

# **Solicitation RFP-PRO-FY13-0081**

## **Vector Control and Integrated Pest Management System**

**Bid designation: Public**



**County of Santa Clara**

## Bid RFP-PRO-FY13-0081

### Vector Control and Integrated Pest Management System

Bid Number RFP-PRO-FY13-0081  
 Bid Title Vector Control and Integrated Pest Management System

Bid Start Date Dec 28, 2012 10:40:09 AM PST  
 Bid End Date Jan 29, 2013 3:00:00 PM PST  
 Question & Answer End Date Jan 10, 2013 3:00:00 PM PST

Bid Contact Caroline Kho  
 Procurement Contract Specialist  
 408-491-7428  
 Caroline.Kho@proc.sccgov.org

Pre-Bid Conference Jan 8, 2013 10:00:00 AM PST  
 Attendance is optional  
 Location:  
 A non-mandatory pre-proposal conference will be held at 10:00 a.m. Pacific Time on Tuesday January 8, 2013. Participation can either be in person or via conference call. Attendance is strongly recommended.  
 Telephone Attendance:  
 1-866-398-2342  
 Access code – 3464536  
 The County does not guarantee an error free connection  
 In Person Attendance:  
 County of Santa Clara  
 1555 Berger Drive Bldg. 2  
 San Jose, CA, 95112  
 Check in with the receptionist on the 2nd Floor in order to be directed to the meeting room.

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Changes made on Jan 7, 2013 11:08:55 AM PST

Changes were made to the following items:  
[Vector Control and Integrated Pest Management System](#)

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#### Description

The County of Santa Clara (hereafter, "County") is requesting proposals from qualified contractors to provide a field data collection and vector/pest management system, which may include implementation services and minor customization, to support the County's Vector Control District (VCD) and County's Integrated Pest Management (IPM) program.

The objective of this Request for Proposal (RFP) is to identify a viable commercially available off-the-shelf replacement field data collection and vector/pest management system, one with an updated approach to field data collection, integration with [Geographic Information Systems](#) (GIS) and more efficient workflow and processes and which will offer the best value to the County. The targeted implementation date for the new system is for the Summer/Fall of 2013.

VCD's mission is to a) detect and minimize vector-borne diseases; b) to abate mosquitoes and c) to assist the public in resolving problems with rodents, wildlife, and insects of medical significance. VCD currently uses a commercially developed system called Vector Control Management System (VCMS); in the recent past, the contracted vendor has ceased updates and development of the product.

The County's IPM program's objective is to minimize and possibly eliminate human and environmental exposure to chemical hazards associated with pest management products. The IPM program currently utilizes a manual system for tracking and reporting. While VCD is the primary focus for the proposed system, due to the similar and/or common requirements, the County will be evaluating the proposed system for both VCD and IPM. The implementation of the selected system for VCD and IPM is intended to take place concurrently although circumstances might require different implementation cycles.

Offerors must submit only one proposal. The proposal must include solutions for both VCD and IPM; The County's goal is to have a single platform accommodating the requirements of both VCD and IPM. Additionally, the County will consider a county-hosted (on premise) or Application Service Provider (ASP) vendor hosted solution. Offerors may submit one or both types of solutions within their proposal. The proposed solution though must be a proven base system. The County is not interested in beta systems or purchasing professional services to design and develop a system. Proposals not meeting the mandatory requirements marked as such in Appendix B, Functionality and Integration Requirements Response Form, will not be considered for further evaluation.

This solicitation may result in a contract with a term of three (3) years with an option to renew for two (2) additional years, unless terminated earlier or otherwise amended.

The proposed system should help the County realize the following organizational benefits:

**For VCD:**

Replacement of the current Vector Control Management System (VCMS) which is obsolete and no longer fully supported;Flexible, intuitive workflow tracking and alerting;Improved reporting capabilities;Location history and surrounding (buffer) location information available on mobile units;Improved content types and workflows for non-mosquito vectors;Improved tracking of pesticide use;Integrated geospatial editing tools for both desktop and mobile deployments.

**For IPM:**

Replacement of an obsolete IPM-Pesticide Use Reporting System;Flexible, intuitive workflow tracking and alerting;Improved reporting capabilities;Location history and surrounding (buffer) location information available on mobile units;Improved content types and workflows for all pest management projects;Improved tracking of non-chemical and chemical control methods;Improved life cycle cost analysis and reporting capabilities;Integrated geospatial editing tools for both desktop and mobile deployments.

FOR BIDDERS' CONVENIENCE, ALL APPENDICES ARE ALSO PROVIDED IN MICROSOFT WORD FORMAT. SEE BELOW UNDER +DOCUMENTS+

Added on Jan 7, 2013:

**CORRECTION ON PRE-PROPOSAL CONFERENCE TELEPHONE LINE:**

Jan 8, 2013 10:00:00 AM PST

A non-mandatory pre-proposal conference will be held at 10:00 a.m. Pacific Time on Tuesday January 8, 2013. Participation can either be in person or via conference call. Attendance is strongly recommended.

Telephone Attendance:

1-888-398-2342 (**Area Code 888 not 866**)

Access code – 3464536

The County does not guarantee an error free connection

In Person Attendance:

County of Santa Clara  
1555 Berger Drive Bldg. 2  
San Jose, CA, 95112

Check in with the receptionist on the 2nd Floor in order to be directed to the meeting room.

Changes made on Jan 7, 2013 11:08:55 AM PST

**COUNTY OF SANTA CLARA, CALIFORNIA**



REQUEST FOR PROPOSAL #RFP-PRO-FY13-0081  
*for*  
VECTOR CONTROL and INTEGRATED PEST MANAGEMENT SYSTEM

ISSUED:  
December 28, 2012

PROPOSALS DUE DATE:  
January 29, 2013 by 3:00pm PACIFIC TIME

**PROCUREMENT DEPARTMENT  
2310 NORTH FIRST ST., SUITE 201  
SAN JOSE, CA 95131-1040**

Caroline Kho  
Procurement Contracts Specialist  
(408) 491-7428 or [caroline.kho@proc.sccgov.org](mailto:caroline.kho@proc.sccgov.org)

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All applicable Appendices must be submitted with the proposal.

**APPENDIX A - TECHNICAL REQUIREMENTS RESPONSE FORM**

- A1** for a COUNTY HOSTED SOLUTION
- A2** for an ASP (VENDOR HOSTED) SOLUTION

**APPENDIX B - FUNCTIONALITY AND INTEGRATION RESPONSE FORM**

**APPENDIX C - IMPLEMENTATION, PROJECT MANAGEMENT, TRAINING, AND ONGOING SUPPORT**

**APPENDIX D - PROPOSAL COST RESPONSE FORM**

**APPENDIX E - NON-COLLUSION DECLARATION**

**APPENDIX F - DECLARATION OF LOCAL BUSINESS**

**APPENDIX G**

- G1-** OFFEROR'S ACKNOWLEDGEMENT OF USER RESPONSIBILITY AND VENDOR REMOTE ACCESS STATEMENTS *(required when proposing a COUNTY HOSTED SOLUTION)*

- G2-** ASP SECURITY ASSESSMENT CHECKLIST *(required when proposing an ASP/VENDOR HOSTED SOLUTION)*

**APPENDIX H - OFFEROR'S TERMS AND CONDITIONS**

**ATTACHMENTS**

The attachments listed below are for reference only and do not have to be submitted with the proposal.

**ATTACHMENT 1 - COUNTY OF SANTA CLARA STANDARD TERMS AND CONDITIONS**

**ATTACHMENT 2 - INSURANCE REQUIREMENTS**

**ATTACHMENT 3 - USER RESPONSIBILITY AND VENDOR REMOTE ACCESS STATEMENTS**

**ATTACHMENT 4 - VCD IPM PROCESS FLOW**

**ATTACHMENT 5 - COMPLIANCE/OPERATIONS, STATISTICAL/BUSINESS REPORTS**

## INTRODUCTION

## I. INTRODUCTION

### A. INVITATION

The County of Santa Clara (hereafter, "County") is requesting proposals from qualified contractors to provide a field data collection and vector/pest management system, which may include implementation services and minor customization, to support the County's Vector Control District (VCD) and County's Integrated Pest Management (IPM) program.

The objective of this Request for Proposal (RFP) is to identify a viable commercially available off-the-shelf replacement field data collection and vector/pest management system, one with an updated approach to field data collection, integration with Geographic Information Systems (GIS) and more efficient workflow and processes and which will offer the best value to the County. The targeted implementation date for the new system is for the Summer/Fall of 2013.

VCD's mission is to a) detect and minimize vector-borne diseases; b) to abate mosquitoes and c) to assist the public in resolving problems with rodents, wildlife, and insects of medical significance. VCD currently uses a commercially developed system called Vector Control Management System (VCMS); in the recent past, the contracted vendor has ceased updates and development of the product.

The County's IPM program's objective is to minimize and possibly eliminate human and environmental exposure to chemical hazards associated with pest management products. The IPM program currently utilizes a manual system for tracking and reporting.

While VCD is the primary focus for the proposed system, due to the similar and/or common requirements, the County will be evaluating the proposed system for both VCD and IPM. The implementation of the selected system for VCD and IPM is intended to take place concurrently although circumstances might require different implementation cycles.

Offerors must submit only one proposal. The proposal must include solutions for both VCD and IPM; The County's goal is to have a single platform accommodating the requirements of both VCD and IPM.

Additionally, the County will consider a county-hosted (on premise) or Application Service Provider (ASP) vendor hosted solution. Offerors may submit one or both types of solutions within their proposal. The proposed solution though must be a proven base system. The County is not interested in beta systems or purchasing professional services to design and develop a system.

Proposals not meeting the mandatory requirements marked as such in Appendix B, Functionality and Integration Requirements Response Form, will not be considered for further evaluation.

The proposed system should help the County realize the following organizational benefits:

***For VCD:***

1. Replacement of the current Vector Control Management System (VCMS) which is obsolete and no longer fully supported;
2. Flexible, intuitive workflow tracking and alerting;

## INTRODUCTION

3. Improved reporting capabilities;
4. Location history and surrounding (buffer) location information available on mobile units;
5. Improved content types and workflows for non-mosquito vectors;
6. Improved tracking of pesticide use;
7. Integrated geospatial editing tools for both desktop and mobile deployments.

### ***For IPM:***

1. Replacement of an obsolete IPM-Pesticide Use Reporting System;
2. Flexible, intuitive workflow tracking and alerting;
3. Improved reporting capabilities;
4. Location history and surrounding (buffer) location information available on mobile units;
5. Improved content types and workflows for all pest management projects;
6. Improved tracking of non-chemical and chemical control methods;
7. Improved life cycle cost analysis and reporting capabilities;
8. Integrated geospatial editing tools for both desktop and mobile deployments.

A non-mandatory pre-proposal conference will be held on the date and site as indicated in Section II of this RFP.

This solicitation may result in a contract with a term of three (3) years with an option to renew for two (2) additional years, unless terminated earlier or otherwise amended.

## **B. BACKGROUND**

### *1. County of Santa Clara*

Santa Clara County (SCC) is the fifth most populous County in California, with a population of nearly 1.8 million people. The County contains fifteen cities, encompassing approximately 1,300 square miles, which have large concentrations of electronics, research and manufacturing firms. Santa Clara County is the fifth-largest County government in the State and has an estimated workforce of 15,000.

The County organizational structure includes a decentralized mix of approximately 50 semi-autonomous County Agencies and Departments. The County provides services such as public safety and justice, road construction and maintenance, parks and recreation, libraries, and environmental resource management. It also operates "enterprise" programs, which charge fees to users for services. Two examples are the Santa Clara Valley Medical Center and the County airports. The County acts as an agent of the State in administering health, social services, and criminal justice programs that are of statewide concern.

The County is governed by a five member Board of Supervisors who is elected by district to serve four-year terms. The County Executive administers the day-to-day affairs of the County and is appointed by the Board of Supervisors.

## INTRODUCTION

### 2. *Vector Control District (VCD)*

The Santa Clara County Vector Control District (VCD) exists within the Santa Clara County (County) Environmental Health Department and currently provides mosquito, domestic rat, other vector and disease control services, and harmful wildlife control throughout Santa Clara County.

The Vector Control District has been providing its public health protection services to the County for over twenty (20) years. VCD's services, which are provided throughout its service area, encompass approximately 1,291 square miles. VCD is managed by County staff and is governed by the Santa Clara County Board of Supervisors, who act as the District's Board of Trustees.

### 3. *Integrated Pest Management (IPM) Program*

The Santa Clara County's IPM Program is a countywide program, established in May 2002 with the passage of IPM & pesticide use ordinance (Division B28). The IPM Program's intent is to eliminate human and environmental exposure to chemical hazards associated with pest management products and services in non-agriculture environments, by employing environmental services operations that focus on pest prevention emphasizing non-chemical strategies. The IPM Program is managed by the County IPM Manager and exists within the Office of the County Executive. The IPM Program provides IPM guidance and coordination to all pest management projects on county owned or managed facilities and grounds. This includes pest management in 188+ structures, 100+ acres of urban turf and landscape, 300+ acres of recreational landscapes in regional parks, 45000+ plus acres of natural resource management areas, 2000+ acres of roadsides and 500+ acres of three regional airports.

From IPM operational and logistical perspective, County agencies and departments are divided into six (6) user groups, namely: 1) Facilities and Fleet (FAF); 2) Health and Hospital (HHS); 3) Roads and Airports (RDA); 4) Parks and Recreation (PRK); 5) Social Services Agency (SSA); and 6) Libraries (LIB). The ordinance requires the County IPM Manager to report to the Board of Supervisors on the progress of the IPM Program (including pest management activities and pesticide use). In addition, the IPM Manager is tasked with the following functions: 1) maintenance of an approved list of pesticides; 2) direct departmental implementation of the IPM projects; 3) education on the IPM approach to County workers and the public; 4) maintenance of records; and 5) evaluation of Program effectiveness.

### 4. *Technical Environment*

County's technical standards are Intel platform, Windows operating system for servers. The desktop/laptops are mostly Windows based (Windows XP SP3 or Windows 7); however, Mac OS X laptops are also used.

#### Remote Access Methods

- Cisco ASA IPSec VPN
- Juniper SSL VPN
- Microsoft ISA
- County hosted web servers
- External (cloud) hosted web servers



## INTRODUCTION

**Applications**

- ESRI Arc GIS Server
- Kronos and PeopleSoft for time entry and payroll
- Work order systems – Archibus, and Mainstar

**SERVER**

|                  |                          |
|------------------|--------------------------|
| Operating System | Windows Server 2008 R2 + |
| Hardware         |                          |
| LDAP Servers     | Active Directory         |

**DESKTOP/LAPTOP**

|                  |                            |
|------------------|----------------------------|
| Operating System | Windows XP SP3+, Windows 7 |
| Hardware         | Standard PC                |
| Monitor          | 19" – 24"                  |
| Resolution       | 1280 by 1024               |
|                  |                            |

**MOBILE DEVICE**

|                  |  |
|------------------|--|
| Model            | iPAQ hx2490b, Trimble Juno SB, and iPhones |
| Operating System | Windows Mobile 5.0 - 6.5 and iOS           |
|                  |  |

**C. PROJECT SCOPE OF WORK**

This solicitation is for a comprehensive Vector Control and Integrated Pest Management system including field data collection which is to include all related equipment, software, and support services required for the installation and operation of the proposed solution. The complete scope of work is dependent upon the purchased solution. The installation may consist of: a) planning; b) organizing and implementing the base system on Contractor supplied equipment and integrating it with County supplied equipment; c) training County users and technical support staff in the use and operation of the system; d) implementation services and minor customization; and e) providing technical support and maintenance upgrades. Interfaces or data file uploads from several existing systems may also be required.

The selected system is intended to fully replace the County Vector Control District's existing VCMS system.

IPM Program currently utilizes a paper based system and process; the selected system is expected to provide an online automated system.

## INTRODUCTION

**D. POINT OF CONTACT:**

The County has designated a Procurement Officer who is responsible for the conduct of this procurement whose name, address and telephone number is listed below:

**Caroline Kho, Procurement Contracts Specialist**

County of Santa Clara Procurement Department

2310 North First Street, Suite 201

San Jose, CA 95131-1040

Telephone: 408-491-7428

Fax: 408-938-2804

E-mail: [caroline.kho@proc.sccgov.org](mailto:caroline.kho@proc.sccgov.org)

Any inquiries or requests regarding this procurement must be submitted to the Procurement Officer in writing. Offerors may contact ONLY the Procurement Officer regarding this RFP.

## CONDITIONS GOVERNING THE PROCUREMENT

## II. CONDITIONS GOVERNING THE PROCUREMENT

This section of the RFP contains the anticipated schedule for the procurement and describes the procurement events as well as the conditions governing the procurement.

### A. SEQUENCE OF EVENTS AND CONTACT INFORMATION

The Procurement Officer will make every effort to adhere to the following *anticipated* schedule:

|    |   |  |
|----|---|--|
| 1  | Issue of RFP  | December 28, 2012                          |
| 2. | Pre-Proposal Conference   | January 8, 2013<br>at 10:00am Pacific Time |
| 3  | Deadline to Submit Written Questions  | January 10, 2013<br>at 3:00pm Pacific Time |
| 4  | Response to Written Questions/RFP Addendum  | January 15, 2013                           |
| 5  | <b>Submission of Proposals</b>  | January 29, 2013<br>at 3:00pm Pacific Time |
| 6  | Proposal Evaluation   | January 30, 2013 thru<br>February 15, 2013 |
| 7  | Selection of Shortlist Offerors (if applicable)   | Week of February 18, 2013                  |
| 8  | Tentative dates for Demonstrations/ Presentations<br>(County option)                        | February 25, 2013 thru<br>March 8, 2013    |
| 9  | Selection of Finalist/s for Negotiations, <i>if applicable</i>                              | Week of March 11, 2013                     |
| 10 | Final Negotiations and/or Best and Final Offeror<br>(BAFO), and finalize and award contract | March thru April 2013                      |
| 11 | Commencement of Contract  | May 2013                                   |
| 12 | Anticipated Go-Live Date  | Summer/Fall 2013                           |

### B. EXPLANATION OF EVENTS

#### 1. ISSUE OF RFP

This RFP is being issued by the County of Santa Clara Procurement Department. Copies of this RFP including supporting documents may be obtained from Bidsync's web site at <http://www.bidsync.com>

#### 2. PRE-PROPOSAL CONFERENCE

A non-mandatory pre-proposal conference will be held at 10:00 a.m. Pacific Time on Tuesday January 8, 2013. Participation can either be in person or via conference call. **Attendance is strongly recommended.**

Telephone Attendance:

[1-866-398-2342](tel:1-866-398-2342)

[Access code – 3464536](tel:3464536)

The County does not guarantee an error free connection

## CONDITIONS GOVERNING THE PROCUREMENT

*In Person Attendance:*  
County of Santa Clara  
1555 Berger Drive Bldg. 2  
San Jose, CA, 95112

Check in with the receptionist on the 2<sup>nd</sup> Floor in order to be directed to the meeting room.

**3. DEADLINE TO SUBMIT WRITTEN QUESTIONS**

Vendors may submit additional written questions as to the intent or clarity of this RFP on or before the date indicated on Paragraph A of Section II. All written questions must be submitted to the Procurement Officer as listed in Paragraph D of Section 1 via email with the questions contained in the body of the email or in an attached Microsoft Word document format. The Procurement Officer will not respond to questions submitted in any other manner or format.

**4. RESPONSE TO WRITTEN QUESTIONS/RFP AMENDMENTS**

Written responses to written questions regarding the substance of the RFP, and any material changes to the RFP, will be issued as an addendum, and posted on <http://www.bidsync.com>. The County reserves the right to post addenda until the RFP closing date and time.

**5. SUBMISSION OF PROPOSAL**

Proposals must be received **no later than the deadline specified in paragraph A of Section II**. All received proposals will be time stamped.

All deliveries via express carrier should be addressed as follows:

Caroline Kho, Procurement Contracts Specialist – RFP-PRO-FY13-0081  
Procurement Department  
County of Santa Clara  
2310 North First St., Suite 201  
San Jose, CA 95131-1040

Proposals must be sealed and labeled on the outside of the package to clearly indicate that they are in response to the RFP # and title as referenced on the cover page.

**6. PROPOSAL EVALUATION**

An Evaluation Committee will review and evaluate the proposals and make a recommendation for an award. The Procurement Officer may, at his or her option, initiate discussion with Offerors who submit responsive or potentially responsive proposals for the purpose of clarifying aspects of the proposals. Proposals may be accepted and evaluated without such discussion. The Procurement Officer shall determine the appropriate means of clarification: telephonic, e-mail, letter, or oral interviews.

## CONDITIONS GOVERNING THE PROCUREMENT

All contacts from Offerors pertaining to this RFP must be directed in writing exclusively to the County's Procurement Officer. Offerors shall not attempt to contact any other County personnel related to this RFP unless authorized by the Procurement Officer. Discussions MUST NOT be initiated by the Offerors.

7. **SELECTION OF SHORT LIST {If applicable}**

Offerors that demonstrate their capacity, ability and capability to meet the County's requirements will be determined to be within the competitive range and selected on the shortlist of Offerors to progress to the next round of evaluation.

8. **DEMONSTRATIONS/PRESENTATIONS {County option}**

At County's option, Offerors may be required to perform a demonstration/presentation of their proposed solution. Demonstrations/presentations will be held on-site at a County location, although remote/on-line demonstrations may be considered. The date, time, and location are to be determined, but a tentative date has been identified in Section II.A.

9. **SELECTION OF FINALIST FOR NEGOTIATIONS {If applicable}**

At County's option, one or more Offerors may be selected as finalists and invited to enter into negotiations with the County and/or proceed to the next round of evaluations.

10. **FINAL NEGOTIATIONS and/or BAFO, FINALIZE AND AWARD CONTRACT**

At the County's option, one or more Offerors may be selected to enter into final negotiations with the intent of award. Offerors may be given an opportunity to provide a Best and Final Offer.

As part of this phase and without limiting to the tasks listed here, County may require the following: a) Offerors may be asked to perform further, more in-depth demonstration/presentation based on County's business operational scenarios; b) County may conduct an on-site visit to one or more of the Offeror's provided references to view the proposed software in a production mode. The choice of reference site shall be made by the County; and c) County may hold further discussions with Offeror with respect to the Statement of Work, terms and conditions and final cost.

11. **COMMENCEMENT OF CONTRACT**

The date the contract will become effective.

12. **ANTICIPATED GO-LIVE DATE**

The date the new system is expected to be operational and in production mode.

## CONDITIONS GOVERNING THE PROCUREMENT

**C. GENERAL****1. INCURRING COST**

This RFP does not commit the County to award, nor does it commit the County to pay any cost incurred in the submission of the Proposal, or in making necessary studies or designs for the preparation thereof, nor procure or contract for services or supplies. Further, no reimbursable cost may be incurred in anticipation of a contract award.

**2. CLAIMS AGAINST THE COUNTY OF SANTA CLARA**

Neither your organization nor any of your representatives shall have any claims whatsoever against the County or any of its respective officials, agents, or employees arising out of or relating to this RFP or these RFP procedures, except as set forth in the terms of a definitive agreement between the County and your organization.

**3. GUARANTEE OF PROPOSAL**

Responses to this RFP, including proposal prices, will be considered firm and irrevocable for one-hundred and eighty (180) days after the due date for receipt of proposals and/or one-hundred eighty (180) days after receipt of a best and final offer, if one is submitted.

**4. BASIS FOR PROPOSAL**

Only information supplied by the County in writing by the Procurement Officer in connection with this RFP should be used as the basis for the preparation of Offeror's proposal.

**5. FORM OF PROPOSALS**

No oral, telephone, facsimile, or electronic proposals will be accepted.

**6. AMENDED PROPOSAL**

An Offeror may submit an amended proposal before the deadline for receipt of proposals. Such amended proposals must be complete replacements for a previously submitted proposal and must be clearly identified in a written format. The County personnel will not merge, collate, or assemble proposal materials.

**7. WITHDRAWAL OF PROPOSAL**

Offerors will be allowed to withdraw their proposals at any time prior to the deadline for receipt of proposals. The Offeror must submit a written withdrawal request signed by the Offeror's duly authorized representative addressed to the Director of Procurement and submitted to the Procurement Officer.

## CONDITIONS GOVERNING THE PROCUREMENT

**8. LATE RESPONSES**

In order for a proposal to be considered, the proposal must be received in person or via courier or mail to the place specified above no later than the RFP due date and time. The Procurement Department time and date stamp will be the basis for determining timeliness of proposals.

**9. NO PUBLIC PROPOSAL OPENING**

There will be no public opening for this RFP.

**10. CALIFORNIA PUBLIC RECORDS ACT (CPRA)**

All proposals become the property of the County, which is a public agency subject to the disclosure requirements of the California Public Records Act ("CPRA"). If Contractor proprietary information is contained in documents submitted to County, and Contractor claims that such information falls within one or more CPRA exemptions, Contractor must clearly mark such information "CONFIDENTIAL AND PROPRIETARY," and identify the specific lines containing the information. In the event of a request for such information, the County will make best efforts to provide notice to Contractor prior to such disclosure. If Contractor contends that any documents are exempt from the CPRA and wishes to prevent disclosure, it is required to obtain a protective order, injunctive relief or other appropriate remedy from a court of law in Santa Clara County before the County's deadline for responding to the CPRA request. If Contractor fails to obtain such remedy within County's deadline for responding to the CPRA request, County may disclose the requested information.

Contractor further agrees that it shall defend, indemnify and hold County harmless against any claim, action or litigation (including but not limited to all judgments, costs, fees, and attorney's fees) that may result from denial by County of a CPRA request for information arising from any representation, or any action (or inaction), by the Contractor.

**11. CONFIDENTIALITY**

All data and information obtained from the County of Santa Clara by the Offeror and its agents in this RFP process, including reports, recommendations, specifications and data, shall be treated by the Offeror and its agents as confidential. The Offeror and its agents shall not disclose or communicate this information to a third party or use it in advertising, publicity, propaganda, or in another job or jobs, unless written consent is obtained from the County. Generally, each proposal and all documentation, including financial information, submitted by an Offeror to the County is confidential until a contract is awarded, when such documents become public record under state and local law, unless exempted under CPRA.

**12. ELECTRONIC MAIL ADDRESS**

Most of the communication regarding this procurement will be conducted by electronic mail (e-mail). Potential Offerors agree to provide the Procurement Officer with a valid e-mail address to receive this correspondence.

## CONDITIONS GOVERNING THE PROCUREMENT

**13. USE OF ELECTRONIC VERSIONS OF THE RFP**

This RFP is being made available by electronic means. If accepted by such means, the Offeror acknowledges and accepts full responsibility to insure that no changes are made to the RFP. In the event of conflict between a version of the RFP in the Offeror's possession and the version maintained by the Procurement Department the version maintained by the Procurement Department must govern.

