



State of California  
Department of Transportation

**REQUEST FOR INFORMATION**  
**Addendum 1**

**California State Contracts Register (CSCR)**

**Event ID Number: 2017-145**

**CSCR Event Name:**

**MAINTENANCE AND TRAFFIC OPERATIONS**  
**PORTFOLIO OF PROJECTS**

April ~~13~~<sup>19</sup>, 2017

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## 1. INTRODUCTION AND OVERVIEW

This Request for Information (RFI) is released by the State of California, Department of Transportation (Caltrans), Division of Procurement and Contracts (DPAC), on behalf of the Information Technology Project Management Office (ITPMO). This RFI is not a solicitation. A RFI surveys the marketplace to understand what products or services may be available and to approximate the dollars that may be needed for procurement(s). The intent of this RFI is to validate information, project objectives and requirements for possible future solicitations.

### 1.1. Contact Information

The Caltrans Representative and designated contact person for this RFI is ERLINDA IBARBIA at (916) 227-6131 or [erlinda.ibarbia@dot.ca.gov](mailto:erlinda.ibarbia@dot.ca.gov). Respondents will be directed to submit questions or clarification inquiries in writing in accordance with the instructions detailed in RFI Section 1.7, Submission of Questions. No other representative of the State is authorized to communicate with respondents with respect to this RFI.

### 1.2. Disclaimer

This RFI does not constitute a solicitation and is issued for information and planning purposes only. Responses to the RFI will not be returned. A response to this notice is not an offer and cannot be accepted by Caltrans to form a binding contract. Respondents are solely responsible for all expenses associated with responding to this RFI. Caltrans will consider vendor responses for possibly developing a Request for Quotation (RFQ), Invitation for Bid (IFB), Request for Proposal (RFP), or other action.

The submission of a response does not constitute any commitment on the part of the interested party. However, the Respondent agrees that the submitted information is correct to the best of the Respondent's knowledge. Also, the right to compete in future procurements is not affected in the event that the party chooses not to submit a response to this RFI. Caltrans is also interested in learning the reasons for not submitting a response.

This RFI is subject to the California Public Records Act (CPRA), reference: Government Code section 6250 *et seq.* Respondents are advised not to include any confidential or proprietary information in responses to this RFI as it may be disclosed or be subject to the CPRA.

Should any procurement(s) result from this RFI, vendors will be required to comply with California statutes, regulations and policies; Caltrans requirements, and the State of California's non-negotiable information technology terms and conditions that include but is not limited to:

[https://www.documents.dgs.ca.gov/pd/poliproc/GSPD401IT14\\_0905.pdf](https://www.documents.dgs.ca.gov/pd/poliproc/GSPD401IT14_0905.pdf) and  
[http://www.documents.dgs.ca.gov/pd/poliproc/CLOUDCOMPUTINGSERVICESPECIALPROVISIONS\\_14\\_0903.docx](http://www.documents.dgs.ca.gov/pd/poliproc/CLOUDCOMPUTINGSERVICESPECIALPROVISIONS_14_0903.docx)

**1.3. Objective**

Caltrans is seeking ideas and information for an integrated solution to replace five (5) critical systems used within the Caltrans Divisions of Maintenance (DOM) and Traffic Operations (DTO). Specifically, the RFI will identify potential alternatives for replacing five (5) systems that provide support for critical functions within Caltrans DOM and DTO.

Interested parties (Respondents) are invited to describe potential products and solutions, and to suggest strategies to assist Caltrans in determining if a Commercial Off the Shelf (COTS), Modified Off the Shelf (MOTS), integrated product set (i.e., integration of multiple products), or custom solution would best address the required functions described in RFI Sections 2.1 through 2.5 and Attachment 3 – System Requirements.

For a COTS or MOTS solution, Caltrans envisions a solution that will require minimal customizations. Using the attached forms, Respondents should take into consideration what has been defined in the requirements and provide feedback and/or information on ways to minimize any customizations or the solution’s ability to meet the requirements with minimal customizations.

**1.4. Required Information**

The person submitting questions or providing the required information in response to this RFI shall be an employee of the Respondent authorized to provide such information for the Legal Business Name identified in Number 1 of Attachment 1 – Respondent Information. Attachments 1 through 3 outlines the required information respondent shall provide. It is recommended that responses to this RFI be formatted as provided to facilitate Caltrans review of responses. Supplemental materials (e.g., product and/or service literature) are not required, but if desired, may be provided by Respondent as Attachment 4.

**1.5. Voluntary Cost Information**

Caltrans is requesting cost information from Respondents to this RFI. This request is not a requirement. Caltrans understands that the costs provided are non-binding and will be used for informational budgeting purposes only. Respondents are encouraged to provide a list of costs that may be used to assist Caltrans in budgeting project costs.

**1.6. Key Action Dates**

Listed in Table 1 below are the important key actions and dates. If Caltrans deems it necessary to make changes to this schedule, it will do so by notifying all interested parties with an Addendum via the Cal eProcure website at <https://caleprocure.ca.gov/pages/public-search.aspx>.

State of California, Department of Transportation  
 REQUEST FOR INFORMATION  
 CSCR ID Number: 2017-145 **Addendum 1**  
 CSCR Event Name: Maintenance and Traffic Operations Portfolio of Projects

**Table 1. Actions / Dates**

Action	Date / Time (Pacific Time)
1. Release of RFI	<b>April 13, 2017</b>
2. RFI Questions Due by	<b>April 17<del>21</del>, 2017 at 12:00 Noon, PT</b>
4. Release Answers to Questions	<b>April 19<del>24</del>, 2017</b>
5. RFI Responses Due	<b>April 28<del>May 1</del>, 2017 at 12:00 Noon, PT</b>

**1.7. Submission of Questions**

Interested Respondents requiring clarification of the intent, content, or procedural matters may submit questions to the Caltrans Representative at [erlinda.ibarbia@dot.ca.gov](mailto:erlinda.ibarbia@dot.ca.gov) by the specified date and time using the format in Figure 1. The format in Figure 1 will facilitate the timely compilation of questions and answers. Questions will be compiled without identifying the party submitting the question(s), and answers will be made available to all interested parties as an Addendum posted to the Cal eProcure website at <https://caleprocure.ca.gov/pages/public-search.aspx>.

