, bar-code readers, and other attachments. The Contractor shall assist with initial installation of the client environment. Wherever possible, existing equipments and facilities will be |  |                        |                     |                            |  |
| <a href="#">13.2</a>             | <a href="#">Network requirements</a>   |  |                        |                     |                            |  |
| <a href="#">13.2.1.1</a>         | Network environment: The current CT DMV network environment shall be used. This includes the wide-area network throughout the state, a wireless network for mobile users, and local-area network at each location. The Proposer shall specify any additions required to the current network system.  |  |                        |                     |                            |  |
| <a href="#">13.2.1.2</a>         | Network protocol: TCP/IP shall be the primary means of network transport.  |  |                        |                     |                            |  |
| <a href="#">13.2.1.3</a>         | Web enablement: Standard web-based protocols – including HTTP, HTML, HTTP-S – shall be used for web-based traffic.   |  |                        |                     |                            |  |

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| <a href="#">13.2.1.4</a>            | Network security: The system shall provide secure transmission of sensitive data – including Social Security Numbers, passwords, and others – through established security methods such as SSL and HTTP-S.  |  |                        |                     |                            |
| <a href="#">13.2.1.5</a>            | Mobile workers: It is anticipated that there will be mobile workers (e.g. DMV inspectors) who will need to access DMV applications through laptops and the state-wide CDMA wireless network. The user interface will be the same user interface that DMV office workers use. The DMV application shall be able to support this environment. |  |                        |                     |                            |
| <a href="#">14</a>                  | <a href="#">System Operations and Management Requirements</a>   |  |                        |                     |                            |
| <a href="#">14.1</a>                | <a href="#">Security requirements</a>   |  |                        |                     |                            |
| <a href="#">14.1.1</a>              | <a href="#">Identification and Authentication</a>   |  |                        |                     |                            |
| <a href="#">14.1.1.1</a>            | Internal Users  |  |                        |                     |                            |
|                                     | Internal Users are DMV employees: For these users there shall be the following identification and authentication requirements:  |  |                        |                     |                            |

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| <a href="#">14.1.1.2</a>         | Internal User's IDs and Passwords: It is desirable that there will be a minimum number of IDs and passwords. Ideally each user should have only one set of IDs and passwords. However the DMV solution might possibly include a number of products and packages, and each will likely have its own security system. Every effort should be made to consolidate these into a single set of security identification/authentication |  |                        |                     |                            |
| <a href="#">14.1.1.3</a>         | External Users   |  |                        |                     |                            |
|                                  | External Users will access the DMV system through Internet and IVR. For these users there shall be the following identification and authentication requirements:   |  |                        |                     |                            |
| <a href="#">14.1.1.4</a>         | External User's IDs and Passwords: It is desirable for a user to have the same ID and PIN for both Web/IVR.  |  |                        |                     |                            |
| <a href="#">14.1.2</a>           | Access Control   |  |                        |                     |                            |
| <a href="#">14.1.2.1</a>         | Access Control: For both internal and external user groups, access control shall be performed at two levels:   |  |                        |                     |                            |

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| <u>14.1.3</u> <u>User Management</u>                 |   |  |                        |                     |                            |  |
| <u>14.1.3.1</u>                                      | Internal Users Management: IDs shall be established through security administrators. Security administration functions can be deleted by function and/or user groups.   |  |                        |                     |                            |  |
| <u>14.1.3.2</u>                                      | External Users Management: Customers shall be able to perform self-enrollment through Internet or IVR. Security activities, such as password reset, shall be notified through email. Security administration functions can be delegated from the security administrator to other DMV staff. |  |                        |                     |                            |  |
| <u>14.1.4</u> <u>Roles and Privileges Management</u> |   |  |                        |                     |                            |  |
| <u>14.1.4.1</u>                                      | User Groups: Users can be aggregated by groups and sub-group capabilities.  |  |                        |                     |                            |  |
| <u>14.1.4.2</u>                                      | Group Level Security: Once groups are defined, privileges and authorities can be assigned at the group level.   |  |                        |                     |                            |  |
| <u>14.1.4.3</u>                                      | Group Membership: A user can belong to multiple groups, but can only sign on with the authorities of one group at any one time.   |  |                        |                     |                            |  |

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| <u>14.1.5 Encryption</u>          |   |  |                        |                     |                            |  |
| <u>14.1.5.1</u>                   | Encryption Techniques: Standard Internet encryption techniques, including the use of Secure Socket Layer (SSL), 128-bit encryption, digital certificates through recognized Certificate Authorities, shall all be |  |                        |                     |                            |  |
| <u>14.1.5.2</u>                   | Encrypt Selected Data: Selected data shall be encrypted through public or private networks.   |  |                        |                     |                            |  |
| <u>14.1.5.3</u>                   | Transmit Encrypted Passwords: All passwords shall be transmitted in encrypted form.   |  |                        |                     |                            |  |
| <u>14.1.5.4</u>                   | Store Encrypted Passwords: All passwords shall be stored in encrypted form.   |  |                        |                     |                            |  |
| <u>14.1.5.5</u>                   | Federal Standards Compliance: Federal security standards shall be adhered to whenever required (e.g. transmission and storage of Social Security Numbers).  |  |                        |                     |                            |  |
| <u>14.1.6 Intrusion Detection</u> |   |  |                        |                     |                            |  |
| <u>14.1.6.1</u>                   | Network Security: The system shall support standard network security provisions, including use of firewalls and Demilitarized Zone (DMZ).   |  |                        |                     |                            |  |
| <u>14.1.6.2</u>                   | Inappropriate Network Activities: Inappropriate network activities (e.g. DOS attack) shall be identified and alerted at the time of   |  |                        |                     |                            |  |



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| <a href="#">14.1.7</a>           | <a href="#">Real ID support</a>   |  |                        |                     |                            |  |
| <a href="#">14.1.7.1</a>         | Real ID support: The system shall support all Real ID security requirements, including secure transmission and storage of sensitive   |  |                        |                     |                            |  |
| <a href="#">14.1.8</a>           | <a href="#">Supporting Security Services</a>  |  |                        |                     |                            |  |
| <a href="#">14.1.8.1</a>         | Web Security Formats: Standard web security formats and protocols – including SSL, HTTP-S - shall be used.  |  |                        |                     |                            |  |
| <a href="#">14.1.8.2</a>         | Timeout logoff: There shall be automated logoff capabilities after a specified period of  |  |                        |                     |                            |  |
| <a href="#">14.1.8.3</a>         | Secure Data Transmission: All secure data transmission shall use a minimum of 128-bit encryption.   |  |                        |                     |                            |  |
| <a href="#">14.1.8.4</a>         | Directory Server: A consolidated directory server shall be used for user authentication. This server shall be a mainstream product – such as Microsoft Active Directory, or LDAP-based directory servers. |  |                        |                     |                            |  |
| <a href="#">14.1.8.5</a>         | Log Security Events: The system shall produce an audit log for all security events. Security events might include sign-on attempts, access to data, and access to   |  |                        |                     |                            |  |

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| <a href="#">14.1.8.6</a>            | Audit Policies: The system shall support three types of audit policies:   |  |                        |                     |                            |
| <a href="#">14.1.8.7</a>            | Security Logging: There shall be other levels of logging that can be specified by the security administrator.   |  |                        |                     |                            |
| <a href="#">14.1.8.8</a>            | Security Administration: All security administration activities shall be logged.  |  |                        |                     |                            |
| <a href="#">14.1.8.9</a>            | Security Reports: There shall be canned and ad hoc reporting capabilities against the security logs.  |  |                        |                     |                            |
| <a href="#">14.1.8.10</a>           | Security Violation Alerts: There shall be alerts, at a real time basis, on any security violations.   |  |                        |                     |                            |
| <a href="#">14.2</a>                | <a href="#">Availability and Performance requirements</a>   |  |                        |                     |                            |
| <a href="#">14.2.1.1</a>            | High availability: the DMV applications shall be designed and developed to support a highly available, 7x24 environment. This includes the following: |  |                        |                     |                            |

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| :                                | Minimize unplanned downtime: the DMV applications shall be designed and developed to support a high degree of fail-safe processing. In particular, field office should not experience frequent unplanned outages. And when outages occur, the system shall be brought back in service in an expedient manner. The Contractor shall implement a system that facilitates this environment. |  |                        |                     |                            |
| :                                | Automated recovery: the DMV applications shall have automated restart of failed server and database components. High availability server and database components are recommended to alleviate failed component   |  |                        |                     |                            |
| <a href="#">14.2.1.2</a>         | Capacity requirements: The hardware, system software and application shall provide the capacity for support concurrent users and business volumes during peak hours. These users include:  |  |                        |                     |                            |

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| <a href="#">14.2.1.3</a>            | Response time: Screen response time shall be comparable to best-of-breed web-based applications. While response times vary with types of workload, for transaction processing involving retrieval/update of individual customer records to be displayed under a web browser, the response time shall be less than 2 seconds, measured at the server with no |  |                        |                     |                            |
| <a href="#">14.2.1.4</a>            | Business processing response time: The Proposer shall provide information such as the average time to conduct various business transactions, employing the Proposer's solution. These business processing times shall be less than or equal to existing business process response times.  |  |                        |                     |                            |

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| <a href="#">14.2.1.5</a>         | Performance test: Prior to system acceptance of each deployment, the Contractor shall provide up to 5 performance tests that will measure throughput and response time. These tests shall use hardware/software configurations, transaction volumes and databases sizes equivalent to the deployment environment. Test scripts and requirements to the performance tests shall be jointly developed by the Contractor and CT DMV. |  |                        |                     |                            |
| <a href="#">14.3</a>             | <a href="#">Backup/Recovery</a>   |  |                        |                     |                            |
| <a href="#">14.3.1.1</a>         | Nightly Backups: The DMV systems shall have two nightly backup copies of all data files and databases in encrypted form. One copy of the backups will be sent offsite for secure storage.   |  |                        |                     |                            |
| <a href="#">14.3.1.2</a>         | Volume Backups: The DMV systems shall have two full volume backup copies of all disk volumes, in encrypted form, each week. One copy of the backups will be sent offsite for secure storage.  |  |                        |                     |                            |
| <a href="#">14.3.1.3</a>         | Audit Logs: All database systems shall have audit log files that capture before and after images.   |  |                        |                     |                            |

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| <a href="#">14.3.1.4</a>            | Recovery Capability: All databases shall have point-in-time recovery capabilities. This means that upon any failure, the database can be recovered to the last point of consistent state.  |  |                        |                     |                            |  |  |  |  |
| <a href="#">14.4</a>                | <b>Disaster Recovery / Business Continuity Plans</b>   |  |                        |                     |                            |  |  |  |  |
| <a href="#">14.4.1.1</a>            | Disaster Recovery Backup Site: In the event of disaster at the hosting site, application systems shall be transferred to a backup site. There shall be capabilities to restore the application systems, together with application data, to the state of previous evening when the last backup was taken. |  |                        |                     |                            |  |  |  |  |
| <a href="#">14.4.1.2</a>            | Critical Business Function Timeframes: Critical business functions shall be restored within a specified number of days, to be determined during requirement gathering  |  |                        |                     |                            |  |  |  |  |
| <a href="#">14.4.1.3</a>            | Non-critical Business Functions: Non-critical business functions shall be restored within a specified number of business days, to be determined during requirement gathering   |  |                        |                     |                            |  |  |  |  |

| Solutions Requirements<br>Section #        | SCHEDULE B - SOLUTIONS SUMMARY MATRIX<br>Solutions Requirements Section Description  | A: ("X") if included in Proposer's current base MOTS offering  |                        |                     |                            | NOTE: For A and B an "X" means the requirement in the associated section is MET by the Proposer's proposed solution. For C, an "X" means req't is NOT part of proposed solution. For column D, an "X" means an alternative solution is provided and described in proposal section § __; (Proposal § number is identified in this column) |
|--|--|--|------------------------|---------------------|----------------------------|--|
|  |  | B: ("X") if included as an extension of the Proposer's current MOTS solution offering through custom |                        |                     |                            |  |
|  |  | C: ("X") Not part of the Proposer's solution offering  |                        |                     |                            |  |
|  |  | D: ("X") Alternative solution(s) offered (described in Proposal § __)                                |                        |                     |                            |  |
|  |  | A: (X) std MOTS offering   | B: (X) a customization | C: (X) not included | D: (X) alternative offered |  |
| <a href="#">14.4.1.4</a>                   | Disaster Recovery Plan: The Contractor shall participate in the development of a detailed disaster recovery plan, describing all backup/recovery and related procedures. |  |                        |                     |                            |  |
| <a href="#">14.4.1.5</a>                   | Disaster Recovery Tests: The Contractor shall participate in a minimum of one disaster recovery procedure for each deployment.   |  |                        |                     |                            |  |
| <a href="#">14.4.1.6</a>                   | Hardware/Software Equipment: Identical or compatible hardware/software equipment shall be available at the backup site.  |  |                        |                     |                            |  |
| <a href="#">15</a><br><a href="#">15.1</a> | <a href="#">DoIT Standards Compliance Requirements</a><br><a href="#">DoIT Application Hosting Architecture Standards</a>  |  |                        |                     |                            |  |
| <a href="#">15.1.1.1</a>                   | Application Hosting Architecture compliance: It is desirable the system will conform to the DoIT Application Hosting Architecture  |  |                        |                     |                            |  |
| <a href="#">15.1.1.2</a>                   | Application Hosting Architecture approval: Where these standards cannot be met, DoIT approval shall be required before the system can be deployed and hosted at DoIT.    |  |                        |                     |                            |  |

| Solutions Requirements Section # | SCHEDULE B - SOLUTIONS SUMMARY MATRIX Solutions Requirements Section Description  | A: ("X") if included in Proposer's current base MOTS offering  |                        |                     |                            | NOTE: For A and B an "X" means the requirement in the associated section is MET by the Proposer's proposed solution. For C, an "X" means req't is NOT part of proposed solution. For column D, an "X" means an alternative solution is provided and described in proposal section § __; (Proposal § number is identified in this column) |
|----------------------------------|---|--|------------------------|---------------------|----------------------------|--|
|                                  |   | B: ("X") if included as an extension of the Proposer's current MOTS solution offering through custom |                        |                     |                            |  |
|                                  |   | C: ("X") Not part of the Proposer's solution offering  |                        |                     |                            |  |
|                                  |   | D: ("X") Alternative solution(s) offered (described in Proposal § __)                                |                        |                     |                            |  |
|                                  |   | A: (X) std MOTS offering   | B: (X) a customization | C: (X) not included | D: (X) alternative offered |  |
| <a href="#">15.2</a>             | <a href="#">DoIT Development Guidelines for Web Based Applications</a>  |  |                        |                     |                            |  |
| <a href="#">15.2.1.1</a>         | Development Guidelines compliance: The system shall conform to the DoIT Development Guidelines for Web Based                            |  |                        |                     |                            |  |
| <a href="#">15.3</a>             | <a href="#">DoIT Strategic Standards and Products</a>   |  |                        |                     |                            |  |
| <a href="#">15.3.1.1</a>         | Strategic Standards and Products compliance: It is desirable that the system will conform to the DoIT Strategic Standards and Products. |  |                        |                     |                            |  |
| <a href="#">15.3.1.2</a>         | Strategic Standards and Products approval: Where these products and standards cannot be met, DoIT approval shall be required.           |  |                        |                     |                            |  |



## Schedule C – Notice of Intent to Propose

Due Date September 1, 2008 4:00 P.M. EDT

State of Connecticut  
Department of Information Technology  
Division of Contracts and Purchasing  
Ms. Jacqueline Shirley, Director  
101 East River Drive, Room 4074  
East Hartford, CT 06108

Dear Ms. Shirley;

We hereby certify that [Organization Name] intends to submit a Proposal in Response to the State of Connecticut Request for Proposals for the Connecticut Integrated Vehicle and Licensing System (CIVLS) Modernization Program, RFP # 08ITZ 0069. We further certify that [Organization Name] has:

1. Experience with motor vehicle agency systems within the last three (3) years;

2. Developed and implemented MOTS integrated vehicle and licensing systems comparable to that which is being requested in this RFP, or is currently engaged in such work. All relevant experience and contracts are or has been for official government motor vehicle agencies within U.S. jurisdictions; and,

3. The ability to fulfill, and hereby makes the commitment to fulfill, the requirements of the On-site, Hands-on Demonstrations as set forth in Section 3.1.7.