**14. COUNTY RIGHTS**

The County reserves the right to do any of the following at any time:

- a. Reject any or all proposal(s), without indicating any reason for such rejection;
- b. Waive or correct any minor or inadvertent defect, irregularity or technical error in a proposal or the RFP process, or as part of any subsequent contract negotiation;
- c. Request that Offerors supplement or modify all or certain aspects of their proposals or other documents or materials submitted;
- d. Terminate the RFP, and at its option, issue a new RFP;
- e. Procure any equipment or services specified in this RFP by other means;
- f. Modify the selection process, the specifications or requirements for materials or services, or the contents or format of the proposals;
- g. Extend a deadline specified in this RFP, including deadlines for accepting proposals;
- h. Negotiate with any or none of the Offerors;
- i. Modify in the final agreement any terms and/or conditions described in this RFP;
- j. Terminate failed negotiations with an Offeror without liability, and negotiate with other Offerors;
- k. Disqualify any Offeror on the basis of a real or apparent conflict of interest, or evidence of collusion that is disclosed by the proposal or other data available to the County;
- l. Eliminate, reject or disqualify a proposal of any Offeror who is not a responsible Offeror or fails to submit a responsive offer as determined solely by the County; and/or
- m. Accept all or a portion of an Offeror's proposal.

**15. ASSIGNMENT OF CLAYTON ACT, CARTWRIGHT ACT CLAIMS**

In submitting a response to a solicitation issued by the County, the responding person and/or entity offers and agrees that if the response is accepted, it will assign to the County all rights, title, and interest in and to all causes of action it may have under Section 4 of the Clayton Act (15 U.S.C. Sec. 15) or under the Cartwright Act (Chapter 2 (commencing with Section 16700) of Part 2 of Division 7 of the Business and Professions Code), arising from purchases of goods, materials, or services by the responding person and/or entity for sale to the County pursuant to the solicitation document. Such assignment shall be made and become effective at the time the County tenders final payment to the responding person and/or entity.



## RESPONSE FORMAT AND ORGANIZATION

### III. RESPONSE FORMAT AND ORGANIZATION

This section contains relevant information Offerors should use for the preparation of their proposals.

#### A. NUMBER OF RESPONSES

Offerors must submit only one proposal. However, an Offeror may propose a County hosted solution, an Application Service Provider (ASP) solution or both solutions. If multiple options are proposed, the Offeror must clearly identify their intent and respond using the applicable documents and forms.

#### B. ORIGINAL AND COPIES

Offerors must provide one (1) original and six (6) identical copies of their proposal to the location specified on or before the closing date and time for receipt of proposals.

The original binder/submittal must be stamped "ORIGINAL" and contain original signatures on the necessary forms. The remaining sets should be copies of the originals.

Offerors must also provide two (2) electronic copies of their proposal in CD-ROM format, readable by Microsoft Office 2003 (Word, Excel and Project) software. **The two (2) CDs shall be included in the ORIGINAL binder.**

#### C. PROPOSAL FORMAT

All proposals shall be typewritten on standard 8 ½ x 11 paper (larger paper is permissible for charts, spreadsheets, etc.) and placed within a binder with tabs delineating each section. Hard copies should utilize both sides of the paper where practical.

##### 1. LETTER OF TRANSMITTAL

Each proposal received must include a letter of transmittal. The letter of transmittal should:

- a. Identify the submitting organization;
- b. Identify the name, title, telephone and fax numbers, and e-mail address of the person authorized by the organization to contractually obligate the organization;
- c. Identify the name, title, telephone and fax numbers, and e-mail address of the person authorized to negotiate the contract on behalf of the organization;
- d. Identify the names, titles, telephone and fax numbers, and e-mail addresses of persons to be contacted for clarification;
- e. Be signed by the person authorized to contractually obligate the organization; and
- f. Acknowledge receipt of any and all addenda to this RFP; and identify all sections of the proposal that the Offeror claims contain "proprietary" or "confidential" information.

## RESPONSE FORMAT AND ORGANIZATION

**2. PROPOSAL ORGANIZATION**

The proposal should be organized and indexed in the following format and must contain, at a minimum all listed items in the sequence indicated:

Tab 1: Letter of Transmittal

Tab 2: Table of Contents

Tab 3: Executive Summary

Tab 4: Section V – A: Offeror's Corporate Information, **Items 1 – 5**

Tab 5: Appendix A (A1 and/or A2): Technical Requirements Response Form

Tab 6: Appendix B: Functionality and Integration Response Form

Tab 7: Appendix C: Implementation, Project Management, Training and On-going Support Response Form

Tab 8: Appendix E: Non-collusion Declaration Form

Tab 9: Appendix F: Declaration of Local Business, if applicable.

Tab 10: Appendix G1: Offeror's Acknowledgement to User Responsibility and Vendor Remote Access Statements, *if applicable*

*and/or*

Appendix G2: ASP Checklist Assessment Checklist, *if applicable*.

Tab 11: Appendix H: Offeror's Terms and Conditions

**APPENDIX D: PROPOSAL COST RESPONSE FORM**

*Offeror must submit its proposed system and services solution and price structure. The ORIGINAL document must be submitted in a sealed envelope marked "APPENDIX D - ORIGINAL." In addition, Offeror must submit two (2) copies in a separate sealed envelope marked "APPENDIX D - COPIES."*

**3. PROPOSAL PREPARATION INSTRUCTIONS**

Within each section of their proposal, Offerors should address the items in the order in which they appear in this RFP. All forms provided in the RFP shall be thoroughly completed and included in the appropriate section of the proposal.

**4. NON-CONFORMING SUBMISSIONS**

A submission may be construed as a non-confirming proposal, ineligible for consideration or incomplete if it does not comply with the requirement of this RFP.

## EVALUATION

**IV. EVALUATION****A. FACTORS**

The **Evaluation Criteria** listed below will be utilized in the evaluation of the Offeror's written proposals and demonstration/presentation accordingly. The expectation is that those proposals in the competitive range may be considered for contract award. The proposal should give clear, concise information in sufficient detail to allow an evaluation based on the criteria below. An Offeror must be acceptable in all criteria for a contract to be awarded to that Offeror whose proposal provides the best value to the County.

1. Corporate strength, experience, financial strength, references and reputation of Offeror;
2. Ability to meet technical requirements;
3. Ability to meet functionality and integration requirements;
4. Methodology for implementation, project management, training, and ongoing support; and
5. Local Preference.

*The overall total cost to the County will be considered and the degree of the importance of cost will increase with the degree of equality of the proposals in relation to the other factors on which selection is to be based.*

**B. LOCAL BUSINESS PREFERENCE**

In accordance with applicable sections of Board Policy, Section 5.3.13, in the formal solicitation of goods or services, the County of Santa Clara shall give responsive and responsible Local Businesses the preference described below.

"Local Business" means a lawful business with a physical address and meaningful "production capability" located within the boundary of the County of Santa Clara.

The term "production capability" means sales, marketing, manufacturing, servicing, or research and development capability that substantially and directly enhances the firm's or bidder's ability to perform the proposed contract. Post Office box numbers and/or residential addresses may not be used as the sole bases for establishing status as a "Local Business."

In the procurement of goods or services in which best value is the determining basis for award of the contract, five percent (5%) of the total points awardable will be added to the Local Business score.

When a contract for goods or services, as defined in this policy, is presented to the Board of Supervisors for approval, the accompanying transmittal letter shall include a statement as to whether the proposed vendor is a Local Business, and whether the application of the local preference policy was a decisive factor in the award of the proposed contract.

This Local Business preference shall not apply to the following:

1. Public works contracts,
2. Where such a preference is precluded by local, state or federal law or regulation,
3. Contracts funded in whole or in part by a donation or gift to the County where the special conditions attached to the donation or gift prohibits or conflicts with this preference policy.

## EVALUATION

The donation or gift must be approved or accepted by the Board of Supervisors in accordance with County policy, or

4. Contracts exempt from solicitation requirements under an emergency condition in accordance with board policy, state law and/or the County of Santa Clara Ordinance Code (Section A34-82).

In order to be considered for Local Preference, proposer must complete and submit Declaration of Local Business with its RFP response.

## REQUIREMENTS AND OFFEROR SUBMITTAL

**V. REQUIREMENTS AND OFFEROR SUBMITTAL**

This section contains requirements and relevant information Offerors should use for the preparation of their proposals. Offerors should thoroughly respond to each requirement.

**A. OFFEROR'S CORPORATE INFORMATION****1. EXECUTIVE SUMMARY**

Include an executive summary which should be a one or two page summary intended to provide the Evaluation Committee with an overview of the significant business features of the proposal.

**2. OFFEROR EXPERIENCE/INFORMATION**

The Offeror shall include in their proposal a statement of relevant experience. The Offeror should thoroughly describe, in the form of a narrative, its experience and success as well as the experience and success of subcontractors, if applicable in providing and/or supporting the proposed system.

In addition, Offerors are required to provide the following information:

- a. Offerors shall provide the company name, business address, including headquarters, all local offices, co-location locations (city/state), and telephone numbers.
- b. Offerors shall provide the length of time they have been providing their solution including any ASP and/or vendor hosted services, if applicable.
- c. Offerors shall indicate any offices or facilities located within the County of Santa Clara that substantially and directly enhances the Offeror's ability to perform the proposed contract.
- d. Offerors shall provide a description of the Offeror's organization, including names of principals, number of employees, client base, areas of specialization and expertise, and any other information that will assist the Evaluation Committee in formulating an opinion about the stability and strength of the organization.
- e. Offerors shall provide the name of the jurisdiction in which the Offeror is organized and the date of such organization.
- f. Offerors shall provide a description of the depth of their experience with providing installation services / assistance and supporting the proposed system.
- g. Offerors shall provide a discussion of the type and duration of the business relationship with the manufacturer(s) whose products are included in the proposed systems.

## REQUIREMENTS AND OFFEROR SUBMITTAL

- h. Offeror must identify the physical location of the application and data storage facilities if an ASP or cloud based solution are proposed.
- i. Offeror shall describe the method used for change management and advance notification timeframe for application changes.
- j. Offeror shall describe the data security guarantee (data encryption, data mining, and data mismanagement penalties (leakage, etc.) if an ASP or cloud based solution is proposed.
- k. Provide a complete disclosure if Offeror, its subsidiaries, parent, other corporate affiliates, or subcontractors have defaulted in its performance on a contract during the past five years which has led the other party to terminate the contract. If so, identify the parties involved and the circumstances of the default or termination.
- l. A list of any lawsuits filed against the Offeror, its subsidiaries, parent, other corporate affiliates, or subcontractors in the past five years and the outcome of those lawsuits. Identify the parties involved and circumstances. Also, describe any civil or criminal litigation or investigation pending.
- m. Offeror shall list and describe their top three comparative advantages over its competitors.
- n. Offeror shall list and describe applicable patents.
- o. Offeror shall disclose any publicly pending acquisitions.

**3. FINANCIAL STABILITY/OFFEROR FINANCIAL INFORMATION**

Offeror shall submit copies of the most recent years independently audited financial statements, as well as those for the preceding three years, if they exist. The submission shall include the audit opinion, balance sheet, income statement, retained earnings, cash flows, and notes to the financial statements. If independently audited financial statements do not exist for the Offeror, the Offeror shall state the reason and, instead, submit sufficient information such as the latest Dun and Bradstreet report to enable the Evaluation Committee to determine the financial stability of the Offeror. The Procurement Officer may request and the Offeror shall supply any additional financial information requested in a timely manner.

**4. PAST PERFORMANCE (REFERENCES)**

The Offeror's proposal shall include three different external references from clients who a) have completed their projects in the last three years; b) has the proposed system currently in production mode; and c) who is willing to validate the Offeror's past performance on similar projects of size and scope. The minimum information that shall be provided for each client reference follows:

## REQUIREMENTS AND OFFEROR SUBMITTAL

1. Name of the contact person;
2. Name of the company or governmental entity;
3. Address of the contact person;
4. Telephone number of contact person;
5. Email address of the contact person;
6. A description of the services provided and dates the services were provided;

**5. INDEMNITY AND INSURANCE REQUIREMENTS**

Offerors shall provide a certificate(s) of insurance or a copy insurance declaration page(s) with their proposals as written evidence of their ability to meet the insurance certificate and other applicable County insurance requirements in accordance with the provisions listed in Attachment 2 of the RFP. In addition, Offerors should provide a letter from an insurance agent or other appropriate insuring authority documenting their willingness and ability to endorse their insurance policies making the County an additional insured.

**B. TECHNICAL REQUIREMENTS (APPENDIX A)**

The County is seeking a contractor to provide a complete solution to satisfy the technical, functionality, and integration requirements and one who is capable of providing the stated capacity and service levels as well as the training and technical support required to maintain the system in an operational status.

The technical requirements are to be defined referencing the requirements in Appendices A1 and/or A2. Offerors submitting a proposal for an on premise solution (i.e., a system located on County network, County hosted) must complete Appendix A1; whereas Offerors submitting a proposal for an ASP solution (vendor hosted) must complete Appendix A2. Offerors submitting a proposal for both types of solutions must complete Appendices A1 and A2.

Offerors must submit a thorough narrative supported by references to the technical documentation in response to questions asked in Appendix A1 and/or Appendix A2.

**C. FUNCTIONALITY AND INTEGRATION REQUIREMENTS (APPENDIX B)**

The County is seeking a contractor to provide a complete solution to satisfy the technical, functionality, and integration requirements and one who is capable of providing the stated capacity and service levels as well as the training and technical support required to maintain the system in an operational status.

The functional and integration requirements are to be defined referencing the requirements in Appendix B. Offerors must complete and submit with their proposal the functional and integration requirements referenced in Appendix B. **Offerors submitting a proposal for both types of solutions must submit a separate Appendix B for each solution.**

## REQUIREMENTS AND OFFEROR SUBMITTAL

**D. IMPLEMENTATION, PROJECT MANAGEMENT, TRAINING, AND ONGOING SUPPORT (APPENDIX C)**

The implementation, project management, training, and ongoing support requirements are to be defined referencing the requirements in Appendix C. Offerors submitting a proposal for either a client server solution or ASP solution must complete Appendix C.

Offerors submitting a proposal for both type of Solution (ASP and County hosted) shall submit only one Appendix C, assuming the proposed implementation, project management, training and ongoing support is the same for both solutions.

Offerors must submit a thorough narrative supported by references to the implementation, project management, training, and ongoing support in response to questions asked in the Appendix.

**E. COST PROPOSAL (APPENDIX D)**

Offerors shall complete all pages of the respective Proposal Cost Response Form and submit it in a sealed envelope with their proposal. The proposed costs shall directly relate to the Project Work Plan.

**F. OTHER SUBMITTALS****1. NON-COLLUSION DECLARATION (APPENDIX E)**

Offerors shall complete and submit Non-collusion Declaration form with their proposal.

**2. DECLARATION OF LOCAL BUSINESS (APPENDIX F)**

Offerors shall complete and submit Declaration of Local Business form with their proposal, if applicable.

**3a. OFFEROR'S ACKNOWLEDGEMENT OF USER RESPONSIBILITY AND VENDOR ACCESS STATEMENT (APPENDIX G1)**

Attachment 3 lists the User Responsibility and Vendor Remote Access Statements. If offering a county-hosted solution, Offerors shall acknowledge agreement to abide by the terms and conditions of Attachment 3.

Should Offerors object to any of the terms and conditions, Offerors must propose specific alternative language and indicate the reason for their objection. The County may or may not accept the alternative language.

**3b. ASP SECURITY ASSESSMENT CHECKLIST (APPENDIX G2)**

Offerors submitting a proposal for an ASP solution must submit the ASP Security Assessment Checklist form with the proposal.



## REQUIREMENTS AND OFFEROR SUBMITTAL

**4. OFFEROR'S TERMS AND CONDITIONS (APPENDIX H)**

Should Offerors object to any of the County's terms and conditions listed in ATTACHMENT 1, Offerors must propose specific alternative language and indicate the reason for their objection. The County may or may not accept the alternative language. General references to the Offeror's terms and conditions or attempts at complete substitutions are not acceptable to the County. Offerors must provide a brief discussion of the purpose and impact, if any, of each proposed change followed by the specific proposed alternate wording.

In addition, Offerors must submit with their proposal any additional terms and conditions that they expect to have included in the contract negotiated with the County. Offerors must provide specific proposed wording and a brief discussion of the purpose and impact, if any. Include any applicable agreement, such as license, service level, maintenance, etc.

Appendix A1  
TECHNICAL REQUIREMENTS RESPONSE FORM FOR A COUNTY HOSTED SOLUTION

**APPENDIX A1**  
**TECHNICAL REQUIREMENTS RESPONSE FORM FOR A**  
**COUNTY HOSTED SOLUTION**

If proposing a county hosted (client/server) solution, please complete and submit Appendix A1 with your proposal.

**1) Description of System**

- a) Provide a description of the proposed product, database, software and services, including how the proposed system will meet or exceed the requirements stated in the entire RFP. Include sufficient technical information about the application, operating environment and performance data to enable the County to determine whether or not the proposed system meets the technical environment prerequisites.
- b) Identify/list all software required for the solution that is not supplied directly by the Offeror (any/all third party software).
- c) Provide an overview and/or benchmarks relating to the system's ability to process information in real time. Include the number of concurrent users as well as named users the proposed system will accommodate and state the maximum number of recommended users.
- d) Identify any requirement to purchase interfaces from other vendors to work with the proposed solution.
- e) Define the scalability of the proposed system.
  - i) Can the system be purchased in modules and expanded?
  - ii) How scalable is the proposed software regarding the number of users?
  - iii) Does the system scale in parallel, i.e. can additional application servers be configured in a load-balanced cluster?
  - iv) Can the database, application and data analysis components be configured to reside on separate independent servers, so that one impacted subsystem does not affect the overall solution?
- f) Describe licenses required for the software (concurrent / per seat and the number associated).
- g) Define the requirements for a test system. Include all related components (hardware, software, etc.) Include test system costs.
- h) Define which third party reporting tools are compatible with the proposed system.
- i) Provide the data dictionary and schema used by the system.

## Appendix A1

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR A COUNTY HOSTED SOLUTION

- j) Describe the minimum monitor and screen resolution limit.
- k) Describe the process for change management or customer notification.
- l) Describe the current generally available (GA) version number and release date, including how often new GA releases are made available.
- m) Describe how continuous application and system support is provided 24 hours a day, 365 days per year. Describe the process for requesting support during standard business hours and after hours.
- n) Provide the company escalation and response plan, and describe how issues are triaged and escalated.
- o) Describe the level of customization available without a programmer or vendor support.
- p) Provide the location of the closest service representative.
- q) Define the system uptime. Include planned downtime windows.

**2) Equipment and Software**

- a) Provide detailed server hardware specifications, including but not limited to:
  - i) operating system,
  - ii) processors type and speed,
  - iii) redundancy
  - iv) system configuration
  - v) hard drive size
- b) Include a list of all hardware and software components the County must purchase.
- c) Describe the proposed system architecture.
- d) Describe any maintenance and support the client is expected to do.

**3) Backup/Recovery**

- a) Describe the backup capabilities for the proposed system.
- b) Describe the process for automatic reprogramming and/or recovery after a failure due to hardware, software or absence of power.

## Appendix A1

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR A COUNTY HOSTED SOLUTION

- c) Describe the capabilities for periodically exporting data stored in the database, and if it can be exported to MS Excel, MS Access or other software.

**4) Network/Hardware**

- a) Describe any special networking requirements, i.e. dedicated/segregated network segments, VLANs, etc.

**5) Integration**

- a) Describe if the system supports a web-based front end or if a client install is required.
- b) Define the system's capability to support multiple browser types (i.e. Internet Explorer, Mozilla Firefox, and Opera) on different platforms, and the minimum version of each browser supported if the system supports web-based access.
- c) Specify all browser plug-ins necessary to utilize web-based features.

**6) Application Security Features**

- a) Describe the system's compliance with LDAP (Lightweight Directory Access Protocol), and how the system can be configured to authenticate users against it.
- b) Describe how the proposed solution can be configured to authenticate users against an Active Directory 2003 tree, if possible.
- c) Describe how the solution audits user access and privilege use and the information that is logged.
- d) Describe how the solution allows the County to configure minimum password difficulty requirements, and password lockout policies.
- e) Describe how the solution allows system administrators to set a password expiration policy, thereby requiring end-users to change their passwords at a specified interval.
- f) Describe how access privileges are configured in the system, and whether or not privileges can be based on group designations.
- g) Describe how different levels of security and privileges are established.
- h) Specify if a "user inactivity timeout" feature is available that forces a user to re-authenticate if idle for a preconfigured amount of time.
- i) Describe how the system utilizes electronic signatures and electronic confirmation (if applicable).

## Appendix A1

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR A COUNTY HOSTED SOLUTION

- j) Given the scenario where multiple departments implement the system, how would the graphical user interfaces (e. g. pick list, lookup tables, forms, department layers, department workflow, etc.) be created, modified, and removed without effecting other department's implementation.
- k) Given the scenario where multiple departments implement the system, describe how users will only see data and forms specific to their department's implementation.

**7) Escrow**

- a) Explain your company's ability to make available a software escrow account and include the source code and all products released during the maintenance term, including third party software. List the products that your company will hold in an escrow account and a list of those products that cannot be held and explain why.
- b) Explain in detail the process to retrieve the software source code.
- c) Provide written evidence of ability to provide and maintain a Software Escrow account in the form of a letter from an escrow agent or other acceptable third party.

## Appendix A2

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR AN ASP (VENDOR HOSTED) SOLUTION

**APPENDIX A2**  
**TECHNICAL REQUIREMENTS RESPONSE FORM FOR AN ASP**  
**(VENDOR HOSTED) SOLUTION**

If proposing an ASP solution, please complete and submit Appendix A2 with your proposal.

**1) Description of System**

- a. Provide a description of the proposed product, database, software and services, including how the proposed system will meet or exceed the requirements stated in the entire RFP. Include sufficient technical information about the application, operating environment and performance data to enable the County to determine whether or not the proposed system meets the technical environment prerequisites.
- b. Identify/list all software required for the solution that is not supplied directly by the Offeror (any/all third party software).
- c. Provide an overview and/or benchmarks relating to the system's ability to process information in real time. Include the number of concurrent users as well as named users the proposed system will accommodate and state the maximum number of recommended users.
- d. Identify any requirement to purchase interfaces from other vendors to work with the proposed solution.
- e. Define the scalability of the proposed system.
  - i. Can the system be purchased in modules and expanded?
  - ii. How scalable is the proposed software regarding the number of users?
  - iii. Does the system scale in parallel, i.e. can additional application servers be configured in a load-balanced cluster?
  - iv. Can the database, application and data analysis components be configured to reside on separate independent servers, so that one impacted subsystem does not affect the overall solution?
- f. Describe licenses required for the software (concurrent / per seat and the number associated).
- g. Define the requirements for a test system. Include all related components (hardware, software, etc.) Include test system costs.
- h. Define which third party reporting tools are compatible with the proposed system.
- i. Provide the data dictionary and schema used by the system.

## Appendix A2

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR AN ASP (VENDOR HOSTED) SOLUTION

- a. Describe the minimum monitor and screen resolution limit.
- b. Describe the process for change management or customer notification.
- c. Describe the current generally available (GA) version number and release date, including how often new GA releases are made available.
- d. Describe how continuous application and system support is provided 24 hours a day, 365 days per year. Describe the process for requesting support during standard business hours and after hours.
- e. Provide the company escalation and response plan, and describe how issues are triaged and escalated.
- f. Describe the level of customization available without a programmer or vendor support.
- g. Provide the location of the closest service representative.
- h. Define the system uptime. Include planned downtime windows.

**2) Equipment and Software**

- a. Provide detailed server hardware specifications, including but not limited to:
  - i. operating system,
  - ii. processors type and speed,
  - iii. redundancy
  - iv. system configuration
  - v. hard drive size
- b. Include a list of all hardware and software components the County must purchase.
- c. Describe the proposed system architecture.
- d. Describe any maintenance and support the client is expected to do.

**3) Backup/Recovery**

- a. Describe the backup capabilities for the proposed system.
- b. Describe the process for automatic reprogramming and/or recovery after a failure due to hardware, software or absence of power.

## Appendix A2

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR AN ASP (VENDOR HOSTED) SOLUTION

- c. Describe the capabilities for periodically exporting data stored in the database, and if it can be exported to MS Excel, MS Access or other software.

**4) Network/Hardware**

- a. Describe any special networking requirements, i.e. dedicated/segregated network segments, VLANs, etc.

**5) Integration**

- a. Describe if the system supports a web-based front end or if a client install is required.
- b. Define the system's capability to support multiple browser types (i.e. Internet Explorer, Mozilla Firefox, and Opera) on different platforms, and the minimum version of each browser supported if the system supports web-based access
- c. Specify all browser plug-ins necessary to utilize web-based features.

**6) Application Security Features**

- a. Describe the system's compliance with LDAP (Lightweight Directory Access Protocol), and how the system can be configured to authenticate users against it.
- b. Describe how the proposed solution can be configured to authenticate users against an Active Directory 2003 tree, if possible.
- c. Describe how the solution audits user access and privilege use and the information that is logged.
- d. Describe how the solution allows the County to configure minimum password difficulty requirements, and password lockout policies.
- e. Describe how the solution allows system administrators to set a password expiration policy, thereby requiring end-users to change their passwords at a specified interval.
- f. Describe how access privileges are configured in the system, and whether or not privileges can be based on group designations.
- g. Describe how different levels of security and privileges are established.
- h. Specify if a "user inactivity timeout" feature is available that forces a user to re-authenticate if idle for a preconfigured amount of time.



## Appendix A2

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR AN ASP (VENDOR HOSTED) SOLUTION

- i. Describe how the system utilizes electronic signatures and electronic confirmation (if applicable).
- j. Given the scenario where multiple departments implement the system, how would the graphical user interfaces (e. g. pick list, lookup tables, forms, department layers, department workflow, etc.) be created, modified, and removed without effecting other department's implementation.
- k. Given the scenario where multiple departments implement the system, describe how users will only see data and forms specific to their department's implementation.

**7) Escrow**

- a. Explain your company's ability to make available a software escrow account and include the source code and all products released during the maintenance term, including third party software. List the products that your company will hold in an escrow account and a list of those products that cannot be held and explain why.
- b. Explain in detail the process to retrieve the software source code.
- c. Provide written evidence of ability to provide and maintain a Software Escrow account in the form of a letter from an escrow agent or other acceptable third party.

**8) ASP Redundancy and Downtime**

- a. Explain in detail your company's ability to provide 99.99% uptime for remote customer access to the system. Describe the methodology and application/hosting architecture used to ensure this level of reliability.
- b. Explain in detail the process used to notify customers of application downtime for both planned and unplanned outages.
- c. Explain in detail any geographic separation of redundant datacenters used to mitigate wide area disasters or events.
- d. Explain and describe in detail the features used to ensure the security, redundancy, resiliency and integrity of the datacenter(s) hosting the application, infrastructure and other components.

**APPENDIX B**  
**FUNCTIONALITY AND INTEGRATION RESPONSE FORM**

The functionality and integration requirements of the RFP are listed in this section.

**Offerors submitting a proposal for both types of solutions must submit a separate Appendix B for each solution.**

**Response Code:**

Offeror should place the appropriate letter designation in the "Availability" column according to the following codes and their description:

"A" means specification is one that currently exists in the proposed software, in the current production version and included in the County's price.

"B" means specification is not in the proposed software but is a planned enhancement or will be added at no additional cost.

"C" means specification is not part of the proposed software but will be added at additional cost included in the County's price. All such additional costs must be reported on cost response form.

"D" means specification is not available in the proposed software.