**Figure 1 – Email Format for Respondent’s Questions**

**RESPONDENT’S NAME** submits the following questions:

**Sample questions:**

RFI Reference Location	Description	Question
Section 2	Project Description	Can you provide more background information, such as.....?

Name of Person Sending Email on Behalf of Respondent  
 Title of Person Sending Email  
 Responder’s Legal Business Name  
 Address, City, State, Zip Code  
 Telephone Number of Person Sending Email  
 Email Address of Person Sending

### 1.8. Submission of Response

Responses to this RFI shall consist of Attachments 1 through 3. If desired, Respondent may include Attachment 4. Respondent shall submit its response, as a Portable Document Format (PDF) or MS Word 2013 document by the specified due date and time, via email to [erlinda.ibarbia@dot.ca.gov](mailto:erlinda.ibarbia@dot.ca.gov). To facilitate the compilation of responses, please use the email format in Figure 2 below.

**Figure 2 – Email Format for Response Submission**

The image shows a screenshot of an email client interface. On the left is a 'Send' button with an envelope icon. To its right are three input fields: 'To...' containing 'erlinda.ibarbia@dot.ca.gov', 'Cc...' which is empty, and 'Subject' containing 'Response to RFI-2017-145'. Below these fields is a large text area containing the following text:

**RESPONDENT'S NAME** submits its response to RFI-2017-145 as an attachment to this email.

Name of Person Sending Email on Behalf of Respondent  
Title of Person Sending Email  
Respondent's Legal Business Name  
Address, City, State, Zip Code  
Telephone Number of Person Sending Email  
Email Address of Person Sending

## 2. PROJECT DESCRIPTION

Caltrans seeks to implement a new web-based system or systems to replace the functionality currently being provided by a collection of five (5) disparate, unintegrated systems for the Caltrans DOM and DTO that are described in Sections 2.1 through 2.5 below. The functions to be addressed include Encroachment Permit Management, Outdoor Advertising Licensing and Permit Management, Adopt-A-Highway Permit Management, Material Inventory Management, and Highway Level of Service Evaluation. The systems and processes currently used to accomplish these functions exist independently, with little commonality or consistency in their development process or technical architecture. The systems are failing to meet the needs of the current business processes and are difficult to maintain and enhance. Issues include process redundancies, unstable platforms, excessive manual processes, and process inefficiencies. Caltrans will use the responses to this RFI to identify possible solutions for replacing these systems that will address the issues and encourage solution consistency, improved security, and a reduced support burden.

The requirements for the five (5) functions below are described in detail in Attachment 3 - Systems Requirements.

## **2.1. Encroachment Permit Management**

An encroachment permit must be obtained for all proposed activities related to the placement of encroachments within, under, or over the State highway rights of way. Some examples of work requiring an encroachment permit are: utilities, excavations, encroachment renewals, advertisements, vegetation planting or trimming, surveys, mail boxes, driveways, installation or removal of tire chains for compensation, special events, and commercial filming activities. Caltrans processes and issues an average of 12,000 permits per year.

Applicants must complete a standard hardcopy Encroachment Permit Application, attach supporting documentation such as: plans, location map, environmental documentation, letter of authorization, surety bonds, liability insurance, any applicable fees, etc., and submit them to the appropriate District Encroachment Permits Office having jurisdictional authority over the proposed encroachment site. Fees vary depending on the type of encroachment. Typically a deposit is required when the application package is submitted.

Staff in Caltrans twelve (12) regional district offices perform stringent reviews on the applications received, resulting in a decision of approval or denial of the requested encroachment. Staff time required for application review and approval is tracked and billed. If the application is successful, a permit is issued to the applicant. Approved encroachments are monitored to assure activities comply with the granted permit, and the permit is closed upon completion. Additionally, an appeal process exists for applicants to appeal denied applications.

## **2.2. Outdoor Advertising Licensing and Permit Management**

Outdoor Advertising (ODA) is responsible for the regulation of the placement of outdoor advertising displays visible from California Highways. ODA performs regular reviews of freeways and highways identified on the National Highway System (NHS) to enforce outdoor advertising requirements under the Federal Highway Beautification Act and the State's Outdoor Advertising Act.

A license is required to operate in the State as an outdoor advertiser. Applicants apply for the Outdoor Advertising license using a hardcopy application and submit required fees; licenses are issued by Caltrans and must be renewed on an annual basis. Approximately 680 licenses are renewed each year.

An approved permit is required for installation of all signs, billboard or displays visible from California highways. Applicants must submit a hardcopy application and fees to the Caltrans Headquarters office. Applications are reviewed and then routed to field inspectors in either the Sacramento or Los Angeles office for review and inspection. ODA regulates approximately 8,834 permits. More than 7,000 of these permits are renewed annually and an approximate 1,300 are renewed every five years. ODA regulations stipulate that persons who own ten or more permits may pay a fifth of their

renewal costs each year rather than the total sum of all their permits. Permittees who own nine or less permits must pay the total sum of all their permits every five years.

In addition to issuing licenses and permits, ODA performs regular field inspections to verify compliance of existing signs, facilitate the removal of illegal signs, and provide assistance in relocating legal signs that have to be moved due to acquisition of properties. The ODA is responsible for regulating permitted displays located along an approximate 8,900 state highway centerline miles traveling in one direction. As displays are located on both sides of any highway, the total centerline miles the program oversees is doubled.

### **2.3. Adopt-A-Highway Permit Management**

The Adopt-A-Highway Program allows individuals, organizations, or businesses to help maintain sections of the roadside within California's state highways. Adopters donate materials, equipment, and services for roadside maintenance or enhancement. Adoption opportunities include litter removal, graffiti removal, vegetation control, tree planting, and wildflower planting. Currently, there are 3,031 adoptions, with approximately 100-200 new adoption requests received each year.

To participate in the program, potential adopters must complete the Adopt-A-Highway application process. This application process is performed within Caltrans' twelve (12) regional districts and at the Caltrans Headquarters office. District coordinators maintain lists of potential adoption sites and the adoption activity types available on each site. Coordinators work with applicants to identify available sites and complete the application. Applicants are reviewed to determine that all eligibility requirements are met, and to identify the adoption site and type that the applicant will be performing.