The primary and secondary contacts for [Organization Name] and their addresses and telephone numbers are as follows:

|                  |                    |
|------------------|--------------------|
| Primary Contact: | Secondary Contact: |
| Name: _____      | Name: _____        |
| Address: _____   | Address: _____     |

\_\_\_\_\_  
Telephone: \_\_\_\_\_ Telephone: \_\_\_\_\_

Email: \_\_\_\_\_ Email: \_\_\_\_\_

As requested the following are the three references the State requested for government entities or organizations for which we are currently or in the past have provided motor vehicle agency-related services similar to the type described in this RFP. With each are: the name of the customer organization

and a description be the services provided, the name, address, email address and telephone number for the appropriate individual to contact for each reference, we hereby verify that they have been notified that the State will be contacting them.

Reference 1:

Name and address of Customer:

Description of services performed:

Contact's Name:

Contact's email:

Contact's phone

Contaddress

[Organization Name]

By:

Its:

Date:

## Schedule D – Transmittal Letter

(place on corporate letterhead)

\_\_\_\_\_, 2008

State of Connecticut  
Department of Information Technology  
Division of Contracts and Purchasing  
Ms. Jacqueline Shirley, Director  
101 East River Drive, Room 4074  
East Hartford, CT 06108

Dear Ms. Shirley:

[insert name of Proposing organization] is pleased to have the opportunity to submit a Proposal in response to the RFP for the Connecticut Integrated Vehicle and Licensing System (CIVLS) Modernization Program, RFP # 08ITZ 0069. We look forward to the opportunity of doing business with the State of Connecticut. Our point of contact for any RFP issues or questions will be:

First Name, Last Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Name of Proposer: \_\_\_\_\_  
Division/Department: \_\_\_\_\_  
Address 1: \_\_\_\_\_  
Address 2: \_\_\_\_\_  
City, State, Zip Code: \_\_\_\_\_  
E-Mail Address: \_\_\_\_\_  
Telephone & Ext: \_\_\_\_\_  
Fax Number: \_\_\_\_\_

[insert name of Proposing organization ] represents, warrants and certifies to all of the following:

1. The information contained in this Proposal or any part thereof, including its Exhibits, Schedules, and other documents and instruments delivered or to be delivered to the State is true, accurate, and complete. This Proposal includes all information necessary to ensure that the statements therein do not in whole or in part mislead the State as to any material fact.

2. We attest that we understand, accept and will comply with all of the administrative requirements set forth in the RFP and our Proposal is written such that it reflects compliance with such requirements.

3. No cost Proposal information has been disclosed in “Part I: Transmittal Letter and Business and Technical Proposal” of this Proposal.

4. No elected or appointed official or employee of the State of Connecticut has or will benefit financially or materially from this procurement. We understand and accept that Any Contract or award arising from the RFP may be terminated by the State if it is determined that gratuities of any kind were either offered to or received by any of our officials or employees, our agent(s), or our representative.

5. No changes, substitution, additions or deletions in this Proposal shall be made unless approved in advance by the State.

6. The system products offered to the State, including commercially available and/or proprietary products that may be modified in order to meet the requirements of this RFP (software, hardware, operating systems, etc...) are currently manufactured and/or available for general sales, lease, or licenses on the date the Proposal is submitted, unless an alternative approach to the RFP requirements are otherwise agreed to by the State. Any proprietary products, commercially available and/or proprietary products that may be modified in order to meet the requirements of this RFP or such alternative approaches are set forth in Section(s) \_\_\_\_\_ of this Proposal.

7. We comply fully with the August 2002 corporate governance rules proposed by the New York Stock Exchange ([www.nyse.com/pdfs/corp\\_gov\\_pro\\_b.pdf](http://www.nyse.com/pdfs/corp_gov_pro_b.pdf)). Any non-compliance has been identified and explained in (*insert section(s) hereof Proposal*).

8. This Proposal is a binding commitment which the State at its sole discretion, may include by reference or otherwise, into any Contract with us as a result of this Proposal.

9. This Proposal is a firm offer for a three hundred sixty-five (365) calendar day period from the date of Proposal opening; or, as otherwise agreed upon between the State and us. Moreover, unless otherwise agreed to by the State in its sole discretion, all prices, costs and formulae quoted shall be firm and fixed for the full Contract Term.

10. Moreover, we further certify and swear that the Proposer, Proposer Parties, partners or Subcontractors:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, voluntarily excluded, or prohibited from similar motor vehicle registration and driver licensing systems, programs or other related business covered by any local, state, federal department or agency.

(b) Have not within a five year period preceding this RFP been convicted of or had a civil judgment rendered against us for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, State, or local) transaction or contract under a public transaction, violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery,

falsification or destruction of records, making false statements or receiving stolen state property;

(c) Are not presently indicted or awaiting indictment for or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses enumerated in 8.3.4.2, above;

(d) Have not within a five-year period preceding this RFP had one or more public transactions (federal, state, or local) cancelled or terminated for cause or default; and

(e) Have not within a five-year period preceding this RFP filed for bankruptcy, nor is bankruptcy, or the filing for bankruptcy, presently or imminently threatened.

The undersigned [*insert name and title here*] is authorized to submit this Proposal on behalf of [*insert name of Proposing organization*] and has full authority to sign a contract on behalf of and to bind [*insert name of Proposing organization*] to the work specified in the Proposal and ultimately agreed to with the State in a Contract.

Sworn as true to the best of knowledge and belief subject to the penalties of false statement.

-----  
Name

-----  
Signature

-----  
Date

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 2008

-----  
Commissioner of the Superior Court  
Notary Public

Corporate Seal:

## Schedule E – Confidential Cost Proposal Worksheets

### *TABLE OF CONTENTS*

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## WORKSHEET INSTRUCTIONS

The following instructions apply to the creation of these worksheets:

- ◆ Proposer must use the following worksheets as a template to follow for supplying cost data.
- ◆ Cost worksheets must be submitted in Microsoft© Excel Version 2003.
- ◆ All worksheets are considered mandatory parts of the application, are fixed price in nature, and must be complete for the cost proposal to be accepted.
- ◆ If proposer wishes to elaborate on a line item, they should use the additional notes section for the line item. If additional information must be attached (e.g. 3<sup>rd</sup> party software quote), the submitter should specify the attachment in the appropriate line item additional notes section and attach information at the end of the financial proposal.
- ◆ It is to the proposer's best interest to elaborate each line item of the cost worksheets.
- ◆ To ease readability, dollar amounts should have cents truncated, and use the following format: 1,234,567.
- ◆ Do not renumber the line #s in any worksheet.
- ◆ Do not add new line #s to any worksheet, but breakouts may be provided as attachments.
- ◆ Do not leave any entry in the worksheets blank or empty. Where appropriate, enter a zero (0) or "N/A".
- ◆ Double check all column amounts and tallies. For example, values from line numbers 100-198 should sum up to the total value in line 199.
- ◆ Provide a separate, brief narrative on any formulae used to determine any breakout costs as part of the whole.

## WORKSHEET 1 - CIVLS SYSTEM COSTS

The State may procure any or all of the CIVLS solution components. Please elaborate on the line item costs listed below.

| Line # | RFP Cost Proposal Category   | Exact Cost | Additional Notes |
|--------|--|------------|------------------|
| 100    | <p>CIVLS base solution components, including the following (per Schedule A) and associated Contractor Responsibilities as outlined in RFP Section 4.2:</p> <ul style="list-style-type: none"> <li>• Customer</li> <li>• Compliance</li> <li>• Vehicle Services: Title and Registration</li> <li>• Driver Services: Credentialing and Sanctioning</li> <li>• Permits</li> <li>• Fiscal Management</li> <li>• Business Partner Services</li> <li>• Records Management</li> <li>• Inventory Control</li> <li>• Audits</li> <li>• Inspections and Enforcements</li> <li>• Business Rules</li> <li>• Reporting capabilities</li> <li>• Forms and Correspondence</li> <li>• Training</li> <li>• Data Requirements</li> <li>• Interfaces</li> <li>• Application Lifecycle</li> <li>• System Operations and Management</li> <li>• DoIT compliance</li> </ul> |            |                  |



| Line # | RFP Cost Proposal Category   | Exact Cost | Additional Notes |
|--------|--|------------|------------------|
| 101    | CIVLS solution component – License and Manage Regulated Businesses - and associated Contractor Responsibilities as outlined in RFP Section 4.2 |            |                  |
| 102    | CIVLS solution component – Hearing and Appeals - and associated Contractor Responsibilities as outlined in RFP Section 4.2                     |            |                  |
| 103    | CIVLS solution component – Business Intelligence - and associated Contractor Responsibilities as outlined in RFP Section 4.2                   |            |                  |
| 104    | CIVLS solution component – Document Management - and associated Contractor Responsibilities as outlined in RFP Section 4.2                     |            |                  |
| 105    | CIVLS solution component – Workflow and Case Management - and associated Contractor Responsibilities as outlined in RFP Section 4.2            |            |                  |
| 106    | CIVLS solution component – Appointment / Scheduling - and associated Contractor Responsibilities as outlined in RFP Section 4.2                |            |                  |
| 107    | CIVLS solution component – Internet Self-Service - and associated Contractor Responsibilities as outlined in RFP Section 4.2                   |            |                  |

| Line # | RFP Cost Proposal Category   | Exact Cost | Additional Notes |
|--------|--|------------|------------------|
| 108    | CIVLS solution component - Web Portals - and associated Contractor Responsibilities as outlined in RFP Section 4.2 |            |                  |
| 199    | <b>TOTAL</b>   |            |                  |

**WORKSHEET 2 – ONGOING SUPPORT & MAINTANENCE COSTS**

| Line # | RFP Cost Proposal Category   | Exact Cost         | Additional Notes |
|--------|--|--------------------|------------------|
| 200    | CIVLS Solution Warranty Period                                       | Specify Period     |                  |
| 201    | CIVLS enhancement charges – specify hours included and per hour cost | Specify Labor Rate |                  |
| 202    | For Line #100, biennial maintenance cost                             |                    |                  |
| 203    | For Line #100, technical support 24x7                                |                    |                  |
| 204    | For Line #101, biennial maintenance cost                             |                    |                  |
| 205    | For Line #101, technical support 24x7                                |                    |                  |
| 206    | For Line #102, biennial maintenance cost                             |                    |                  |
| 207    | For Line #102, technical support 24x7                                |                    |                  |
| 208    | For Line #103, biennial maintenance cost                             |                    |                  |
| 209    | For Line #103, technical support 24x7                                |                    |                  |
| 210    | For Line #104, biennial maintenance cost                             |                    |                  |
| 211    | For Line #104, technical support 24x7                                |                    |                  |
| 212    | For Line #105, biennial maintenance cost                             |                    |                  |
| 213    | For Line #105, technical support 24x7                                |                    |                  |

| Line #     | RFP Cost Proposal Category               | Exact Cost | Additional Notes |
|------------|--|------------|------------------|
| 214        | For Line #106, biennial maintenance cost |            |                  |
| 215        | For Line #106, technical support 24x7    |            |                  |
| 216        | For Line #107, biennial maintenance cost |            |                  |
| 217        | For Line #107, technical support 24x7    |            |                  |
| 218        | For Line #108, biennial maintenance cost |            |                  |
| 219        | For Line #108, technical support 24x7    |            |                  |
| <b>299</b> | <b>TOTAL</b>                             |            |                  |

Note: for total cost, maintenance charges should be for a minimum of four two-year periods.

### WORKSHEET 3 – HARDWARE/SOFTWARE COSTS

**NOTE:** The State reserves the right to utilize existing hardware or purchase required hardware through its existing procurement methods. Cost submitted on this worksheet may not be reflected in the final award. Hardware/Software includes the following:

- All server-based hardware, peripherals and software
- All distributed hardware and software located at offices
- All workstations and associated attachments
- All network hardware and software needed in addition to existing equipments

All hardware/software should be specified in: number of units per type of equipment, version, model, capacity, and specifications.