**References:**

Please provide any additional information requested or any additional information useful to the proposal in the comments column. If referencing attachments or other included information, write the location (Section/Page Number) of the discussion of the specification in the Offeror's proposal. Technical materials may be submitted as part of the proposal, and should be clearly labeled as such. If your availability response is "B" or "C", please provide the estimated delivery date in the appropriate column below.

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Appendix B  
FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

| ID                         | Description   | Priority Level<br>(Mandatory/<br>Critical /<br>Desirable) | Availability | Comments or Page and Binder Number in the proposal where additional information can be found. (Include delivery date if Availability is "B" or "C") |
|----------------------------|---|---|--------------|---|
| <b>General</b>             |   |   |              |   |
| 1.                         | The proposed solution will provide a simple, intuitive interface for the entry and reporting of information and workflows common to public sector Vector Control and Integrated Pest Management.  | Critical  |              |   |
| 2.                         | The proposed solution provides an on-line tutorial/documentation/webinar for basic functions.   | Critical  |              |   |
| 3.                         | The proposed solution allows for event alerts to be triggered and sent to system users, such as: <ul style="list-style-type: none"> <li>• Service Request overdue</li> <li>• Inventoried Source recurring, scheduled inspections</li> </ul> | Mandatory   |              |   |
| 4.                         | The proposed solution provides users remote access into the system via personal computer or mobile device.  | Desirable   |              |   |
| 5.                         | The proposed solution provides an off-premise hosting option, commonly referred to as "the cloud".  | Desirable   |              |   |
| 6.                         | The proposed solution allows user to select pro-forma language (i.e. glossary or snippets) for the Recommended Action section. Hints should be provided to help the user select the appropriate glossary or snippet.                        | Desirable   |              |   |
| 7.                         | The proposed solution will keep an audit log of all field changes made by each user.  | Desirable   |              |   |
| 8.                         | The proposed solution uses security roles to determine read/add/write/delete access to items.   | Mandatory   |              |   |
| <b>Operating System</b>    |   |   |              |   |
| 9.                         | If client software is required, the proposed solution must operate on Microsoft Windows 7 and above.  | Critical  |              |   |
| <b>User Administration</b> |   |   |              |   |
| 10.                        | The proposed solution provides a means to setup user accounts, assign passwords, and assign users to access-defined groups. Individual users may be members of more than one group.   | Critical  |              |   |
| 11.                        | The proposed solution will provide the ability to assign access by role, by functionality, and screen/view level.   | Critical  |              |   |
| 12.                        | The proposed solution provides the ability for individuals and/or administrators to delegate their security role (i.e. authorization/review authority) to other users for certain user-defined roles.                                       | Critical  |              |   |

Appendix B  
FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                  |   |           |  |  |
|------------------|---|-----------|--|--|
| 13.              | The proposed solution allows users to reset their password without requiring administrator support.   | Desirable |  |  |
| 14.              | The proposed solution forces users to change their passwords after a specified period of time.  | Desirable |  |  |
| 15.              | The proposed solution will provide reports detailing contact info for specific roles/access levels.   | Critical  |  |  |
| 16.              | The proposed solution will provide the ability for users to use their Active Directory account to log into the proposed system.   | Desirable |  |  |
| 17.              | The proposed solution will allow single sign-on using Active Directory login accounts   | Desirable |  |  |
| <b>Usability</b> |   |           |  |  |
| 18.              | The proposed solution is easy to learn.   | Critical  |  |  |
| 19.              | The proposed solution provides a consistent menus and screens with a common look and feel throughout the application.   | Critical  |  |  |
| 20.              | The proposed solution provides <ul style="list-style-type: none"> <li>• A comprehensive context-sensitive help that can be accessed both from the function in question and independently from a menu.</li> <li>• A “Tool Tip” display for all buttons on the graphical toolbar and display the “Hot-Key” combination to perform the same action.</li> <li>• Ability to “reuse” a prior submittal and just update the key info</li> </ul>      | Desirable |  |  |
| 21.              | The proposed solution is efficient: common, frequently used transactions must be designed so that they can be completed with the smallest possible number of mouse clicks and/or keystrokes. <ul style="list-style-type: none"> <li>• Provide an intuitive graphical user interface using screen navigation via pointing device or keyboard at user option.</li> <li>• Provide a map control for selecting and adjusting locations</li> </ul> | Critical  |  |  |
| 22.              | The proposed solution provides a calendar pop-up for date fields.   | Desirable |  |  |
| 23.              | The proposed solution is effective: business processes common to Vector Control and Integrated Pest Management must be accurately implemented as intuitive and streamlined workflows, and can easily be changed by authorized users to accommodate changing needs.  | Critical  |  |  |

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 FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                                     |   |           |  |  |
|-------------------------------------|---|-----------|--|--|
| 24.                                 | <p>The proposed solution alerts the users of error: Controls data entry errors using field validation (e.g. date, numeric, etc.) on fields not validated against tables or specific values.</p> <ul style="list-style-type: none"> <li>• Must provide the ability for data entry/workflow errors to be identified with descriptive and instructional messages in non-technical terms.</li> <li>• Make it difficult for the user to take incorrect, invalid, or irreversible actions.</li> <li>• Data entry and processing errors to be identified with descriptive and instructional messages in non-technical terms.</li> <li>• Allow users with sufficient rights to create data entry validation rules.</li> <li>• Ensures data validity by requiring certain fields to be completed before other dependent fields can be edited.</li> </ul> | Critical  |  |  |
| 25.                                 | <p>The proposed solution is engaging: The system should allow users to customize the graphical user interface, including menu contents, shortcuts, layout of screens, use of function keys, on-screen colors, fonts and font sizes, and audible alerts. These configuration changes made by the user should be saved as their user-profile.</p>   | Desirable |  |  |
| 26.                                 | <p>The proposed solution allows the user to select any network installed printer to print documents and reports, including the ability to output to PDF.</p>  | Critical  |  |  |
| 27.                                 | <p>The proposed solution’s mobile component will function on Windows Mobile 5.0 and 6.0 devices.</p>  | Desirable |  |  |
| 28.                                 | <p>The proposed solution’s mobile component will function on Apple iPhones (iOS), Android or other mobile devices.</p>  | Desirable |  |  |
| <b>Integration/Interoperability</b> |   |           |  |  |
| 29.                                 | <p>The proposed solution will provide a way to import and link to data from current applications, such as SQL Server 2008 R2+, Archibus, Mainstar Work Order system, ArcGIS Server or similar application currently used in the County.</p>   | Critical  |  |  |
| 30.                                 | <p>The proposed system will provide a way to import/bulk entry of data for the pest control activities conducted by external sources such as:</p> <ul style="list-style-type: none"> <li>• PDF or InfoPath forms</li> <li>• Word or Excel forms</li> </ul>  | Critical  |  |  |
| 31.                                 | <p>The proposed solution provides an API (Application Programming Interface), web services, or other interfaces to allow ad hoc integration with other systems, such as SharePoint, ArcGIS Server or custom applications.</p>   | Critical  |  |  |
| 32.                                 | <p>The proposed solution will allow for integration with Microsoft Office 2010, especially Outlook.</p>   | Critical  |  |  |

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|                  |   |                  |  |  |
|------------------|---|------------------|--|--|
| 33.              | <ul style="list-style-type: none"> <li>The proposed solution sends email notifications. Notifications sent for work requests</li> <li>Notification settings can be adjusted for new, changed, and/or deleted items.</li> </ul>  | Critical         |  |  |
| 34.              | <p>The proposed solution will allow for integration with the Kronos timekeeping system as follows:</p> <ul style="list-style-type: none"> <li>Validate Work-item time entries against Kronos data</li> <li>Load to and from the Kronos database</li> </ul> <p>(If professional services are required, please address separately.)</p>   | Desirable        |  |  |
| <b>Reporting</b> |   |                  |  |  |
| 35.              | The proposed solution will provide pre-configured Activity and Status Reports common to Vector Control and Integrated Pest Management.  | <b>Mandatory</b> |  |  |
| 36.              | Offeror will provide a detailed narrative of the reporting and searching technology and capabilities of the proposed solution.  | Critical         |  |  |
| 37.              | <p>The proposed solution will provide a simple, intuitive graphic user interface for selecting information to be displayed in reports, including but not limited to the following:</p> <ul style="list-style-type: none"> <li>Pest History Report</li> <li>Pesticide Use Reports</li> <li>Service Requests Status and History Reports</li> <li>Location History Reports</li> <li>Customer History Reports</li> <li>All Staff and Employee (Technicians) Work Reports.</li> <li>Deficiency/Improvement Reports</li> </ul> <p>Note: See Attachment 5 for additional samples/examples of reports</p> | Critical         |  |  |
| 38.              | The proposed solution will provide for integration with SQL Server 2008 R2 and above, PowerPivot and SharePoint 2010 and above.   | Critical         |  |  |
| 39.              | The proposed solution will allow for adhoc reporting and support use of SQL Server Reporting services and PowerPivot for ad-hoc reporting.  | Critical         |  |  |
| 40.              | The proposed solution will provide for uploading of statutory pest and pesticide use and disease surveillance reports to California and US agencies as per the agencies requirements.   | Desirable        |  |  |
| 41.              | The proposed solution will provide for reports that include map insets of the locations that are queried (needed for those areas with not physical address)   | Critical         |  |  |
| 42.              | The proposed solution will provide for a simple and intuitive Dashboard-type interface that will display drill-down information for one-to-many relationships, such as:   | Critical         |  |  |

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FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                                  |   |           |  |  |
|----------------------------------|---|-----------|--|--|
|                                  | <ul style="list-style-type: none"> <li>• Location -&gt; Work Items</li> <li>• Customer Info -&gt;Work Items</li> <li>• Trap Location -&gt;Collection Data</li> <li>• Site -&gt; target Pest</li> <li>• Site -&gt; Deficiency</li> </ul> <p>Note: See Attachment 5 for additional samples/examples of reports</p>  |           |  |  |
| <b>Printing</b>                  |   |           |  |  |
| 43.                              | The proposed solution will allow users to print Service Requests, Treatments, Inspections, Laboratory Data and other stage of workflow items, search results and/or report with the option to print selective items.  | Critical  |  |  |
| 44.                              | The proposed solution will provide the ability to select data to print on labels and print barcodes.  | Desirable |  |  |
| <b>Work Oder/Service Request</b> |   |           |  |  |
| 45.                              | The proposed solution will provide a simple, intuitive graphic user interface to enter work assignments, be they service requests from the public or internally generated work assignments.   | Critical  |  |  |
| 46.                              | The proposed solution will provide address validation and intellisense lookup during entry of work assignments locations (with option for areas with no physical address).  | Critical  |  |  |
| 47.                              | The proposed solution will provide "point-and-click" address selection for forms fill-in via a mapping interface.   | Critical  |  |  |
| 48.                              | The proposed solution will allow for Environmental Sciences Research Institute (ESRI) ArcMap generated layers to be used for workforce zone designation.  | Critical  |  |  |
| 49.                              | The proposed solution will allow for multiple zones to be assigned to the work order representing different aspects of Operations: <ul style="list-style-type: none"> <li>• Layers for assigned technician zones</li> <li>• Layers for data on vector/pest abundance, invasive weeds, monitoring traps, inventoried sources, etc.</li> </ul>                        | Critical  |  |  |
| 50.                              | The proposed solution will allow for task to be assigned to multiple technician workgroups as represented by technician zone layers.  | Critical  |  |  |
| 51.                              | The proposed solution will provide automatic and manual workflow and approval initiation to route the work assignment record to the appropriate technician/staff: <ul style="list-style-type: none"> <li>• Copy other users, such as supervisor.</li> <li>• Re-route to backup technician/staff based on attendance events, such as vacation, sick, etc.</li> </ul> | Critical  |  |  |
| 52.                              | The proposed solution will provide a SharePoint 2010 and/or 2013 web part that will display timely work assignment information.   | Desirable |  |  |

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FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                             |  |                  |  |  |
|-----------------------------|--|------------------|--|--|
| 53.                         | The proposed solution will provide for transportation, driving directions and routing maps for assigned work items.  | Desirable        |  |  |
| <b>Location Management</b>  |  |                  |  |  |
| 54.                         | The proposed solution will have a simple, intuitive graphic user interface for the management of locations in which work is performed.   | Critical         |  |  |
| 55.                         | The proposed solution will allow for Locations that consists of a combination of point, multi-point, line, multi-line, polygon, and multi-polygon.   | <b>Mandatory</b> |  |  |
| 56.                         | The proposed solution will allow for export of the locations in ESRI ArcMap compatible formats.  | Critical         |  |  |
| 57.                         | The proposed solution will allow for adjusting and updating locations via a drag-and-drop mapping interface.   | Desirable        |  |  |
| 58.                         | The proposed solution will allow for the use of Santa Clara County Basemap, unincorporated roads and other County infrastructure (e.g., trails, park roads, facilities, etc.) layers; and joining Assessor Parcel Number (APN) data in the solutions Location data.                                | Critical         |  |  |
| 59.                         | The proposed solution will consolidate duplicate address via a simple, intuitive graphic user interface.   | Critical         |  |  |
| 60.                         | The proposed solution will allow for assigning multiple habitat (including endangered species) and role designation to locations.  | <b>Mandatory</b> |  |  |
| 61.                         | The proposed solution will allow for attachments in location records, such as photos, documents, notes, and hyperlinks.  | Critical         |  |  |
| 62.                         | The proposed solution will allow for locations to be scheduled for recurring inspections.  | Critical         |  |  |
| 63.                         | The proposed solution will allow for attaching geo-referenced photographs to a location and work records. <ul style="list-style-type: none"> <li>• The photographs would be displayed on the proposed solution’s mapping interface.</li> <li>• Allow for geo-referencing of photographs</li> </ul> | Desirable        |  |  |
| 64.                         | The proposed solution will allow for connection to and export from the location data source.   | Critical         |  |  |
| 65.                         | The proposed solution will provide the ability to selectively group locations and export selectively grouped locations to ArcMap compatible formats.   | Critical         |  |  |
| 66.                         | The proposed solution will be able to display static and dynamic layers & geo-databases from Web Mapping Services published by the County’s ArcSDE server.   | Desirable        |  |  |
| <b>Pesticide Management</b> |  |                  |  |  |



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FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                          |   |           |  |  |
|--------------------------|---|-----------|--|--|
| 67.                      | The proposed solution will provide a simple, intuitive interface for the management of pesticide inventories common to Vector Control and Integrated Pest Management.   | Critical  |  |  |
| 68.                      | The proposed solution will allow for the updating and maintaining an update history of pesticide information. <ul style="list-style-type: none"> <li>• Update EPA Registration information.</li> <li>• Update MSDS and Label information</li> </ul>   | Critical  |  |  |
| 69.                      | The proposed solution will connect to government online registries of Pesticide Information to show updated registration numbers, application advice, safety advice, etc.<br>Registries should include but not limited to: <ul style="list-style-type: none"> <li>• California Department of Pesticide Regulations</li> </ul>   | Desirable |  |  |
| <b>Field Inspections</b> |   |           |  |  |
| 70.                      | The proposed solution will provide a simple, intuitive graphic user interface on a mobile device for the recording of species abundance surveying. <ul style="list-style-type: none"> <li>• Allow for multiple species to be recorded.</li> <li>• Allow for all types of pests e.g. vertebrate, invertebrate, plant species, fungi, bacteria, virus etc. to be recorded.</li> </ul> | Critical  |  |  |
| 71.                      | The proposed solution will provide for the ability to use multiple methods for surveying, such as dips, visual, monitors, and trapping.   | Critical  |  |  |
| 72.                      | The proposed solution will provide for the ability to recommend treatments (i.e. insecticide, rodenticide, larvacide, herbicide, prescribe fire, manual, etc.).   | Critical  |  |  |
| 73.                      | The proposed solution will provide detailed screens for each method for surveying.  | Critical  |  |  |
| 74.                      | The proposed solution will provide for a simple, intuitive graphic user interface on a mobile device to record environmental information associated with a specific survey for species abundance, such as observations of temperature, vegetation, water quality, water flow, wind velocity, etc.   | Critical  |  |  |
| 75.                      | The proposed solution will allow for a one-to-many relationship between locations and survey activities at those locations.   | Critical  |  |  |
| 76.                      | The proposed solution will provide a history of events (surveys, treatments, service request, etc.) within a reasonable radius of the survey location.  | Critical  |  |  |
| 77.                      | The proposed solution will provide maps displaying provide a history of events (surveys, treatments, service request, etc.) within a reasonable radius of the survey location.  | Critical  |  |  |

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FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                                  |   |           |  |  |
|----------------------------------|---|-----------|--|--|
| 78.                              | The proposed solution will provide ability for the technician to record inspection start and end time   | Mandatory |  |  |
| <b>Treatments</b>                |   |           |  |  |
| 79.                              | The treatment details should be recordable on both the desktop and portable clients.  | Mandatory |  |  |
| 80.                              | The proposed solution will provide detailed screens for recommended treatment types on both the desktop and portable clients.   | Critical  |  |  |
| 81.                              | The proposed solution’s mobile implementation provides a simple, intuitive graphic user interface for pesticide application (chemical and non-chemical methods)   | Critical  |  |  |
| 82.                              | The proposed solution’s mobile implementation provides the ability to calculate pesticide usage amounts based on area (acreage, square feet, etc.) via a simple, intuitive graphic user interface.      | Critical  |  |  |
| 83.                              | The proposed solution provides the ability to calculate labor and material for all non-chemical methods.  | Critical  |  |  |
| 84.                              | The proposed solution’s mobile implementation provides menus for pesticides selection, dilutions, and application method.   | Critical  |  |  |
| 85.                              | The proposed solution provides the ability to associate treatments with a preceding survey, inspection or observation for the purpose of efficacy tracking on both the desktop and portable clients.    | Critical  |  |  |
| 86.                              | Proposed solution recommends chemical and non-chemical treatment options and other strategies for treatment, i.e. physical barrier, drainage, biological etc. on both the desktop and portable clients. | Critical  |  |  |
| 87.                              | The proposed solution will provide ability for the technician/staff to record treatment start and end time on both the desktop and portable clients.  | Critical  |  |  |
| 88.                              | The proposed solution will provide ability for the technician/staff to record treatment start and end time.   | Mandatory |  |  |
| <b>Document Item Attachments</b> |   |           |  |  |
| 89.                              | The proposed solution will allow files (of various formats and sizes) to be attached to an item.  | Critical  |  |  |
| 90.                              | The proposed solution has the ability to delete a file from the item.   | Critical  |  |  |
| 91.                              | The proposed solution has the ability to replace the file with another file.  | Critical  |  |  |
| 92.                              | The proposed solution provides the ability to attach to an item a link to a file stored outside the system, such as a local file share (UNC) or SharePoint library.                                     | Desirable |  |  |
| 93.                              | The proposed solution will provide for versioning of items.   | Desirable |  |  |
| <b>Work Assignment/Workflow</b>  |   |           |  |  |

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 FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                                      |   |           |  |  |
|--------------------------------------|---|-----------|--|--|
| 94.                                  | The proposed solution provides the ability to customize workflows.  | Critical  |  |  |
| 95.                                  | In the proposed solution, a super user should be able to override any workflow - to bypass workflow, skip a step, or reroute to someone else.   | Critical  |  |  |
| 96.                                  | The proposed solution has the ability to auto-route items in a workflow to alternate individuals (i.e. person is out of office).  | Critical  |  |  |
| 97.                                  | The proposed solution's workflow must enforce a deadline for Service Requests and recurring Inventoried Source inspections.   | Critical  |  |  |
| <b>Laboratory</b>                    |   |           |  |  |
| 98.                                  | The proposed solution will provide a simple, intuitive interface for the management of Laboratory functions and processes commonly associated with Vector Control and Integrated Pest Management.   | Critical  |  |  |
| 99.                                  | The proposed solution will provide for vertebrate and invertebrate and disease trap and sample tracking. <ul style="list-style-type: none"> <li>• Tracking through the stages of testing, reporting, and carcass disposition</li> <li>• Assign unique ID to sample</li> <li>• Format labels/barcode to be affixed to samples, especially vials.</li> <li>• Track sample through the stages of testing and reporting.</li> </ul> | Critical  |  |  |
| 100.                                 | The proposed solution will provide for the collection of information derived from polymerase chain reaction (PCR) test.   | Critical  |  |  |
| 101.                                 | The proposed solution will provide tools for Laboratory supply management   | Desirable |  |  |
| <b>Disease Surveillance</b>          |   |           |  |  |
| 102.                                 | The proposed solution will provide a simple, intuitive interface for the management of information relating to Disease Surveillance.  | Critical  |  |  |
| <b>Disease Surveillance (Mobile)</b> |   |           |  |  |
| 103.                                 | The proposed solution will provide a simple, intuitive interface for the collection of field samples related to Disease Surveillance.   | Critical  |  |  |

## Appendix C

## IMPLEMENTATION, PROJECT MANAGEMENT, TRAINING AND ONGOING SUPPORT

**APPENDIX C**  
**IMPLEMENTATION, PROJECT MANAGEMENT, TRAINING, AND ONGOING SUPPORT****1. Project Implementation Plan and Project Management Team**

- a. Include the implementation plan the Offeror intends to employ for the project and an explanation of how it will support the project requirements and logically lead to the required deliverables. The description shall include the organization of the project team, including accountability and lines of authority.
- b. The current process flow for VCD and IPM is shown in Attachment 4. Provide a detailed description of how the process flow will be implemented in the proposed solution including but not limited to:
  - “Out of the Box” configuration
  - Custom development (including cost estimate)
  - Flexibility of the proposed solution to make changes in the process flow
  - Recommendation to improve the process
- c. Describe services to be provided to ensure success of the project e.g. publicize the system to employees, organizing support infrastructure and processes, consulting on content set up and management etc.
- d. Describe how the relationship between the County and Offeror will be managed from an account and technical support perspective.
- e. Describe what is required of the County to ensure the successful implementation of the system.
- f. Include the steps that will be undertaken to identify and resolve any issues or problems before, during and after the implementation.
- g. Include a list of proposed project staff and key personnel.
- h. Provide resumes, experience narratives and at least one reference for key personnel who will be assigned to the project, if awarded the contract.
- i. Explain the relationship of the project management team with the Offeror, including job title and years of employment with the Offeror; role to be played in connection with the proposal; relevant certifications and experience.

**2. Statement of Work (SOW) - Training Plan**

- a. Include a description for system training responses for three different audiences:
  - i. Power users/administrators, general users, Content creators and Instructors.
  - ii. Technical administrators of the proposed system.
  - iii. Technical operations staff and support staff for the proposed system.

## Appendix C

## IMPLEMENTATION, PROJECT MANAGEMENT, TRAINING AND ONGOING SUPPORT

- b. Describe the type and quantity of training that will be provided for each audience. The description must include:
  - i. The methods by which training will be provided e.g. online, on-site, webcast, self-paced online courses etc.;
  - ii. A recommended training curriculum;
  - iii. Explain how the Offeror will work with the County to determine training needs and tailor the curriculum;
  - iv. Explain the type of training that will be provided at what stage/phase of the project as well as follow-up training after implementation;
  - v. Explain the ability to provide training at a County location.
- c. Describe the training facility requirements for physical layout, communication needs (internet connectivity, etc.), projectors, the number of computers, etc. that are needed to fulfill the proposed training plan. Identify which elements of the training facility will be supplied by the Offeror.
- d. Describe the System Documentation that will be provided to system administrators and users for reference purposes.

### 3. **SOW - Project Work Plan**

Include a detailed work plan for the implementation and operation of the proposed system.

- a. **Task Level** -The plan shall include all activities necessary for a successful project down to the task level. No task can exceed more than eighty hours in the work plan.
- b. **Identify All Resources** - The plan shall clearly identify all Offeror (including subcontractors) and County resources required to successfully complete the project. Provide job descriptions and the number of personnel to be assigned to tasks supporting implementation of the project. Identify County resources needed for each task.
- c. **Deliverables** – describe the deliverables of each task.
- d. **Time lines** – describe the timeline of each task.
- e. **Acceptance criteria** – describe the criteria used to determine completion of each task.
- f. **Plan Progress Charts** - The plan shall include appropriate progress/Gantt charts that reflect the proposed schedule and all major milestones. A sample project plan shall be submitted using Microsoft Project.

### 4. **System Documentation**

- a. Describe the documentation provided to facilitate system implementation.
- b. Describe the System Administrator documentation provided.
- c. Attach a listing summarizing available stock (“canned”) reports provided by the solution and a sample of each.

## Appendix C

## IMPLEMENTATION, PROJECT MANAGEMENT, TRAINING AND ONGOING SUPPORT

- d. Describe how system documentation is provided (online, hard copy etc.) for the initial implementation as well as future updates and releases.

**5. Acceptance Test Plan**

Include an acceptance test plan. The plan shall individually address each system component that comprises the proposed system, approach for load testing, and number of people to be involved in testing. The plan should document the acceptance testing approach, resources and/or tools that may be used to validate the functions and features of the proposed system. Include an example test plan that is representative of the structure, content, and level of detail planned for this project.

**6. Risk Management**

Submit a risk assessment using the methodology published by the Project Management Institute or other comparable methodology. Include risk mitigation strategies as well as the resources the County may utilize to reduce risk.

**7. On-Going Service and Support**

- a. Describe the post implementation follow-up activities that will be provided by the Offeror, specifically addressing the following tasks:
  - i. Post-live system debugging to bring application into full conformance with documentation, proposal and modification specifications
  - ii. Six-month and 12-month post live operational (non-technical) audits to review utilization of the software and to provide recommendations for optimizing benefits.
  - iii. Describe how application and support documentation is updated and distributed.
- b. Provide the normal hours and describe the channels (phone, email, web, etc.) for support. Describe how after hours support is provided. Describe the support and escalation process, including response times.
- c. Indicate the current version of the package. Indicate when the next major version of the package will be available. For major software upgrades, describe how often upgrades are released, how upgrades are defined, developed, tested and released, how customers are notified and educated about the upgrade. Describe the decision process on how new features and functions get included in the product.
- d. Explain if the cost of upgrades (including "patches", corrections to defects, feature enhancements, and minor and major version updates) is included with the proposed solution. Provide % of the installed sites that perform minor and major upgrades with no labor/professional services from your organization.
- e. Explain if software upgrades, or other maintenance window, will impose a service disruption on the system. If yes, discuss frequency and duration of the service disruptions.
- f. Explain if there is a user group. If yes, explain how often they meet and where the meetings are held. Include if the user group is a separate independent organization or funded and organized by the Offeror.

## Appendix C

## IMPLEMENTATION, PROJECT MANAGEMENT, TRAINING AND ONGOING SUPPORT

**8. Value Added Services (Optional)**

Offerors are encouraged but not required to propose any optional value added services they believe would help the County to effectively implement, operate or use the proposed system. Information provided in this section must be directly relevant to agenda management systems and not exceed two (2) pages in length.

**APPENDIX D  
PROPOSAL COST RESPONSE FORM**

OFFEROR: Complete the applicable sections based upon your proposed solution.

If proposing both types of solutions (County-hosted and ASP), you must complete one cost response form for each solution.

For an ASP solution, be sure to state any monthly subscription costs under recurring costs.

The proposed cost shall include all fees, including one-time and recurring, sales tax, and value added options.

All pricing proposals must be submitted using the form as provided here in Appendix D.