Upon approval of the Adopt-A-Highway application, an encroachment permit application must be submitted to the Encroachment Permits and Engineering Support within the DTO for issuance of an encroachment permit allowing the specified activities. Adopters in good standing may renew their permits an unlimited number of times. In addition to processing permit applications and issuing permits, Adopt-A-Highway staff maintain waiting lists of adopters waiting for a site, renew permits, perform safety orientations, monitor the performance of adoptions activities, and track program benefits and statistics.

### **2.4. Materiel Inventory Management**

Caltrans procures various materials in support of its mission to provide a safe, sustainable, integrated and efficient transportation system. Inventories of material are kept at a Sacramento warehouse managed by the Division of Procurements and Contracts (DPAC), and, in at least 24 additional warehouses located statewide that are operated by the DOM and Division of Administration. The current statewide inventory handles approximately 3,000 line items, with 20,000 line items currently available. In addition to managing the Sacramento warehouse, DPAC is responsible for providing guidance and support for the management of materials. Caltrans ensures that the



methodology and systems used to procure, track, and account for materials adheres to industry best practices and to Federal and State materials management and warehousing rules, regulations, and mandates, including State Administrative Manual (SAM) requirements. Inventory processes ensure that materials are available in a timely manner so that material shortages do not occur, inventory levels are not greater than necessary and that the most cost effective methods of procuring, securing, and storing these materials are followed.

### **2.5. Highway Level of Service Evaluation**

The Maintenance Level of Service (LOS) program evaluates and reports how well maintenance forces are able to maintain the State's highways according to established DOM guidelines. The LOS evaluation process divides California's approximately 15,000 highway centerline miles into one mile segments. A percentage of these segments are then randomly selected for evaluation. DOM staff evaluate each roadway segment and document the status of approximately 100 highway attributes such as cracks, potholes, striping, guardrail, or litter. The data collected from this evaluation is tabulated, scored and published in the annual LOS report. LOS scores are primarily used as a tool by the DOM to assess how well policies established in the Caltrans Maintenance Manual are implemented statewide. In addition, they are used by DOM management to help allocate resources and set performance targets.

## **3. ATTACHMENTS**

- Attachment 1 - Respondent Information
- Attachment 2 - Solution Description
- Attachment 3 - System Requirements
- Attachment 4 – Supplemental Information

**ATTACHMENT 1 – RESPONDENT INFORMATION**

The information in Parts 1 and 2 in Attachment 1 is required.

**PART 1**

1. Legal business name of the respondent  
\_\_\_\_\_

2. List multiple business names, if applicable. If not applicable, write “N/A”.  
\_\_\_\_\_

Note: If a solicitation(s) results from this RFI, and respondent operates under multiple business names, including “Doing Business As,” the business will be required to adhere to California Corporations Code 2106(b) and California Business and Professions Code 17900 *et seq.*

3. Business address (Street, City, State, Zip) for number 1 above  
\_\_\_\_\_

4. Name and title/position of the individual submitting the response for number 1 above. Refer to RFI Section 1.4, Required Information.  
\_\_\_\_\_

5. Is number 4 an employee of number 1? Refer to RFI Section 1.4, Required Information. Check one:

YES If you checked “Yes”, continue to number 6 below.

NO If you checked “No”, stop. Do not continue and do not submit a response for the entity in number 1 above.

6. Contact information including a telephone number(s) and email address for number 4 above:  
\_\_\_\_\_

7. In bullet format, very briefly describe company’s products and/or services focus. If the information is provided in Attachment 4, state “Refer to Attachment 4”.

A. Products  
\_\_\_\_\_

B. Services  
\_\_\_\_\_

8. In bullet format, list and briefly describe the projects and/or activities the company engaged in that are similar to the project description identified in Section 2, Project Description.  
\_\_\_\_\_

9. Indicate number of years of experience for each of the projects or activities identified in number 8 above.  
\_\_\_\_\_

10. List California government clients in the past ten (10) years and indicate whether (A) State of California Department, (B) University of California, (C) California State University, (D) California County, or (E) California City:  
\_\_\_\_\_

11. List other United States government clients within the past ten (10) years and indicate whether Federal (e.g., US Department of Transportation) or a State (e.g., State of Washington Department of Transportation):  
\_\_\_\_\_

12. List and identify whether Respondent currently has authorized (R) resellers, (P) partners and/or (S) subcontractors, if applicable:  
\_\_\_\_\_

13. Complete Attachment 1’s Part 2 following this page.

**ATTACHMENT 1 – RESPONDENT INFORMATION**

The information in Parts 1 and 2 in Attachment 1 is required.

**PART 2**

**A. COMPANY DATA:**

1 Official Website	2 U.S. State or Foreign Country Where Business is Incorporated or Created, <u>and</u> date of incorporation or creation	3 Months or Years Business Has Been in Existence	4 Business Size (See Notes*)	5 California Entity Number for Corporation (See Notes*)	6 California Seller's Permit (See Notes*)	7 DUNS Number (See Notes*)
	Creation date: _____					

**\*Company Data Column Notes:**

- 4 Enter one: **Small** for up to 50 employees, **Medium** for 51-200 employees, or **Large** for more than 200 employees
- 5 Enter the **Entity Number** of the corporation (includes Limited Partnerships and Limited Liability Corporations) that can be verified at <https://businesssearch.sos.ca.gov/>. If not registered, enter “NR.” California Corporations Code (CC) 2105 states in part: (a) A foreign corporation shall not transact intrastate business without having first obtained from the Secretary of State a certificate of qualification. “Foreign” includes corporations created in other US states or international. Further, California Revenue and Taxation Code (RTC) 23101 requires corporate qualifications to do business in California and defines “Doing business” as “actively engaging in any transaction for the purpose of financial or pecuniary gain or profit.” **Note: These statutes also apply to resellers, partners or subcontractors that are corporations conducting any business in California as defined above.**
- 6 Enter **number** that can be found at <https://efile.boe.ca.gov/boewebservices/verification.jsp?action=SALES>. If not registered or applicable, enter “NR” or “NA.” If company is “engaged in business” in California, the company is required to register with the California Board of Equalization – see <https://www.boe.ca.gov/formspubs/pub77/>. **Note: This also applies to resellers, partners or subcontractors that are engaged in business in California.**
- 7 Enter **number** or “NA” if not applicable. See <http://www.dnb.com/get-a-duns-number.html>.