All costs should be specified in unit costs and aggregate costs by product

| Line # | RFP Cost Proposal Category   | Exact Cost | Additional Notes |
|--------|--|------------|------------------|
| 301    | For Line # 100, Other Software Costs   |            |                  |
| 302    | For Line #100, Other Software Installation & Configuration Costs                           |            |                  |
| 303    | For Line #100, Other Hardware Costs  |            |                  |
| 304    | For Line #100, Other Hardware Installation & Configuration Costs                           |            |                  |
| 305    | For Line #100, Other Hardware and Software warranty periods and biennial maintenance costs |            |                  |
| 306    | For Line # 101, Other Software Costs   |            |                  |
| 307    | For Line #101, Other Software Installation & Configuration Costs                           |            |                  |

| Line # | RFP Cost Proposal Category   | Exact Cost | Additional Notes |
|--------|--|------------|------------------|
| 308    | For Line #101, Other Hardware Costs  |            |                  |
| 309    | For Line #101, Other Hardware Installation & Configuration Costs                           |            |                  |
| 310    | For Line #101, Other Hardware and Software warranty periods and biennial maintenance costs |            |                  |
| 311    | For Line # 102, Other Software Costs   |            |                  |
| 312    | For Line #102, Other Software Installation & Configuration Costs                           |            |                  |
| 313    | For Line #102, Other Hardware Costs  |            |                  |
| 314    | For Line #102, Other Hardware Installation & Configuration Costs                           |            |                  |
| 315    | For Line #102, Other Hardware and Software warranty periods and biennial maintenance costs |            |                  |
| 316    | For Line # 103, Other Software Costs   |            |                  |
| 317    | For Line #103, Other Software Installation & Configuration Costs                           |            |                  |
| 318    | For Line #103, Other Hardware Costs  |            |                  |
| 319    | For Line #103, Other Hardware Installation & Configuration Costs                           |            |                  |

| Line # | RFP Cost Proposal Category   | Exact Cost | Additional Notes |
|--------|--|------------|------------------|
| 320    | For Line #103, Other Hardware and Software warranty periods and biennial maintenance costs |            |                  |
| 321    | For Line # 104, Other Software Costs   |            |                  |
| 322    | For Line #104, Other Software Installation & Configuration Costs                           |            |                  |
| 323    | For Line #104, Other Hardware Costs  |            |                  |
| 324    | For Line #104, Other Hardware Installation & Configuration Costs                           |            |                  |
| 325    | For Line #104, Other Hardware and Software warranty periods and biennial maintenance costs |            |                  |
| 326    | For Line # 105, Other Software Costs   |            |                  |
| 327    | For Line #105, Other Software Installation & Configuration Costs                           |            |                  |
| 328    | For Line #105, Other Hardware Costs  |            |                  |
| 329    | For Line #105, Other Hardware Installation & Configuration Costs                           |            |                  |
| 330    | For Line #105, Other Hardware and Software warranty periods and biennial maintenance costs |            |                  |
| 331    | For Line # 106, Other Software Costs   |            |                  |

| Line # | RFP Cost Proposal Category   | Exact Cost | Additional Notes |
|--------|--|------------|------------------|
| 332    | For Line #106, Other Software Installation & Configuration Costs                           |            |                  |
| 333    | For Line #106, Other Hardware Costs  |            |                  |
| 334    | For Line #106, Other Hardware Installation & Configuration Costs                           |            |                  |
| 335    | For Line #106, Other Hardware and Software warranty periods and biennial maintenance costs |            |                  |
| 336    | For Line # 107, Other Software Costs   |            |                  |
| 337    | For Line #107, Other Software Installation & Configuration Costs                           |            |                  |
| 338    | For Line #107, Other Hardware Costs  |            |                  |
| 339    | For Line #107, Other Hardware Installation & Configuration Costs                           |            |                  |
| 340    | For Line #107, Other Hardware and Software warranty periods and biennial maintenance costs |            |                  |
| 341    | For Line # 108, Other Software Costs   |            |                  |
| 342    | For Line #108, Other Software Installation & Configuration Costs                           |            |                  |
| 343    | For Line #108, Other Hardware Costs  |            |                  |



| Line #     | RFP Cost Proposal Category   | Exact Cost | Additional Notes |
|------------|--|------------|------------------|
| 344        | For Line #108, Other Hardware Installation & Configuration Costs                           |            |                  |
| 345        | For Line #108, Other Hardware and Software warranty periods and biennial maintenance costs |            |                  |
| <b>399</b> | <b>TOTAL</b>   |            |                  |

Note: for total cost, maintenance charges should be for a minimum of four two-year periods.

**WORKSHEET 4 - MISCELLANEOUS**

| Line #     | RFP Cost Proposal Category | Exact Cost | Additional Notes |
|------------|----------------------------|------------|------------------|
| 400        | For Line #100              |            |                  |
| 401        | For Line #101              |            |                  |
| 402        | For Line #102              |            |                  |
| 403        | For Line #103              |            |                  |
| 404        | For Line #104              |            |                  |
| 405        | For Line #105              |            |                  |
| 406        | For Line #106              |            |                  |
| 407        | For Line #107              |            |                  |
| 408        | For Line #108              |            |                  |
| <b>499</b> | <b>TOTAL</b>               |            |                  |

### WORKSHEET 5 - TOTAL COSTS

Please use the totals from Worksheets 1 through 4 to complete this Worksheet.

Note \* - maintenance charges should be 4 x 2 year total cost.

| Line #     |                    | Total Cost<br>Line#100 | Total Cost<br>Line#101 | Total Cost<br>Line#102 | Total Cost<br>Line#103 | Total Cost<br>Line#104 | Total Cost<br>Line#105 | Total Cost<br>Line#106 | Total Cost<br>Line#107 | Total Cost<br>Line#108 | Grand Total |
|------------|--------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|-------------|
| 199        | WORKSHEET 1        |                        |                        |                        |                        |                        |                        |                        |                        |                        |             |
| 299        | WORKSHEET 2*       |                        |                        |                        |                        |                        |                        |                        |                        |                        |             |
| 399        | WORKSHEET 3*       |                        |                        |                        |                        |                        |                        |                        |                        |                        |             |
| 499        | WORKSHEET 4        |                        |                        |                        |                        |                        |                        |                        |                        |                        |             |
| <b>999</b> | <b>GRAND TOTAL</b> |                        |                        |                        |                        |                        |                        |                        |                        |                        |             |

## Schedule F – Executive Orders

### 1 State Of Connecticut by His Excellency Thomas J. Meskill Governor: Executive Order No. Three

WHEREAS, sections 4-61d(b) and 4-114a of the 1969 supplement to the general statutes require nondiscrimination clauses in state contracts and subcontracts for construction on public buildings, other public works and goods and services, and

WHEREAS, section 4-61e(c) of the 1969 supplement to the general statutes requires the labor department to encourage and enforce compliance with this policy by both employers and labor unions, and to promote equal employment opportunities, and

WHEREAS, the government of this state recognizes the duty and desirability of its leadership in providing equal employment opportunity, by implementing these laws,

NOW, THEREFORE, I, THOMAS J. MESKILL, Governor of the State of Connecticut, acting by virtue of the authority vested in me under section twelve of article fourth of the constitution of the state, as supplemented by section 3-1 of the general statutes, do hereby ORDER and DIRECT, as follows, by this Executive Order:

- I. The labor commissioner shall be responsible for the administration of this Order and shall adopt such regulations as he deems necessary and appropriate to achieve the purposes of this Order. Upon the promulgation of this Order, the commissioner of finance and control shall issue a directive forthwith to all state agencies, that henceforth all state contracts and subcontracts for construction on public buildings, other public works and goods and services shall contain a provision rendering such contract or subcontract subject to this Order, and that such contract or subcontract may be cancelled, terminated or suspended by the labor commissioner for violation of or noncompliance with this Order or state or federal laws concerning nondiscrimination, notwithstanding that the labor commissioner is not a party to such contract or subcontract.
- II. Each contractor having a contract containing the provisions prescribed in section 4-114a of the 1969 supplement to the general statutes, shall file, and shall cause each of his subcontractors to file, compliance reports with the contracting agency or the labor commissioner, as may be directed. Such reports shall be filed within such times and shall contain such information as to employment policies and statistics of the contractor and each subcontractor, and shall be in such form as the labor commissioner may prescribe. Bidders or prospective contractors or subcontractors may be required to state whether they have participated in any previous contract subject to the provisions of this Order or any preceding similar Order, and in that

event to submit on behalf of themselves and their proposed subcontractors compliance reports prior to or as an initial part of their bid or negotiation of a contract.

- III. Whenever the contractor or subcontractor has a collective bargaining agreement or other contract or understanding with a labor organization or employment agency as defined in section 31-122 of the general statutes, the compliance report shall identify the said organization or agency and the contracting agency or the labor commissioner may require a compliance report to be filed with the contracting agency or the labor commissioner, as may be directed, by such organization or agency, signed by an authorized officer or agent of such organization or agency, with supporting information, to the effect that the signer's practices and policies, including but not limited to matters concerning personnel, training, apprenticeship, membership, grievance and representation, and upgrading, do not discriminate on grounds of race, color, religious creed, age, sex or national origin, or ancestry of any individual, and that the signer will either affirmatively cooperate in the implementation of the policy and provisions of this Order, or that it consents and agrees that recruitment, employment and the terms and conditions of employment under the proposed contract shall be in accordance with the purposes and provisions of the Order.
- IV. The labor commissioner may by regulation exempt certain classes of contracts, subcontracts or purchase orders from the implementation of this Order, for standard commercial supplies or raw materials, for less than specified amounts of money or numbers of workers or for subcontractors below a specified tier. The labor commissioner may also provide by regulation for the exemption of facilities of a contractor which are in all respects separate and distinct from activities of the contractor related to the performance of the state contract, provided only that such exemption will not interfere with or impede the implementation of this Order, and provided further, that in the absence of such an exemption, all facilities shall be covered by the provisions of this Order.
- V. Each contracting agency shall be primarily responsible for obtaining compliance with the regulations of the labor commissioner with respect to contracts entered into by such agency or its contractors. All contracting agencies shall comply with the regulations of the labor commissioner in discharging their primary responsibility for securing compliance with the provisions of contracts and otherwise with the terms of this Order and of the regulations of the labor commissioner issued pursuant to this Order. They are directed to cooperate with the labor commissioner and to furnish the labor commissioner such information and assistance as he may require in the performance of his functions under this Order. They are further directed to appoint or designate

from among the personnel of each agency, compliance officers, whose duty shall be to seek compliance with the objectives of this Order by conference, conciliation, mediation, or persuasion.

- VI. The labor commissioner may investigate the employment practices and procedures of any state contractor or subcontractor and the practices and policies of any labor organization or employment agency hereinabove described, relating to employment under the state contract, as concerns nondiscrimination by such organization or agency as hereinabove described, or the labor commissioner may initiate such investigation by the appropriate contract agency, to determine whether or not the contractual provisions hereinabove specified or statutes of the state respecting them have been violated. Such investigation shall be conducted in accordance with the procedures established by the labor commissioner and the investigating agency shall report to the labor commissioner any action taken or recommended.
- VII. The labor commissioner shall receive and investigate or cause to be investigated complaints by employees or prospective employees of a state contractor or subcontractor or members or applicants for membership or apprenticeship or training in a labor organization or employment agency hereinabove described, which allege discrimination contrary to the contractual provisions specified hereinabove or state statutes requiring nondiscrimination in employment opportunity. If this investigation is conducted for the labor commissioner by a contracting agency, that agency shall report to the labor commissioner what action has been taken or is recommended with regard to such complaints.
- VIII. The labor commissioner shall use his best efforts, directly and through contracting agencies, other interested federal, state and local agencies, contractors and all other available instrumentalities, including the commission on human rights and opportunities, the executive committee on human rights and opportunities, and the apprenticeship council under its mandate to provide advice and counsel to the labor commissioner in providing equal employment opportunities to all apprentices and to provide training, employment and upgrading opportunities for disadvantaged workers, in accordance with section 31-51(d) of the 1969 supplement to the general statutes, to cause any labor organization or any employment agency whose members are engaged in work under government contracts or referring workers or providing supervising apprenticeship or training for or in the course of work under a state contract or subcontract to cooperate in the implementation of the purposes of this Order. The labor commissioner shall in appropriate cases notify the commission on human rights and opportunities or other appropriate state or federal agencies whenever it has reason to believe that the practices of any such organization or agency violate equal employment opportunity requirements of state or federal law.

- IX. The labor commissioner or any agency officer or employee in the executive branch designated by regulation of the labor commissioner may hold such hearings, public or private, as the labor commissioner may deem advisable for compliance, enforcement or educational purposes under this Order.
- X. (a) The labor commissioner may hold or cause to be held hearings, prior to imposing ordering or recommending the imposition of penalties and sanctions under this Order. No order for disbarment of any contractor from further state contracts shall be made without affording the contractor an opportunity for a hearing. In accordance with such regulations as the labor commissioner may adopt, the commissioner or the appropriate contracting agency may
1. Publish or cause to be published the names of contractors or labor organizations or employment agencies as hereinabove described which it has concluded have complied or failed to comply with the provisions of this Order or the regulations of the labor commissioner in implementing this Order.
  2. Recommend to the commission on human rights and opportunities that in cases in which there is substantial or material violation or threat thereof of the contractual provision or related state statutes concerned herein, appropriate proceedings be brought to enforce them, including proceedings by the commission on its own motion under chapter 563 of the general statutes and the enjoining, within the limitations of applicable law, of organizations, individuals or groups who prevent directly or indirectly compliance with the provisions of this Order.
  3. Recommend that criminal proceedings be brought under chapter 939 of the general statutes.
  4. Cancel, terminate, suspend or cause to be cancelled, terminated, or suspended in accordance with law any contract or any portion or portions thereof for failure of the contractor or subcontractor to comply with the nondiscrimination provisions of the contract. Contracts may be cancelled, terminated, suspended absolutely or their continuance conditioned upon a program for future compliance approved by the contracting agency.
  5. Provide that any contracting agency shall refrain from entering into any further contracts or extensions or modifications of existing contracts with any contractor until he has satisfied the labor commissioner that he has established and will carry out personnel and employment policies compliant with this Order.

6. Under regulations prescribed by the labor commissioner each contracting agency shall make reasonable efforts with a reasonable period of time to secure compliance with the contract provisions of this Order by methods of conference, conciliation, mediation or persuasion, before other proceedings shall be instituted under this Order or before a state contract shall be cancelled or terminated in whole or in part for failure of the contractor or subcontractor to comply with the contract provisions of state statute and this Order.