**In addition, Offerors may submit their own pricing structure/format for further clarity.**

Proposed solution (check what is applicable): County-Hosted: \_\_\_\_\_ Vendor Hosted (ASP): \_\_\_\_\_

Offeror Name: \_\_\_\_\_

**Section I – One Time Costs**

| DESCRIPTION   | PROPOSED COST | COMMENT |
|---|---------------|---------|
| 1. Proposed Software  |               |         |
| 2. Customization  |               |         |
| 3. Installation/Implementation                                      |               |         |
| 4. Project Management   |               |         |
| 5. Training, including all materials                                |               |         |
| 6. Travel Expenses *<br><i>(Total from Section II below)</i>        |               |         |
| 7. Other One-time Costs **<br><i>(Total from Section III below)</i> |               |         |
| 8. Applicable Sales Tax   |               |         |
| <b>Total One Time Cost</b>  |               |         |



Appendix D  
PROPOSAL COST RESPONSE FORM

**Section II – Travel Expenses**

\*Please itemize the travel expense in Row 6 in the above table, if any.

| <u>Description</u> | <u>Cost</u>    |
|--------------------|----------------|
| 1. _____           | \$ _____       |
| 2. _____           | \$ _____       |
| 3. _____           | \$ _____       |
|                    | Total \$ _____ |

**Section III – Other One-time Costs**

\*\*Please itemize all other costs, including, but not limited to: enhancement at an additional cost, proposed modules, third party software to operate the proposed software, etc. Use an attachment, if necessary. Be sure to state the total in Row 7 in the above table.

| <u>Description</u> | <u>Cost</u>    |
|--------------------|----------------|
| 1. _____           | \$ _____       |
| 2. _____           | \$ _____       |
| 3. _____           | \$ _____       |
|                    | Total \$ _____ |

OFFEROR NAME: \_\_\_\_\_

Appendix D  
PROPOSAL COST RESPONSE FORM

**Section IV – Recurring Costs**

List any recurring costs below.

1. MAINTENANCE AND SUPPORT

| MAINTENANCE AND SUPPORT | LIST PRICE/COST | PROPOSED COST | DISCOUNT % OFF LIST PRICE |
|-------------------------|-----------------|---------------|---------------------------|
| 1. Year One             |                 |               |                           |
| 2. Year Two             |                 |               |                           |
| 3. Year Three           |                 |               |                           |
| 4. Year Four            |                 |               |                           |
| 5. Year Five            |                 |               |                           |
| <b>TOTAL</b>            |                 |               |                           |

2. UPGRADE

| DESCRIPTION | PROPOSED COST | COMMENT |
|-------------|---------------|---------|
| 1. Upgrade  |               |         |

3. ESCROW FEES

| ESCROW ACCOUNT | ANNUAL FEE |
|----------------|------------|
| 1. Year One    |            |
| 2. Year Two    |            |
| 3. Year Three  |            |
| 4. Year Four   |            |
| 5. Year Five   |            |
| <b>TOTAL</b>   |            |

Appendix D  
PROPOSAL COST RESPONSE FORM

**Section V – Other Value Added Services:**

Please itemize other value added services cost below.

| Description | Cost     |
|-------------|----------|
| 1. _____    | \$ _____ |
| 2. _____    | \$ _____ |

OFFEROR NAME: \_\_\_\_\_

**APPENDIX E  
NON-COLLUSION DECLARATION**

I, \_\_\_\_\_, am the  
(Print Name)  
\_\_\_\_\_ of \_\_\_\_\_,  
(Position/Title) (Name of Company)

the party making the foregoing proposal that the proposal is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation; that the bid is genuine and not collusive or sham; that the Offeror has not directly or indirectly induced or solicited any other Offeror to put in a false or sham bid; and has not directly or indirectly colluded, conspired, connived, or agreed with any Offeror or anyone else to put in a sham bid, or that anyone shall refrain from bidding; that the Offeror has not in any manner directly or indirectly, sought by agreement, communication, or conference with anyone to fix the bid price of the Offeror or any other Offeror, or to fix any overhead, profit, or cost element of the bid price, or of that of any other Offeror, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the bid are true; and, further, that the Offeror has not, directly or indirectly, submitted his or her bid price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company association, organization, bid depository, or to any member or agent thereof to effectuate a collusive or sham bid.

I declare under penalty of perjury under the Laws of the State of California that the foregoing is true and correct:

COMPANY NAME: \_\_\_\_\_

AUTHORIZED  
SIGNATURE \_\_\_\_\_

PRINT NAME: \_\_\_\_\_

DATE: \_\_\_\_\_

## APPENDIX F DECLARATION OF LOCAL BUSINESS

Santa Clara County gives local businesses a preference in formal solicitations of goods and services as set forth in the Board Policy, Section 5.3.13. A bidder or proposer has the option of qualifying for the preference by self-declaring its qualification as a "local business." By signing below, the bidder or proposer is certifying its qualification as a "local business" for purposes of application of Santa Clara County's policy and is deemed to be applying for the local preference.

All information submitted is subject to investigation, as well as to disclosure to third parties under the California Public Records Act. Incomplete, unclear, or incomprehensible responses to the following will result in the bid or proposal not being considered for application of Santa Clara County's local preference policy. False or dishonest responses will result in rejection of the bid or proposal and curtail the firm or individual's ability to conduct business with the County in the future. It may also result in legal action.

Provide the complete physical address of your business with meaningful "production capability" located within the boundary of the County of Santa Clara. The term "production capability" means sales, marketing, manufacturing, servicing, or research and development capability that substantially and directly enhances the firm's/bidder's/proposer's ability to perform the proposed contract. Post Office box numbers and/or residential addresses may not be used as the sole bases for establishing status as a "Local Business." If you have more than one physical address in Santa Clara County, please provide an attachment with all of the addresses in the form specified below.

Business Name: \_\_\_\_\_  
Street: \_\_\_\_\_  
City/State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Please Indicate Business Organization (Check One)

- |  |                                      |
|--|--------------------------------------|
| <input type="checkbox"/> Individual Proprietorship | <input type="checkbox"/> Corporation |
| <input type="checkbox"/> Partnership               | <input type="checkbox"/> Other       |

By filling this form, bidder/proposer declares its qualification as a local business as defined in County of Santa Clara Board Policy, Section 5.3.13.

The undersigned declares that he or she is an official/agent of responding firm or individual and is empowered to represent, bind, and execute contracts on behalf of the firm or individual.

The undersigned declares under penalty of perjury, under the laws of the State of California, that all statements in this Exhibit and response are true and correct, with full knowledge that all statements are subject to investigation and that any incomplete, unclear, false or dishonest response may be grounds for denial or revocation of the accompanying bid or proposal and may result in being barred from doing business with Santa Clara County as well as additional legal consequences.

|  |                |
|--|----------------|
| _____<br>Signature                               | _____<br>Title |
| _____<br>Name                                    | _____<br>Date  |
| _____<br>Business License Number (if applicable) |                |

## **APPENDIX G1**

### **OFFEROR ACKNOWLEDGEMENT USER RESPONSIBILITY AND VENDOR REMOTE ACCESS STATEMENTS**

If offering a county-hosted solution, Offerors shall acknowledge agreement to abide by the terms and conditions of Attachment 3 here. Should Offerors object to any of the terms and conditions, Offerors must propose specific alternative language here and indicate the reason for their objection on this form. The County may or may not accept the alternative language.

## APPENDIX G2

OVERALL INSTRUCTIONS

The following checklist identifies the baseline security criteria that need to be considered when an ASP or SaaS-based (Application Service Provider or Software-as-a-Service) application solution is being evaluated. This checklist should be included in RFPs issued to Vendors when a Department is considering an ASP or SaaS solution. The same checklist can also be used to evaluate the security of *existing* ASP/SaaS implementations that may not have been subjected to a security review process prior to implementation. In both of these cases, the Department and the County CIO's Office designee will review the Vendor's responses in order to determine whether adequate security is provided by the Vendor's proposed solution.

In general, the greater the risk involved in implementing an ASP or SaaS model, the greater the requirement for demonstrating that the Vendor is in compliance with County policies. The following material is provided as suggestions for evaluating these application solutions, rather than as hard requirements in which each standard must be complied with in full.

The situation for each Department considering the use of an ASP or SaaS implementation will be unique, and the overall security requirements for such applications should be based on the classification level of the data involved, on the Department's unique business requirements, and on the overall security measures that are in place. For example, if electronic Protected Health Information (ePHI) data will be processed by the application, more stringent HIPAA regulations should be applied.

For Vendors completing the attached checklist, note that *detailed responses* are required, and not just simple "yes" or "no" answers. Enough information must be provided to allow a valid comparison between Vendor practices and those required by the County.

Other "proof" that a particular Vendor meets County security guidelines might include the following:

- A signed statement from the Vendor
- A signed attestation from a responsible third-party, such as a Vendor specializing in conducting security audits/assessments
- Provision of a copy of any relevant documents (e.g., the required IT Security Policy and Business Continuity Plan)

ASP/SaaS Security Assessment Checklist

APPLICATION NAME: \_\_\_\_\_

VENDOR NAME: \_\_\_\_\_

**ASP/SAAS SECURITY ASSESSMENT CHECKLIST**

| <p>Briefly describe the purpose of the application. Include an overview of the application architecture, and identify the data that will be 1) stored on the application server at the Vendor site, and 2) that will be transmitted between the application and the County. Also include information on the user authentication process.</p> |  |   |   |          |
|--|--|---|---|----------|
| County Policy Ref. #   | Description of County Requirement  | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate This Risk | Comments |
| 16.3.4   | The Vendor has a written Disaster Recovery Plan that offers a viable approach to restoring operations following an emergency situation.          |   |   |          |
| 16.3.4a  | The Vendor site has adequate, redundant physical and/or logical network connectivity to ensure continued operations following a network failure. |   |   |          |



ASP/SaaS Security Assessment Checklist

| County Policy Ref. # | Description of County Requirement  | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|----------------------|--|---|--|----------|
| 16.3.4b              | The Vendor performs system/application database backups on a schedule that is consistent with the importance of the application.   |   |  |          |
| 16.3.4b              | Backup media are treated with a level of security commensurate with the classification level of the data they contain.   |   |  |          |
| 16.3.4c              | Vendor servers are closely monitored for both performance and availability.  |   |  |          |
| 16.3.4d              | The Vendor is willing to sign a Service level Agreement (SLA) that is consistent with the importance of the application to the County.   |   |  |          |
| 16.3.5               | The Vendor has a formal, written Security Policy, and is willing to provide a copy of this policy to the County on request.  |   |  |          |
| 16.3.5a              | If users access the application directly on the Vendor server, user authentication involves more than a simple User ID/password combination, such as one-time password technology. |   |  |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. # | Description of County Requirement   | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|----------------------|---|---|--|----------|
| 16.3.5b              | Once granted access, Users are limited to authorized activities only; i.e., customers are prevented from accessing either applications or data that belong to other customers.                |   |  |          |
| 16.3.5c              | Vendor network connectivity is protected by firewalls, intrusion detection/ prevention systems, etc. designed to protect against attack.  |   |  |          |
| 16.3.5d              | The equipment hosting the Department's application is located in a physically secure facility that employs access control measures, such as badges, card key access, or keypad entry systems. |   |  |          |
| 16.3.5d              | Vendor servers are kept in locked areas/cages that limit access to authorized personnel.  |   |  |          |
| 16.3.5e              | Vendor staff is bonded, and/or have been subjected to background checks.  |   |  |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. #      | Description of County Requirement   | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|---------------------------|---|---|--|----------|
| 16.3.5f                   | Vendor servers are hardened against attack, and operating system and security-related software patches are applied regularly.   |   |  |          |
| 16.3.5f                   | Commercially available anti-virus software is used on the servers, and is maintained in a current state with all updates.   |   |  |          |
| 16.3.5g                   | Vendor servers are monitored on a continuous basis, and logs are kept of all activity.  |   |  |          |
| 16.3.5g, 16.3.5h, 16.3.5i | The Vendor is willing to report security breaches and/or security issues to the County.   |   |  |          |
| 16.3.5h                   | The Vendor conducts regular vulnerability assessments, using viable third-party organizations, designed to assess both the Vendor’s network infrastructure and the individual servers that host applications. |   |  |          |
| 16.3.5h                   | The Vendor implements “fixes” to correct vulnerabilities discovered during security audits.   |   |  |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. #    | Description of County Requirement   | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|-------------------------|---|---|--|----------|
| 16.3.5i                 | The Vendor has a formal, written Incident Response Plan.  |   |  |          |
| No County Policy Ref. # | (Desirable) The network infrastructure hosting the Department application is “air-gapped” from any other network or customer that the Vendor may have. This means that in an ideal situation, the application environment used by the County uses a separate, dedicated server and a separate network infrastructure. |   |  |          |
| No County Policy Ref. # | Identify the APIs that may be part of the solution, and indicate industry standards or best practices employed to ensure security of the data and the integration (e.g., web services, directory services, XML, scripting, etc.)  |   |  |          |
| No County Policy Ref. # | What application security standards, if any, are followed? (e.g., OASIS, WC3, etc.).  |   |  |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. #    | Description of County Requirement  | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|-------------------------|--|---|--|----------|
| No County Policy Ref. # | If the application processes credit card information, has the application been certified as PCI compliant? Include information on the level of compliance (e.g., Merchant Level 2) and how the application has been certified. |   |  |          |
| Policy 13.0, Encryption | Data “in motion,” including user authentication information and credentials, are encrypted.  |   |  |          |
| Policy 13.0, Encryption | Data “at rest” (stored on the application server), including user authentication information and credentials, are encrypted.   |   |  |          |
| Policy 13.0, Encryption | Encryption or hashing algorithms utilized by the Vendor application infrastructure use standard algorithms that have been published and evaluated by the general cryptographic community.                                      |   |  |          |
| No County Policy Ref. # | The Vendor is willing to permit on-site visits by County staff in order to evaluate security measures in place.  |   |  |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. #       | Description of County Requirement   | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|----------------------------|---|---|--|----------|
| No County Policy Ref. #    | If the Vendor will be connecting to the County via a private connection (such as a dedicated T1 circuit), the Vendor agrees that the circuit will terminate on the County's extranet, and operation of the circuit will fall within the policies related to network connections from non-County entities.               |   |  |          |
| No County Policy Ref. #    | If access to the application uses the Internet, data traffic between the County and the Vendor is protected through the implementation of SSL-VPN or equivalent technology.   |   |  |          |
| Policy 15.0, Data Classify | Is any of the involved data covered by HIPAA regulations, CA disclosure law, or otherwise protected under local, State or Federal law or regulations? If the response is yes, please describe that data in sufficient detail for us to be able to understand the potential exposure involved should a disclosure occur. |   |  |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. #       | Description of County Requirement  | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|----------------------------|--|---|--|----------|
| No<br>County Policy Ref. # | What disclaimers, legal language, conditions of use language do users agree to prior to being given access to use the system? How does this language protect the County should a disclosure of personal and/or protected information occur? How is the acceptance of these conditions by users tracked and maintained? |   |  |          |
| No<br>County Policy Ref. # | Is the ASP system housed in a co-location site? If yes, which hosting companies are involved and do they have security or other relevant certifications? What are those certifications?  |   |  |          |

County CIO's Office Approval: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

## **APPENDIX H**

### **OFFEROR'S TERMS AND CONDITIONS**

Refer to Section V, Requirements and Offeror Submittal, Item F.4, Other Submittals – Offeror's Terms and Conditions



## **ATTACHMENT 1**

### **COUNTY OF SANTA CLARA STANDARD TERMS AND CONDITIONS**

This Agreement is entered into and is effective \_\_\_\_\_ 2012, between the County of Santa Clara, (hereafter referred to as "County") and \_\_\_\_\_ (hereafter referred to as "Contractor"), to provide \_\_\_\_\_ (hereafter referred to as "\_\_\_\_\_") with Contractor including all related services and maintenance. It is mutually agreed between the parties:

#### **1. APPENDICES**

The following Appendices are attached hereto and incorporated herein by reference:

- 1.1 Appendix A – Price Summary and Compensation Plan
- 1.2 Appendix B – Statement of Work
- 1.3 Appendix C – Additional Terms and Conditions [subject matter specific]
- 1.4 Appendix D – Insurance Requirements
- 1.5 Appendix E – Software Escrow Agreement
- 1.7 Appendix F – County Travel Policy

#### **2. DEFINITIONS**

2.1 "Acceptance Tests" means those tests performed during the Performance Period which are intended to determine compliance of Equipment and Software with the specifications and all other Attachments incorporated herein by reference and to determine the reliability of the Equipment.

2.2 "Application Program" means a computer program which is intended to be executed for the purpose of performing useful work for the user of the information being processed. Application programs are developed or otherwise acquired by the user of the Hardware/Software system, but they may be supplied by the Contractor.

2.3 "Attachment" means a mechanical, electrical, or electronic interconnection to the Contractor-supplied Machine or System of Equipment, manufactured by other than the original Equipment manufacturer that is not connected by the Contractor.

2.4 "Commercial Software" means Software developed or regularly used that: (i) has been sold, leased, or licensed to the general public; (ii) has been offered for sale, lease, or license to the general public; (iii) has not been offered, sold, leased, or licensed to the public but will be available for commercial sale, lease, or license in time to satisfy the delivery requirements of this Agreement; or (iv) satisfies a criterion expressed in (i), (ii), or (iii) above and would require only minor modifications to meet the requirements of this Agreement.

2.5 "County Data" shall mean data and information received by Contractor from County. County shall remain the owner of County Data.

2.6 "Custom Software" means Software that does not meet the definition of Commercial Software.

2.7 "Data Processing Subsystem" means a complement of Contractor-furnished individual Machines, including the necessary controlling elements (or the functional equivalent) and Operating Software, if any, which are acquired to operate as an integrated group, and which are interconnected entirely by Contractor-supplied power and/or signal cables; e.g., direct access controller and drives, a cluster of terminals with their controller, etc.

2.8 "Data Processing System (System)" means the total complement of Contractor-furnished Machines, including one or more central processors (or instruction processors) and Operating Software, which are acquired to operate as an integrated group.

2.9 "Deliverables" means Goods, Software, Information Technology, telecommunications technology, and other items (e.g. reports) to be delivered pursuant to this Agreement, including any such items furnished incident to the provision of services.

2.10 "Designated CPU(s)" means for each product, if applicable, the central processing unit of the computers or the server unit, including any associated peripheral units. If no specific "Designated CPU(s)" are specified on the Agreement, the term shall mean any and all CPUs located at the site specified therein.

2.11 "Documentation" means nonproprietary manuals and other printed materials necessary or useful to the County in its use or maintenance of the Equipment or Software provided hereunder. Manuals and other printed materials customized for the County hereunder constitute Documentation only to the extent that such materials are described in or required by the Statement of Work ("SOW").

2.12 "Equipment" is an all-inclusive term which refers either to individual Machines or to a complete Data Processing System or subsystem, including its Hardware and Operating Software (if any).

2.13 "Equipment Failure" is a malfunction in the Equipment, excluding all external factors, which prevents the accomplishment of the Equipment's intended function(s). If microcode or Operating Software residing in the Equipment is necessary for the proper operation of the Equipment, a failure of such microcode or Operating Software which prevents the accomplishment of the Equipment's intended functions shall be deemed to be an Equipment Failure.

2.14 "Facility Readiness Date" means the date specified in the SOW by which the County must have the site prepared and available for Equipment delivery and installation.

2.15 "Goods" means all types of tangible personal property, including but not limited to materials, supplies, and Equipment (including computer and telecommunications Equipment).

2.16 "Hardware" usually refers to computer Equipment and is contrasted with Software. See also Equipment.

2.17 "Installation Date" means the date specified in the SOW by which the Contractor must have the ordered Equipment ready (certified) for use by the County.

2.18 "Information Technology" includes, but is not limited to, all electronic technology systems and services, automated information handling, System design and analysis, conversion of data, computer programming, information storage and retrieval, telecommunications which include voice, video, and data communications, requisite System controls, simulation, electronic commerce, and all related interactions between people and Machines.

2.19 "Licensed Software" is the computer software in object code format, along with Documentation that is provided to County pursuant to this Agreement.

2.20 "Machine" means an individual unit of a Data Processing System or subsystem, separately identified by a type and/or model number, comprised of but not limited to mechanical, electro-mechanical, and electronic parts, microcode, and special features installed thereon and including any necessary Software, e.g., central processing unit, memory module, tape unit, card reader, etc.

2.21 "Machine Alteration" means any change to a Contractor-supplied Machine which is not made by the Contractor, and which results in the Machine deviating from its physical, mechanical, electrical, or electronic (including microcode) design, whether or not additional devices or parts are employed in making such change.

2.22 "Maintenance Diagnostic Routines" means the diagnostic programs customarily used by the Contractor to test Equipment for proper functioning and reliability.

2.23 "Manufacturing Materials" means parts, tools, dies, jigs, fixtures, plans, drawings, and information produced or acquired, or rights acquired, specifically to fulfill obligations set forth herein.

2.24 "Mean Time Between Failure (MTBF)" means the average expected or observed time between consecutive failures in a System or component.

2.25 "Mean Time to Repair (MTTR)" means the average expected or observed time required to repair a System or component and return it to normal operation.

2.26 "Operating Software" means those routines, whether or not identified as Program Products, that reside in the Equipment and are required for the Equipment to perform its intended function(s), and which interface the operator, other Contractor-supplied programs, and user programs to the Equipment.

2.27 "Operational Use Time" means for performance measurement purposes that time during which Equipment is in actual operation by the County. For maintenance Operational Use Time purposes, that time during which Equipment is in actual operation and is not synonymous with power on time.

2.28 "Performance Testing Period" means a period of time during which the County, by appropriate tests and production runs, evaluates the performance of newly installed Equipment and Software prior to its acceptance by the County.

2.29 "Period of Maintenance Coverage" means the period of time, as selected by the County, during which maintenance services are provided by the Contractor for a fixed monthly charge, as opposed to an hourly charge for services rendered. The Period of Maintenance Coverage consists of the Principal Period of Maintenance and any additional hours of coverage per day, and/or increased coverage for weekends and holidays.

2.30 "Preventive Maintenance" means that maintenance, performed on a scheduled basis by the Contractor, which is designed to keep the Equipment in proper operating condition.

2.31 "Principal Period of Maintenance" means any nine consecutive hours per day (usually between the hours of 7:00 a.m. and 6:00 p.m.) as selected by the County, including an official meal period not to exceed one hour, Monday through Friday, excluding holidays observed at the installation.

2.32 "Programming Aids" means Contractor-supplied programs and routines executable on the Contractor's Equipment which assists a programmer in the development of applications including language processors, sorts, communications modules, data base management systems, and utility routines, (tape-to-disk routines, disk-to-print routines, etc.).

2.33 "Program Product" means programs, routines, subroutines, and related items which are proprietary to the Contractor and which are licensed to the County for its use, usually on the basis of separately stated charges and appropriate contractual provisions.

2.34 "Remedial Maintenance" means that maintenance performed by the Contractor which results from Equipment (including Operating Software) failure, and which is performed as required, i.e., on an unscheduled basis.

2.35 "Site License" means for each product, the term "Site License" shall mean the license established upon acquisition of the applicable number of copies of such product and payment of the applicable license fees as set forth in the SOW.

2.36 "Software" means an all-inclusive term which refers to any computer programs, routines, or subroutines supplied by the Contractor, including Operating Software, Programming Aids, Application Programs, and Program Products.

2.37 "Software Failure" means a malfunction in the Contractor-supplied Software, other than Operating Software, which prevents the accomplishment of work, even though the Equipment (including its Operating Software) may still be capable of operating properly. For Operating Software failure, see definition of Equipment Failure.

2.38 "System" means the complete collection of Hardware, Software and services as described in this Agreement, integrated and functioning together, and performing in accordance with this Agreement.

2.39 "U.S. Intellectual Property Rights" means intellectual property rights enforceable in the United States of America, including without limitation rights in trade secrets, copyrights, and U.S. patents.

### **3. NON-EXCLUSIVE AGREEMENT**

This Agreement does not establish an exclusive contract between the County and the Contractor. The County expressly reserves rights to, without limitation, the following: the right to utilize others to provide products, support and services; the right to request proposals from others with or without requesting proposals from the Contractor; and the unrestricted right to bid any such product, support or service.

### **4. TERM**

4.1 This Agreement shall not be effective or binding unless approved in writing by the Director of Procurement, or authorized designee, as evidenced by their signature as set forth in this Agreement. The term of the Agreement shall be for three (3) years from the effective date. The County shall have the right to exercise two (2) one-year optional renewals, or one (1) two-year optional renewal.

4.2 Furthermore, at any time during the term of the Agreement, the Agreement is subject to termination pursuant to Section xx 3 of this Agreement. The County may contract with the Contractor for maintenance beyond the term of this Agreement.

4.3 The effective date of this Agreement is \_\_\_\_\_, 2012.

### **5. TERMINATION**

#### **5.1 Termination for Convenience**

5.1.1 The County may terminate this Agreement or any contract release purchase order at any time for the convenience of the County by giving thirty (30) calendar days written notice specifying the effective date and scope of such termination.

5.1.2 In no event shall the County be liable for any loss of profits on the resulting order or portion thereof so terminated.

5.1.3 In the event of termination, all finished or unfinished documents, data, studies, maps, photographs, reports, and other materials (collectively referred to as "materials") prepared by Contractor under this Agreement contract release purchase order shall become the property of the County and shall be promptly delivered to the County. Upon receipt of such materials, County shall pay the Contractor as full compensation for performance, the unit or pro rata price for the then-accepted portion of Deliverables and/or services.

5.1.4 By termination under this paragraph, neither County nor the Contractor may nullify obligations, if any, already incurred for performance or failure to perform prior to the date of termination.

5.1.5 Termination under this paragraph may be made with or without cause.

#### **5.2 Termination for Cause**

5.2.1 County may terminate this Agreement or any contract release purchase order, in whole or in part, for cause upon ten (10) calendar days written notice to

Contractor. For purposes of this Agreement, cause includes, but is not limited to, any of the following: (a) material breach of this Agreement or any contract release purchase order by Contractor, (b) violation by Contractor of any applicable laws or regulations; (c) assignment or delegation by Contractor of the rights or duties under this Agreement without the written consent of County or (d) less than perfect tender of delivery or performance by Contractor that is not in strict conformance with terms, conditions, specifications, covenants, representations, warranties or requirements in this Agreement or any contract release purchase order.

5.2.2 In the event of such termination, the Contractor shall be liable for any costs incurred by the County because of Contractor's default. For instance, the County may purchase or obtain Deliverables elsewhere and the defaulting Contractor shall be liable for the difference between Contractor's price pursuant to this Agreement, and all costs incurred by the County. The Contractor shall promptly reimburse the County for the full amount of its liability, or, at County's option, the County may offset such liability from any payment due to the Contractor under any contract or contract release purchase order with the County.

5.2.3 If, after notice of termination under the provisions of this clause, it is determined for any reason that the Contractor was not in default under this provisions of this clause, the rights and obligations of the parties shall be the same as if the notice of termination had been issued pursuant to the Termination For Convenience clause.