**B. BUSINESS ENTITY TYPE – Check all that describes the Respondent:**

<input type="checkbox"/> Intelligent Transportation Systems <input type="checkbox"/> Academia <input type="checkbox"/> Consulting <input type="checkbox"/> Research <input type="checkbox"/> Software Development <input type="checkbox"/> System/Application Integration	<input type="checkbox"/> Federal Government <input type="checkbox"/> State Government <input type="checkbox"/> State University/College <input type="checkbox"/> County Government <input type="checkbox"/> City Government	<input type="checkbox"/> Private <input type="checkbox"/> International <input type="checkbox"/> Construction <input type="checkbox"/> Manufacturer <input type="checkbox"/> Non-Manufacturer <input type="checkbox"/> Service <input type="checkbox"/> Non-Profit (26 USC 501.c.3)
<input type="checkbox"/> Other – briefly describe: _____		

**ATTACHMENT 1 – RESPONDENT INFORMATION**

The information in Parts 1 and 2 in Attachment 1 is required.

PART 2 - continued

**C. SOCIO-ECONOMIC PROGRAMS:**

1.  Not Applicable. Respondent does not possess a federal DBE certification described in number C.2 below) or any state certifications described in number C.3 below.
2. Federal Program under Title 49 Code of Federal Regulations, Part 26 (49 CFR 26)  
 Yes, my firm possesses a Disadvantaged Business Enterprise (DBE) certification from the Caltrans Office of Business and Economic Opportunity (OBE) at <http://www.dot.ca.gov/obe/>. The certification number can be verified at [http://www.dot.ca.gov/hq/bep/find\\_certified.htm](http://www.dot.ca.gov/hq/bep/find_certified.htm).

**The DBE certification number is:** \_\_\_\_\_

3. State Programs under California Military and Veterans Code § 999 *et seq.* and Title 2 California Code of Regulations § 1896 *et seq.*  
 Yes, my firm possesses the following State of California certifications from the California Department of General Services (DGS) at <http://www.dgs.ca.gov/pd/Programs/OSDS.aspx> and they can be verified at <https://caleprocure.ca.gov/pages/PublicSearch/supplier-search.aspx>. The DGS certification numbers that my firm holds are (check all that apply):
  - a. **Disadvantaged Veteran Business Enterprise (DVBE):**  
 DVBE certification number \_\_\_\_\_ and expiration date \_\_\_\_\_
  - b. **Small Business Certifications (SB):**  
 SB certification number \_\_\_\_\_ and expiration date \_\_\_\_\_  
 Microbusiness (MB) certification number \_\_\_\_\_ and expiration date \_\_\_\_\_  
 SB/DVBE certification number \_\_\_\_\_ and expiration date \_\_\_\_\_

---

**D. STATE OF CALIFORNIA LEVERAGED PROCUREMENT AGREEMENTS (LPAs):**

1.  Not Applicable. Respondent does not possess any California LPA described in D.2 below.
2.  Yes, my firm holds California DGS information technology (IT) LPA contract(s) that can be verified at <http://www.dgs.ca.gov/pd/Programs/Leveraged.aspx> or posted at <https://www.documents.dgs.ca.gov/pd/contracts/ContractIndexListing.pdf>. The IT LPA contracts my firm holds are as follows (check any that apply):  
 California Multiple Award Schedules (CMAS) numbers: \_\_\_\_\_  
 Master Agreement numbers: \_\_\_\_\_  
 NASPO ValuePoint (Cooperative Agreements) numbers: \_\_\_\_\_  
 Software Licensing Program (SLP) numbers: \_\_\_\_\_  
 Statewide Commodity Contract (SCC) numbers: \_\_\_\_\_

---

**E. FEDERAL GENERAL SERVICES ADMINISTRATION (GSA) SCHEDULES:**

1.  Not Applicable. Respondent does not possess any GSA Schedules described in E.2 below.
2.  Yes, my firm's holds a GSA information technology (IT) contract(s) and the number(s) can be verified at <https://www.gsaelibrary.gsa.gov/ElibMain/home.do>. Listed below are Respondent's GSA IT contract number(s):  
\_\_\_\_\_

**ATTACHMENT 2 – SOLUTION DESCRIPTION**

The information in items A-G in Attachment 2 is required. Although multiple solutions can be recommended for each of the described functions, an integrated solution addressing all five (5) systems is most desirable.

RESPONDENT’S NAME as stated in Attachment 1, Part 1: \_\_\_\_\_

**A. Product/Solution Overview**

Describe the system solution/product Respondent offers that would satisfy the business needs and requirements described in this RFI. Check all that apply and complete the description and government clients:

1. System Being Addressed:

- Encroachment Permit Maintenance
- Adopt-a-Highway Permit Management
- Outdoor Advertising Licensing and Permit Management
- Highway Level of Service Evaluation
- Material Inventory Management

2. Solution type:

- COTS
- MOTS
- Custom

3. Hosting Options:

- SAAS
- Vendor hosted solution
- State-hosted solution

4. Solution Description:

\_\_\_\_\_

5. Government clients in production (department/program purpose):

\_\_\_\_\_

**B. Software Needs:**

List software licenses needed to implement the described solution. Please indicate if the software is available from the California Software Licensing Program (SLP) at <http://www.dgs.ca.gov/pd/Programs/Leveraged/SLP.aspx>.

Software			SLP (Yes or No)	Est. Lic. #
Name	Version	Description		
add row as needed				

**C. Hardware Needs:**

List hardware required to run the described solution.

\_\_\_\_\_

**ATTACHMENT 2 – SOLUTION DESCRIPTION**

The information in items A-G in Attachment 2 is required. Although multiple solutions can be recommended for each of the described functions, an integrated solution addressing all five (5) systems is most desirable.