(b) Any contracting agency taking any action authorized by this Order, whether on its own motion or as directed by the labor commissioner or pursuant to his regulations shall promptly notify him of such action. Whenever the labor commissioner makes a determination under this Order, he shall promptly notify the appropriate contracting agency and other interested federal, state and local agencies of the action recommended. The state and local agency or agencies shall take such action and shall report the results thereof to the labor commissioner within such time as he shall specify.

- XI. If the labor commissioner shall so direct, contracting agencies shall not enter into contracts with any bidder or prospective contractor unless he has satisfactorily complied with the provisions of this Order, or submits a program for compliance acceptable to the labor commissioner, or if the labor commissioner so authorizes, to the contracting agency.
- XII. Whenever a contracting agency cancels or terminates a contract, or a contractor has been disbarred from further government contracts because of noncompliance with the contract provisions with regard to nondiscrimination, the labor commissioner or the contracting agency shall rescind such disbarment, upon the satisfaction of the labor commissioner that the contractor has purged himself of such noncompliance and will thenceforth carry out personnel and employment policies of nondiscrimination in compliance with the provision of this Order.
- XIII. The labor commissioner may delegate to any officer; agency or employee in the executive branch any function or duty of the labor commissioner under this Order except authority to promulgate regulations of a general nature.
- XIV. This Executive Order supplements the Executive Order issued on September 28, 1967. All regulations, orders, instructions, designations and other directives issued heretofore in these premises, including those issued by the heads of various departments or agencies under or pursuant to prior order or statute, shall remain in full force and effect, unless and until revoked or superceded by appropriate authority, to the extent that they are not inconsistent with this Order.



This Order shall become effective thirty days after the date of this Order.

Dated at Hartford, Connecticut, this 16<sup>th</sup> day of June, 1971

*Thomas J. Meskill*, Governor

Filed this 16<sup>th</sup> day of June, 1971.

*Harry Hammer*, Deputy Secretary Of The State

2 **State Of Connecticut by His Excellency Thomas J. Meskill Governor:  
Executive Order No. Seventeen**

WHEREAS, Section 31-237 of the General Statutes of Connecticut as amended requires the maintaining of the established free services of the Connecticut State Employment Service to both employers and prospective employees and

WHEREAS, Section 31-5 of the General Statutes of Connecticut requires that no compensation or fee shall be charged or received directly or indirectly for the services of the Connecticut State Employment Service and

WHEREAS, large numbers of our citizens who have served in the Armed Forces of our nation are returning to civilian life in our state and seeking employment in civilian occupations and

WHEREAS, we owe a duty as well as gratitude to these returning veterans including the duty to find suitable employment for them and

WHEREAS, many of our handicapped citizens are fully capable of employment and are entitled to be placed in suitable employment and

WHEREAS, many of the citizens of our state who are unemployed are unaware of the job openings and employment opportunities which do in fact exist in our state and

WHEREAS, notwithstanding the free services of the Connecticut State Employment Service, many of our Connecticut employers do not use its free services or do not avail themselves fully of all the services offered,

NOW, THEREFORE, I, THOMAS J. MESKILL, Governor of the State of Connecticut, acting by virtue of the authority vested in me under the fourth article of the Constitution of the State and in accordance with Section 3-1 of the General Statutes, do hereby ORDER and direct, as follows, by this Executive Order:

- I. The Labor Commissioner shall be responsible for the administration of this Order and shall do all acts necessary and appropriate to achieve its purpose. Upon promulgation of this Order, the Commissioner of Finance and Control shall issue a directive forthwith to all state agencies, that henceforth all state contracts and subcontracts for construction on public buildings, other public works and goods and services shall contain a provision rendering such contract or subcontract subject to this Order, and that such contract or subcontract may be cancelled, terminated or suspended by the Labor Commissioner for violation of or noncompliance with this Order, notwithstanding that the Labor Commissioner is not a party to such contract or subcontract.
- II. Every contractor and subcontractor having a contract with the state or any of its agencies, boards, commissions, or departments, every individual partnership, corporation, or business entity having business with the state or who or which seeks to do business with the state, and every bidder or prospective bidder who submits a bid or replies to an invitation to bid on any state contract shall list

all employment openings with the office of the Connecticut State Employment Service in the area where the work is to be performed or where the services are to be rendered.

- III. All state contracts shall contain a clause which shall be a condition of the contract that the contractor and any subcontractor holding a contract directly under the contractor shall list all employment openings with the Connecticut State Employment Service. The Labor Commissioner may allow exceptions to listings of employment openings which the contractor proposes to fill from within its organization from employees on the rolls of the contractor on the date of publication of the invitation to bid or the date on which the public announcement was published or promulgated advising of the program concerned.
- IV. Each contracting agency of the state shall be primarily responsible for obtaining compliance with this Executive Order. Each contracting agency shall appoint or designate from among its personnel one or more persons who shall be responsible for compliance with the objectives of this Order.
- V. The Labor Commissioner shall be and is hereby empowered to inspect the books, records, payroll and personnel data of each individual or business entity subject to this Executive Order and may hold hearings or conferences, formal or informal, in pursuance of the duties and responsibilities hereunto delegated to the Labor Commissioner.
- VI. The Labor Commissioner or any agency officer or employee in the executive branch designated by regulation of the Labor Commissioner may hold such hearings, public or private, as the Labor Commissioner may deem advisable for compliance, enforcement or educational purposes under this Order.
- VII. (a) The Labor Commissioner may hold or cause to be held hearings, prior to imposing, ordering, or recommending the imposition of penalties and sanctions under this Order. In accordance herewith, the Commissioner or the appropriate contracting agency may suspend, cancel, terminate, or cause to be suspended, cancelled, or terminated in accordance with law any contract or portion or portions thereof for failure of the contractor or subcontractor to comply with the listing provisions of the contract. Contracts may be cancelled, terminated, suspended absolutely or their continuance conditioned upon a program for future compliance approved by the contracting agency.  
  
(b) Any contracting agency taking any action authorized by this Order, whether on its own motion or as directed by the Labor Commissioner, shall promptly notify him of such action. Whenever the Labor Commissioner makes a determination under this Order, he shall promptly notify the appropriate contracting agency of the

action recommended. The agency shall report the results to the Labor Commissioner promptly.

- VIII. If the Labor Commissioner shall so direct, contracting agencies shall not enter into contracts with any bidder or prospective contractor unless he has satisfactorily complied with the provisions of this Order.

This Order shall become effective sixty days after the date of this Order.

Dated at Hartford, Connecticut, this 15<sup>th</sup> day of February 1973.

*Thomas J. Meskill* Governor

Filed this 15<sup>th</sup> day of February 1973.

*Harry Hammer* Secretary Of The State (Deputy)

3 **State Of Connecticut by His Excellency John G. Rowland Governor:  
Executive Order No. Sixteen**

WHEREAS, the State of Connecticut recognizes that workplace violence is a growing problem that must be addressed; and

WHEREAS, the State is committed to providing its employees a reasonably safe and healthy working environment, free from intimidation, harassment, threats, and /or violent acts; and

WHEREAS, violence or the threat of violence by or against any employee of the State of Connecticut or member of the public in the workplace is unacceptable and will subject the perpetrator to serious disciplinary action up to and including discharge and criminal penalties.

NOW, THEREFORE, I, John G. Rowland, Governor of the State of Connecticut, acting by virtue of the authority vested in me by the Constitution and by the statutes of this state, do hereby ORDER and DIRECT:

1. That all state agency personnel, contractors, subcontractors, and vendors comply with the following **Violence in the Workplace Prevention Policy**:

The State of Connecticut adopts a statewide zero tolerance policy for workplace violence.

Therefore, except as may be required as a condition of employment<sup>3/4</sup>

- o No employee shall bring into any state worksite any weapon or dangerous instrument as defined herein.
- o No employee shall use, attempt to use, or threaten to use any such weapon or dangerous instrument in a state worksite.
- o No employee shall cause or threaten to cause death or physical injury to any individual in a state worksite.

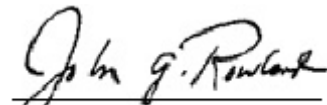
Weapon means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device, a stiletto, any police baton or nightstick or any martial arts weapon or electronic defense weapon.

Dangerous instrument means any instrument, article, or substance that, under the circumstances, is capable of causing death or serious physical injury.

Violation of the above reasonable work rules shall subject the employee to disciplinary action up to and including discharge.

2. That each agency must prominently post this policy and that all managers and supervisors must clearly communicate this policy to all state employees
3. That all managers and supervisors are expected to enforce this policy fairly and uniformly.
4. That any employee who feels subjected to or witnesses violent, threatening, harassing, or intimidating behavior in the workplace immediately report the incident or statement to their supervisor, manager, or human resources office.
5. That any employee who believes that there is a serious threat to their safety or the safety of others that requires immediate attention notify proper law enforcement authorities and his or her manager or supervisor
6. That any manager or supervisor receiving such a report shall immediately contact their human resources office to evaluate, investigate and take appropriate action.
7. That all parties must cooperate fully when questioned regarding violations of this policy.
8. That all parties be advised that any weapon or dangerous instrument at the worksite will be confiscated and that there is no reasonable expectation of privacy with respect to such items in the workplace.
9. That this order applies to all state employees in the executive branch.
10. That each agency will monitor the effective implementation of this policy.
11. That this order shall take effect immediately.

Dated in Hartford, Connecticut, this fourth day of August, 1999.

  
JOHN G. ROWLAND, Governor

Filed this 4th day of August,  
1999.



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SUSAN BYSIEWICZ, Secretary of  
the State

4 State Of Connecticut by Her Excellency M. Jodi Rell Governor:  
Executive Order No. Seven C

**WHEREAS**, in the wake of the scandals related to state contracting, I established the State Contracting Reform Task Force to examine the way in which the state buys goods and services with a directive to restore integrity to, and the public's trust in, the way we buy such goods and services; and

**WHEREAS**, that task force submitted a number of recommendations that were embodied in a legislative proposal for the General Assembly's consideration;

**WHEREAS**, the General Assembly added to that legislative proposal provisions that do not address the irregularities in state contracting, but instead place unacceptable and overly burdensome limitations on the services for which the executive branch may enter into contracts in order to conduct the business of the state and provide essential state services;

**WHEREAS**, in light of those provisions, I had no choice but to veto that legislation;

**WHEREAS**, there remains an acute need to make reforms in the state contracting process in order to ensure such contracting process reflects the highest standards of integrity, is clean and consistent and is conducted in the most efficient manner possible to enable state agencies to deliver programs and serve our citizens;

**WHEREAS**, there further remains an acute need to address the state's vulnerabilities in the selection and procurement processes to avoid improprieties, favoritism, unfair practices or ethical lapses in the future, or the appearance of such; and

**WHEREAS**, it has been deemed to be advisable to make certain modifications and revisions to the text of Executive Order Nos. 7, 7A and 7B.

**NOW, THEREFORE**, I, M. Jodi Rell, Governor of the State of Connecticut, acting by virtue of the authority vested in me by the Constitution and by the statutes of this state, do hereby **ORDER** and **DIRECT** that:

1. (a) There is established a State Contracting Standards Board (the "Board") that shall consist of nine members. Five members shall be appointed at the sole discretion of the Governor. Four members shall be appointed by the Governor based on the recommendations of the four principal leaders of the General Assembly. The Speaker of the House of Representatives, the House Minority Leader, the President Pro Tempore of Senate and the Senate Minority Leader of the Connecticut General Assembly may each recommend to the Governor one member for appointment by the Governor



to the Board. Each member recommended to the Governor or appointed to the Board shall have demonstrated sufficient knowledge by education, training or experience in several of the following enumerated areas: (1) government procurement; (2) contract negotiation, drafting and management; (3) contract risk assessment; (4) preparing requests for proposals, invitations to bid and other procurement solicitations; (5) evaluating proposals, bids and quotations; (6) real property transactions; (7) business insurance and bonding; (8) the state code of ethics; (9) federal and state statutes, policies and regulations; (10) outsourcing and privatization proposal analysis; and (11) small and minority business enterprise development, known in the State of Connecticut as the set aside program. Such education, training or experience shall have been acquired over not less than a continuous five-year period and shall have been acquired within the ten-year period preceding such appointment.

- (b) The chairperson of the Board shall be elected by the members of the Board from amongst themselves. The members shall serve at the pleasure of the Governor and their terms shall be coterminous with the term of the Governor.
- (c) The Board shall be an independent body within the Executive Department.
- (d) The chairperson of the Board shall be compensated two hundred dollars per diem. Other members of the Board shall be compensated two hundred dollars per diem. No person shall serve on the Board who is a full-time state or municipal employee and neither a person on the Board nor any spouse, child, stepchild, parent or sibling of such person shall be directly in a position involved in any enterprise that does business with the state.
- (e) The Governor shall appoint an executive director who shall serve as an ex-officio, nonvoting member of the Board. The Governor or the Board may remove the executive director from office for reasonable cause. The Board shall, annually, conduct a performance evaluation of such executive director. The salary of the executive director shall be determined by the Commissioner of the Department of Administrative Services and the individual will be placed in the management pay plan and have benefits such as vacation, sick leave, pension and insurance determined in accordance with that designation. For all other purposes, the executive director shall be considered an appointed official.
- (f) The Board may contract with consultants and professionals on a temporary or project by project basis and may employ

secretaries, real estate examiners, contract specialists, forensic fraud examiners, property and procurement specialists, paralegals, attorneys and such other employees as the Board deems to be necessary or appropriate, all of whom shall be in the state classified service as permitted or required in accordance with applicable law. As the Board is not a state agency, the employees shall be considered to be employees of the Department of Administrative Services for administrative purposes.

(g) The reasonable expenses of the Board and its employees shall be paid from the budget of the Board upon the approval of the Board.

(h) No employee of the Board shall hold another state or municipal position, nor shall any such employee or any non-clerical employee or any spouse, child, stepchild, parent or sibling of such employee of the Board be directly or indirectly involved in any enterprise that does business with the state. Each member and employee of the Board shall file, with the Board and with the Citizen's Ethics Advisory Board, a financial statement indicating all sources of business income of such person in excess of one thousand dollars, and the name of any business with which such member or employee is associated, as defined in Subsection (b) of Section 1-79 of the general statutes. Such statement shall be a public record. Financial statements for the preceding calendar year shall be filed with the Citizen's Ethics Advisory Board and the Board on or before the first day of May of each year if such employee or member held such a position during the preceding calendar year, as permitted or required in accordance with applicable law.