5.2.4 In lieu of terminating immediately upon contractor's default, County may, at its option, provide written notice specifying the cause for termination and allow Contractor ten (10) calendar days (or other specified time period) to cure. If, within ten (10) calendar days (or other specified time) after the County has given the Contractor such notice, Contractor has not cured to the satisfaction of the County, or if the default cannot be reasonably cured within that time period, County may terminate this Agreement at any time thereafter. County shall determine whether Contractor's actions constitute complete or partial cure. In the event of partial cure, County may, at its option, decide whether to (a) give Contractor additional time to cure while retaining the right to immediately terminate at any point thereafter for cause; or (b) terminate immediately for cause. If County determines that the Contractor's actions contribute to the curtailment of an essential service or pose an immediate threat to life, health or property, County may terminate this Agreement immediately without penalty upon issuing either oral or written notice to the Contractor and without any opportunity to cure.

5.3 Termination for Lack of Appropriation: The term of the Agreement between Contractor and County, and the purchase of Deliverables and/or services hereunder, are contingent on the appropriation of funds by the County. Should sufficient funds not be appropriated, this Agreement may be terminated by County at any time by providing Contractor with thirty (30) calendar days written notice. In the event of such Termination for Lack of Appropriation, County shall be responsible only for any

undisputed, unpaid balances for Deliverables and/or services provided by Contractor and accepted by County prior to the effective date of termination.

5.4 Termination for Bankruptcy: If Contractor is adjudged to be bankrupt or should have a general assignment for the benefit of its creditors, or if a receiver should be appointed on account of Contractor's insolvency, the County may terminate this Agreement immediately without penalty.

5.5 Budgetary Contingency: Performance and/or payment by the County pursuant to this Agreement are contingent upon the appropriation of sufficient funds by the County for services covered by this Agreement. If funding is reduced or deleted by the County for services covered by this Agreement, the County may, at its option and without penalty or liability, terminate this Agreement or offer an amendment to this Agreement indicating the reduced amount.

## **6. NECESSARY ACTS AND FURTHER ASSURANCES**

The Contractor shall at its own cost and expense execute and deliver such further documents and instruments and shall take such other actions as may be reasonably required or appropriate to evidence or carry out the intent and purposes of this Agreement.

## **7. COUNTING DAYS**

Days are to be counted by excluding the first day and including the last day, unless the last day is a Saturday, a Sunday, or a legal holiday, and then it is to be excluded.

## **8. MODIFICATION**

This Agreement or any contract release purchase order may be supplemented, amended, or modified only by the mutual agreement of the parties. No supplement, amendment, or modification of this Agreement contract release purchase order will be binding on County unless it is in writing and signed by County's Director of Procurement, or authorized designee, as evidenced by his/her signature as set forth in this Agreement.

## **9. SCOPE**

9.1 Contractor agrees to provide the County all Deliverables and/or services on terms set forth in this Agreement (including Appendices), as well as all necessary equipment and resources. However, this Agreement does not provide authority to ship Deliverables. That authority shall be established by contract release purchase orders placed by the County and sent to Contractor throughout the term of the Agreement. Each and every contract release purchase order shall incorporate all terms of this Agreement and this Agreement shall apply to same.

9.2 The County will consider Contractor to be the single point of contact with regards to all contractual matters, including payment of any and all charges for Deliverables and/or services provided under the Agreement and any issues regarding the subcontractor(s), if any. Contractor shall provide to County quarterly and annual spend and usage reports, at no additional cost.

9.3 Any additional or different terms or qualifications sent by Contractor, including, without limitation, in mailings, attached to invoices or with any Deliverables shipped, shall not become part of the contract between the parties. County's acceptance of Contractor's offer is expressly made conditional on this statement.

9.4 Contractor shall provide to the County, all documentation and manuals relevant to the Deliverables to be supplied, at no additional cost. Contractor shall deliver such documentation either in advance of or concurrently with the delivery of Deliverables.

9.5 Employees and agents of Contractor, shall, while on the premises of the County, comply with all rules and regulations of the premises, including, but not limited to, security requirements.

9.6 Contractor shall be responsible for installation, delivery, training and knowledge transfer activities in relation to the Deliverables being supplied as reasonably required by County and as set forth in the the appendices to this Agreement.

9.7 All equipment shall be delivered to a County site specified in the contract release purchase order, or if not so specified therein, in the SOW/Specifications.

9.8 Unless stated otherwise and agreed to in writing by County, County shall own all Deliverables provided pursuant to this Agreement. County shall also own all modifications and/or enhancements to the Deliverables paid for by County, as well as any and all derivatives created or paid for by County.

9.9 Contractor holds itself out as an expert in the subject matter of the Agreement. Contractor represents itself as being possessed of greater knowledge and skill in this area than the average person. Accordingly, Contractor is under a duty to exercise a skill greater than that of an ordinary person, and the manner in which performance is rendered will be evaluated in light of the Contractor's superior skill. Contractor shall provide equipment and perform work in a professional manner consistent, at minimum, with industry standards.

9.10 Contractor represents that all prices, warranties, benefits and other terms being provided hereunder are fair, reasonable and commensurate with the terms otherwise being offered by Contractor to its current customers ordering comparable Deliverables and/or services.

9.11 County does not guarantee any minimum orders.

9.12 This Agreement shall not be effective or binding unless approved in writing by the County Director of Procurement, or authorized designee, as evidenced by their signature as set forth in this Agreement.

9.13 Furthermore, at any time during the term of the Agreement, the Agreement is subject to termination in accordance with this Agreement. The County may contract with Contractor for recurring services beyond the term of this Agreement and any amendments.



**10. COST SUMMARY AND COMPENSATION PLAN**

10.1 Appendix A of this Agreement is the basis for the pricing and compensation plan. The maximum compensation paid to the Contractor under this Agreement is \$\_\_\_\_\_.

10.2 In the event of a decrease in the cost of recurring fees, Contractor shall extend the lower price(s) to the County and provide prompt written notification to the County. Contractor shall, on an ongoing basis, inform the County of any such special, promotional or reduced pricing.

10.3 In the event that any product on Appendix A is discontinued or upgraded, Contractor shall extend the same contract pricing towards a comparable replacement which is functionally equivalent or upgraded version when available. Minimum mandatory hardware specifications must be included. Unless otherwise stated, prices shall be fixed for the term of the Agreement, including all extensions and/or amendments.

10.4 Additional services, if any, will be billed after services have been rendered.

10.5 Both parties acknowledge that during the term of this Agreement, products and services may be added to the Agreement. In the event that such services are identified, and a cost is associated, the County reserves the right to add the additional services to the Agreement and negotiate cost. The County Contract Administrator will approve the additional work and cost by means of an amendment.

10.6 The County will not pay any cost or charge that is not delineated in this Agreement.

**11. DISPUTED PAYMENTS**

If, due to either an issue with the charges on an invoice or the Contractor's failure to perform its obligations under this Agreement, the County disputes any charge(s) on an invoice, the County may withhold the disputed amount, provided that (a) there is a reasonable basis for the dispute, (b) all other amounts that are not in dispute have been paid in accordance with this Agreement, and (c) the County delivers a written statement to Contractor on or before the due date of the invoice, describing in detail the basis of the dispute and the amount being withheld by the County.

**12. TIME OF THE ESSENCE**

12.1 Time is of the essence in the delivery of Deliverables and/or services by Contractor under this Agreement and any contract release purchase order. In the event that the Contractor fails to deliver Deliverables and/or services on time, the Contractor shall be liable for any costs incurred by the County because of Contractor's delay. For instance, County may purchase or obtain the Deliverables and/or services elsewhere and the Contractor shall be liable for the difference between the price in the Agreement and the cost to the County; or County may terminate on grounds of material and Contractor shall be liable for County's damages.

12.2 The Contractor shall promptly reimburse the County for the full amount of its liability, or, at County's option, the County may offset such liability from any payment due to the Contractor under any contract with the County.

12.3 The rights and remedies of County provided herein shall not be exclusive and are in addition to any other rights and remedies provided by law. The acceptance by County of late or partial performance with or without objection or reservation shall not waive the right to claim damage for such breach nor constitute a waiver of the rights or requirements for the complete and timely performance of any obligation remaining to be performed by the Contractor, or of any other claim, right or remedy of the County.

### **13. DOCUMENTATION**

13.1 The Contractor agrees to provide to the County, at no charge, a reasonable number of all nonproprietary manuals and other printed materials, as described within the SOW, and updated versions thereof, which are necessary or useful to the County in its use of the Equipment or Software provided hereunder. The Contractor agrees to provide additional Documentation at prices not in excess of charges made by the Contractor to its other customers for similar Documentation, or if appropriate, to permit County to make copies of same for County's internal use.

13.2 If the Contractor is unable to perform maintenance or the County desires to perform its own maintenance on Equipment purchased under this Agreement then upon written notice by the County the Contractor will provide at Contractor's then current rates and fees adequate and reasonable assistance including relevant Documentation to allow the County to maintain the Equipment based on Contractor's methodology. The Contractor agrees that the County may reproduce such Documentation for its own use in maintaining the Equipment. If the Contractor is unable to perform maintenance, the Contractor agrees to license any other contractor that the County may have hired to maintain the Equipment to use the above noted Documentation. The County agrees to include the Contractor's copyright notice on any such Documentation reproduced, in accordance with copyright instructions to be provided (in writing) by the Contractor.

### **14. SERVICE LEVEL AGREEMENT**

14.1 Contractor warrants that the service provided pursuant to this Agreement shall adhere to the service levels and benchmarks specified in the SOW. Unavailability does not mean an inability to connect to the service due to a failure between the County's computer and the Internet. System availability and response time shall be accurately, truthfully and precisely monitored by Contractor on a 24x7x365 basis. Contractor shall provide a system availability and response time report at any time upon request by County.

14.2 This Agreement may be terminated for cause and without penalty if the Contractor fails to meet, for three (3) months in any twelve (12) month period, the service levels and benchmarks specified in the SOW, or experiences any period of total unavailability that has not been cured within three (3) hours to the reasonable satisfaction of the County.

**15. HAZARDOUS SUBSTANCES**

If any product being offered, delivered or supplied to the County is listed in the Hazardous Substances List of the Regulations of the Director of Industrial Relations with the California Occupational Safety and Health Standards Board, or if the product presents a physical or health hazard as defined in the California Code of Regulations, General Industry Safety Order, Section 5194 ("T8CCR"), Hazard Communication, the Contractor must include a Material Safety Data Sheet ("MSDS") with delivery, or shipment. Each MSDS must reference the contract/purchase order number, and identify the "Ship To Address." All shipments and containers must comply with the labeling requirements of Title 49, Code of Federal Regulations by identifying the hazardous substance, name and address of manufacturer, and appropriate hazard warning regarding potential physical safety and health hazard.

**16. SHIPPING AND RISK OF LOSS**

16.1 Deliverables shall be packaged, marked and otherwise prepared by Contractor in suitable containers in accordance with sound commercial practices. Contractor shall include an itemized packing list with each shipment and with each individual box or package shipped to the County. The packing list shall contain, without limitation, the applicable contract release purchase order number.

16.2 Unless otherwise specified in writing, all shipments by Contractor to County will be F.O.B. point of destination. Freight or handling charges are not billable unless such charges are referenced on the order. Transportation receipts, if required by contract release purchase order, must accompany invoice. Regardless of F.O.B. point, Contractor shall bear all risks of loss, injury, or destruction to Deliverables and materials ordered herein which occur prior to acceptance by County; and such loss, injury or destruction shall not release Contractor from any obligation hereunder.

16.3 Any shipments returned to the Contractor shall be delivered as F.O.B. shipping point.

**17. INSPECTION, TEST, ACCEPTANCE, REJECTION AND RELATED RIGHTS**

Unless otherwise specified in the SOW:

17.1 All Deliverables and/or services are subject to inspection, testing, approval and acceptance by the County. Inspection shall be made within a reasonable time (but in no event longer than sixty (60) calendar days) after delivery. If the Deliverables, services, or the tender of delivery fail in any respect to conform to the Agreement, the County may reject the entire tender, accept the entire tender, or, if the Deliverables are commercially divisible, may, at its option, accept any commercial unit or units and reject the rest.

**17.2 Inspection**

17.2.1 Contractor and its subcontractors will provide and maintain a quality assurance system acceptable to the County covering Deliverables and/or services under

this Contract and will tender to the County only those Deliverables that have been inspected and found to conform to this Agreement's requirements.

17.2.2 Contractor will keep records evidencing inspections and their result, and will make these records available to the County during performance and for three (3) years after final payment. Contractor shall permit the County to review procedures, practices, processes, and related documents to determine the acceptability of Contractor's quality assurance System or other similar business practices related to performance of the Agreement.

17.2.3 Contractor and its subcontractors shall provide all reasonable facilities for the safety and convenience of inspectors at no additional cost to the County. Contractor shall furnish to inspectors all information and data as may be reasonably required to perform their inspection.

17.2.4 All Deliverables and/or services may be subject to final inspection, test and acceptance by the County at destination, notwithstanding any payment or inspection at source.

### 17.3 Test

17.3.1 County will use the criteria established in this Agreement, the SOW, or any subsequent sub-SOW to determine the acceptance of each task and to test the Deliverables and/or services.

17.3.2 If the County, in its sole discretion, determines that the Deliverables and/or services have failed to meet a specific task, specification or requirements of the SOW, any sub-SOW, or this Agreement, or that features or functions said to be present in the Contractor's Documentation are absent or do not function properly, County may execute any or all of the following:

- (i) Have the Contractor modify the Deliverables and/or services to conform to the Documentation;
- (ii) Extend the acceptance testing period for a reasonable time period to allow time for Contractor to remedy the problems; or
- (iii) Cancel this Agreement and its obligations to Contractor. Any pre-payments made to the Contractor shall be prorated to the termination date and the remainder refunded to the County.

### 17.4 Acceptance

17.4.1 Acceptance is set forth in the SOW.

### 17.5 Rejection

17.5.1 County shall give written notice of rejection of Deliverables delivered and/or services performed during the period set forth in Section 17.1 of this Agreement. Such notice of rejection will state the respects in which the Deliverables and/or services do not substantially conform to their specifications. Acceptance by County will be final

and irreversible, except as it relates to latent defects, fraud, and gross mistakes amounting to fraud. Acceptance shall not be construed to waive any warranty rights that the County might have at law or by express reservation in this Agreement with respect to any nonconformity.

17.5.2 Contractor shall be responsible to reclaim and remove any rejected Deliverables and/or items at its own expense. Should Contractor fail to reclaim or remove any rejected Deliverables and/or items within a reasonable time, County shall, at its option dispose of such Deliverables and/or items and require reimbursement from Contractor for any costs or expenses incurred.

17.6 Corrective Action:

17.6.1 Contractor shall comply with all applicable federal state, and local laws and regulations relating to its performance under this Agreement in all material respects.

17.6.2 If County discovers any practice, procedure, or policy of Contractor which materially deviates from the terms or requirements of this Agreement, which violates federal, state or local laws or regulations, the County, in addition to its termination rights, may notify Contractor that corrective action is required.

17.6.3 Contractor shall correct any and all discrepancies, violations, or deficiencies within thirty (30) calendar days, unless the corrective action requires additional time, in which case Contractor shall have a period of time to make corrections.

17.6.4 In the event that the Contractor's Deliverables and/or services are not accepted by County, the Contractor shall be liable for any costs incurred by the County because of such failure by Contractor. For instance, County may purchase or obtain the Deliverables and/or services elsewhere and the Contractor shall be liable for the difference between the price in the Agreement and the cost to the County, and any other costs incurred; or County may terminate for cause on grounds of material breach and Contractor shall be liable for County's damages.

17.6.5 Contractor shall promptly reimburse the County for the full amount of its liability, or, at County's option, the County may offset such liability from any payment due to the Contractor under any contract with the County.

17.6.6 The rights and remedies of County provided herein shall not be exclusive and are in addition to any other rights and remedies provided by law. The acceptance by County of late or partial performance with or without objection or reservation shall not waive the right to claim damage for such breach nor constitute a waiver of the rights or requirements for the complete and timely performance of any obligation remaining to be performed by the Contractor, or of any other claim, right or remedy of the County.

**18. ADJUSTMENT BY COUNTY**

The County reserves the right to waive a variation in specification of Deliverables and/or services supplied by the Contractor. Contractor may request an equitable adjustment of payments to be made by County if County requires a change in the Deliverables and/or services to be delivered. Any claim by the Contractor for resulting adjustment of payment must be asserted within thirty (30) calendar days from the date of receipt by the Contractor of the notification of change required by County; provided however, that the Procurement Director, if he/she decides that the facts justify such action, may receive and act upon any such claim asserted at any time prior to final payment made for Deliverables and/or services supplied by Contractor. Where the cost of property made obsolete or excess as a result of a change is included in the Contractor's claim for adjustment, the Procurement Director shall have the right to prescribe the manner of disposition of such property. Nothing in this clause shall excuse performance by Contractor.

**19. INVOICING**

19.1 Contractor shall invoice according to the pricing Appendix of this Agreement. Invoices shall be sent to the County customer or department referenced in the individual contract release purchase order. Invoices for Deliverables and/or services not specifically listed in the Agreement will not be approved for payment.

19.2 Invoices shall include: Contractor's complete name and remit-to address; invoice date, invoice number, and payment term; County contract number; pricing per the Agreement; applicable taxes; and total cost.

19.3 Contractor and County shall make reasonable efforts to resolve all invoicing disputes within seven (7) calendar days.

**20. AVAILABILITY OF FUNDING**

The County's obligation for payment of any contract beyond the current fiscal year end is contingent upon the availability of funding and upon appropriation for payment to the Contractor. No legal liability on the part of the County shall arise for payment beyond June 30 of the calendar year unless funds are made available for such performance.

**21. PAYMENT**

21.1 Payment shall be due net 30 days from the date of final acceptance by County of the Deliverables and/or services ordered, or net 30 days from the date of approval by County of correct and proper invoices, whichever date is later. Payment is deemed to have been made on the date when the County mails the warrant or initiates the electronic fund transfer.

21.2 Notwithstanding anything to the contrary, County shall not make payments prior to receipt of Deliverables and/or services (i.e. the County will not make "advance payments"). Unless specified in writing in a contract release purchase order, the County will not accept partial delivery with respect to any purchase order. Any acceptance of partial delivery shall not waive any of County's rights.

21.3 Sales tax shall be noted separately on every invoice. Items that are not subject to sales tax shall be clearly identified.

21.4 Contractor shall be responsible for payment of all state and federal taxes assessed on the compensation received under this Agreement and such payment shall be identified under the Contractor's federal and state identification number(s). Contractor shall also be responsible for all state and local property taxes assessed on property that is the subject of this Agreement.

21.5 The County does not pay Federal Excise Taxes (F.E.T). The County will furnish an exemption certificate in lieu of paying F.E.T. Federal registration for such transactions is: County #94-730482K. Contractor shall not charge County for delivery, drayage, express, parcel post, packing, cartage, insurance, license fees, permits, cost of bonds, or for any other purpose, unless expressly authorized by the County.

21.6 Contractor shall be solely responsible for all of Contractor's travel fees and costs. County shall be solely responsible for all of County's travel fees and costs.

## **22. LATE PAYMENT CHARGES OR FEES**

The Contractor acknowledges and agrees that the County will not pay late payment charges or fees.

## **23. DISALLOWANCE**

In the event the Contractor receives payment for Deliverables and/or services, which payment is later disallowed by the County or state or federal law or regulation, the Contractor shall promptly refund the disallowed amount to the County upon notification. At County's option, the County may offset the amount disallowed from any payment due to the Contractor under any contract with the County.

## **24. DISENTANGLEMENT**

24.1 This section shall apply upon termination of this Agreement for any reason.

24.2 Contractor shall cooperate with County and County's other contractors to ensure a smooth transition at the time of termination of this Agreement, regardless of the nature or timing of the termination. Contractor shall cooperate with County's efforts to ensure that there is no interruption of work required under the Agreement and no adverse impact on the supply of Deliverables, provision of services or the County's activities. Contractor shall promptly return to County all County assets or information in Contractor's possession.

24.3 For any software programs developed for use under the County's Agreement, Contractor shall provide a non-exclusive, non-transferable, fully-paid, perpetual, irrevocable, royalty-free worldwide license to the County, at no charge to County, to use, copy, and modify, all work or derivatives that would be needed in order to allow County to continue to perform for itself, or obtain from other providers, the services as the same might exist at the time of termination.

24.4 County shall be entitled to purchase at net book value those Contractor assets used for the provision of services to or for County, other than those assets expressly identified

by the parties as not being subject to this provision. Contractor shall promptly remove from County's premises, or the site of the work being performed by Contractor for County, any Contractor assets that County, or its designee, chooses not to purchase under this provision.

24.5 Contractor shall deliver to County or its designee, at County's request, all Documentation and data related to County, including, but not limited to, the County Data and client files, held by Contractor, and after return of same, Contractor shall destroy all copies thereof not turned over to County, all at no charge to County.

## **25. DISPUTES**

25.1 The parties shall deal in good faith and attempt to resolve potential disputes informally. If the dispute persists, except as otherwise provided in this Agreement, any dispute concerning a question of fact arising under this Agreement that is not disposed of by agreement shall be decided by the Director of Procurement who shall furnish the decision to the Contractor in writing. The decision of the Director of Procurement shall be final and conclusive unless determined by the court of competent jurisdiction to have been fraudulent or capricious, or arbitrary, or so grossly erroneous as necessarily to imply bad faith. The Contractor shall proceed diligently with the performance of the Agreement pending the Director of Procurement's decision.

25.2 "Disputes" clause does not preclude consideration of legal questions in connection with decisions provided for in paragraph (a) above. Nothing in this Agreement shall be construed as making final the decision of any administrative official, representative, or board on a question of law.

25.3 In the event of a dispute, Contractor shall continue to perform its obligations pursuant to this Agreement for a period not to exceed ninety (90) days from the time that Contractor provides written notice to County of the disputed issue(s).

## **26. ACCOUNTABILITY**

Contractors will be the primary point of contact and assume the responsibility of all matters relating to the purchase, including those involving the manufacturer and deliverer or any subcontractor, as well as payment issues. If issues arise, the Contractor must take immediate action to correct or resolve the issues.

## **27. NO ASSIGNMENT, DELEGATION OR SUBCONTRACTING WITHOUT PRIOR WRITTEN CONSENT**

27.1 Contractor may not assign any of its rights, delegate any of its duties or subcontract any portion of its work or business under this Agreement or any contract release purchase order without the prior written consent of County. No assignment, delegation or subcontracting will release Contractor from any of its obligations or alter any of its obligations to be performed under the Agreement. Any attempted assignment, delegation or subcontracting in violation of this provision is voidable at the option of the County and constitutes material breach by Contractor. Contractor is responsible for payment to subcontractors and must monitor, evaluate, and account for the sub-contractor(s) services and operations.



27.2 As used in this provision, "assignment" and "delegation" means any sale, gift, pledge, hypothecation, encumbrance, or other transfer of all or any portion of the rights, obligations, or liabilities in or arising from this Agreement to any person or entity, whether by operation of law or otherwise, and regardless of the legal form of the transaction in which the attempted transfer occurs.

## **28. MERGER AND ACQUISITION**

28.1 Neither party may assign this Agreement or transfer any rights to a third party without the prior written consent of the other party, and any such attempt shall be void; provided, however, subject to compliance with the provisions of this Section 28, County shall not unreasonably withhold or delay its consent for Contractor to transfer and/or assign this Agreement to any current wholly owned subsidiary, or pursuant to a corporate plan of merger, reorganization, acquisition or consolidation.

28.2 This Agreement will inure to the benefit of and be binding upon the parties and their respective successors and permitted assigns. The terms of this Agreement will survive an acquisition, merger, divestiture or other transfer of rights or assignment involving Contractor. In the event of an acquisition, merger, divestiture or other transfer of rights, Contractor shall ensure that the acquiring entity or the new entity agrees to be bound by the terms of this Agreement and act in the place of Contractor with respect to all of its obligations as set forth herein. The acquiring entity shall honor all the terms and conditions in this Agreement and (if applicable) provide the functionality of the Deliverables and/or services in a future, separate or renamed product, if the acquiring entity or the new entity reduces or replaces the functionality, or otherwise provide a substantially similar functionality of the Deliverables and/or services at the same pricing levels. No additional license or maintenance fee will apply.

28.3 Contractor shall provide thirty (30) calendar days written notice to the County following the closing of an acquisition, merger, divestiture or other transfer of right involving Contractor.

28.4 Contractor shall provide reasonable assistance to County during the transition period.

## **29. COMPLIANCE WITH ALL LAWS & REGULATIONS**

Contractor shall comply with all laws, codes, regulations, rules and orders (collectively, "Regulations") applicable to the Deliverables and/or services to be provided hereunder. Contractor's violation of this provision shall be deemed a material default by Contractor, giving County a right to terminate the Agreement. Examples of such Regulations include but are not limited to California Occupational Safety and Health Act of 1973, Labor Code §6300 et. seq. the Fair Packaging and Labeling Act, etc. and the standards and regulations issued there under. Contractor shall defend, indemnify and hold the County harmless against any claim, loss, damage, fine, penalty, or any expense whatsoever as a result of Contractor's failure to comply with the act and any standards or regulations issued there under.

### **30. FORCE MAJEURE**

30.1 Neither party shall be liable for failure of performance, nor incur any liability to the other party on account of any loss or damage resulting from any delay or failure to perform all or any part of this Agreement if such delay or failure is caused by events, occurrences, or causes beyond the reasonable control and without negligence of the parties. Such events, occurrences, or causes will include Acts of God/Nature (including fire, flood, earthquake, storm, hurricane or other natural disaster), war, invasion, act of foreign enemies, hostilities (whether war is declared or not), civil war, riots, rebellion, revolution, insurrection, military or usurped power or confiscation, terrorist activities, nationalization, government sanction, lockout, blockade, embargo, labor dispute, strike, interruption or failure of electricity or telecommunication service.

30.2 Each party, as applicable, shall give the other party notice of its inability to perform and particulars in reasonable detail of the cause of the inability. Each party must use best efforts to remedy the situation and remove, as soon as practicable, the cause of its inability to perform or comply.

30.3 The party asserting *Force Majeure* as a cause for non-performance shall have the burden of proving that reasonable steps were taken to minimize delay or damages caused by foreseeable events, that all non-excused obligations were substantially fulfilled, and that the other party was timely notified of the likelihood or actual occurrence which would justify such an assertion, so that other prudent precautions could be contemplated.

30.4 The County shall reserve the right to terminate this Agreement and/or any applicable order or contract release purchase order upon non-performance by Contractor. The County shall reserve the right to extend the agreement and time for performance at its discretion.

### **31. CONFLICT OF INTEREST**

31.1 Contractor represents and warrants that, to the best of its knowledge, it presently has no interest and shall not acquire any interest, direct or indirect, that would conflict in any manner or degree with the performance of services required under this Agreement.

31.2 Contractor shall comply, and require its subcontractors to comply, with all applicable (i) professional canons and requirements governing avoidance of impermissible client conflicts applicable to Contractor and such subcontractors; and (ii) federal, state and local conflict of interest laws and regulations applicable to Contractor, such subcontractors and the services, including, without limitation, to the extent applicable, California Government Code section 1090 et. seq., the California Political Reform Act (California Government Code section 87100 et. seq.) and the regulations of the Fair Political Practices Commission concerning disclosure and disqualification (2 California Code of Regulations section 18700 et. seq.). Failure to do so constitutes a material breach of this Agreement and is grounds for termination of this Agreement by the County.