**D. Estimated Solution Costs**

Identify estimated costs to implement the described solution. Note: The costs provided are non-binding and will be used for informational budgeting purposes only. Rough estimates based on Respondent’s experience with similar projects are welcome. Refer to RFI Section 1.5, Voluntary Cost Information.

1. **Hardware** - *Servers and other hardware required to host the solution.*

a. Estimated Cost \$ \_\_\_\_\_

b. Description:

\_\_\_\_\_

2. **Hosting Software** – *Any software licenses required to host the solution.*

a. Estimated Cost \$ \_\_\_\_\_

b. Description:

\_\_\_\_\_

3. **Configuration** – *Estimate of any cost to customize/configure the solution for Caltrans.*

a. Estimated Cost \$ \_\_\_\_\_

b. Description:

\_\_\_\_\_

4. **Annual Subscription/License fees** – *Any annual licensing fees. What are they during the development/implementation cycle? Do they differ during maintenance years? When do annual license fees begin? (After configuration? At project initiation? Other?)*

a. Estimated Cost \$ \_\_\_\_\_

b. Description:

\_\_\_\_\_

5. **Project Staff Hourly Rate** – *Hourly rates for customization.*

Proposed Classifications	Classification Description (education, experience, KSAs*, certifications)	Blended Hourly Rates
_____	_____	_____
_____	_____	_____
_____	_____	_____
<b>Add rows as needed</b>		

\*Knowledge, Skills and Abilities

**ATTACHMENT 2 – SOLUTION DESCRIPTION**

The information in items A-G in Attachment 2 is required. Although multiple solutions can be recommended for each of the described functions, an integrated solution addressing all five (5) systems is most desirable.

**D. Estimated Solution Costs - continued**

**6. Training and Organizational Change Management Costs**

a. Estimated Cost \$ \_\_\_\_\_

b. Description:

\_\_\_\_\_

**7. Data Conversion** – *Estimate of costs for data conversion.*

a. Estimated Cost \$ \_\_\_\_\_

b. Description:

\_\_\_\_\_

**8. Project Management Costs** – *Estimate of costs for project management (e.g., Project Schedule, Project Management Plan, Change Management Plan, Risk and Issue Management Plan, etc.).*

a. Estimated Cost \$ \_\_\_\_\_

b. Description:

\_\_\_\_\_

**9. Other Implementation Costs** – *Estimate any other implementation costs not included in the above estimates.*

a. Estimated Cost \$ \_\_\_\_\_

b. Description:

\_\_\_\_\_

**10. Other Annual Costs** – *Estimate any annual additional annual costs which could be incurred, such as maintenance fees.*

a. Estimated Cost \$ \_\_\_\_\_

b. Description:

\_\_\_\_\_

**11. Other Costs Not Listed** – *Estimate any additional costs not included in the above estimates*

a. Estimated Cost \$ \_\_\_\_\_

b. Description:

\_\_\_\_\_

**ATTACHMENT 2 – SOLUTION DESCRIPTION**

The information in items A-G in Attachment 2 is required. Although multiple solutions can be recommended for each of the described functions, an integrated solution addressing all five (5) systems is most desirable.

**E. Cost Assumptions**

*Briefly describe any assumptions you applied in estimating the costs contained in this RFI response.*

\_\_\_\_\_

**F. Estimated Implementation Schedule**

*Provide an estimated schedule to implement the solution described. Would you propose configuring and deploying multiple programs simultaneously or one program at a time? Do you see an opportunity for a pilot implementation?*

\_\_\_\_\_

**G. Additional Information**

*Provide any additional information about your company, products, and/or services that you believe will help Caltrans better understand your capabilities (e.g., additional current services, future plans to improve products and services, etc.). If this information is provided in Attachment 4 – Supplemental Information, please so state here.*

\_\_\_\_\_



**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

RESPONDENT’S NAME as stated in Attachment 1, Part 1: \_\_\_\_\_

The following draft high level system requirements are provided to help Respondents better understand the Caltrans’ system needs and share feedback. Requirements are identified for each of the five (5) identified functions. Many of these requirements cross all functions. If Respondent is unable to respond to all or any of the systems or requirements, please state “Unable to Respond” and the reason why.

Use the Vendor Feedback column for each system to provide feedback about specific requirements, including such information as:

- How requirement can be met: out of box, configured, customization, 3<sup>rd</sup> party, or can’t be done
- Whether inclusion significantly increases the risk or complexity of the system
- If additional clarification is needed

**A. REQUIREMENTS LISTING FOR ENCROACHMENT PERMIT MANAGEMENT.** Refer to RFI Section 2.1

Function	ID	Requirement	Vendor Feedback
Encroachment Permit Mgt	A1	Solution must provide public online access for permit application completion.	_____
Encroachment Permit Mgt	A2	Solution must provide external customers with search capabilities to authorized permit information.	_____
Encroachment Permit Mgt	A3	Solution must use standard hourly rates by type of function and apply rates for application and permit fees.	_____
Encroachment Permit Mgt	A4	Solution must perform standardized permit fee calculations through application of standard hourly rates.	_____
Encroachment Permit Mgt	A5	Solution must provide ability to track staff time to a permit.	_____
Encroachment Permit Mgt	A6	Solution must track outstanding fees due by customer.	_____
Encroachment Permit Mgt	A7	Solution must prevent customers with delinquent accounts from submitting applications.	_____
Encroachment Permit Mgt	A8	Solution must identify permits requiring closure and final billing.	_____
Encroachment Permit Mgt	A9	Solution must generate customer statements and billings.	_____
Encroachment Permit Mgt	A10	Solution must enforce procedures and standards through application of internally defined business rules.	_____
Encroachment Permit Mgt	A11	Solution must provide document management capabilities for indexing, retaining, and accessing permit files and documents.	_____
Encroachment Permit Mgt	A12	Solution must provide standardized management reporting and extensive adhoc reporting.	_____
Encroachment Permit Mgt	A13	Solution must provide automatic notifications and reminders of assignments and due dates.	_____

**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

**A. REQUIREMENTS LISTING FOR ENCROACHMENT PERMIT MANAGEMENT.** Refer to RFI Section 2.1

<b>Function</b>	<b>ID</b>	<b>Requirement</b>	<b>Vendor Feedback</b>
Encroachment Permit Mgt	A14	Solution must provide map-based displays of permit data.	_____
Encroachment Permit Mgt	A15	Solution must provide workflow abilities for routing permit applications through the approval process.	_____
Encroachment Permit Mgt	A16	Solution must generate forms and correspondence.	_____

Attachment 3, continued next page

**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

Refer to instructions in the first page of this Attachment 3.