(i) The Board shall be assigned to the Department of Administrative Services for administrative purposes only.

(j) Five members of the Board shall constitute a quorum, which shall be required for the transaction of business by the Board.

(k) The Department of Administrative Services, together with the Office of Policy and Management, shall provide to the Office of the Governor their recommendations for achieving the staff and personnel provisions of this Executive Order in a manner permitted or required in accordance with applicable law.

2. For the purposes of this Executive Order, the following definitions shall apply:

(a) "Contract risk assessment" means (A) the identification and evaluation of loss exposures and risks, including, but not limited to, business and legal risks associated with the contracting process and the contracted goods and services, and (B) the identification, evaluation and implementation of

measures available to minimize potential loss exposures and risks.

- (b) "Contractor" means any person or entity submitting a bid, proposal or quotation for a contract described in Section 3 of this Executive Order, including, but not limited to, a small contractor, minority business enterprise, organization, or individual with a disability, all as more specifically defined in Section 4a-60g of the general statutes.
- (c) "Emergency procurement" means procurement by a state agency that is made necessary by a sudden, unexpected occurrence that poses a clear and imminent danger to public safety or requires immediate action to preserve prevent or mitigate the loss or impairment of life, health, property or essential public services or in response to a court order, settlement agreement or other similar legal judgment, as permitted or required in accordance with applicable law.
- (d) "Goods" means all items of personal property, including, but not limited to items commonly referred to as supplies, materials, equipment and inventory that are the subject of a state procurement.
- (e) "Privatization contract" means an agreement or series of agreements between a state contracting agency and a person or entity, in which such person or entity agrees to provide services valued at five hundred thousand dollars or more over the life of the contract that are substantially similar to and in lieu of services provided, in whole or in part, by employees of such agency or by employees of another state agency for such state agency and that results in the layoff of any state employee. "Privatization contract" does not include a privatization contract in effect on or before the effective date of this Executive Order, an agreement to provide management or financial consulting or a consultant-services agreement to provide professional, architectural or design services on a project-by-project basis.
- (f) "State Contract" means an agreement or a combination or series of agreements between a state agency or quasi-public agency and a person, firm or corporation for (A) a project for the construction, reconstruction, alteration, remodeling, repair or demolition of any public building or public work, (B) services, including, but not limited to, consulting and professional services, (C) the acquiring or disposing of all manner of real and personal property, (D) goods and services, including but not limited to, using purchase of services contracts and personal service agreements, (E) transactions involving information technology, (F) a lease or

(G) a licensing agreement, and includes all government functions that relate to such activities. The term State Contract shall not include a contract between a state agency or a quasi-public agency and a political subdivision of the state.

(g) "Purchase of service contract" means any contract between a state agency and an organization for the purchase of ongoing direct health and human services to agency clients. The contract generally is not used for the purpose of purchasing administrative or clerical services, material goods, training and consulting services. Purchase of service agreements are to be used to contract with nonprofit and proprietary corporations as well as partnerships but cannot be used to contract with individuals.

(h) "State contracting agency" means any state agency and all higher education agencies and institutions within the Executive Department permitted or required to enter into contracts, in accordance with applicable law. "State contracting agency" shall not include the Judicial or Legislative Departments of the State of Connecticut, or the Joint Committee on Legislative Management within the Connecticut General Assembly.

3. (a) On or before January 1, 2007, the Board shall prepare a uniform procurement code to govern all aspects of procurement and contracting involving all expenditures by and revenues to (1) all state contracting agencies in connection with all of their transactions involving real property, all manner of goods, personal property and services, information technology and the construction, reconstruction, alteration, remodeling, repair or demolition of buildings and public works, and (2) quasi-public entities for purchases and contracts utilizing state funds, and (3) on or before January 1, 2008 the Board shall expand the uniform procurement code to cover municipal contracting where State funds are utilized. Nothing in this Section shall be construed to require the application of the uniform procurement code when such procurement involves the expenditure of federal assistance or contract funds and federal law provides for applicable procurement procedures.

(b) The uniform procurement code described in Subsection (a) of this Section shall be designed to: (1) establish uniform contracting standards and practices among the various state contracting agencies; (2) simplify and clarify the state's laws and regulations governing procurement and contracting standards, policies and practices, including, but not limited to, procedures concerning the solicitation and evaluation of competitive sealed bids, proposals and quotations, small purchases, sole source procurements and emergency procurements; (3) ensure the fair and equitable treatment of

all businesses and persons who deal with the procurement system of the state; (4) include a process to maximize the use of small contractors and minority business enterprises, or individuals with a disability, all as more specifically defined in Section 4a-60g of the general statutes; (5) provide increased economy in state procurement activities and maximize purchasing value to the fullest extent possible; (6) ensure that the procurement of supplies, materials, equipment, services, real property and construction required by any state contracting agency is obtained in a cost-effective and responsive manner; (7) preserve and maintain the existing contracting, procurement, disqualification, suspension and termination authority and discretion of any state contracting agency when such contracting and procurement procedures represent best practices; (8) include a process to improve contractor and state contracting agency accountability; (9) include standards by which state contracting agencies must solicit and evaluate proposals to privatize state or quasi-public agency services; (10) establish standards for leases and lease-purchase agreements and for the purchase, sale or transfer of other interests in real property; (11) promote a well trained, educated workforce; (12) establish an effective oversight process to ensure all contracts adhere to the established procurement processes; and (13) promote an effective way for contractors, the procurement workforce and the general public to report fraud, waste and abuse in the state contracting system.

- (c) In preparing the uniform procurement code described in Subsection (a) of this Section, the Board shall conduct a comprehensive review of existing state contracting and procurement laws, regulations, procedures and practices and shall utilize them as the Board deems to be appropriate.
- (d) Upon request by the Board, each state contracting agency engaged in procurement shall provide the Board, in a timely manner, with such procurement information as the Board deems to be necessary or appropriate. The Board shall have access to all information, files and records related to any state contracting agency in furtherance of this purpose. Nothing in this Section shall be construed to require the Board's disclosure of documents that are exempt from disclosure pursuant to chapter 14 of the general statutes or that may be protected from disclosure under claim of an attorney-client privilege.
- (e) The Board shall file such uniform procurement code with the clerks of the House of Representatives and the Senate not later than January 15, 2007, for the General Assembly's consideration and adoption.

4. In addition to the preparation of the uniform procurement code described in Section 3 of this Executive Order, the duties of the Board shall include:
  - (a) Recommending the repeal of repetitive, conflicting or obsolete statutes concerning state procurement;
  - (b) Developing, publishing and recommending revisions and updates to the uniform procurement code;
  - (c) Assisting state contracting agencies in complying with the uniform procurement code by providing training, guidance, models, advice and practical assistance to state contracting agency staff relating to: (1) buying the best goods and services at the best price and terms; (2) properly selecting contractors; (3) drafting contracts that achieve state goals and protect taxpayers' interests; (4) monitoring and addressing issues relating to the performance of parties to state contracts; (5) termination of state contracts in a manner permitted or required by contract or applicable law; and (6) implementation of the uniform procurement code. In the absence of legislative action adopting the code, the Board shall provide advice and recommendations to state contracting agencies on how to achieve the goals of this section 4(c). Such agencies shall consider such advice and recommendations and act as required or permitted in accordance with applicable law;
  - (d) Reviewing and certifying that a state contracting agency's procurement processes are in compliance with the code. In the absence of legislative action adopting the code, the Board shall provide advice and recommendations to state contracting agencies on how to achieve the goals of this section 4(d). Such agencies shall consider such advice and recommendations and act as required or permitted in accordance with applicable law;
  - (e) Triennially, recertifying each state contracting agency's procurement processes and providing agencies with notice of any certification deficiency and exercising authority as provided under Section 6 of this Executive Order if a determination of noncompliance is made. In the absence of legislative action adopting the code, the Board shall provide advice and recommendations to state contracting agencies on how to achieve the goals of this section 4(e). Such agencies shall act on that advice and recommendations as required or permitted in accordance with applicable law;
  - (f) Defining the training requirements for state contracting agency procurement professionals;
  - (g) Monitoring implementation of the state contracting portal and making recommendations for portal improvement to the Department of Administrative Services;

- (h) Providing advice and recommendations to state contracting agencies regarding a model contract data retention policy for state contracting agencies concerning retention of information, as required or permitted in accordance with applicable law. Such model policy shall include, but not be limited to, information on: (A) the number and type of state contracts currently in effect state-wide, (B) the dollar value of such contracts, (C) a list of client agencies, (D) a description of services purchased under such contracts, (E) contractor names, and (F) an evaluation of contractor performance. The policy shall assure that such information is available on the state contracting portal, all as required or permitted by applicable law;
  - (i) Providing the Governor with recommendations concerning the uniform procurement code and this Executive Order;
  - (j) Providing advice and recommendations to state contracting agencies regarding implementation by such agencies of ethics training courses for state employees involved in procurement and for state contractors as required or permitted in accordance with applicable law. Such ethics training course may be developed and provided by the Citizen's Ethics Advisory Board or by any person, firm or corporation for implementation by such state contracting agencies as required or permitted in accordance with applicable law;
  - (k) Developing of recommendations to the General Assembly whereby the Board will perform the powers, duties and obligations of the State Properties Review Board; and
  - (l) Providing the Governor and the General Assembly with recommendations concerning the extension and applicability of the uniform procurement code, upon its adoption by the legislature, to the Judicial and Legislative Departments of the State of Connecticut, including the Joint Committee on Legislative Management within the Connecticut General Assembly.
5. (a) The Board shall triennially conduct audits of state contracting agencies to ensure compliance with the uniform procurement code. In conducting such audit, the Board shall have access to all contracting and procurement records, may interview personnel responsible for contracting, contract negotiations or procurement and may enter into an agreement with the State Auditors of Public Accounts to effectuate such audit. In the absence of legislative action adopting the code, the Board shall provide advice and recommendations to state contracting agencies on how to achieve the goals of this section 5(a). Such agencies shall

consider such advice and recommendations and act as required or permitted in accordance with applicable law.

- (b) Upon completion of any such audit, the Board shall prepare and issue a compliance report for such state contracting agency. Such report shall identify any process or procedure that is inconsistent with the uniform procurement code and indicate those corrective measures the Board deems to be necessary or appropriate to comply with code requirements. Such report shall be issued and delivered not later than thirty days after completion of such audit and shall be a public record. In the absence of legislative action adopting the code, the Board shall provide advice and recommendations to state contracting agencies on how to achieve the goals of this section 5(b). Such agencies shall consider such advice and recommendations and act as required or permitted in accordance with applicable law.
6. (a) Each contract entered into on or after October 1, 2005 shall provide that the Board may review the contract and recommend to the state contracting agency termination of the contract for cause. The state contracting agency shall consider the recommendations and act as required or permitted in accordance with the contract and applicable law. The Board shall provide the results of its review, together with its recommendations, to the state contracting agency and any other affected party in accordance with the notice provisions in the contract no later than fifteen (15) days after the Board finalizes its recommendation. For the purpose of this Section, "for cause" means: (1) a violation of the State Ethics Code (Chapter 10 of the general statutes) or section 4a-100 of the general statutes or (2) wanton or reckless disregard of any state contracting and procurement process by any person substantially involved in such contract or state contracting agency. Notwithstanding the October 1, 2005 date, any procurement currently in progress that has not yet resulted in a fully executed contract can continue to proceed to contract without this provision, provided that no later than December 31, 2005 the parties execute an amendment or other appropriate contract modification to add this provision.
- (b) For purposes of this Section, "contract" shall not include real property transactions involving less than a fee simple interest or financial assistance comprised of state or federal funds, the form of which may include but is not limited to grants, loans, loan guarantees, and participation interests in loans, equity investments and tax credit programs. Notwithstanding the foregoing, the Board shall not have any authority to recommend the termination of a contract for the sale or purchase of a fee simple interest in real property following transfer of title.



7. The Board shall issue recommendations regarding the disqualification or suspension of contractors from bidding or proposing on state contracts to the extent required or permitted in accordance with applicable law. State contracting agencies shall consider such recommendations and act to the extent required or permitted in accordance with applicable law.
8. In accordance with section 1-225 of the Connecticut General Statutes, all public meetings of state agencies shall be posted on that agency's Web site.
9. Appointed officials and state employees in the Executive Branch are prohibited from contracting for goods and services, for personal use, with any person doing business with or seeking business with his or her agency, unless the goods or services are readily available to the general public for the price that the official or state employee paid or would pay.
10. (a) Notwithstanding the contract value listed in sections 4-250 and 4-252 of the Connecticut General Statutes and section 8 of Executive Order Number 1, all State Contracts between state agencies and private entities with a value of \$50,000 or more in a calendar or fiscal year shall comply with the gift and campaign contribution certification requirements of section 4-252 of the Connecticut General Statutes and section 8 of Executive Order Number 1. For purposes of this section, the term "certification" shall include the campaign contribution and annual gift affidavits required by section 8 of Executive Order Number 1.
11. No state agency may expend funds for any contract for legal services between the Attorney General and any person, firm or corporation that is entered into on or after January 1, 2006, and that will or that can reasonably be expected to result in attorney's fees, including, but not limited to, contingent fees paid to such person, firm or corporation in the amount of fifty thousand dollars or more, unless such contract has been subject to requests for proposals or requests for qualifications and awarded according to a competitive selection process.
12. Any provision of this Executive Order that is deemed to be invalid, illegal or unenforceable by a court of competent jurisdiction shall be ineffective to the extent of such invalidity, illegality or unenforceability, without invalidating the remaining provisions of this Executive Order or affecting the validity or enforceability of any provision of this Executive Order applied to circumstances other than those as to which it is held invalid, illegal or unenforceable. This Executive Order shall be interpreted and construed, to

fullest extent possible, to be consistent with, and not in conflict with any applicable statute, regulation, decision of a court of competent jurisdiction or other source of applicable law.

13. Executive Order Nos. 7, 7A and 7B are hereby repealed in their entirety and are replaced with the text hereof.

This Executive Order shall be effective immediately.

Dated at Hartford, Connecticut, this 13th day of July 2006.