31.3 Contractor shall provide County with the names, description of individual duties to be performed and email addresses of all persons who will be engaged in performance of the agreement, including without limitation colleagues, employees, agents and subcontractors with the exception of those working solely ministerial, secretarial, manual, or clerical capacity. Contractor shall immediately notify the County of the names of individuals working in such a capacity who, during the course of the Agreement, end their service.

31.4 Contractor shall ensure that all individuals identified pursuant to this section understand that they are subject to the Political Reform Act ("PRA") and shall conform to all requirements of the PRA and other laws and regulations, including, as required, filing of Statements of Economic Interests (Form 700) within thirty (30) calendar days of commencing service pursuant to this Agreement, annually by April 1, and within thirty (30) calendar days of their termination of service pursuant to this Agreement. Form 700 is available on the website of the Fair Political Practices Commission.

### **32. INDEPENDENT CONTRACTOR**

Contractor shall supply all Deliverables and/or perform all services pursuant to this Agreement as an independent contractor and not as an officer, agent, servant, or employee of County. Contractor shall be solely responsible for the acts and omissions of its officers, agents, employees, contractors, and subcontractors, if any. Nothing herein shall be considered as creating a partnership or joint venture between the County and Contractor. No person performing any services and/or supplying all Deliverables shall be considered an officer, agent, servant, or employee of County, nor shall any such person be entitled to any benefits available or granted to employees of the County.

### **33. INSURANCE**

Contractor shall maintain insurance coverage, throughout the term of this Agreement, pursuant to Appendix \_\_\_\_.

### **34. DAMAGE AND REPAIR BY CONTRACTOR**

Any and all damages caused by Contractor's negligence or operations shall be repaired, replaced or reimbursed by Contractor at no charge to the County. Repairs and replacements shall be completed with seventy two (72) hours of the incident unless the County requests or agrees to an extension or another time frame. The clean up of all damage related to accidental or intentional release of any/all non-hazardous or hazardous material (e.g. hydraulic fluid, fuel, grease, etc.) from Contractor's vehicles or during performance shall be responsibility of the Contractor. All materials must be cleaned up in a manner and time acceptable to County (completely and immediately to prevent potential as well as actual environmental damage). Contractor must immediately report each incident to the County's Director of Procurement. Damage observed by Contractor, whether or not resulting from Contractor's operations or negligence shall be promptly reported by Contractor to County. County may, at its option, approve and/or dictate the actions that are in County's best interests.

**35. LIENS, CLAIMS, AND ENCUMBRANCES AND TITLE**

The Contractor represents and warrants that all the Deliverables and/or materials ordered and delivered are free and clear of all liens, claims or encumbrances of any kind. Contractor represents and warrants that it has free and clear title (including any and all intellectual property rights) to the Deliverables and/or materials purchased by County. Title to the Deliverables and/or materials purchased shall pass directly from Contractor to County at the F.O.B. point, subject to the right of County to reject upon inspection.

**36. CONTRACTOR'S LIABILITY FOR INJURY TO PERSONS OR DAMAGE TO PROPERTY**

36.1. Contractor shall be liable for damages arising out of injury to the person and/or damage to the property of the County, employees of the County, persons designated by the County for training, or any other person(s) other than agents or employees of the Contractor, designated by the County for any purpose, prior to, during, or subsequent to delivery, installation, acceptance, and use of the Deliverables either at the Contractor's site or at the County's place of business, provided that the injury or damage was caused by the fault or negligence of the Contractor.

36.2 Contractor shall not be liable for damages arising out of or caused by an alteration not made or installed by the Contractor.

**37. INDEMNITY**

Contractor shall defend, indemnify, and hold harmless the County, its officers, agents and employees from any claim, liability, loss, injury or damage arising out of, or in connection with, performance of this Agreement by Contractor and/or its agents, employees or sub-contractors, excepting only loss, injury or damage caused by the sole negligence or willful misconduct of personnel employed by the County. It is the intent of the parties to this Agreement to provide the broadest possible coverage for the County. The Contractor shall reimburse the County for all costs, attorneys' fees, expenses and liabilities incurred with respect to any litigation in which the Contractor is obligated to defend, indemnify, and hold harmless the County under this Agreement.

**38. INTELLECTUAL PROPERTY INDEMNITY**

Contractor represents and warrants for the benefit of the County and its users that, to its knowledge, as of the effective date of this Agreement, Contractor is the exclusive owner of all rights, title and interest in the Deliverables and/or services provided pursuant to this Agreement. Contractor shall defend, indemnify and hold the County harmless against any claim, action or litigation (including but not limited to all judgments, costs, fees, and reasonable attorneys fees) by a third party alleging the Deliverables and/or services provided pursuant to this Agreement infringe upon any intellectual property rights of third parties.

**39. LIMITATION OF LIABILITY**

39.1 Contractor's liability for damages to the County for any cause whatsoever, and regardless of the form of action, whether in contract or in tort, shall be limited to greater of (i) the insurance limits set forth in Appendix D to this Agreement, or (ii) three (3) times the Purchase Price. For purposes of this Section, "Purchase Price" will mean the aggregate

Agreement price as set forth in Section 10 of this Agreement, and any subsequent amendments to this Agreement.

39.2 The foregoing limitation of liability shall not apply to (i) any indemnity or warranty obligation set forth in this Agreement, (ii) Contractor's willful misconduct, gross negligence, or fraud, or (iii) costs or attorney's fees that the County becomes entitled to recover.

39.3 The County's liability for damages for any cause whatsoever, and regardless of the form of action, whether in contract or in tort, shall be limited to the Purchase Price. Nothing herein shall be construed to waive or limit the County's sovereign immunity or any other immunity from suit provided by law.

#### **40. WARRANTY**

40.1 Any Deliverables and/or services furnished under this Agreement shall be covered by the most favorable commercial warranties that Contractor gives to any of its customers for the same or substantially similar Deliverables and/or services. Any warranties so provided shall supplement, and shall not limit or reduce, any rights afforded to County by any clause in this Agreement, any applicable Uniform Commercial Code warranties, including, without limitation, Implied Warranty of Merchantability and Implied Warranty of Fitness for a Particular Purpose as well as any other express warranty.

40.2 Unless otherwise specified, the warranties in this Section begin upon County's final acceptance of the Deliverables and/or services in question and end one (1) year thereafter. Contractor warrants that:

40.2.1 Deliverables and/or services furnished hereunder shall strictly conform to the requirements of this Agreement (including without limitation all descriptions, specifications, and drawings identified in the SOW) and Contractor's Documentation;

40.2.2 Deliverables shall:

- (i) be free from material defects in materials and workmanship;
- (ii) be free of illicit or harmful code (i.e. computer viruses, worms, trap doors, time bombs, disabling code, or any similar malicious mechanism designed to interfere with the intended operation of, or cause damage to, computers, data, or Software);
- (iii) not contain hidden files or viruses;
- (iv) not replicate, transmit or activate themselves;
- (v) not alter, damage or erase data or computer programs;
- (vi) not contain open source code; and
- (vii) not infringe or violate any U.S. Intellectual Property Right.

40.2.3 If the Agreement calls for delivery of Commercial Software, Contractor warrants that such Software will perform in accordance with its license and accompanying Documentation.

40.2.4 All Deliverables supplied shall be new, suitable for the use intended, of the grade and quality specified, free from all defects in design, material and workmanship, in conformance with all samples, drawings, descriptions and specifications furnished by the County, in compliance with all applicable federal, state and local laws and regulations and free of liens, claims and encumbrances.

40.2.5 All Deliverables containing embedded or third party software shall contain a nonexclusive, perpetual, worldwide, and royalty free license to use, reproduce, distribute, demonstrate and prepare derivative works. Should a conflict exist between the terms of any such embedded or third party software license and this Agreement, this Agreement shall take precedence and supersede such other license terms and conditions. Contractor also represents and warrants that it has all rights to license to County. Contractor shall pass through all applicable third party warranties to County.

40.2.6 All Deliverables are compatible with County's operating environment.

40.2.7 Contractor shall perform all services in a workmanlike manner and in accordance with Contractor's industry's standards, but in no event less than a reasonable manner.

40.2.8 Security features shall be embedded, enabled and active upon delivery to County, including baseline security configurations for all Deliverables and a defined process to discover and report to County areas within the Deliverables that are vulnerable to security breaches.

40.3 Contractor shall immediately repair and/or replace any Deliverable not conforming to any warranty, or provide services to conform to County's requirements. If after notice, Contractor fails to repair or replace Deliverables, or to provide services to conform to County's requirements, Contractor shall promptly refund to County the full purchase price paid by the County and the County's Cost to Cover. This remedy is non-exclusive of other remedies and rights that may be exercised by the County. Claims for damages may include direct damages, such as cost to repair, as well as incidental and consequential damages. "Cost to Cover" means the cost, properly mitigated, of procuring Deliverables and/or services of equivalent capability, function, and performance. Contractor shall also extend the warranty period for the equivalent period of time that the Deliverables are not in conformance with the County's requirements.

40.4 At County's option, Contractor shall use best efforts to repair and/or replace any Deliverable containing open source code or illicit or harmful code. Contractor shall also extend the warranty period for the equivalent period of time that the Deliverables are not in conformance with the County's requirements. Contractor shall also extend the

warranty period for the equivalent period of time that the Deliverables are not in conformance with the County's requirements.

40.5 If Contractor is unable to repair and/or replace to the County's satisfaction and within a reasonable period of time, County may immediately terminate this Agreement for cause pursuant to section 5 of this Agreement and Contractor shall refund to County a proportionate refund of any pre-paid fees.

40.6 During the provision of Deliverables and/or services, Contractor may not disclaim any warranty, express or implied, and any such disclaimer shall be void. Additionally, the warranties above shall not be deemed to exclude Contractor's standard warranties or other rights and warranties that the County may have or obtain.

40.7 Unless otherwise specified, the Contractor does not warrant that any Software provided hereunder is error-free or that it will run without immaterial interruption.

40.8 Contractor does not warrant and will have no responsibility for a claim to the extent that it arises directly from (A) a modification made by the County, unless such modification is approved or directed by Contractor, (B) use of Software in combination with or on products other than as specified by Contractor, or (C) misuse by the County.

40.9 Where Contractor resells Hardware or Software it purchased from a third party, and such third party offers additional or more advantageous warranties than those set forth herein, Contractor will pass through any such warranties to the County and will reasonably cooperate in enforcing them. Such warranty pass-through will be supplemental to, and not relieve Contractor from, Contractor's warranty obligations set forth above.

40.10 All warranties, including special warranties specified elsewhere herein, shall inure to the County, its successors, assigns, customer agencies, and governmental users of the Deliverables and/or services.

40.11 Should any Deliverable contain embedded or third party software without a license as specified in section 40.2.5, Contractor shall immediately obtain a license for County's benefit at no cost to the County. Said license shall conform to the requirements set forth in section 40.2.5.

#### **41. COOPERATION WITH REVIEW**

41.1 Contractor shall cooperate with County's periodic review of Contractor's performance. Contractor shall make itself available onsite to review the progress of the project and Agreement, as requested by the County, upon reasonable advanced notice.

41.2 Contractor agrees to extend to the County or his/her designees and/or designated auditor of the County, the right to monitor or otherwise evaluate all work performed and all records, including service records and procedures to assure that the project is achieving its purpose, that all applicable federal, state, and local laws and regulations are met, and that adequate internal fiscal controls are maintained.

**42. AUDIT RIGHTS**

42.1 Pursuant to California Government Code Section 8546.7, the parties acknowledge and agree that every contract involving the expenditure of public funds in excess of Ten Thousand Dollars (\$10,000 USD) shall be subject to audit by the State Auditor.

42.2 All payments made under this Agreement shall be subject to an audit at County's option, and shall be adjusted in accordance with said audit. Adjustments that are found necessary as a result of auditing may be made from current billings.

42.3 Contractor shall be responsible for receiving, replying to, and complying with any audit exceptions set forth in any County audits. Contractor shall pay to County the full amount of any audit determined to be due as a result of County audit exceptions. This provision is in addition to other inspection and access rights specified in this Agreement.

**43. ACCESS AND RETENTION OF RECORDS AND PROVISION OF REPORTS**

43.1 Contractor shall maintain financial records adequate to show that County funds paid were used for purposes consistent with the terms of the Agreement between Contractor and County. Records shall be maintained during the terms of the Agreement and for a period of four (4) years from its termination, or until all claims have been resolved, whichever period is longer, unless a longer period is required under any contract.

43.2 All books, records, reports, and accounts maintained pursuant to the Agreement, or related to the Contractor's activities under the Agreement, shall be open to inspection, examination, and audit by County, federal and state regulatory agencies, and to parties whose Agreements with the County require such access. County shall have the right to obtain copies of any and all of the books and records maintained pursuant to the Agreement, upon the payment of reasonable charges for the copying of such records.

43.3 Contractor shall provide annual reports that include, at minimum, (i) the total contract release purchase order value for the County as a whole and individual County departments, (ii) the number of orders placed, the breakdown (by customer ID/department and County) of the quantity and dollar amount of each product and/or service ordered per year. Annual reports must be made available no later than thirty (30) calendar days of the Agreement anniversary date unless otherwise requested.

43.4 Contractor shall also provide quarterly reports to the County that show a breakdown by contract release purchase order (i) the order date (ii) ship date (iii) estimated arrival date (iv) actual arrival date (v) list of products, services and maintenance items (vi) the number and details of problem/service calls and department name that each such call pertains to (including unresolved problems). Quarterly reports must be made available to the County in electronic format, two (2) business days after the end of each quarter unless otherwise requested.

**44. ACCESS TO BOOKS AND RECORDS PURSUANT TO THE SOCIAL SECURITY ACT**

If and to the extent that, Section 1861 (v) (1) (1) of the Social Security Act (42 U.S.C. Section 1395x (v) (1) (1) is applicable, Contractor shall maintain such records and provide such



information to County, to any payor which contracts with County and to applicable state and federal regulatory agencies, and shall permit such entities and agencies, at all reasonable times upon request, to access books, records and other papers relating to the Agreement hereunder, as may be required by applicable federal, state and local laws, regulations and ordinances. Contractor agrees to retain such books, records and information for a period of at least four (4) years from and after the termination of this Agreement. Furthermore, if Contractor carries out any of its duties hereunder, with a value or cost of Ten Thousand Dollars (\$10,000 USD) or more over a twelve (12) month period, through a subcontract with a related organization, such subcontract shall contain these same requirements. This provision shall survive the termination of this Agreement regardless of the cause giving rise to the termination.

#### **45. NON-DISCRIMINATION**

Contractor shall comply with all applicable federal, state, and local laws and regulations, including Santa Clara County's policies, concerning nondiscrimination and equal opportunity in contracting. Such laws include, but are not limited to, the following: Title VII of the Civil Rights Act of 1964 as amended; Americans with Disabilities Act of 1990; The Rehabilitation Act of 1973 (§§ 503 and 504); California Fair Employment and Housing Act (Government Code §§ 12900 et seq.); and California Labor Code §§ 1101 and 1102. Contractor shall not discriminate against any employee, subcontractor or applicant for employment because of age, race, color, national origin, ancestry, religion, sex/gender, sexual orientation, mental disability, physical disability, medical condition, political beliefs, organizational affiliations, or marital status in the recruitment, selection for training including apprenticeship, hiring, employment, utilization, promotion, layoff, rates of pay or other forms of compensation. Nor shall Contractor discriminate in provision of services provided under this Agreement because of age, race, color, national origin, ancestry, religion, sex/gender, sexual orientation, mental disability, physical disability, medical condition, political beliefs, organizational affiliations, or marital status. Contractor's violation of this provision shall be deemed a material default by Contractor giving County a right to terminate the Agreement for cause.

#### **46. DEBARMENT**

Contractor represents and warrants that it, its employees, contractors, subcontractors or agents (collectively "Contractor") are not suspended, debarred, excluded, or ineligible for participation in Medicare, Medi-Cal or any other federal or state funded health care program, or from receiving federal funds as listed in the List of Parties Excluded from Federal Procurement or Non-procurement Programs issued by the Federal General Services Administration. Contractor must within thirty (30) calendar days advise the County if, during the term of this Agreement, Contractor becomes suspended, debarred, excluded or ineligible for participation in Medicare, Medi-Cal or any other federal or state funded health care program, as defined by 42. U.S.C. 1320a-7b(f), or from receiving federal funds as listed in the List of Parties Excluded from Federal Procurement or Non-procurement Programs issued by the Federal General Services Administration. Contractor shall defend, indemnify, and hold the County harmless for any loss or damage resulting from the conviction, debarment, exclusion or ineligibility of the Contractor.

**47. RIGHTS IN WORK PRODUCT**

47.1 All inventions, discoveries, intellectual property, technical communications and records originated or prepared by the Contractor pursuant to this Agreement including papers, reports, charts, computer programs, and other Documentation or improvements thereto, and including Contractor's administrative communications and records relating to this Agreement (collectively, the "Work Product"), shall be County's exclusive property. The provisions of this section may be revised in a SOW.

47.2 Software and other materials developed or otherwise obtained by or for Contractor or its affiliates independently of this Agreement or applicable purchase orders ("Pre-Existing Materials") do not constitute Work Product. If Contractor creates derivative works of Pre-Existing Materials, the elements of such derivative works created pursuant to this Contract constitute Work Product, but other elements do not. Nothing in this section will be construed to interfere with Contractor's or its affiliates' ownership of Pre-Existing Materials.

**48. PROTECTION OF PROPRIETARY SOFTWARE AND OTHER PROPRIETARY DATA**

48.1 The County agrees that all material appropriately marked or identified in writing as proprietary, and furnished hereunder are provided for County's exclusive use for the purposes of this Agreement only. All such proprietary data shall remain the property of the Contractor. County agrees to take reasonable steps to insure that such proprietary data is not disclosed to others, without prior written consent of the Contractor, subject to the California Public Records Act ("CPRA").

48.2 The County will insure, prior to disposing of any media, that any licensed materials contained thereon have been erased or otherwise destroyed.

48.3 The County agrees that it will take appropriate action by instruction, agreement or otherwise with its employees or other persons permitted access to licensed software and other proprietary data to satisfy its obligations under this Agreement with respect to use, copying, modification, protection and security of proprietary software and other proprietary data.

**49. COUNTY DATA**

49.1 "County Data" shall mean data and information received by Contractor from County. As between Contractor and County, all County Data shall remain the property of the County. Contractor shall not acquire any ownership interest in the County Data.

49.2 Contractor shall not, without County's written permission consent, use or disclose the County Data other than in the performance of its obligations under this Agreement.

49.3 Contractor shall be responsible for establishing and maintaining an information security program that is designed to ensure the security and confidentiality of County Data, protect against any anticipated threats or hazards to the security or integrity of County Data, protect against unauthorized access to or use of County Data that could result in substantial harm or inconvenience to County or any end users; and ensure the proper disposal of County data upon termination of this Agreement.

49.4 Contractor shall take appropriate action to address any incident of unauthorized access to County Data, including addressing and/or remedying the issue that resulted in such unauthorized access, notifying County as soon as possible of any incident of unauthorized access to County Data, or any other breach in Contractor's security that materially affects County or end users; and be responsible for ensuring compliance by its officers, employees, agents, and subcontractors with the confidentiality provisions hereof.

49.5 Should confidential and/or legally protected County Data be divulged to unauthorized third parties, Contractor shall comply with all applicable federal and state laws and regulations, including but not limited to California Civil Code Sections 1798.29 and 1798.82 at Contractor's sole expense (if applicable). Contractor shall not charge the County for any expenses associated with Contractor's compliance with the obligations set forth in this section.

## **50. SOFTWARE SOURCE CODE ESCROW**

50.1 Software in Escrow: Contractor shall place in escrow with an independent escrow agent approved by the County, at Contractor's expense, all software that is relevant to functionality, setup, configuration, and operation of the System, including, but not limited to, a complete copy of the source and executable code, build scripts, object libraries, application program Interfaces, and complete Documentation of all aspects of the System including, but not limited to, compiling instructions, design Documentation, technical Documentation, user Documentation, hardware and software specifications, drawings, records, and related data (the "Deposit Material"). Contractor shall promptly deposit all new updates, versions or releases as they become available to customers. The Documentation shall include a sworn affidavit that the Deposit Material provided includes all relevant components mentioned in this section above and programs and materials necessary to compile and operate the System and use the source code for the purpose of maintaining the System as contemplated in Section 50.2 below. the reliability of the Equipment. Contractor shall add County as a beneficiary to its source code escrow agreement.

50.2 Access to Source Code: Pursuant to Appendix E, if Contractor ceases to do business (whether by bankruptcy, insolvency, or an assignment without consent of the County) or refuses to provide Maintenance (provided County is current on Maintenance fees), or if this Agreement is terminated for cause by County due to Contractor's material breach of this Agreement, Contractor shall make available to County the most recent Deposit Material. County shall have the right to copy, modify, and use said Deposit Material. Upon release of the Deposit Material, County agrees that (a) Contractor retains ownership of the Deposit Material, (b) the Deposit Material is licensed to County subject to the restrictions of this Agreement, (c) County may not remove or destroy any proprietary markings or legend placed upon or contained with the Deposit Material, (d) County may not market, sell, publish, disclose or otherwise make available the Deposit Material to any third party not permitted by this Agreement to use the Licensed Software, (e) County shall hold the Deposit Material of Contractor in strict confidence and not make any disclosure except as necessary for its use thereof, and (f) except when actually being utilized for the sole purpose of continuing the benefits afforded to County by the Agreement, County shall keep the Deposit Material in a

restricted, limited access area with access thereto limited to designated personnel of County who have a need to use the Deposit Material for the purposes permitted hereunder for the duration of time as necessary to complete such permitted purpose. County shall return all Deposit Material if the event giving rise to the release of the Deposit Material is cured by Contractor.

50.3 Appendix E lists the annual fee to be paid by Contractor for third party escrow fees.

50.4 The source code may be made available by electronic transmission, at County's option.

## **51. CALIFORNIA PUBLIC RECORDS ACT INDEMNITY**

The County is a public agency subject to the disclosure requirements of the CPRA. If the County receives a CPRA request for documents (as defined by the CPRA) and said request relates to the Deliverables and/or services provided pursuant to this Agreement, the County will notify Contractor of the request and confer with Contractor regarding an appropriate response to said request. If Contractor contends that any documents are Contractor's confidential or proprietary material, not subject to the CPRA, and/or exempt from the CPRA, and Contractor wishes to prevent disclosure of said documents, Contractor shall instruct County to withhold said documents. If Contractor fails to respond to County in writing prior to the County's deadline for responding to the CPRA request, the County may disclose the requested information under the CPRA without liability to the County. Contractor shall defend, indemnify and hold the County harmless against any claim, action or litigation (including but not limited to all judgments, costs, fees, and reasonable attorneys fees) that may result from denial of a CPRA request.

## **52. SEVERABILITY**

Should any part of the Agreement between County and the Contractor or any individual contract release purchase order be held to be invalid, illegal, or unenforceable in any respect, such invalidity, illegality, or unenforceability shall not affect the validity of the remainder of the Agreement or any individual contract release purchase order which shall continue in full force and effect, provided that such remainder can, absent the excised portion, be reasonably interpreted to give the effect to the intentions of the parties.

## **53. NON-WAIVER**

No waiver of a breach, failure of any condition, or any right or remedy contained in or granted by the provisions of this Agreement will be effective unless it is in writing and signed by County. No waiver of any breach, failure, right, or remedy will be deemed a waiver of any other breach, failure, right, or remedy, whether or not similar, nor will any waiver constitute a continuing waiver unless the writing signed by the County so specifies.

**54. USE OF COUNTY'S NAME FOR COMMERCIAL PURPOSES**

Contractor may not use the name of the County or reference any endorsement from the County in any fashion for any purpose, without the prior express written consent of the County as provided by the Director of Procurement, or authorized designee.

**55. HEADINGS AND TITLES**

The titles and headings in this Agreement are included principally for convenience and do not by themselves affect the construction or interpretation of any provision in this Agreement, nor affect any of the rights or obligations of the parties to this Agreement.

**56. HANDWRITTEN OR TYPED WORDS**

Handwritten or typed words have no greater weight than printed words in the interpretation or construction of this Agreement.

**57. AMBIGUITIES**

Any rule of construction to the effect that ambiguities are to be resolved against the drafting party does not apply in interpreting this Agreement. Should any ambiguities or conflicts between contract terms and conditions contained in this Agreement and its Appendices exist, the terms and conditions in this Agreement shall control over its appendices.

**58. ENTIRE AGREEMENT**

This Agreement and its appendices (if any) constitute the final, complete and exclusive statement of the terms of the agreement between the parties. It incorporates and supersedes all the agreements, covenants and understandings between the parties concerning the subject matter hereof, and all such agreements, covenants and understandings have been merged into this Agreement. No prior or contemporaneous agreement or understanding, verbal or otherwise, of the parties or their agents shall be valid or enforceable unless embodied in this Agreement.

**59. EXECUTION & COUNTERPARTS**

This Agreement may be executed in one or more counterparts, each of which will be considered an original, but all of which together will constitute one and the same instrument. The parties agree that this Agreement, its amendments, and ancillary agreements to be entered into in connection with this Agreement will be considered signed when the signature of a party is delivered by facsimile transmission. Such facsimile signature must be treated in all respects as having the same effect as an original signature. The original signature copy must be sent to the County by United States Postal Service mail, sent by courier or delivered by hand.

**60. NOTICES**

All deliveries, notices, requests, demands or other communications provided for or required by this Agreement shall be in writing and shall be deemed to have been given when sent by registered or certified mail, return receipt requested; when sent by overnight carrier; or upon email confirmation to sender of receipt of a facsimile communication which is followed by a mailed hard copy from sender. Notices shall be addressed to:

**COUNTY:**

Name: \_\_\_\_\_

Contract Administrator  
c/o Procurement Department  
2310 North First Street, Suite 201  
San Jose, CA 95131-1040

**CONTRACTOR:**

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Company: \_\_\_\_\_

Address 1: \_\_\_\_\_

Address 2: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_

Zip: \_\_\_\_\_

Each party may designate a different person and address by sending written notice to the other party, to be effective no sooner than ten (10) calendar days after the date of the notice.

**61. ACCOUNT MANAGER**

Contractor must assign an Account Manager to the County to facilitate the contractual relationship, be fully responsible and accountable for fulfilling the County's requirements. Contractor represents and warrants that such person will ensure that the County receives adequate pre- and post-sales support, problem resolution assistance and required information on a timely basis.

**62. SURVIVAL**

All representations, warranties, indemnities, and covenants contained in this Agreement, or in any instrument, certificate, appendix, or other writing intended by the parties to be a part of their Agreement, will survive the termination of this Agreement.

**63. GOVERNING LAW, JURISDICTION AND VENUE**

This Agreement shall be construed and interpreted according to the laws of the State of California, excluding its conflict of law principles. Proper venue for legal actions shall be exclusively vested in state court in the County of Santa Clara. The parties agree that subject matter and personal jurisdiction are proper in state court in the County of Santa Clara, and waive all venue objections.

**64. HIPAA**

Contractor shall comply with Appendix \_\_\_\_, which sets forth certain requirements pursuant to the Health Insurance Portability and Accountability Act (HIPAA) of 1996.

**65. NO SMOKING**

Contractor and its employees, agents and subcontractors, shall comply with the County's No-Smoking Policy, as set forth in the Board of Supervisors Policy Manual section 3.47 (as amended from time to time), which prohibits smoking: (1) at the Santa Clara Valley Medical Center Campus and all County-owned and operated health facilities, (2) within 30 feet surrounding County-owned buildings and leased buildings where the County is the sole occupant, and (3) in all County vehicles.