**B. REQUIREMENTS LISTING FOR OUTDOOR ADVERTISING LICENSE AND PERMIT MANAGEMENT.** Refer to RFI Section 2.2

Function	ID	Requirement	Vendor Feedback
Outdoor Advertising License/Permit Mgt	B1	Solution must provide for online submission of license and permit applications by stakeholders.	_____
Outdoor Advertising License/Permit Mgt	B2	Solution must provide workflow management to abate manual intervention, customer relationship management, and document management. Workflow will move applications, inquiries, and enforcement tasks step-by-step through each business process.	_____
Outdoor Advertising License/Permit Mgt	B3	Solution must include a robust data, photo, and video repository.	_____
Outdoor Advertising License/Permit Mgt	B4	Solution must provide real time validation of application data.	_____
Outdoor Advertising License/Permit Mgt	B5	Solution must provide an online payment solution to automatically determine fees associated with license applications/renewals and permits/renewals.	_____
Outdoor Advertising License/Permit Mgt	B6	Solution must allow for real-time validation and verification of credit/debit card payments prior to initiating renewals or advancing applications for processing.	_____
Outdoor Advertising License/Permit Mgt	B7	Solution must include technology for labeling and tracking certified mail.	_____
Outdoor Advertising License/Permit Mgt	B8	Solution must allow stakeholders to indicate a preferred method of communication option when using the web portal for submitting applications, allowing for electronic distribution of license and permit renewals and other communications.	_____
Outdoor Advertising License/Permit Mgt	B9	Solution must be tablet device capable of taking and labeling photographs.	_____
Outdoor Advertising License/Permit Mgt	B10	Solution must provide remote access to ODA's technology solutions and repositories when working in the field.	_____
Outdoor Advertising License/Permit Mgt	B11	Solution must provide for uploading photos and other data to the database repository remotely.	_____

**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

**B. REQUIREMENTS LISTING FOR OUTDOOR ADVERTISING LICENSE AND PERMIT MANAGEMENT.** Refer to RFI Section 2.2

Function	ID	Requirement	Vendor Feedback
Outdoor Advertising License/Permit Mgt	B12	Solution shall provide geographical data for the entire National Highway System, approximately 14,000 centerline miles including freeways and roads in the cities and counties included in Map 21.	_____
Outdoor Advertising License/Permit Mgt	B13	Solution must use enhanced measuring applications in the field (e.g. applications that can be integrated with tools such as the Field Inspector’s smartphones or tablets to measure the height, width, and length of a display from a distance.	_____
Outdoor Advertising License/Permit Mgt	B14	Solution must handle and track the appeals and relocation process.	_____
Outdoor Advertising License/Permit Mgt	B15	Solution must provide online access to system functionality regardless of location.	_____
Outdoor Advertising License/Permit Mgt	B16	Solution must provide the ability to track compliance within mandated processing timeframes.	_____
Outdoor Advertising License/Permit Mgt	B17	Solution must provide electronic document management capabilities.	_____
Outdoor Advertising License/Permit Mgt	B18	Solution must provide the ability to attach documents to applications and renewals.	_____
Outdoor Advertising License/Permit Mgt	B19	Solution must provide stakeholders with online access to application and renewal status.	_____
Outdoor Advertising License/Permit Mgt	B20	Solution must provide online tasking and calendaring.	_____
Outdoor Advertising License/Permit Mgt	B21	Solution must provide adhoc, template-based, and automatic document and report generation.	_____
Outdoor Advertising License/Permit Mgt	B22	Solution shall support interfaces with other applications.	_____

Attachment 3, continued next page

**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

Refer to instructions in the first page of this Attachment 3.

**C. REQUIREMENTS LISTING FOR ADOPT-A-HIGHWAY PERMIT MANAGEMENT.** Refer to RFI Section 2.3

Function	ID	Requirement	Vendor Feedback
Adopt-A-Hwy Permit Mgt	C1	Solution must allow public users to create an online account.	_____
Adopt-A-Hwy Permit Mgt	C2	Solution must allow applicants to complete an online Adopt-A-Highway application.	_____
Adopt-A-Hwy Permit Mgt	C3	Solution must allow adopters to complete an online Adopt-A-Highway renewal application.	_____
Adopt-A-Hwy Permit Mgt	C4	Solution must allow applicants to upload documents.	_____
Adopt-A-Hwy Permit Mgt	C5	Solution must provide applicants' access to the current status of their application as it progresses thru the approval process.	_____
Adopt-A-Hwy Permit Mgt	C6	Solution must provide public access to an online list of adoption sites and types of adoption available.	_____
Adopt-A-Hwy Permit Mgt	C7	Solution must provide current adopters online access to current adoption status.	_____
Adopt-A-Hwy Permit Mgt	C8	Solution must provide the ability for courtesy signs locations to be linked to a location on a map based on County/Route/Postmile.	_____
Adopt-A-Hwy Permit Mgt	C9	Solution must provide the ability to view on a map, all adoption segments, those currently adopted and not adopted, and the type of adoption.	_____
Adopt-A-Hwy Permit Mgt	C10	Solution must provide the ability to store electronically all of the Adopt-A-Highway application data.	_____
Adopt-A-Hwy Permit Mgt	C11	Solution must provide the ability to upload sample sign images and logos.	_____
Adopt-A-Hwy Permit Mgt	C12	Solution must provide the ability to store waiting list data for adoption sites.	_____
Adopt-A-Hwy Permit Mgt	C13	Solution must provide workflow processing from application receipt thru approval, including approval and rejection processing.	_____
Adopt-A-Hwy Permit Mgt	C14	Solution must store site review status and site review information for all sites.	_____
Adopt-A-Hwy Permit Mgt	C15	Solution must provide a note log to track communications.	_____
Adopt-A-Hwy Permit Mgt	C16	Solution must provide the ability to generate standard emails to applicants/adopters.	_____