M. JODI RELL  
Governor

By Her Excellency's Command:  
Susan Bysiewicz  
Secretary of the State

5 **State Of Connecticut by Her Excellency M. Jodi Rell Governor:  
Executive Order No. Fourteen**

WHEREAS, cleaning and sanitizing products are necessary for creating and maintaining clean, healthy and sanitary conditions in State facilities and workplaces;

WHEREAS, exposure to harmful chemicals contained in cleaning and sanitizing products may result in potential impacts to human health;

WHEREAS, harmful chemicals, byproducts and waste contained in certain cleaning and sanitizing products may can be released into the environment during the routine cleaning and sanitization of State facilities normal use;

WHEREAS, choosing less harmful cleaning and sanitizing products for use in State facilities and workplaces and taking steps to reduce exposure by office and custodial workers, will minimize potential impacts on human health, will improve environmental quality and will reduce pollution;

WHEREAS, the procurement and the proper use and application of cleaning and sanitizing products that perform well and that have positive environmental attributes such as biodegradability, low toxicity, low volatile organic compound content, reduced packaging, and low life cycle energy use will reduce the environmental impacts of routine cleaning and sanitizing activities while also ensuring clean and sanitary State facilities; and

NOW, THEREFORE, I, M. Jodi Rell, Governor of the State of Connecticut, by virtue of the authority vested in me by the Constitution and Statutes of the State, do hereby ORDER and DIRECT:

All state agencies in the executive branch shall procure and use, whenever practicable, cleaning and/or sanitizing products having properties that minimize potential impacts to human health and the environment, consistent with maintaining clean and sanitary State facilities.

All state agencies in the executive branch and all higher education agencies and institutions, shall, when procuring or contracting for cleaning and/or sanitizing services provide in such contracts or procurement agreements, require contractors of the State or persons or entities providing cleaning and/or sanitizing services to the State use cleaning and/or sanitizing products having properties that minimize potential impacts to human health and the environment, consistent with maintaining clean and sanitary facilities.

All state agencies in the executive branch shall include in new contracts for the procurement of cleaning products or cleaning services, an appropriate requirement consistent with this Executive Order and the

standards and guidelines established by the Department of Administrative Services under Paragraph 3 of this Executive Order.

The Department of Administrative Services, in consultation with the Department of Public Health, the Department of Public Works and the Department of Environmental Protection, shall not later than January 1, 2007, establish and publish written standards and guidelines to provide direction to all state agencies in the executive branch in connection with the implementation of this Executive Order.

The Department of Administrative Services shall provide the Office of the Governor with a report assessing the effectiveness of this Executive Order within one year of the effective date of this Executive Order.

Municipal governments, political subdivisions and school districts that are not expressly subject to the requirements of this Order are encouraged to review their purchasing and use of cleaning products and/or sanitizing products and are hereby urged to comply with the provisions of this Executive Order where deemed appropriate.

Municipal governments, political subdivisions and school districts that are not expressly subject to the requirements of this Executive Order are hereby requested and encouraged to review their procurement and use of cleaning and/or sanitizing products and are urged to comply with the provisions of this Executive Order. Such entities may to the extent they deem appropriate, in order to minimize potential impacts to human health and the environment, and consistent with maintaining clean and sanitary facilities seek guidance and assistance consistent with the provisions of Paragraph 3 of this Executive Order from the Departments of Administrative Services, Public Works, Public Health and Environmental Protection.

All state agencies in the executive branch covered by this Executive Order shall, wherever feasible, in a manner that is financially feasible, commercially reasonable and practicable, immediately transition to environmentally and health-friendly cleaning and/or sanitizing products. Such transition shall be accomplished as soon as possible and in a manner that avoids the waste of existing inventories, accommodates establishment of supply chains for new products, enables the training of personnel in appropriate work practices, and allows the phase-out of products and practices inconsistent with this Executive Order.

This Order shall take effect immediately.

Dated at Hartford this 17th day of April, 2006

M. JODI RELL

Governor

By Her Excellency's Command:

Susan Bysiewicz

Secretary of the State

## **Schedule G - Nondiscrimination Certification**

Attached following this page

**NONDISCRIMINATION CERTIFICATION**

*(By individual contractor regarding support of nondiscrimination against persons on account of their race, color, religious creed, age, marital or civil union status, national origin, ancestry, sex, mental retardation, physical disability or sexual orientation.)*

I, \_\_\_\_\_, of \_\_\_\_\_, am entering into a contract (or an extension or other  
(signer's name) (business address)

modification of an existing contract) with the State of Connecticut (the "State") in my individual capacity for \_\_\_\_\_  
(if available, insert "Contract No. \_\_\_\_"; otherwise generally describe goods or

\_\_\_\_\_ . I hereby certify that I support the services to be provided.

nondiscrimination agreements and warranties required under Connecticut General Statutes Sections 4a-60(a)(1) and 4a-60a(a)(1), as amended in State of Connecticut Public Act 07-245 and sections 9(a)(1) and 10(a)(1) of Public Act 07-142.

WHEREFORE, I, the undersigned, have executed this certificate this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Signature

Effective June 25, 2007

## **Schedule H - Notification to Bidders (Bidder Contract Compliance Monitoring Report)**

Attached following this page



**COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES**  
**CONTRACT COMPLIANCE REGULATIONS**  
**NOTIFICATION TO BIDDERS**

(Revised 09/17/07)

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in 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 Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder’s qualifications under the contract compliance requirements:

- (a) the bidder’s success in implementing an affirmative action plan;
- (b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- (c) the bidder’s promise to develop and implement a successful affirmative action plan;
- (d) the bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

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**INSTRUCTIONS AND OTHER INFORMATION**

The following BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidder’s □□good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) **Definition of Small Contractor**

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

**MANAGEMENT:** Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.

**BUSINESS AND FINANCIAL OPERATIONS:** These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.

**MARKETING AND SALES:** Occupations related to the act or process of buying and selling products and/or services such as sales engineer, retail sales workers and sales representatives including wholesale.

**LEGAL OCCUPATIONS:** In-House Counsel who is charged with providing legal advice and services in regards to legal issues that may arise during the course of standard business practices. This category also includes assistive legal occupations such as paralegals, legal assistants.

**COMPUTER SPECIALISTS:** Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists

**ARCHITECTURE AND ENGINEERING:** Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.

**OFFICE AND ADMINISTRATIVE SUPPORT:** All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, bill and account collectors, customer service representatives, dispatchers, secretaries and administrative assistants, computer operators and clerks (such as payroll, shipping, stock, mail and file).

**BUILDING AND GROUNDS CLEANING AND MAINTENANCE:** This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.

**CONSTRUCTION AND EXTRACTION:** This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category..

**INSTALLATION, MAINTENANCE AND REPAIR:** Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.

**MATERIAL MOVING WORKERS:** The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.

**PRODUCTION WORKERS:** The job titles included in this category are chemical production machine setters, operators and tenders; crushing/grinding workers; cutting workers; inspectors, testers sorters, samplers, weighers; precious stone/metal workers; painting workers; cementing/gluing machine operators and tenders; etchers/engravers; molders, shapers and casters except for metal and plastic; and production workers.

|   |   |
|---|---|
| <p><u>White</u> (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.</p> <p><u>Black</u>(not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.</p> <p><u>Hispanic</u>- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.</p> | <p><u>Asian or Pacific Islander</u>- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.</p> <p><u>American Indian or Alaskan Native</u>- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.</p> |
|---|---|

**BIDDER CONTRACT COMPLIANCE MONITORING REPORT**

**PART I - Bidder Information**

|   |   |
|---|---|
| Company Name<br>Street Address<br>City & State<br>Chief Executive | Bidder Federal Employer<br>Identification Number _____<br>Or<br>Social Security Number _____  |
| Major Business Activity<br>(brief description)                    | Bidder Identification<br>(response optional/definitions on page 1)<br><br>-Bidder is a small contractor. Yes__ No__<br>-Bidder is a minority business enterprise Yes__ No__<br>(If yes, check ownership category)<br>Black__ Hispanic__ Asian American__ American Indian/Alaskan<br>Native__ Iberian Peninsula__ Individual(s) with a Physical Disability__<br>Female__ |
| Bidder Parent Company<br>(If any)                                 | - Bidder is certified as above by State of CT Yes__ No__  |
| Other Locations in Ct.<br>(If any)                                | - DAS Certification Number _____  |

**PART II - Bidder Nondiscrimination Policies and Procedures**

|   |   |
|---|---|
| 1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards?<br>Yes__ No__  | 7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.?<br>Yes__ No__  |
| 2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards?<br>Yes__ No__  | 8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability?<br>Yes__ No__   |
| 3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy?<br>Yes__ No__  | 9. Does your company have a mandatory retirement age for all employees?<br>Yes__ No__   |
| 4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes__ No__   | 10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors?<br>Yes__ No__ NA__   |
| 5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes__ No__  | 11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor?<br>Yes__ No__ NA__  |
| 6. Does your company have a collective bargaining agreement with workers?<br>Yes__ No__<br>6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes__ No__<br>6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct?<br>Yes__ No__ | 12. Does your company have a written affirmative action Plan? Yes__ No__<br>If no, please explain.<br><br>13. Is there a person in your company who is responsible for equal employment opportunity?<br>Yes__ No__<br>If yes, give name and phone number.<br>_____<br>_____ |

1. Will the work of this contract include subcontractors or suppliers? Yes\_\_ No\_\_

1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above?

Yes\_\_ No\_\_

**PART IV - Bidder Employment Information**

Date:

| JOB CATEGORY *  | OVERALL TOTALS | WHITE (not of Hispanic origin) |        | BLACK (not of Hispanic origin) |        | HISPANIC |        | ASIAN or PACIFIC ISLANDER |        | AMERICAN INDIAN or ALASKAN NATIVE |        |
|---|----------------|--------------------------------|--------|--------------------------------|--------|----------|--------|---------------------------|--------|-----------------------------------|--------|
|   |                | Male                           | Female | Male                           | Female | Male     | Female | Male                      | Female | male                              | female |
| Management  |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Business & Financial Ops  |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Marketing & Sales   |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Legal Occupations   |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Computer Specialists  |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Architecture/Engineering  |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Office & Admin Support  |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Bldg/ Grounds Cleaning/Maintenance  |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Construction & Extraction   |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Installation, Maintenance & Repair  |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Material Moving Workers   |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Production Occupations  |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| TOTALS ABOVE  |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Total One Year Ago  |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE) |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Apprentices   |                |                                |        |                                |        |          |        |                           |        |                                   |        |
| Trainees  |                |                                |        |                                |        |          |        |                           |        |                                   |        |

\*NOTE: JOB CATEGORIES CAN BE CHANGED OR ADDED TO (EX. SALES CAN BE ADDED OR REPLACE A CATEGORY NOT USED IN YOUR COMPANY)

| 1. Which of the following recruitment sources are used by you?<br>(Check yes or no, and report percent used) |     |    |                                    | 2. Check (X) any of the below listed requirements that you use as a hiring qualification<br><br>(X) |                                   | 3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination |
|--|-----|----|------------------------------------|---|-----------------------------------|--|
| SOURCE   | YES | NO | % of applicants provided by source |   |                                   |  |
| State Employment Service   |     |    |                                    |   | Work Experience                   |  |
| Private Employment Agencies  |     |    |                                    |   | Ability to Speak or Write English |  |
| Schools and Colleges   |     |    |                                    |   | Written Tests                     |  |
| Newspaper Advertisement  |     |    |                                    |   | High School Diploma               |  |
| Walk Ins   |     |    |                                    |   | College Degree                    |  |
| Present Employees  |     |    |                                    |   | Union Membership                  |  |
| Labor Organizations  |     |    |                                    |   | Personal Recommendation           |  |
| Minority/Community Organizations   |     |    |                                    |   | Height or Weight                  |  |
| Others (please identify)   |     |    |                                    |   | Car Ownership                     |  |
|  |     |    |                                    |   | Arrest Record                     |  |
|  |     |    |                                    |   | Wage Garnishments                 |  |

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

|             |         |               |             |
|-------------|---------|---------------|-------------|
| (Signature) | (Title) | (Date Signed) | (Telephone) |
|-------------|---------|---------------|-------------|

**Schedule I - Acknowledgement of Contract Compliance  
Notification to Bidders**

**ACKNOWLEDGMENT OF CONTRACT COMPLIANCE  
NOTIFICATION TO BIDDERS**

INSTRUCTION: Bidder must sign acknowledgment below, and return this form to the  
awarding agency with the bid proposal.

The undersigned duly authorized representative of the bidding vendor acknowledges  
receiving and reading a copy of the **NOTIFICATION TO BIDDERS**. *(Please print name under  
signature line.)*

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**On behalf of:**

\_\_\_\_\_  
Vendor Name

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City State Zip

\_\_\_\_\_  
Federal Employee Identification Number  
(FEIN/SSN)

## **Schedule J – Documentation of Company or Corporate Policy**

Attached following this page

**NONDISCRIMINATION CERTIFICATION**

*(By corporate or other business entity regarding support of nondiscrimination against persons on account of their race, color, religious creed, age, marital or civil union status, national origin, ancestry, sex, mental retardation, physical disability or sexual orientation.)*

I, \_\_\_\_\_, \_\_\_\_\_, of \_\_\_\_\_, an entity lawfully organized and existing  
(signer's name) (signer's title) (name of entity)

under the laws of \_\_\_\_\_ do hereby certify that the following is  
(name of state or commonwealth)

a true and correct copy of a resolution adopted on the \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ by

the governing body of \_\_\_\_\_, in accordance with all of its documents of  
(name of entity)

governance and management and the laws of \_\_\_\_\_, and further  
(name of state or commonwealth)

certify that such resolution has not been modified, rescinded or revoked, and is, at present, in full force and effect.

RESOLVED: That \_\_\_\_\_ hereby adopts as its policy to support the  
(name of entity)  
nondiscrimination agreements and warranties required under Connecticut General Statutes § 4a-60(a)(1) and § 4a-60a(a)(1), as amended in State of Connecticut Public Act 07-245 and sections 9(a)(1) and 10(a)(1) of Public Act 07-142.

WHEREFORE, the undersigned has executed this certificate this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Signature

Effective June 25, 2007



## Schedule K - Summary of State Ethics Laws

### Plain Language Summary of State Ethics Laws for Current and Potential State Contractors

**Note:** The following is a summary of the major ethics laws and related provisions applicable to current and potential state contractors. For more detailed information or to discuss any questions you may have, contact the Office of State Ethics at (860) 566-4472.