**66. REMOTE ACCESS AND USER RESPONSIBILITY**

Appendix \_\_\_\_ of this Agreement lists the remote access and user responsibility requirements, terms and conditions. Contractor shall comply with this Appendix.

**67. BEVERAGE NUTRITIONAL CRITERIA**

If Contractor provides beverages through County departments, or at County programs, sponsored meetings, sponsored events, or at County owned/operated facilities, Contractor shall not use County funds to purchase beverages that do not meet the County's nutritional beverage criteria, if applicable. The six categories of nutritional beverages that meet these criteria are (1) water with no additives; (2) 100% fruit juices with no added sugars, artificial flavors or colors (limited to a maximum of 10 ounces per container); (3) dairy milk, non-fat, 1% and 2% only, no flavored milks; (4) plant derived (i.e., rice, almond, soy, etc.) milks (no flavored milks); (5) artificially-sweetened, calorie-reduced beverages that do not exceed 50 calories per 12-ounce container (teas, electrolyte replacements); and (6) other non-caloric beverages, such as coffee, tea, and diet sodas. These criteria may be waived in the event of an emergency or in light of medical necessity.

**68. ASSIGNMENT OF CLAYTON ACT, CARTWRIGHT ACT CLAIMS**

Contractor hereby assigns to the County all rights, title, and interest in and to all causes of action it may have under Section 4 of the Clayton Act (15 U.S.C. Sec. 15) or under the Cartwright Act (Chapter 2 (commencing with Section 16700) of Part 2 of Division 7 of the Business and Professions Code), arising from purchases of goods, materials, or services by the Contractor for sale to the County pursuant to this agreement.

**69. ELECTRONIC COPY OF SIGNED AGREEMENT**

All parties agree that an electronic copy of a signed contract shall have the same force and effect as an original signed contract provided that the Contractor agrees to deliver to the County the original signed contract within 7 business days of sending an electronic copy. The term "electronic copy" for purposes of this provision refers to a transmission by facsimile or electronic mail in a portable document format.



## **ATTACHMENT 2**

### **B-2 INSURANCE REQUIREMENTS**

#### Indemnity

The Contractor shall indemnify, defend, and hold harmless the County of Santa Clara (hereinafter "County"), its officers, agents and employees from any claim, liability, loss, injury or damage arising out of, or in connection with, performance of this Agreement by Contractor and/or its agents, employees or sub-contractors, excepting only loss, injury or damage caused by the sole negligence or willful misconduct of personnel employed by the County. It is the intent of the parties to this Agreement to provide the broadest possible coverage for the County. The Contractor shall reimburse the County for all costs, attorneys' fees, expenses and liabilities incurred with respect to any litigation in which the Contractor is obligated to indemnify, defend and hold harmless the County under this Agreement.

#### Insurance

Without limiting the Contractor's indemnification of the County, the Contractor shall provide and maintain at its own expense, during the term of this Agreement, or as may be further required herein, the following insurance coverages and provisions:

##### A. Evidence of Coverage

Prior to commencement of this Agreement, the Contractor shall provide a Certificate of Insurance certifying that coverage as required herein has been obtained. Individual endorsements executed by the insurance carrier shall accompany the certificate. In addition, a certified copy of the policy or policies shall be provided by the Contractor upon request. This verification of coverage shall be sent to the requesting County department, unless otherwise directed. The Contractor shall not receive a Notice to Proceed with the work under the Agreement until it has obtained all insurance required and such insurance has been approved by the County. This approval of insurance shall neither relieve nor decrease the liability of the Contractor.

##### B. Qualifying Insurers

All coverages, except surety, shall be issued by companies which hold a current policy holder's alphabetic and financial size category rating of not less than A- V, according to the current Best's Key Rating Guide or a company of equal financial stability that is approved by the County's Insurance Manager.

##### C. Notice of Cancellation

All coverage as required herein shall not be canceled or changed so as to no longer meet the specified County insurance requirements without 30 days' prior written notice of such cancellation or change being delivered to the County of Santa Clara or their designated agent.

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**D. Insurance Required**

1. Commercial General Liability Insurance - for bodily injury (including death) and property damage which provides limits as follows:
  - a. Each occurrence - \$1,000,000
  - b. General aggregate - \$2,000,000
  - c. Products/Completed Operations aggregate - \$2,000,000
  - d. Personal Injury - \$1,000,000
  
2. General liability coverage shall include:
  - a. Premises and Operations
  - b. Products/Completed
  - c. Personal Injury liability
  - d. Severability of interest
  
3. General liability coverage shall include the following endorsement, a copy of which shall be provided to the County:

**Additional Insured Endorsement**, which shall read:

“County of Santa Clara, and members of the Board of Supervisors of the County of Santa Clara, and the officers, agents, and employees of the County of Santa Clara, individually and collectively, as additional insureds.”

Insurance afforded by the additional insured endorsement shall apply as primary insurance, and other insurance maintained by the County of Santa Clara, its officers, agents, and employees shall be excess only and not contributing with insurance provided under this policy. Public Entities may also be added to the additional insured endorsement as applicable and the contractor shall be notified by the contracting department of these requirements.

4. Automobile Liability Insurance  
For bodily injury (including death) and property damage which provides total limits of not less than one million dollars (\$1,000,000) combined single limit per occurrence applicable to all owned, non-owned and hired vehicles.
  
- 4a. Aircraft/Watercraft Liability Insurance (Required if Contractor or any of its agents or subcontractors will operate aircraft or watercraft in the scope of the Agreement)  
For bodily injury (including death) and property damage which provides total limits of not less than one million dollars (\$1,000,000) combined single limit per occurrence applicable to all owned, non-owned and hired aircraft/watercraft.

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5. Workers' Compensation and Employer's Liability Insurance
  - a. Statutory California Workers' Compensation coverage including broad form all-states coverage.
  - b. Employer's Liability coverage for not less than one million dollars (\$1,000,000) per occurrence.

E. Special Provisions

The following provisions shall apply to this Agreement:

1. The foregoing requirements as to the types and limits of insurance coverage to be maintained by the Contractor and any approval of said insurance by the County or its insurance consultant(s) are not intended to and shall not in any manner limit or qualify the liabilities and obligations otherwise assumed by the Contractor pursuant to this Agreement, including but not limited to the provisions concerning indemnification.
2. The County acknowledges that some insurance requirements contained in this Agreement may be fulfilled by self-insurance on the part of the Contractor. However, this shall not in any way limit liabilities assumed by the Contractor under this Agreement. Any self-insurance shall be approved in writing by the County upon satisfactory evidence of financial capacity. Contractors obligation hereunder may be satisfied in whole or in part by adequately funded self-insurance programs or self-insurance retentions.
3. Should any of the work under this Agreement be sublet, the Contractor shall require each of its subcontractors of any tier to carry the aforementioned coverages, or Contractor may insure subcontractors under its own policies.
4. The County reserves the right to withhold payments to the Contractor in the event of material noncompliance with the insurance requirements outlined above.

F. Fidelity Bonds (Required only if contractor will be receiving advanced funds or payments)

Before receiving compensation under this Agreement, Contractor will furnish County with evidence that all officials, employees, and agents handling or having access to funds received or disbursed under this Agreement, or authorized to sign or countersign checks, are covered by a BLANKET FIDELITY BOND in an amount of AT LEAST fifteen percent (15%) of the maximum financial obligation of the County cited herein. If such bond is canceled or reduced, Contractor will notify County immediately, and County may withhold further payment to Contractor until proper coverage has been obtained. Failure to give such notice may be cause for termination of this Agreement, at the option of County.

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## ATTACHMENT 3

**SANTA CLARA COUNTY INFORMATION TECHNOLOGY  
USER RESPONSIBILITY STATEMENT INSTRUCTIONS**

In May 1995 the Board of Supervisors charged each County organization with the responsibility for ensuring that all County employees had read and signed a statement of responsibility concerning use of the County's networks and information systems. The resulting County-wide User Responsibility Statement is intended as a *minimum* statement of User responsibility, and individual County Agencies and Departments may require Users to read and sign additional statements to meet any special requirements that apply within their own environments.

- The County User Responsibility Statement must be signed by anyone who might reasonably require access to a County network and/or information system. This includes all County employees, as well as any other individual who needs authorized access for County business purposes. All Users who are allowed to access County resources remotely must also sign an additional attachment specifically related to remote access; this is included as Attachment A of the User Responsibility Statement. In addition, Users who are granted approval to use a personally-owned device for County business must also sign Attachment B of the User Responsibility Statement.
- By signing the Statement or its attachments, Users acknowledge that they have read and understand the contents and that violation of any of the provisions may result in disciplinary action, up to and including termination of employment and/or criminal prosecution.
- If an individual refuses to sign the Statement, the Department can choose to read the Statement to the individual, who will be required to verbally acknowledge understanding of the Statement's contents in the presence of two or more responsible managers. These managers will attest in writing that this reading and verbal attestation of understanding occurred. Failing this verbal acknowledgement of understanding, the involved individual will be denied access to all County information systems and networks.
- Each County organization is responsible for storing and maintaining the signed Statements of its own Users.
- All County organizations shall have their Users re-execute the Statement and/or attachments annually, or whenever there is an update or other change to the Statement or attachments (Department Heads will be notified by the County CIO's office of any updates or changes to the Statement or attachments).
- Each County organization should identify a "User Responsibility Statement Administrator." This is an occasional personnel function that should NOT be filled by a member of the organization's information system support staff. Because it is a

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personnel function, a good choice would be an employee in an administrative position who is responsible for other routine personnel issues.

The User Responsibility Statement Administrator is responsible for the following tasks:

1. Identifying employees and other Users within the organization that will need to read and sign the Statement, as well as the relevant attachments.
2. Managing the signing process, including arranging for any briefings to be held in conjunction with Users signing the Statement and attachments.
3. Maintaining the signed Statements and attachments.
4. Ensuring that new employees and other new Users read and sign the basic Statement and any relevant attachments, and that the Department signing process is performed by all Users on an annual basis.

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## SANTA CLARA COUNTY IT USER RESPONSIBILITY STATEMENT

This User Responsibility Statement establishes a uniform, County-wide set of minimum responsibilities associated with being granted access to Santa Clara County information systems and/or County networks. A violation of this Statement may lead to disciplinary action, up to and including termination.

### **Definitions**

County information systems and networks include, but are not limited to, all County-owned, rented, or leased servers, mainframe computers, desktop computers, laptop computers, handheld devices (including smart phones, wireless PDAs and Pocket PCs), equipment, networks, application systems, data bases and software. These items are typically under the direct control and management of County information system support staff. Also included are information systems and networks under the control and management of a service provider for use by the County, as well as any personally-owned device that a User has express written permission to use for County business purposes.

County-owned information/data is any information or data that is transported across a County network, or that resides in a County-owned information system, or on a network or system under the control and management of a service provider for use by the County. This information/data is the exclusive property of the County of Santa Clara, unless constitutional provision, State or Federal statute, case law, or contract provide otherwise. County-owned information/data does not include a User's personal, non-County business information, communications, data, files and/or software transmitted by or stored on a personally-owned device if that information/data is not transported across a County network or does not reside in a County-owned information system or on a network or system under the control and management of a service provider for use by the County.

A mobile device is any computing device that fits one of the following categories: laptops; Personal Digital Assistants (PDAs); handheld notebook computers and tablets, including but not limited to those running Microsoft Windows CE, PocketPC, Windows Mobile, or Mobile Linux operating systems; and "smart phones" that include email and/or data storage functionality, such as BlackBerry, Treo, Symbian-based devices, and iPhones. Note that the category "Mobile Device" does not include devices that are used exclusively for the purpose of making telephone calls.

A public record is any writing, including electronic documents, relating to the conduct of the people's business as defined by Government Code section 6252.

"Remote access" is defined as any access to County Information Technology (IT) resources (networks or systems) that occurs from a non-County infrastructure, no matter what technology is used for this access. This includes, but is not limited to, access to County IT resources from personal computers located in User's homes.

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Users includes County employees who are on the permanent County payroll, as well as any other individual who has been authorized to access County networks and systems.

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**1. General Code of Responsibility**

The following General Code of Responsibility defines the basic standards for User interaction with County information systems and networks. All Users of County information systems and networks are required to comply with these minimum standards.

- 1.1 Users are personally responsible for knowing and understanding the appropriate standards for User conduct, and are personally responsible for any actions they take that do not comply with County policies and standards. If a User is unclear as to the appropriate standards, it is that User’s responsibility to ask for guidance from appropriate information systems support staff or Department management.
- 1.2 Users must comply with basic County standards for password definition, use, and management.
- 1.3 With the exception of County-owned and approved devices issued to specific authorized County users, only authorized information systems support staff may attach any form of computer equipment to a County network or system unless express written permission to do so is given by Department management. This includes, but is not limited to, attachment of such devices as laptops, PDAs, peripherals (e.g., external hard drives, printers), and USB storage media.
- 1.4 The use of personally-owned USB storage media on any County computer system is prohibited. All such devices must be County-owned, formally issued to the User by the Department, and used only for legitimate County business purposes.
- 1.5 Connecting County owned computing equipment, including USB storage media, to non-County systems or networks is prohibited unless express written permission has been given by Department management. This formal approval process ensures that the non-County system or network in question has been evaluated for compliance with County security standards. An example of a

**You are responsible for your own behavior.**

**If you’re unclear about a security standard, it’s your responsibility to ask for guidance.**

**You must comply with County password standards.**

**Don’t attach computer equipment of any kind to County systems or networks without permission.**

**Use only County-owned and issued USB storage media.**

**Don’t attach County equipment of any kind to non-County computers or networks.**



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Key Points

- permitted connection to a non-County system or network would be approved connection of a County issued laptop to a home network.
- 1.6 No User, including information systems staff, may install, configure, or use any device intended to provide connectivity to a non-County network or system (such as the Internet), on any County system or network, without express written permission. All such connections must be approved in writing by the County Chief Information Officer (CIO) or designee. If authorized to install, configure or use such a device, the User must comply with all applicable County standards designed to ensure the privacy and protection of data, and the safety and security of County systems.
- 1.7 The unauthorized implementation or configuration of encryption, special passwords, biometric technologies, or any other methods to prevent access to County resources by those individuals who would otherwise be legitimately authorized to do so is prohibited.
- 1.8 Users must not attempt to elevate or enhance their assigned level of User privileges unless express written permission to do so has been granted by Department management. Users who have been granted enhanced privileges due to their specific jobs, such as system or network administrators, must not abuse these privileges and must use such privileges only in the performance of appropriate, legitimate job functions.
- 1.9 Users must use County-approved authentication mechanisms when accessing County networks and systems, and must not deactivate, disable, disrupt, or bypass (or *attempt* to deactivate, disable, disrupt, or bypass) any security measure or security configuration implemented by the County.
- 1.10 Users must not circumvent, or attempt to circumvent, legal guidelines on software use and licensing. If a User is unclear as to whether a software program may be legitimately copied or
- Don't install or activate communication devices, such as modems, on County computers or networks.**
- Don't use encryption except when directed to do so.**
- Don't attempt to enhance your assigned user privileges.**
- Don't attempt to disable or bypass County login procedures.**
- Follow the terms of all software licensing agreements.**

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installed, it is the responsibility of the User to check with Department management or information systems support staff.

- 1.11 All software on County systems must be installed by authorized systems support staff. Users may not download or install software on any County system unless express written permission has been obtained from Department management or authorized system support staff.
- 1.12 Loss or theft of County-owned computer equipment, or of personally-owned computer equipment that has been approved for use in conducting County business, is to be reported immediately to designated Department management, administrative, or systems support staff. Users are also expected to be aware of security issues, and are encouraged to report incidents involving breaches of security, such as the installation of an unauthorized device, or a suspected software virus.
- 1.13 Users must respect the sensitivity, privacy and confidentiality aspects of all County-owned information. In particular:
- Users must not access, or attempt to access, County systems or information unless specifically authorized to do so, *and* there is a legitimate business need for such access.
  - Users must not allow unauthorized individuals to use their assigned computer accounts; this includes the sharing of account passwords.
  - Users must not knowingly disclose County information to anyone who does not have a legitimate need for that information.
  - Users must take every precaution to ensure that all information classified as either Confidential or Restricted (or an equivalent classification) is protected from disclosure to unauthorized individuals.

**Don't download or install software without permission.**

**Immediately report the loss or theft of computer equipment, and also report any suspected security incidents.**

**Don't access computers or data unless such access is related to your job.**

**Don't share your user accounts or passwords with anyone.**

**Don't share information with someone not entitled to have it.**

**Protect sensitive data from those not authorized to see it.**

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Key Points

- Users must not make or store paper or electronic copies of information unless it is a necessary part of that User's job.
- 1.14 Users must respect the importance of County-owned systems and data as a valuable asset, and should understand that any data stored or processed on any County computer, or transmitted over any County network, is County property. In particular:
- Users must not change or delete data or information unless performing such changes or deletions is a legitimate part of the User's job function.
  - Users must avoid actions that might introduce malicious software, such as viruses or worms, onto any County system or network.
  - A User who leaves employment with the County must not retain, give away, or remove any County data or document from County premises, other than information provided to the public or copies of correspondence directly related to the terms and conditions of employment. All other County information in the possession of the departing User must be returned to the User's immediate supervisor at the time of departure.
- 1.15 Users should be aware that electronic information transported across any County network, or residing in any County information system, is potentially subject to access by County technical support staff, other County Users, and the general public. Users should not presume any level of privacy for data transmitted over a County network or stored on a County information system.
- 1.16 Users must respect all intellectual property rights, including but not limited to rights associated with patents, copyrights, trademarks, trade secrets, proprietary information, and confidential
- Don't make copies of information unless this is required by your job.**
- Don't change or delete data unless doing so is part of your job.**
- Don't introduce computer viruses onto County computers.**
- When leaving County employment, don't take County data with you.**
- You should have no expectation of privacy for electronic data stored on County computers.**
- Respect all intellectual property rights associated with data that you deal with while doing your job.**

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information belonging to the County or any other third party.

1.17 All information resources on any County information system or network are the property of the County and are therefore subject to County policies regarding acceptable use. No User may use any County-owned network, computer system, or any other County-owned device or data for the following purposes:

- Personal profit, including commercial solicitation or conducting or pursuing their own business interests or those of another organization
- Unlawful or illegal activities, including downloading licensed material without authorization, or downloading copyrighted material from the Internet without the publisher’s permission
- To access, create, transmit, print, download or solicit material that is, or may be construed to be, harassing or demeaning toward any individual or group for any reason, including but not limited to on the basis of sex, age, race, color, national origin, creed, disability, political beliefs, organizational affiliation, or sexual orientation, unless doing so is legally permissible and necessary in the course of conducting County business
- To access, create, transmit, print, download or solicit sexually-oriented messages or images, or other potentially offensive materials such as, but not limited to, violence, unless doing so is legally permissible and necessary in the course of conducting County business
- Knowingly propagating or downloading viruses or other malicious software
- Disseminating hoaxes, chain letters, or advertisements

**Don’t use County computers to conduct your personal business.**

**Don’t use County computers for illegal activities.**

**Don’t create or send demeaning or harassing material.**

**Don’t view, download, or send pornography or other potentially offensive materials.**

**Don’t download or transmit malicious software.**

**Don’t send chain letters.**

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- 1.18 Users that are employed by, or are otherwise associated with, a HIPAA impacted Department, are responsible for understanding and carrying out their responsibilities and duties as identified in the County HIPAA policies and procedures training, and other HIPAA-related materials that may be distributed from time to time.

**Handle all protected health information according to HIPAA regulations.**

**2. Internet and Email**

The following items define the basic standards for use of County Internet and email resources. All Users of County information systems and networks are required to comply with these minimum standards.

- 2.1 In general, Users must not use County systems or networks for personal activities. However, reasonable incidental (*de minimus*) personal use of County resources, such as Internet access and email, is allowed as long as such use does not violate the County's acceptable use policies, and does not interfere with the performance of work duties or the operation of the County's information systems. If a User is unclear as to what is considered appropriate incidental personal use, it is the responsibility of the User to ask for guidance from Department management.
- 2.2 When conducting County business, Users may not configure, access, use, or participate in any Internet-based communication or data exchange service unless express written permission has been given by Department management. Such services include, but are not limited to, Internet Instant Messaging (such as AOL Instant Messaging), Internet email services (such as hotmail and gmail), peer-to-peer networking services (such as Kazaa), and social networking services (such as blogs, MySpace, Facebook and Twitter).

**Limit personal use of County computers.**

**Don't use Internet email or data exchange services (such as FaceBook, MySpace, or other social networking sites) to conduct County business.**

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- 2.3 It is the User's responsibility to become familiar with the specific County policies, procedures, and guidelines associated with the use of Internet-based communication and data exchange services. Users who have been granted permission to use an Internet-based communication or data exchange service for conducting County business are expected to adhere to all relevant County policies, procedures, and guidelines associated with the use of these services.
- 2.4 Users are responsible for understanding and following the County's policy with respect to the retention of email messages, including immediately deleting non-business related email messages once these messages have been read.
- 2.5 Users may not use an internal County email account assigned to another individual to either send or receive email messages.
- 2.6 Users may not configure their County email account so that it automatically forwards messages to an external Internet email system unless express written permission has been given by the Department Head. When automated forwarding is used, it must be for legitimate business purposes only, and is to be implemented with the User's full understanding of, and willingness to accept responsibility for, the associated risks for disclosure of sensitive information.

**You are responsible for understanding County guidelines for using Internet data exchange services, such as social networking sites.**

**Follow County standards for retaining and deleting email messages.**

**Don't use anyone else's email account.**

**Don't automatically forward County email to an Internet email system.**

**3. Remote Access**

The following items define the basic standards for remote access to County information systems and networks. All Users of County information systems and networks are required to comply with these minimum standards. Users actually granted remote access privileges must sign the statement provided as Attachment A.

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- 3.1 All remote access to County resources must be via the secure, centralized, County-controlled mechanisms and technologies approved by the County CIO or designee, and installed by authorized County systems support staff. Users are not permitted to implement, configure, or use any remote access mechanism other than the County-owned and managed remote access systems that have been formally approved and implemented by authorized system support staff.
- 3.2 Written approval for use of County remote access mechanisms is to be granted to a specific User by the appropriate Department Head or designee. Remote access to County resources will be implemented on a case-by-case basis based on job-related necessity, and only for those Users that have read and signed both the County's general User Responsibility Statement and the Remote Access agreement (Attachment A).
- 3.3 Remote access sessions may be monitored and/or recorded, and complete information on the session logged and archived. Users have no right, or expectation, of privacy when remotely accessing County networks, systems, or data. Audit tools may be used to create detailed records of all remote access attempts and remote access sessions, including User identifier, date, and time of each access attempt.
- 3.4 All computer devices used to access County resources from a remote location must be configured according to County-approved security standards. These include approved, installed, active, and current: anti-virus software, software or hardware-based firewall, full hard drive encryption, and any other security software or security-related system configurations that are required and approved by the County.
- 3.5 Users that have been provided with a County-owned device intended for remote access use, such as a laptop or other Mobile Device, will

**Use only existing, approved County remote access systems.**

**Get approval for all remote access to County systems.**

**Remember that remote access sessions may be monitored and/or recorded.**

**Computers used for remote access must be configured according to County standards.**

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- take all reasonable measures to ensure that the device is protected from damage, access by third parties, loss, or theft. Loss or theft of such devices must be reported immediately to designated Department management or support staff.
- 3.6 Users will practice due diligence in protecting the integrity of County networks, systems, and data while remotely accessing County resources, and will immediately report any suspected security incident or concern to their Department management and IT support staff.
- 3.7 Remote access sessions are subject to all other relevant County IT security policies and standards, including Local User Authentication (passwords), Data Classification, Internet Use, and Email.

**Take measures to prevent the loss or theft of County-owned Mobile Devices used for remote access, and report loss or theft of such devices immediately.**

**Take appropriate measures to protect County computers and data when using remote access.**

**When using remote access, continue to follow all County security policies.**

#### 4. Personally-Owned Devices

The following items define the basic standards for the use of personally-owned devices to conduct County business. All Users of County information systems and networks are required to comply with these minimum standards. Users actually granted the privilege of using a personally-owned device to conduct County business must also sign the statement provided as Attachment B.

Note that in the case of Mobile Devices, the following provisions apply only to those devices that include email and/or data storage capability (such as BlackBerry devices and other "smart" phones), and do not apply to devices that are used strictly for the purpose of making telephone calls.

- 4.1 Use of personally-owned devices to conduct County business is prohibited unless express written permission is obtained from both the Department Head and IT Manager. If the User in question is a Department or Agency Head, express written permission must also be

**Use of a personally-owned device to conduct County business requires approval.**



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Key Points

- obtained from the County Chief Information Officer or designee. The use of personally-owned devices to conduct County business is a privilege, not a right, and employment at the County does not automatically guarantee the granting of this privilege.
- 4.2 The personally-owned device in question must use existing, County-approved and County-owned access/authentication systems when accessing County resources. Installation by Users of any hardware, software, or network interface components that provide unauthorized network connectivity, either wired or wireless, is prohibited.
- 4.3 The User shall allow the County to configure personally-owned devices as appropriate to meet security requirements, including the installation of specific security software that is mandated by County policy. When reasonably possible and practical, the County shall strive to provide a minimum of 24-hours notice to the User before configuring the personally-owned device. While the device is in the County's possession, the County shall not access, alter, retrieve or delete the User's personal information, communications, data, software or files stored on the device unless (a) it is reasonably necessary to do so to configure the device to meet security requirements, or (b) the User agrees to the specific access, alteration, retrieval or deletion.
- 4.4 Users authorized to use a personally-owned device must follow designated Department procedures for ensuring that software updates and patches are applied to the device according to a regular, periodic schedule. All software installations and updates are subject to verification by management-designated Department staff.
- If you are allowed to use your own computer or mobile device for County business, you must still use County-approved user login procedures.**
- You must allow authorized IT staff to configure, and periodically update, security software on any personally-owned device used to conduct County business.**
- Follow Department procedures for updating and patching software on personally-owned devices.**

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- 4.5 Users have no expectation of privacy with respect to any County-owned communications, information, or files on any personally-owned device. Users agree that, upon request, the County may immediately access any and all work-related or County-owned communications, information or files stored on these devices, in order to ensure compliance with County policies. Except as otherwise provided in this policy or as required by law, the County shall not access any of the User's personal information, communications, data or files on the User's personally-owned devices.
- 4.6 Upon reasonable suspicion that a User has failed to comply with County policy, the County may search and access communications, information, data, or files on the personally-owned device that are reasonably related to the County's suspicion and interest in conducting the search. Any such search and access will take place with a goal of returning the device within 48 hours, if reasonably possible. The search and access shall be conducted in the presence of the User and/or the User's representative when requested by the User. At the request of the Department and with reasonable notice (not to exceed 48 hours), the User must provide a copy of all work-related or County-owned communications, information, or files stored on the personally-owned device. If the personally-owned device contains any information which is subject to lawful privilege (such as attorney-client or work product), that device shall be searched by Department representatives who are entitled to view the information, so that the privilege is not violated.
- 4.7 If a user is contacted on a personally-owned device by someone from the County conducting County business, and the User has not obtained

**The County has the right to access County data on any personally-owned device used to conduct County business.**

**The County may search a personally-owned device if there is a suspicion that County policy has been violated.**

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- permission to conduct County business with that personally-owned device, then the County may not access that device regarding that User-received communication other than through legally permissible methods such as a subpoena, request for voluntary disclosure, etc. The preceding sentence shall not limit the County's right to direct a User to disclose the communication at issue upon reasonable notice.
- 4.8 The User shall adhere to all relevant County security policies and standards, just as if the personally-owned device were County property. This includes, but is not limited to, policies regarding password construction and management, physical security of the device, device configuration, and hard drive sanitization prior to disposal. This does not restrict the User's personal use of the device so long as that personal use does not include or result in (a) the User's failure to adhere to all relevant County security policies and standards, or (b) the breach of the County's security policies or standards.
- 4.9 The User will make no modifications of any kind to operating system configurations implemented by the County on the device for security purposes, or to any hardware or software installed on the device by the County, without the express written permission of the County CIO's Office.
- 4.10 The User must treat the device and the work-related or County-owned communications, information or files it contains as County property. The User must not allow access to or use of any work-related or County-owned communications, information, or files by individuals who have not been authorized by the County to access or use that data.
- 4.11 The User must immediately report to designated Department management or
- The County will not require you to allow access to your personally-owned device for unsolicited, incoming County communications if that device has not been approved for use in conducting County business.**
- Even when using your own computer or other device for County business, you must still follow all County security policies.**
- Under most circumstances, you can continue to use an approved device for personal use as well as County business.**
- Don't modify any security configuration settings or security software on your computer.**
- Treat any personally-owned device used for County business as if it were County-owned.**

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*Key Points*

support staff any incident or suspected incident of unauthorized access and/or disclosure of County resources, data, or networks that involve the device, including loss or theft of the device.