**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

**C. REQUIREMENTS LISTING FOR ADOPT-A-HIGHWAY PERMIT MANAGEMENT.** Refer to RFI Section 2.3

<b>Function</b>	<b>ID</b>	<b>Requirement</b>	<b>Vendor Feedback</b>
Adopt-A-Hwy Permit Mgt	C17	Solution must provide the ability to generate form letters.	_____
Adopt-A-Hwy Permit Mgt	C18	Solution must provide the ability to generate forms that are similar to the existing Adopt-A-Highway forms.	_____
Adopt-A-Hwy Permit Mgt	C19	Solution must provide the ability to record information on adoption work events.	_____
Adopt-A-Hwy Permit Mgt	C20	Solution must track district safety orientation information.	_____
Adopt-A-Hwy Permit Mgt	C21	Solution must provide ability to generate ad-hoc and canned reports.	_____

Attachment 3, continued next page

**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

Refer to instructions in the first page of this Attachment 3.

**D. REQUIREMENTS LISTING FOR MATERIAL INVENTORY MANAGEMENT.** Refer to RFI Section 2.4

Function	ID	Requirement	Vendor Feedback
Material Inventory Mgt	D1	Solution must self-generate a document number for all transactions, orders, issues, returns, transfers, purchases, and adjustments.	_____
Material Inventory Mgt	D2	Solution must support multiple warehouse locations.	_____
Material Inventory Mgt	D3	Solution must provide access control based on functional designations.	_____
Material Inventory Mgt	D4	Solution must support mobile access via a handheld device (barcode scanner, tablet, etc.).	_____
Material Inventory Mgt	D5	Solution must provide barcode and label functionality (barcodes, shelf tags, and custom labels).	_____
Material Inventory Mgt	D6	Solution must support transactions to/from any location, with ability to reimburse a specific program.	_____
Material Inventory Mgt	D7	Solution must provide system generated forecasting abilities with manual override (minimum/maximum material levels, seasonal needs and process/lead times).	_____
Material Inventory Mgt	D8	Solution must provide inventory adjustment controls, requiring approvals for inventory quantity and cost adjustments.	_____
Material Inventory Mgt	D9	Solution must include return processing; warehouse returns require administrator authorization and generation of a transaction/ticket number.	_____
Material Inventory Mgt	D10	Solution must use AMS/ Advantage cost center, project numbers, and phases for charging programs and to receive reimbursement.	_____
Material Inventory Mgt	D11	Solution must support various cost layering methods (FIFO, LIFO, Average).	_____
Material Inventory Mgt	D12	Solution must support multiple bin locations for the same product.	_____
Material Inventory Mgt	D13	Solution must include a comprehensive help feature.	_____
Material Inventory Mgt	D14	Solution must provide a report writer function, with both custom and standard report abilities.	_____
Material Inventory Mgt	D15	Solution must generate pick tickets (documentation sent to customer with material order).	_____
Material Inventory Mgt	D16	Solution must provide inquiry capabilities to view all location inventory levels.	_____

**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

**D. REQUIREMENTS LISTING FOR MATERIAL INVENTORY MANAGEMENT.** Refer to RFI Section 2.4

Function	ID	Requirement	Vendor Feedback
Material Inventory Mgt	D17	Solution must provide inventory performance metrics, such as movement indicators, turnover, cycle time, fill rate, back order ratio, lead times, surplus, etc.	_____
Material Inventory Mgt	D18	Solution must store package/unit of issue data (product packaging information).	_____
Material Inventory Mgt	D19	Solution must provide the ability to identify expedited orders.	_____
Material Inventory Mgt	D20	Solution must provide a specifications file that includes product information, MSDS, and manufacturer.	_____
Material Inventory Mgt	D21	Solution must indicate lead time codes by item number.	_____
Material Inventory Mgt	D22	Solution must have a safety hold function that will prevent any item from being issued.	_____
Material Inventory Mgt	D23	Solution must provide expiration tracking to monitor product shelf life.	_____
Material Inventory Mgt	D24	Solution must provide audit tracking to identify changes made by each user.	_____
Material Inventory Mgt	D25	Solution must provide the ability to attach images for products.	_____
Material Inventory Mgt	D26	Solution must provide an online catalog function.	_____
Material Inventory Mgt	D27	Solution must provide a calendar module that creates alerts on items that are seasonal or time sensitive.	_____
Material Inventory Mgt	D28	Solution must identify Requestor, Approver, and Submitted By on all documents.	_____
Material Inventory Mgt	D29	Solution must select most efficient pick path and separate yard pulls from warehouse pulls.	_____
Material Inventory Mgt	D30	Solution must allow user to cancel an order or backorder and track the user who made the request and cancellation reason.	_____
Material Inventory Mgt	D31	Solution must issue suggested stock (lost sale) log.	_____
Material Inventory Mgt	D32	Solution must include dashboard functions accessing critical operational information.	_____
Material Inventory Mgt	D33	Solution must provide for slotting (customized locations generated to optimize order pulling).	_____
Material Inventory Mgt	D34	Solution must provide assembled number feature, identifying stock numbers that are the sum of other stock numbers.	_____



**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

**D. REQUIREMENTS LISTING FOR MATERIAL INVENTORY MANAGEMENT.** Refer to RFI Section 2.4

<b>Function</b>	<b>ID</b>	<b>Requirement</b>	<b>Vendor Feedback</b>
Material Inventory Mgt	D35	Solution must support cycle counts and spot checks.	_____
Material Inventory Mgt	D36	Solution must support credit card processing.	_____

Attachment 3, continued next page

**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

Refer to instructions in the first page of this Attachment 3.