#### **RESTRICTIONS ON THE BENEFITS YOU MAY GIVE TO STATE PERSONNEL**

**GIFTS:** In general, no one doing business with or seeking business from a state or quasi-public agency may give a gift to an official or employee of that agency. Connecticut's gift ban is strict, but has some exceptions. For example, under the Ethics Code, you may give: (1) food and drink up to \$50 per person per year, if the person paying, or his or her representative, is in attendance; and (2) tangible gifts up to \$10 per item up to \$50 per person per year. Also exempt are certain items such as informational materials, or plaques costing less than \$100. For a complete list of the Code's gift exceptions, consult Conn. Gen. Stat. § 1-79(e) or contact the Office of State Ethics.

**IMPORTANT RECENT CHANGE IN LAW:** As of July 1, 2004, gifts for "major life events," including a wedding or the birth of a child, which were previously exempt from the gift ban, are now subject to the strict gift limits outlined above if the gifts are provided by any individual or entity doing business with or seeking business from the state.

**NOTE:** State agencies may have stricter gift rules than the provisions of the Ethics Code (for example, an agency policy may ban all food and drink). Be sure to obtain a copy of the agency's ethics policy before you provide any benefit to an agency official/employee.

**NECESSARY EXPENSES:** Under the Ethics Code, you may not pay a fee or an honorarium to a state official or employee for making a speech or appearing at your organization's event. You may, however, under limited circumstances, pay the "necessary expenses" of such a state servant. These expenses are limited to: necessary travel, lodging for the nights before, or and after the speech, meals and conference fees. There may be reporting requirements attached to the giving and taking of necessary expenses, so contact the Office of State Ethics if you need more information. **NOTE:** Before providing necessary expenses, check with the state agency's ethics officer to determine if the agency allows such payments.

**GIFTS TO THE STATE:** The Ethics Code allows limited "gifts to the state" which facilitate state action or functions (for example, donating a piece of equipment to the agency).

**NOTE:** Recent legislation was passed that may impact gifts to the state. Please contact the Office of State Ethics before giving a gift to the state to determine if such donations are acceptable.

## **RULES ON HIRING STATE PERSONNEL**

Before you hire a current or **former** state employee, you should be aware of certain provisions of the Ethics Code. First, if you are considering hiring a current state employee, especially from a state agency with which you do business or by which you are regulated, you should know the following:

A current state employee must not accept outside employment that impairs his independence of judgment regarding his state duties, or that encourages him to disclose confidential information learned in his state job. Also, a current state employee may not use his or her state position for financial gain, however inadvertent that use may be. Therefore, for example, a current state employee who exercises any contractual, supervisory or regulatory authority over you or your business may not be able to work for you.

Second, if you are considering hiring a **former** state employee, you should be aware of the Ethics Code's post-state employment, or revolving door, laws:

If you hire or otherwise engage the services of a former state official or employee, he or she may not represent you before his or her former agency for one year after leaving state service.

**NOTE:** The former State Ethics Commission established a limited exception to this provision which allows the former employee to return to his or her former agency within the one year period for the sole purpose of providing technical expertise (for example, to help implement a previously awarded contract). This is a fact-specific exception that applies in very limited circumstances: therefore, you should contact the Office of State Ethics for further assistance if you think this exception applies to you.

If a state official or employee was substantially involved in, or supervised, the negotiation or award of a contract valued at \$50,000 or more, and the contract was signed within his or her last year of state service, and you or your business was one of the parties to the contract, then you and/or your business are prohibited from hiring him or her for one year after he or she leaves state employment.

A former state official or employee can **never** represent anyone other than the state regarding a particular matter in which he or she was personally and substantially involved while in state service and in which the state has a substantial interest.

Third, there are approximately 75 state officials or employees who may not negotiate for, seek or accept employment with any business subject to regulation by their agency, and may not accept employment with such a business for one year after leaving state service. Under that section of the law, it is also illegal for a business in the industry to employ such an individual.

## **CONFLICT OF INTEREST RULES THAT APPLY TO YOU AS A STATE CONTRACTOR**

Under Conn. Gen. Stat. §1-86e of the Ethics Code, no state contractor, including a consultant or other independent contractor, can use the authority provided under the contract, or confidential information acquired in the performance of the contract, to obtain financial gain for himself, his employee, or a member of his immediate family. Also, a state contractor cannot accept another state contract that would impair his independence of judgment in the performance of the first contract. Finally, a state contractor cannot accept anything of value based on an understanding that his actions on behalf of the state would be influenced.

It is important to call the Office of State Ethics at (860) 566-4472 to discuss the application of this law, or any of the other ethics laws, to your specific situation.

## **OTHER ETHICS PROVISIONS THAT MAY APPLY TO YOU**

Contractors seeking large state contracts are required to execute affidavits regarding gifts and/or campaign contributions made to certain state employees or public officials in the two-year period prior to the submission of a bid or proposal. You need to check the web sites of both the Department of Administrative Services, [www.das.state.ct.us](http://www.das.state.ct.us), and the Office of Policy and Management, [www.opm.state.ct.us](http://www.opm.state.ct.us), for copies of these affidavits and for other updated information regarding state contractors. Also, because the particular agency with which you wish to contract may have specific rules that you must follow, you need to check with that agency as well.

If you or your business provides “investment services” as defined in the Code of Ethics, and you make a political contribution in connection with the Office of the Treasurer, you may be prohibited from contracting with that office. See Conn. Gen. Stat. § 1-84(n).

Finally, if you or your business spends or receives \$2,000 or more in a calendar year for activities that constitute lobbying under the Ethics Code, whether to affect legislation or the actions of an administrative state agency, then you and/or your business may have to register as a lobbyist with the Office of State Ethics, and more ethics rules will apply to you. Contact the Office of State Ethics, or review the lobbyist registration information at [www.ct.gov/ethics](http://www.ct.gov/ethics).

Recent legislation (Public Act 05-287) prohibits anyone who is a party (or who is seeking to become a party) to a state construction, procurement, or consultant services contract over \$500,000 from:

- (1) Soliciting information from a public official or state employee that is not available to other bidders for that contract, with the intent to obtain a competitive advantage over other bidders;
- (2) intentionally or recklessly charging a state agency for work not performed or goods or services not provided, or falsifying invoices or bills; or
- (3) intentionally violating or trying to circumvent the state competitive bidding and ethics laws.

Recent legislation (Public Act 05-287) also requires any prospective state contractor to affirm in writing that he or she has been provided with a summary of the state’s ethics laws and that his key employees have read and understood the summary and agree to comply with the applicable provisions of the ethics law.

**Schedule L - Affirmation of Receipt of State Ethics Laws**

Attached following this page



## STATE OF CONNECTICUT

### AFFIRMATION OF RECEIPT OF STATE ETHICS LAWS SUMMARY

*Affirmation to accompany a large State construction or procurement contract, having a cost of more than \$500,000, pursuant to Connecticut General Statutes §§ 1-101mm and 1-101qq*

#### INSTRUCTIONS:

Complete all sections of the form. Submit completed form to the awarding State agency or contractor, as directed below.

#### CHECK ONE:

- I am a person seeking a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency with my bid or proposal. [Check this box if the contract will be awarded through a competitive process.]
- I am a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency at the time of contract execution. [Check this box if the contract was a sole source award.]
- I am a subcontractor or consultant of a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the contractor.

#### IMPORTANT NOTE:

Contractors shall submit the affirmations of their subcontractors and consultants to the awarding State agency. Failure to submit such affirmations in a timely manner shall be cause for termination of the large State construction or procurement contract.

#### AFFIRMATION:

I, the undersigned person, contractor, subcontractor, consultant, or the duly authorized representative thereof, affirm (1) receipt of the summary of State ethics laws\* developed by the Office of State Ethics pursuant to Connecticut General Statutes § 1-81b and (2) that key employees of such person, contractor, subcontractor, or consultant have read and understand the summary and agree to comply with its provisions.

\* The summary of State ethics laws is available on the State of Connecticut's Office of State Ethics website at [http://www.ct.gov/ethics/lib/ethics/contractors\\_guide\\_final2.pdf](http://www.ct.gov/ethics/lib/ethics/contractors_guide_final2.pdf)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Firm or Corporation (if applicable)

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip

\_\_\_\_\_  
Awarding State Agency

## **Schedule M - Guide to the Code of Ethics for Current or Potential State Contractors**

Attached following this page

# **Guide to the Code of Ethics For Current or Potential State Contractors**



**2008**

## Guide for Current or Potential State Contractors

### INTRODUCTION

The Connecticut Office of State Ethics (OSE) is an independent regulatory agency for the state of Connecticut, charged with administering and enforcing Connecticut General Statutes, Chapter 10, Part I and Part II, with limited jurisdiction over Part IV.

The Ethics Codes under the OSE's jurisdiction are comprised of:

- The Code of Ethics for Public Officials (Part I);
- The Code of Ethics for Lobbyists (Part II); and
- Limited jurisdiction over Ethical Considerations Concerning Bidding and State Contracts (Part IV).

This guide provides general information only. The descriptions of the law and the OSE are not intended to be exhaustive. Please contact the OSE with any questions regarding interpretation of the law.

For more information on the subjects discussed in this guide, call, write or visit:

**Connecticut Office of State Ethics**  
**18-20 Trinity Street**  
**Suite 205**  
**Hartford, CT 06106**

**860/566-4472**  
**[www.ct.gov/ethics](http://www.ct.gov/ethics)**



#### ***Citizen's Ethics Advisory Board:***

**Robert Worgaftik, Chairperson** (through September 2009)

**Enid Oresman, Vice Chairperson** (through September 2009)

**Ernest Abate** (through September 2011)

**Jaelyn Bernstein** (through September 2008)

**G. Kenneth Bernhard** (through September 2011)

**Rebecca M. Doty** (through September 2011)

**Dennis Riley** (through September 2010)

**Michael Rion** (through September 2008)

**Sister Sally J. Tolles** (through September 2009)



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### THE OFFICE OF STATE ETHICS (OSE)

The Connecticut Office of State Ethics (OSE) was officially created on July 1, 2005, by Public Act 05-183. The governing body of the OSE is the Citizen's Ethics Advisory Board (CEAB), nine members appointed by the Governor and legislative leadership. The CEAB holds monthly meetings that are open to the public and that are often covered by CT-N. A schedule of CEAB meeting dates, times and locations is available on the OSE's Web site, [www.ct.gov/ethics](http://www.ct.gov/ethics).

The OSE is an independent watchdog agency for the state of Connecticut that administers Connecticut General Statutes, Chapter 10, Parts I and II, with limited jurisdiction over Part IV.

Simply put, the OSE educates all those covered by the law (the "regulated community"); provides information to the public; interprets and applies the codes of ethics; and investigates potential violations of the codes.

The OSE is made up of the following components:

- Citizen's Ethics Advisory Board
- Executive Director
- Legal Division
- Enforcement Division

### THE BIG PICTURE

All state officials and employees (except judges) are covered by Part I of the Code of Ethics for Public Officials (henceforth, Part I, or the Code). It is important to remember that certain provisions of the Code also apply to public officials and state employees after they leave state service.

As you read through this guide, be aware that these laws were enacted to prevent individuals from using their public position or authority for personal, financial benefit.

**Each state agency also has its own ethics policy, which in many cases may be more restrictive than what follows. Be sure to obtain a copy of the agency's policy before you attempt to provide any benefit to an agency official or employee.**

### GIVING BENEFITS TO STATE PERSONNEL



#### Gifts

As a current or potential state contractor, you are presumably doing business with or seeking to do business with a state agency, and are therefore considered to be a **regulated donor**. In general, public officials or state employees may not accept gifts from regulated donors.

#### Regulated Donors

Regulated donors include:

- Registered lobbyists (the OSE can tell you who is registered);
- Individuals or groups doing business with a state department or agency;
- Individuals or groups seeking to do business with a state department or agency;
- Individuals or groups engaged in activities regulated by a state department or agency; or
- Contractors pre-qualified by the Connecticut Department of Administrative Services (Conn. Gen. Stat. § 4a-100).

A **gift** is defined as anything of value that is directly and personally received by a public official or state employee (or sometimes family members of those two categories) *unless* consideration of equal or greater value is provided. Conn. Gen. Stat. § 1-79 (e).

#### Gift Exceptions

There are, however, certain exceptions to this definition of gift. Not all exceptions are covered below; see Conn. Gen. Stat. § 1-79 (e) (1) – (17) for the complete list.

- **Token Items** – Regulated donors such as current or potential state contractors may provide any item of value that is under \$10 (such as a pen, mug, or inexpensive baseball cap) to a public official or state employee, provided that the annual aggregate of such items from a single source is under \$50. Conn. Gen. Stat. § 1-79 (e) (16).
- **Food and Beverage** – Regulated donors may also provide up to \$50 worth of food and beverage in a calendar year to a public official or state employee, provided that the regulated donor or his/her representative is in attendance when the food and/or beverage is being consumed. Conn. Gen. Stat. § 1-79 (e) (9).
- **Training** – Vendors may provide public officials and state employees with training for a product purchased by a state or quasi-public agency provided such training is offered to all customers of that vendor. Conn. Gen. Stat. § 1-79 (e) (17).

## Guide for Current or Potential State Contractors

- *Gifts to the State* – Regulated donors may provide what are typically referred to as “gifts to the state.” These gifts are goods and services provided to a state agency or quasi-public agency for use on state or quasi-public agency property or that support an event, and which facilitate state or quasi-public action or functions. Conn. Gen. Stat. § 1-79 (e) (5).
- *Other Exceptions* – There are a total of 17 separate gift exceptions in the Code. Also exempt from the definition of gift are items such as informational materials germane to state action, ceremonial plaques or awards costing less than \$100, or promotional items, rebates or discounts also available to the general public. See Conn. Gen. Stat. § 1-79 (e) (1) – (17).

**Note:** The popularly-cited exception for major life events does not apply to those who are regulated by, doing business with or seeking to do business with a state agency. The only regulated donor that can make use of this very narrow exception is a registered lobbyist.

### Gift Provisions

*Example: You are in the process of submitting a contracting bid to a state agency. You provide the agency head with a gift certificate for \$45 to a popular West Hartford eatery for her to use on her own. You have not previously given anything of value to this individual.*

*Even though you are under the permissible \$50 food and beverage limit, this gift is not allowed because you or your representative will not be in attendance while the food and beverage is being consumed.*

### Reporting Requirements

Should you or your representative give anything of value to a public official or state employee, you must, within **10 days**, give the gift recipient and the head of that individual’s department or agency a written report stating:

- Name of the donor;
- Description of item(s) given;
- Value of such item(s); and
- Total cumulative value of all items to date given to that recipient during the calendar year.



This helps both you and the state employee keep track of the gift exceptions noted above, so that permissible limits are not exceeded. Conn. Gen. Stat. § 1-84 (o).

### Necessary Expenses

You may provide necessary expenses to a public official or state employee *only* if the official or employee, in his/her official capacity, is actively participating in an event by giving a speech or presentation, running a workshop, or having some other active involvement.

Necessary expenses can include:

- Travel (not first class);
- Lodging (standard cost of room for the nights before, of, and immediately following the event);
- Meals; and
- Related conference expenses.



Entertainment costs (tickets to sporting events, golf outings, night clubs, etc.) are *not* necessary expenses. Necessary expense payments also *do not* include payment of expenses for family members or other guests.

Please note, within 30 days of receiving payment or reimbursement of necessary expenses for lodging or out-of-state travel, state employees must file an ETH-NE form with the Office of State Ethics (OSE). Conn. Gen. Stat. § 1-84 (k).

### Fees/Honorariums

Public officials and state employees may *not* accept fees or honorariums for an article, appearance, speech or participation at an event in their official capacity.



Fees or honorariums for such activities, if offered based solely on expertise and without any regard to official capacity, may be acceptable. Contact the OSE before offering such payment to an official or employee. Conn. Gen. Stat. § 1-84 (k).

#### Necessary Expenses, Fees and Honorariums

*Example: You invite a state employee to travel to New York City to give a speech to your managers on issues surrounding contracting with a state agency. You provide Amtrak fare for the employee as well as his spouse, who will spend the day in the city. The evening of the speech, you will treat the employee and his spouse with complimentary tickets to a Broadway show in lieu of a speaking fee.*

*You may provide non-first class travel expenses only to the state employee who is actively participating in an event. In this case, you may only provide Amtrak fare for the employee giving the speech, not his spouse. Entertainment costs, such as tickets to a show, are not considered necessary expenses and may not be provided. Additionally, state employees may not accept fees or honorariums for a speech given in their official capacity.*

### HIRING STATE PERSONNEL

#### Post-state Employment (Revolving Door)

If you are considering hiring a *former* state employee, you should be aware of the Code's post-state employment, or revolving door, provisions.

##### Lifetime Bans

- Former state employees may **never** disclose any confidential information they learned during the course of their state service for anyone's financial gain. Conn. Gen. Stat. § 1-84a.
- A former state official or employee may **never** represent anyone other than the state regarding a particular matter in which he or she was personally or substantially involved while in state service and in which the state has a substantial interest. This prevents side-switching. Conn. Gen. Stat. § 1-84b (a).

##### One-year Bans

- If you hire or otherwise engage the services of a former state official or employee, he or she may not represent you before his or her former agency for a period of **one year** after leaving state service. Conn. Gen. Stat. § 1-84b (b). (See Advisory Opinion 2003-3, which provides a limited exception to this provision if the employee is providing purely technical expertise, for example, to help implement a previously-awarded contract. This exception applies to extremely limited circumstances; contact the OSE for guidance.)
- You are prohibited from hiring a former state official or employee for a period of **one year** after he or she leaves state service if that individual was substantially involved in, or supervised, the negotiation or award of a contract (that you or your business was a party to) valued at \$50,000 or more, and the contract was signed within his or her last year of state service. Conn. Gen. Stat. § 1-84b (f).
- Employees who held certain specifically-designated positions (with significant decision-making or supervisory responsibility) at certain state regulatory agencies are prohibited from seeking or accepting employment with any business subject to regulation by the individual's agency within **one year** of leaving the agency. Note that there is an exception for *ex-officio* board or commission members. Conn. Gen. Stat. § 1-84b (c).

#### Post-state Employment

*Example: You run a hospital regulated by the Office of Health Care Access (OHCA). You would like to offer a job to the former Commissioner of OHCA, who has been out of state service for 5 months.*

*Because the hospital is regulated by a state agency whose Commissioner is specifically designated in 1-84b (c), the former head of such agency would not be permitted to accept employment with you for one full year after leaving state service. See Advisory Opinion 2003-19.*

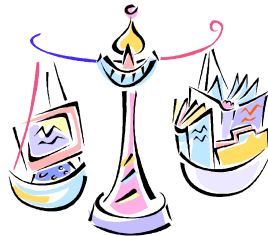
### Outside Employment for Current Public Officials and State Employees

If you are considering hiring a *current* state employee, especially from a state agency with which you do business or by which you are regulated, you should be aware of the following rules regarding the employment of current state employees.

- A current state employee may not accept outside employment that impairs his or her independence of judgment regarding his or her state duties, or that encourages him or her to disclose confidential information learned in his or her state job. Conn. Gen. Stat. § 1-84 (b).
- A current state employee may not use his or her state position for financial gain, however inadvertent that use may be. For example, a current state employee who exercises any contractual, supervisory or regulatory authority over you or your business may not be able to work for you. Conn. Gen. Stat. § 1-84 (c).

#### Other Considerations

Business entities engaged in Indian gaming activities in the state should be aware of specific provisions that apply to present or former Gaming Policy Board or Division of Special Revenue public officials or employees. See Conn. Gen. Stat. §§ 1-84b (d) and (e).



#### **Outside Employment**

*Example: Your small business occasionally receives grants or contracts from Agency X. You know that a particular contract manager with Agency X has the skills you need to help you grow your business. This employee has expressed interest in earning a little extra money for himself, while helping you with your business in the evenings and on weekends.*

*It would constitute an impermissible impairment of judgment for the employee of Agency X, who has contract management responsibilities, to accept outside employment with your business – a business that receives grants or contracts from Agency X.*

### OTHER PROVISIONS

#### Prohibited Activities for Consultants or Independent Contractors

If you are hired by the state as a consultant or independent contractor, you are prohibited from the following:

- Using your authority under the contract or any confidential information acquired during the course of the contract for your financial gain or the financial gain of your immediate family;
- Accepting another state contract that would impair your independence of judgment or your performance in your existing state contract;
- Accepting anything of value based on the understanding that your actions on behalf of the state would be influenced;

Conn. Gen. Stat. § 1-86e (1) – (3); see also Conn. Gen. Stat. § 1-101nn.

#### Gift and/or Campaign Contribution Certifications

Contractors seeking large state contracts must provide certifications regarding gifts and/or campaign contributions made to certain state employees or public officials in the two-year period prior to the submission of a bid or proposal. Copies of these certifications and other updated information regarding state contractors can be found on the Web sites of the Department of Administrative Services ([www.das.state.ct.us](http://www.das.state.ct.us)) and the Office of Policy and Management ([www.opm.state.ct.us](http://www.opm.state.ct.us)).



#### Investment Services and the Office of the Treasurer

If you or your business provides investment services, as defined in the Code, and you make a political contribution in connection with the Office of the Treasurer, you may be prohibited from contracting with that office. See Conn. Gen. Stat. § 1-84 (n).

#### Registering as a Lobbyist

If you or your business spends or receives over \$2,000 in a calendar year for activities that constitute lobbying under Part II of the Code of Ethics (whether to affect legislation or the actions of an administrative state agency), you/your business may have to register as a lobbyist with the Office of State Ethics. Lobbyist registration information is available at [www.ct.gov/ethics](http://www.ct.gov/ethics).



#### Contribution Ban for Communicator Lobbyists (Conn. Gen. Stat. § 9-610 (g) and (h).)

Registered communicator lobbyists, their affiliated political action committees (PACs) as well as members of their immediate families are banned from soliciting or donating political campaign contributions. Please contact the State Elections Enforcement Commission at 860-566-1776 for more information.



### **Sessional Contribution Ban for Client Lobbyists** (Conn. Gen. Stat. § 9-610 (e).)

Registered lobbyists and their affiliated political action committees (PACs) are banned from soliciting or donating political campaign contributions. Specifically, there is a temporary ban while the General Assembly is in session that applies to all registered client lobbyists and their affiliated PACs. Please contact the State Elections Enforcement Commission at 860-566-1776 for more information.

### **Public Act 05-287**

Public Act 05-287 prohibits anyone who is a party (or seeking to become a party) to a large state construction, procurement, or consultant services contract over \$500,000 from:

- Soliciting information from a public official or state employee that is not available to other bidders for that contract, with the intent to obtain a competitive advantage;
- Intentionally or recklessly charging a state agency for work not performed or goods or services not provided;
- Falsifying invoices or bills; or
- Intentionally violating or circumventing state competitive bidding and ethics laws.

This Act also requires any prospective state contractor to affirm in writing that he or she has received a summary of the state's ethics laws and that his or her key employees have read and understood the summary and agree to comply with the applicable provisions. Conn. Gen. Stat. § 1-101qq.

An affirmation form is available through the Department of Administrative Services.

### **Executive Orders**

#### Executive Order 3

Under this Order, the Department of Administrative Services established and maintains on its Web site the State Contracting Portal for purposes of posting all contracting opportunities with state agencies and providing information on contracting processes and procedures.

#### Executive Order 7C

This Order covers the State Contracting Standards Board, established to conduct a comprehensive review of existing procurement and contracting laws and prepare a uniform code to govern all aspects of procurement and contracting by January 1, 2007.

The full text of these Executive Orders can be found on the Governor's Web site, [www.ct.gov/governorrell/site/default.asp](http://www.ct.gov/governorrell/site/default.asp).

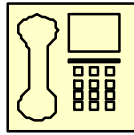
### FOR MORE INFORMATION

This guide provides general information only. The descriptions of the law and the OSE are not intended to be exhaustive. For more information regarding the Code of Ethics as it pertains to current or potential state contractors, please contact the Office of State Ethics, Monday – Friday, 8:30 a.m. to 5:00 p.m.

**Office of State Ethics**  
**18-20 Trinity Street**  
**Hartford, CT 06106-1660**



**T: 860/566-4472**  
**F: 860/566-3806**  
**[www.ct.gov/ethics](http://www.ct.gov/ethics)**



### Specific Contacts:

Questions or advice regarding the Ethics Codes: [Ethics.Code@ct.gov](mailto:Ethics.Code@ct.gov)

Lobbyist filing/reporting questions: [lobbyist.OSE@ct.gov](mailto:lobbyist.OSE@ct.gov)

Public official filing/reporting questions: [SFI.OSE@ct.gov](mailto:SFI.OSE@ct.gov)

Enforcement questions: [Ethics.Enforcement@ct.gov](mailto:Ethics.Enforcement@ct.gov)

All other inquiries: [ose@ct.gov](mailto:ose@ct.gov)



## Schedule N - Consulting Agreement Affidavit

Attached following this page



STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a State contract for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b)

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or vendor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. If the bidder or vendor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if the contractor enters into any new consulting agreement(s) during the term of the State contract.

AFFIDAVIT: [ Number of Affidavits Sworn and Subscribed On This Day: \_\_\_\_\_ ]

I, the undersigned, hereby swear that I am the chief official of the bidder or vendor awarded a contract, as described in Connecticut General Statutes § 4a-81(a), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, except for the agreement listed below:

Consultant's Name and Title Name of Firm (if applicable)

Start Date End Date Cost

Description of Services Provided:

Is the consultant a former State employee or former public official? [ ] YES [ ] NO

If YES: Name of Former State Agency Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Name of Bidder or Vendor Signature of Chief Official or Individual Date
Printed Name (of above) Awarding State Agency

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_.

Commissioner of the Superior Court
or Notary Public

**Schedule O - Notice of the State Elections Enforcement  
Commission to Executive Branch State Contractors and  
Prospective State Contractors of Campaign Contribution  
and Solicitation Ban (SEEC Forms 10 and 11)**

Attached following this page



**STATE OF CONNECTICUT**  
**STATE ELECTIONS ENFORCEMENT COMMISSION**  
20 Trinity Street Hartford, Connecticut 06106 – 1628

**SEEC FORM 10**

**NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN**

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on page 2):

**Campaign Contribution and Solicitation Ban**

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

**Duty to Inform**

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

**Penalties for Violations**

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

**Civil penalties**--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

**Criminal penalties**— Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or \$5000 in fines, or both.

**Contract Consequences**

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The state will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Receipt acknowledged: \_\_\_\_\_  
(signature) (date)

Print name: \_\_\_\_\_ Title: \_\_\_\_\_

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

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, [www.ct.gov/seec](http://www.ct.gov/seec). Click on the link to "State Contractor Contribution Ban"

## Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100.

"Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (IV) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.



**STATE OF CONNECTICUT**  
**STATE ELECTIONS ENFORCEMENT COMMISSION**  
20 Trinity Street Hartford, Connecticut 06106–1628

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**SEEC FORM 11**

**NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF  
CAMPAIGN CONTRIBUTION AND SOLICITATION BAN**

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined below):

**Campaign Contribution and Solicitation Ban**

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract* or *state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

**Duty to Inform**

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

**Penalties for Violations**

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

**Civil penalties**--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

**Criminal penalties**—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

**Contract Consequences**

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, [www.ct.gov/seec](http://www.ct.gov/seec). Click on the link to "State Contractor Contribution Ban."



Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

## Schedule P - Gift and Campaign Contribution Certification

Attached following this page



## STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

*Certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2), as amended by Public Act 07-1*

### INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution (and on each anniversary date of a multi-year contract, if applicable).

**CHECK ONE:**     Initial Certification                       Annual Update (Multi-year contracts only.)

### GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is an Annual Update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "**Gift**" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Planning Start Date" is the date the State agency began planning the project, services, procurement, lease or licensing arrangement covered by this Contract, as indicated by the awarding State agency below; and
- 7) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, between the Planning Start Date and Execution Date, neither the Contractor nor any Principals or Key Personnel has made, will make (or has promised, or offered, to, or otherwise indicated that he, she or it will, make) any **Gifts** to any Applicable Public Official or State Employee.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding **Gifts** by providing for any other principals, key personnel, officials, or employees of the Contractor, or its or their agents, to make a **Gift** to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

### CAMPAIGN CONTRIBUTION CERTIFICATION:

I further certify that, on or after December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(g)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