**E. REQUIREMENTS LISTING FOR HIGHWAY LEVEL OF SERVICE EVALUATION.** Refer to RFI Section 2.5

<b>System</b>	<b>ID</b>	<b>Requirement</b>	<b>Vendor Feedback</b>
Hwy Level of Service Evaluation	E1	Solution must be capable of storing annual datasets of 15,000+ one mile roadway/roadside segments and the attributes that describe characteristics of these segments.	_____
Hwy Level of Service Evaluation	E2	Solution must provide the ability to easily add/delete/update roadway/roadside segments and characteristics.	_____
Hwy Level of Service Evaluation	E3	Solution must provide the ability to import roadway/roadside segment data from an outside source.	_____
Hwy Level of Service Evaluation	E4	Solution must be capable of creating an evaluation roadway/roadside segment dataset through the random selection of segments from the statewide roadway/roadside dataset based on percentage, district, county, route, regions, and zones (climate and ADT).	_____
Hwy Level of Service Evaluation	E5	Solution must provide the ability to save evaluation data sets by year.	_____
Hwy Level of Service Evaluation	E6	Solution must provide the ability for a generated evaluation dataset to be available for review by the specified district staff.	_____
Hwy Level of Service Evaluation	E7	Solution must provide access to prior years' annual roadway/roadside segment datasets.	_____
Hwy Level of Service Evaluation	E8	Solution must provide access to prior years' evaluation datasets.	_____
Hwy Level of Service Evaluation	E9	Solution must be capable of generating evaluation forms providing details on the segments to be evaluated.	_____
Hwy Level of Service Evaluation	E10	Solution must provide the ability to record evaluation findings for each roadway segment in the evaluation dataset.	_____
Hwy Level of Service Evaluation	E11	Solution must provide users with ability to add/delete/modify the roadway or roadside assets and attributes displayed on the evaluation form.	_____
Hwy Level of Service Evaluation	E12	Solution must provide dashboards identifying progress on roadway segment evaluations.	_____
Hwy Level of Service Evaluation	E13	Solution must provide the ability to review and update evaluation findings.	_____
Hwy Level of Service Evaluation	E14	Solution must provide for complex statistical calculations based upon the hundred plus roadway/roadside attributes and the evaluation data recorded for those attributes,	_____

**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

**E. REQUIREMENTS LISTING FOR HIGHWAY LEVEL OF SERVICE EVALUATION.** Refer to RFI Section 2.5

<b>System</b>	<b>ID</b>	<b>Requirement</b>	<b>Vendor Feedback</b>
Hwy Level of Service Evaluation	E15	Solution must provide the ability to generate ad-hoc and standard reports by one or more user defined criteria (District, County, Region, Route, Element, Characteristic, etc.)	_____
Hwy Level of Service Evaluation	E16	Solution must provide the ability to generate reports comparing evaluation sample results from different years.	_____
Hwy Level of Service Evaluation	E17	Solution must provide the ability to generate histogram reports.	_____
Hwy Level of Service Evaluation	E18	Solution must limit user access based on system defined roles.	_____

Attachment 3, continued next page

**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

Refer to instructions in the first page of this Attachment 3.

**F. GENERAL REQUIREMENTS APPLYING TO ALL FUNCTIONS**

System	ID	Requirement	Vendor Feedback
All	F1	Solution must be web-based and operate in real time.	_____
All	F2	Solution shall support secure Internet access	_____
All	F3	Solution shall support interfaces with other applications (via flat file, web service, etc.)	_____
All	F4	Solution shall provide the ability to export datasets or reports to Excel.	_____
All	F5	Solution shall comply with Code of Federal Regulations Section 508 and California Government Code Section 11135 guidelines for accessibility	_____
All	F6	Solution shall provide, where appropriate, a listing of valid values at data entry (e.g., drop-down lists, pop-up windows, look-up tables)	_____
All	F7	Solution shall validate all user-entered values based on business rules (e.g., mandatory fields, valid entries)	_____
All	F8	Solution shall archive and purge data based on business rules and industry best practices; archive process and database must comply with Caltrans enterprise data architecture, internal audit, and security standards.	_____
All	F9	Solution shall utilize a table-driven, rules-based architecture to maximize system flexibility and minimize the need for code-level modifications to business logic, and to comply with changes in applicable federal and State law and regulations	_____
All	F10	Solution shall provide the ability for configuration and customization of field labels on forms and menus, so that they are consistent with Caltrans terminology	_____
All	F11	Solution shall comply with the Caltrans' IT architecture standards	_____
All	F12	Solution shall allow authorized user to modify business rules to accommodate legislative, policy, and procedural changes	_____
All	F13	Solution shall comply with Caltrans information security standards for web-based applications	_____
All	F14	Solution shall provide multiple levels of security to accommodate role-based security administration, according to Caltrans-defined user roles	_____

**ATTACHMENT 3 – SYSTEM REQUIREMENTS**

The information for system requirements A-F in Attachment 3 is required.

**F. GENERAL REQUIREMENTS APPLYING TO ALL FUNCTIONS**

System	ID	Requirement	Vendor Feedback
All	F15	Solution shall provide the ability to create and assign user IDs and passwords for stakeholders, both internal and external	_____
All	F16	Solution shall provide lock-out capability after a pre-defined number of unsuccessful user sign-on attempts	_____
All	F17	Solution shall provide automatic logout of users when there has been no activity for a pre-defined period, maintaining transaction integrity	_____
All	F18	Solution shall provide online help documentation that is indexed and searchable (i.e., alphabetical, topical, etc.)	_____
All	F19	Solution shall generate an audit record for all records and transactions, including but not limited to the following values: operator ID, workstation ID, IP address, date, and time	_____
All	F20	Solution shall prevent audit records from being physically deleted or altered, except as part of a system administration archival process	_____
All	F21	Solution shall provide audit-tracking reports for user access, usage logs, and key data structures	_____
All	F22	Solution shall provide online, web browser access 24X7, except during required maintenance and backups, or during unavailability due to off-hour batch processing	_____
All	F23	Solution shall adhere to Caltrans disaster recovery requirements	_____
All	F24	Solution shall provide maximum 0.75 second transaction-level response time during normal Caltrans business hours	_____
All	F25	Solution shall provide backup and recovery plans and procedures to comply with California State Administrative Manual, Section 5355 and Caltrans standards for operational recovery	_____

**ATTACHMENT 4 – ~~SYSTEM REQUIREMENTS~~ SUPPLEMENTAL INFORMATION**

Attachment 4 is for supplemental information only and not required. Refer to RFI Section 1.4, Required Information.

RESPONDENT'S NAME as indicated in prior pages: \_\_\_\_\_

Insert the supplemental information beginning with this page:

\_\_\_\_\_