**Immediately report the loss or theft of a personally-owned device that has been used for County business.**

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Key Points**Acknowledgement of Receipt**

This Acknowledgement hereby incorporates the main body of the User Responsibility Statement. Attachments A and B are additional signature pages that apply only to those individuals that have been granted either remote access privileges (Attachment A) or permission to use a personally-owned device (Attachment B). These Attachments should only be signed if either of these conditions apply.

The User should understand that the County's failure to enforce any provision of this Statement does not mean that the County will not enforce that or any other provision in the future. The User should also understand that if a clause, sentence or paragraph of this Statement is determined to be, invalid by a Court or County commission, this does not affect the validity of any other portion of the Statement.

*By signing below, I acknowledge that I have read and understand all sections of the County of Santa Clara's User Responsibility Statement. I also acknowledge that violation of any of its provisions may result in disciplinary action, up to and including termination of employment and/or criminal prosecution.*

*If at any time, I have questions or doubts, or I feel ambivalent or unclear on any matter related to IT security and/or data confidentiality, I understand that it is my responsibility to request clarification from my supervisor or other appropriate manager before taking any action.*

**All Users must sign this Acknowledgement; Users with permission to use Remote Access should also sign Attachment A, and Users with permission to use personally-owned devices must complete and sign Attachment B.**

**Violation of any of the provisions in this User Responsibility Statement may result in disciplinary action.**

**It is your responsibility to ask for clarification if you don't understand any aspect of the County IT security policy.**

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**IT User Responsibility Statement Signature Page**

*I acknowledge that this Statement will still be in effect following a transfer to another County Agency or Department, and that all of its provisions will continue to apply to me as long as I am a County employee.*

User Signature:

\_\_\_\_\_

Print User Name:

\_\_\_\_\_

Agency/Department:

\_\_\_\_\_

Date Signed:

\_\_\_\_\_

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**Attachment A – Remote Access Signature Page**

*I have read and understand the contents of the User Responsibility Statement regarding Remote Access. I understand that violation of these provisions may result in disciplinary action, up to and including termination of employment and/or criminal prosecution.*

*I received approval from my Department's management to be granted Remote Access privileges for legitimate County business, as evidenced by the signatures below.*

User Signature:

Date:

Printed User Name:

Agency/Department:

Agency/Department Manager Signature:

Date:

Printed Manager Name:

Manager Title:



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**Attachment B – Personally-Owned Device Signature Page**

*I have read and understand the contents of the User Responsibility Statement regarding the use of Personally-Owned Devices. I understand that violation of these provisions may result in disciplinary action, up to and including termination of employment and/or criminal prosecution.*

*I own the following device(s), which I will use for legitimate business reasons in compliance with County policies:*

| <b>Manufacturer</b> | <b>Model Number</b> | <b>Serial Number</b> | <b>Operating System</b> |
|---------------------|---------------------|----------------------|-------------------------|
|                     |                     |                      |                         |
|                     |                     |                      |                         |
|                     |                     |                      |                         |

*I received approval from my Department’s IT Manager and my Agency/ Department head to use the device(s) listed above for legitimate County business, as evidenced by the signatures below.*

Agency/Department:

User Signature:

Date:

Printed User Name:

IT Manager Signature:

Date:

Printed IT Manager Name:

Agency/Department Head (or Designee) Signature:

Date:

Printed Agency/Department Head (or Designee) Name:

County CIO Office Approval Signature:

(Required only if User is Agency or Dept. Head)

Date:

Printed CIO Office Approver Name:

**ATTACHMENT 3****VENDOR REMOTE ACCESS STATEMENT**

[Use the following “Exhibit” format for all new Agreements]

**Exhibit # \_\_\_\_\_**

**to Agreement Between [vendor name] and Santa Clara County [Agency name]**

**Dated [date]**

**1. Scope of Access**

a. “Remote Access” is the act of accessing County of Santa Clara (“County”) systems from a non-County network infrastructure. “Systems” include personal computers, workstations, servers, mainframes, phone systems, and/or any device with network capabilities (e.g., a workstation with an attached modem, routers, switches, laptop computers, handheld devices).

b. County hereby grants Remote Access privileges for Contractor to access the following County systems, at the locations listed, collectively referred to as “IS,” in accordance with the terms of the Agreement:

County Systems: \_\_\_\_\_

c. All other forms of access to the named Systems, or to any County System that is not specifically named, is prohibited.

d. Remote Access is granted for the purpose of Contractor providing services and performing its obligations as set forth in the Agreement including, but not limited to, supporting Contractor-installed programs. Any access to IS and/or County data or information that is not specifically authorized under the terms of this Agreement is prohibited and may result in contract termination and any penalty allowed by law.

e. County will review the scope of Contractor’s Remote Access rights periodically. In no instance will Contractor’s Remote Access rights be reduced, limited or modified in a way that prevents or delays Contractor from performing its obligations as set forth in the Agreement. Any modifications to Remote Access rights must be mutually agreed to in writing by County and Contractor.

**2. Security Requirements**

a. Contractor will not install any Remote Access capabilities on any County owned or managed system or network unless such installation and configuration is approved in writing by County’s and Contractor’s respective designees.

b. Contractor may only install and configure Remote Access capabilities on County systems or networks in accordance with industry standard protocols and procedures, which must be reviewed and approved by County’s designee.

c. Contractor will only Remotely Access County systems, including access initiated from a County system, if the following conditions are met:

1. Contractor will submit documentation verifying its own network security mechanisms to County for County’s review and approval. The County requires advanced written approval of Contractor’s security mechanisms prior to Contractor being granted Remote Access.

2. Contractor Remote Access must include the following minimum control mechanisms:

- a. Two-Factor Authentication: An authentication method that requires two of the following three factors to confirm the identity of the user attempting Remote Access. Those factors include: 1) something you possess (e.g., security token and/or smart card); 2) something you know (e.g., a personal identification number (PIN)); or 3) something you are (e.g., fingerprints, retina scan). The only exceptions are County approved County site to Contractor site Virtual Private Network (VPN) infrastructure.
- b. Centrally controlled authorizations (permissions) that are user specific (e.g., access lists that limit access to specific systems or networks).
- c. Audit tools that create detailed records/logs of access attempts.
- d. All Contractor systems used to Remotely Access County systems must have industry-standard anti-virus and other security measures that might be required by the County (e.g., software firewall) installed, configured, and activated.
- e. Access must be established through a centralized collection of hardware and software centrally managed and controlled by County's and Contractor's respective designees.

### **3. Monitoring/Audit**

County will monitor access to, and activities on, County owned or managed systems and networks, including all Remote Access attempts. Data on all activities will be logged on a County managed system and will include the date, time, and user identification.

### **4. Copying, Deleting or Modifying Data**

Contractor is prohibited from copying, modifying, or deleting any data contained in or on any County IS unless otherwise stated in the Agreement or unless Contractor receives prior written approval from County. This does not include data installed by the Contractor to fulfill its obligations as set forth in the Agreement.

### **5. Connections to Non-County Networks and/or Systems**

Contractor agrees to make every effort to protect County's data contained on County owned and/or managed systems and networks within Contractor's control from unauthorized access. Prior written approval is required before Contractor may access County networks or systems from non-County owned and/or managed networks or systems. Such access will be made in accordance with industry standard protocols and procedures as mutually agreed upon and will be approved in writing by County in a timely manner. Remote Access must include the control mechanisms noted in Paragraph 2.c.2 above.

**6. Person Authorized to Act on Behalf of Parties**

The following persons are the designees for purposes of this Agreement:

Contractor: Title/ Designee \_\_\_\_\_

County: Title/ Designee \_\_\_\_\_

Either party may change the aforementioned names and or designees by providing the other party with no less than three (3) business days prior written notice.

**7. Remote Access Provisions**

Contractor agrees to the following:

- a. Only staff providing services or fulfilling Contractor obligations under the Agreement will be given Remote Access rights.
- b. Any access to IS and/or County information that is not specifically authorized under the terms of this Agreement is prohibited and may result in contract termination and any other penalty allowed by law.
- c. An encryption method reviewed and approved by the County will be used. County is solely responsible and liable for any delay or failure of County, as applicable, to approve the encryption method to be used by Contractor where such delay or failure causes Contractor to fail to meet or perform, or be delayed in meeting or performing, any of its obligations under the Agreement.
- d. Contractor will be required to log all access activity to the County. These logs will be kept for a minimum of 90 days and be made available to County no more frequently than once every 90 days.

**8. Remote Access Methods**

- a. All forms of Remote Access will be made in accordance with mutually agreed upon industry standard protocols and procedures, which must be approved in writing by the County.
- b. A Remote Access Back-Up Method may be used in the event that the primary method of Remote Access is inoperable.
- c. Contractor agrees to abide by the following provisions related to the Primary and (if applicable) Backup Remote Access Methods selected below. (Please mark appropriate box for each applicable Remote Access Method; if a method is inapplicable, please check the box marked N/A).

1. VPN Site-to-Site  Primary  Backup  N/A

The VPN Site-to-Site method involves a VPN concentrator at both the vendor site and at the County, with a secure "tunnel" opened between the two concentrators. If using the VPN Site-to-Site Method, Contractor support staff will have access to the designated software, devices and systems within the County, as specified above in Paragraph 1.b, from selected network-attached devices at the vendor site.

2. VPN Client Access  Primary  Backup  N/A

In the VPN Client Access method, a VPN Client (software) is installed on one or more specific devices at the Contractor site, with Remote Access to the County (via a County VPN concentrator) granted from those specific devices only.

A CryptoCard will be issued to the Contractor in order to authenticate Contractor staff when accessing County IS via this method. The Contractor agrees to the following when issued a CryptoCard authentication device:

- a. Because the CryptoCard allows access to privileged or confidential information residing on the County's IS, the Contractor agrees to treat the CryptoCard as it would a signature authorizing a financial commitment on the part of the Contractor.
- b. The CryptoCard is a County-owned device, and will be labeled as such. The label must remain attached at all times.
- c. The CryptoCard must be kept in a secured environment under the direct control of the Contractor, such as a locked office where public or other unauthorized access is not allowed.
- d. If the Contractor's remote access equipment is moved to a non-secured site, such as a repair location, the CryptoCard will be kept under Contractor control.
- e. The CryptoCard is issued to an individual employee of the Contractor and may only be used by the designated individual.
- f. If the CryptoCard is misplaced, stolen, or damaged, the Contractor will notify County by phone within one (1) business day.
- g. Contractor agrees to use the CryptoCard as part of its normal business operations and for legitimate business purposes only.
- h. The CryptoCard will be issued to Contractor following execution of this Agreement. The CryptoCard will be returned to the County's designee within five (5) business days following contract termination, or upon written request of the County for any reason. Contractor will notify County's designee within one working day of any change in personnel affecting use and possession of the CryptoCard. Contractor will obtain the CryptoCard from any employee who no longer has a legitimate need to possess the CryptoCard. Lost or non-returned CryptoCards will be billed to the Contractor in the amount of \$300 per card.
- i. Contractor will not store password documentation or PINs with CryptoCards.
- j. Contractor agrees that all employees, agents, contractors, and subcontractors who are issued the CryptoCard will be made aware of the responsibilities set forth in this Agreement in written form. Each person having possession of a CryptoCard will execute this Agreement where indicated below certifying that they have read and understood the terms of this Agreement.

3. County-Controlled VPN Client Access  **Primary**  **Backup**  **N/A**

This form of Remote Access is similar to VPN Client access, except that the County will maintain control of the CryptoCard authentication token and a PIN number will be provided to the Contractor for use as identification for Remote Access purposes. When the Contractor needs to access County IS, the Contractor must first notify the County's designee.

The County's designee will verify the PIN number provided by the Contractor. After verification of the PIN the County's designee will give the Contractor a one-time password which will be used to authenticate Contractor when accessing the County's IS. Contractor agrees to the following:

- a. Because the PIN number allows access to privileged or confidential information residing on the County's IS, the Contractor agrees to treat the PIN number as it would a signature authorizing a financial commitment on the part of the Contractor.
- b. The PIN number is confidential, County-owned, and will be identified as such.
- c. The PIN number must be kept in a secured environment under the direct control of the Contractor, such as a locked office where public or other unauthorized access is not allowed.
- d. If the Contractor's remote access equipment is moved to a non-secured site, such as a repair location, the PIN number will be kept under Contractor control.
- e. The PIN number can only be released to an authorized employee of the Contractor and may only be used by the designated individual.
- f. If the PIN number is compromised or misused, the Contractor will notify the County's designee within one (1) business day.
- g. Contractor will use the PIN number as part its normal business operations and for legitimate business purposes only. Any access to IS and/or County data information that is not specifically authorized under the terms of this Agreement is prohibited and may result in contract termination and any other penalty allowed by law.
- h. The PIN number will be issued to Contractor following execution of this Agreement.
- i. The PIN number will be inactivated by the County's designee within five (5) business days following contract termination, or as required by the County for any reason.

4. Manually Switched Dialup Modem  **Primary**  **Backup**  **N/A**

Although not generally used, the Contractor may be provided Remote Access to County IS using a dialup modem. Contractor agrees to the following if using Switched Dialup Modem access:

- a. Contractor will use reasonable efforts to notify the County's Technical Services Manager or designee at least ½ hour prior to access to allow County to activate the Switched Dialup Modem connection. Contractor

will give the estimated time that the connection will be required, and specify when the access can be deactivated by County.

- b. County acknowledges that Contractor may not be able to provide certain of its services (including, but not limited to, implementation services, maintenance and support (including Standard Support Services) and training services) using a Switched Dialup Modem connection.
- c. County is solely responsible and liable for any inability or delay in Contractor performing its obligations under the Agreement where such inability or delay is caused by the use of a Switched Dialup Modem connection.

**Signatures of Contractor Employees receiving CryptoCards (if issued by County):**

CONTRACTOR: \_\_\_\_\_

\_\_\_\_\_

[TYPE NAME HERE]

Date: \_\_\_\_\_

[TITLE]

CONTRACTOR: \_\_\_\_\_

\_\_\_\_\_

[TYPE NAME HERE]

Date: \_\_\_\_\_

[TITLE]

CONTRACTOR: \_\_\_\_\_

\_\_\_\_\_

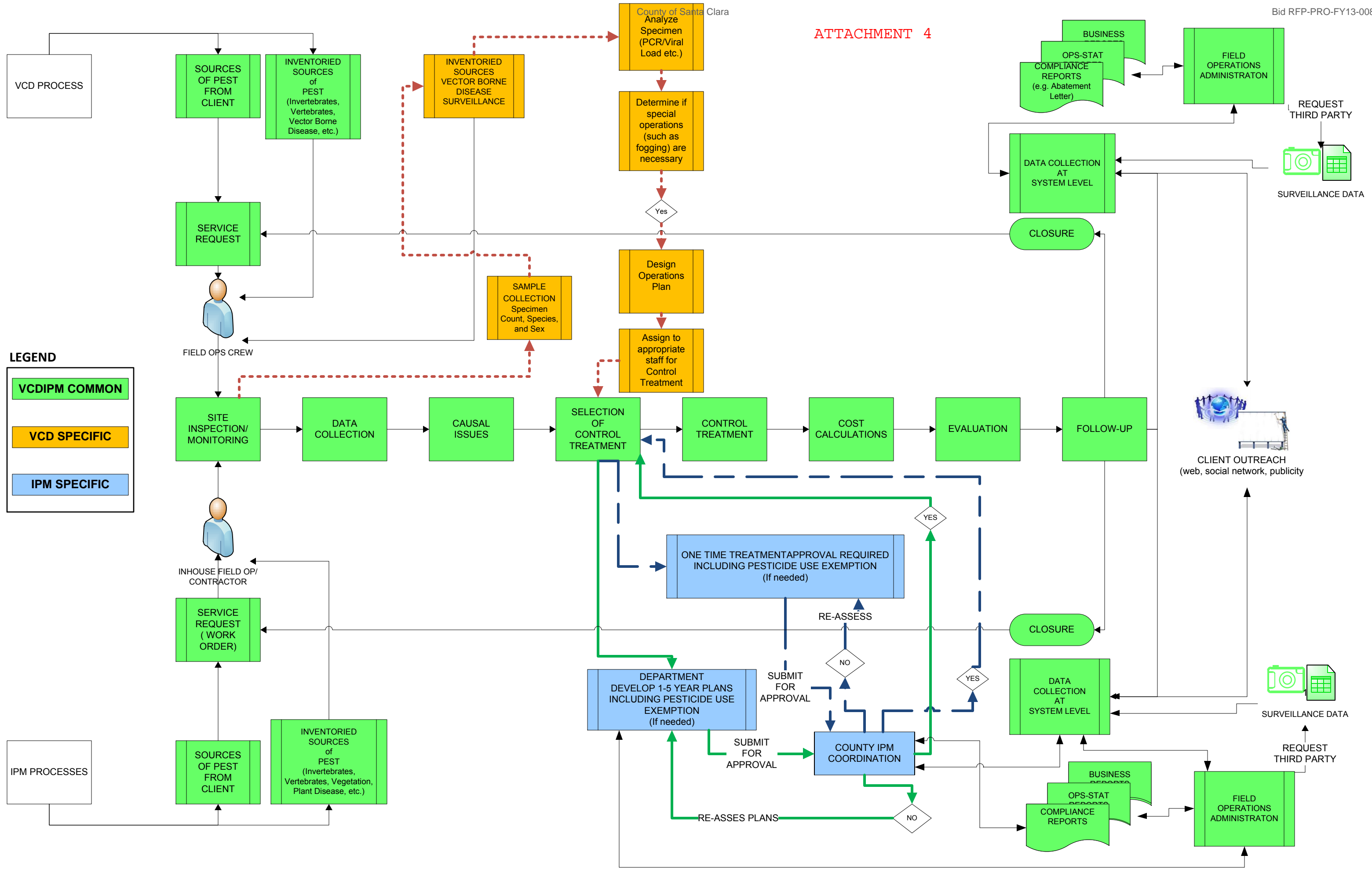
[TYPE NAME HERE]

Date: \_\_\_\_\_

[TITLE]



ATTACHMENT 4



Attachment 4 – VCD-IPM Process flow

# Attachment 5

## Compliance/Operations - Statistical/Business Reports

### *Examples*

#### VCD – IPM Identical Reports

##### Pest and Pesticides

- **Type**<sup>1</sup> of Pest by Name and Percentage – Countywide or by Department or by Project
- Target Pest <sup>2</sup>by Name and Percentage – Countywide or by Department or by Project within specific time frame
- Name (Brand Name and Active Ingredient) and Quantity of Pesticide used by Target Pest, by Project, by Department, Countywide
- Pesticides (Brand Name and Active Ingredient) and Quantity used for type of Pest
- Pesticide Use Report to California Department of Pesticide Regulation (Agriculture Commissioner)

##### Cost Economics

- Inspection, Non-Chemical **Methods**<sup>3</sup>, Chemical, Total cost of Pest Management by Target Pest by Site
- Inspection, Non-Chemical Methods, Chemical, Other and Total **Cost**<sup>4</sup> of Pest Management by Target Pest by Department
- Inspection, Non-Chemical Methods, Chemical, Other and Total Cost of Pest Management by Project by Department
- Inspection, Non-Chemical Methods, Chemical, Other Cost and Total Cost of Pest Management by Project Countywide
- Inspection, Non-Chemical Methods, Chemical, Other and Total Cost of Pest Management by Project
- Inspection, Non-Chemical Methods, Chemical, Other and Total Cost of Pest Management Countywide
- Outreach Cost by Administrative Unit
  - Department
  - Region
  - County

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<sup>1</sup> **Type of Pest:** Invertebrate, Vertebrate, Weed, Fungi, Bacteria, Virus etc.

<sup>2</sup> **Target Pest:** Common Name of Primary Pest to be controlled

<sup>3</sup> **Non-Chemical Methods** = Physical or Cultural, Biological or Biorational, Training, Outreach

<sup>4</sup> **Cost** = Split cost into Labor and Material Cost wherever mentioned

## Attachment 5

### Compliance/Operations - Statistical/Business Reports

#### *Examples*

#### **Project Based Reports:**

##### **Location A: Inside Structures**

- Structural Pesticide Use - General Pest Control other than termites (Liquid formulation in gallon and Dry formulations in lbs) - Pesticide Name and Quantity by Pest within **specific time frame**<sup>5</sup>
- **Deficiency/Improvement Report**<sup>6</sup> Resolved/Unresolved by Site by Department

##### **Location B: Outside Structures (Swimming Pools, Landscape, Driveway, Drainage, Tree Basin, etc.)**

- Acres under Chemical and Non-Chemical Control Methods (Physical, Cultural, Biological, Bio-rational, Training, Outreach) by Target Pest within specific time frame
- Acres under Chemical and Non-Chemical Control Methods (Physical, Cultural, Biological, Bio-rational, Training, Outreach) by Type of Pest in specific time frame
- Deficiency/Improvement Report - Resolved/Unresolved by Site

##### **Location C: Natural Open Spaces (Open Space Districts, Parks, Range lands, Salt and Fresh water marshland, creeks, lakes, ponds, Right of Way, etc.) Management Project**

- Acres under Chemical and Non-Chemical Control Methods (Physical, Cultural, Biological, Bio-rational, Training, Outreach) by Target Pest within specific time frame
- Acres under Chemical and Non-Chemical Control Methods (Physical, Cultural, Biological, Bio-rational, Training, Outreach) by Type of Pest in specific time frame
- Deficiency/Improvement Report - Resolved/Unresolved by Site
- Deficiency/Improvement Report - Resolved/Unresolved by Site

#### **General**

- Site versus Endangered Species of Concern

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<sup>5</sup> **Specific time frame:** able to choose time frame to generate report such as by year or by quarter or by month

<sup>6</sup> **Deficiency/Improvement Report** – means a site inspection report indicating conditions conducive to pest activity and actions recommended for improvement.

# Attachment 5

## Compliance/Operations - Statistical/Business Reports

### *Examples*

#### **IPM Specific Reports**

- Pesticide Use Exemptions: Total Number of Pesticide Use Exemptions Issued, Total Number of Pesticide Use Exemption Issued Under Section B28-5(b); Total Number of Pesticide Use Exemption Issued Under Section B28-5(c) within specific time frame
- Structural Pesticide Use – Termite Control - Pesticide Name and Quantity by Pest within specific time frame

#### **VCD Specific Reports**

History and Status of Service Request by Customer, Technician, Zone, and/or Location

Location Inspection and Treatment History

Employee Productivity and Labor Reports

Pesticide Inventory Report

Appendix A1  
TECHNICAL REQUIREMENTS RESPONSE FORM FOR A COUNTY HOSTED SOLUTION

**APPENDIX A1**  
**TECHNICAL REQUIREMENTS RESPONSE FORM FOR A**  
**COUNTY HOSTED SOLUTION**

If proposing a county hosted (client/server) solution, please complete and submit Appendix A1 with your proposal.

**1) Description of System**

- a) Provide a description of the proposed product, database, software and services, including how the proposed system will meet or exceed the requirements stated in the entire RFP. Include sufficient technical information about the application, operating environment and performance data to enable the County to determine whether or not the proposed system meets the technical environment prerequisites.
- b) Identify/list all software required for the solution that is not supplied directly by the Offeror (any/all third party software).
- c) Provide an overview and/or benchmarks relating to the system's ability to process information in real time. Include the number of concurrent users as well as named users the proposed system will accommodate and state the maximum number of recommended users.
- d) Identify any requirement to purchase interfaces from other vendors to work with the proposed solution.
- e) Define the scalability of the proposed system.
  - i) Can the system be purchased in modules and expanded?
  - ii) How scalable is the proposed software regarding the number of users?
  - iii) Does the system scale in parallel, i.e. can additional application servers be configured in a load-balanced cluster?
  - iv) Can the database, application and data analysis components be configured to reside on separate independent servers, so that one impacted subsystem does not affect the overall solution?
- f) Describe licenses required for the software (concurrent / per seat and the number associated).
- g) Define the requirements for a test system. Include all related components (hardware, software, etc.) Include test system costs.
- h) Define which third party reporting tools are compatible with the proposed system.
- i) Provide the data dictionary and schema used by the system.

## Appendix A1

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR A COUNTY HOSTED SOLUTION

- j) Describe the minimum monitor and screen resolution limit.
- k) Describe the process for change management or customer notification.
- l) Describe the current generally available (GA) version number and release date, including how often new GA releases are made available.
- m) Describe how continuous application and system support is provided 24 hours a day, 365 days per year. Describe the process for requesting support during standard business hours and after hours.
- n) Provide the company escalation and response plan, and describe how issues are triaged and escalated.
- o) Describe the level of customization available without a programmer or vendor support.
- p) Provide the location of the closest service representative.
- q) Define the system uptime. Include planned downtime windows.

**2) Equipment and Software**

- a) Provide detailed server hardware specifications, including but not limited to:
  - i) operating system,
  - ii) processors type and speed,
  - iii) redundancy
  - iv) system configuration
  - v) hard drive size
- b) Include a list of all hardware and software components the County must purchase.
- c) Describe the proposed system architecture.
- d) Describe any maintenance and support the client is expected to do.

**3) Backup/Recovery**

- a) Describe the backup capabilities for the proposed system.
- b) Describe the process for automatic reprogramming and/or recovery after a failure due to hardware, software or absence of power.

## Appendix A1

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR A COUNTY HOSTED SOLUTION

- c) Describe the capabilities for periodically exporting data stored in the database, and if it can be exported to MS Excel, MS Access or other software.

**4) Network/Hardware**

- a) Describe any special networking requirements, i.e. dedicated/segregated network segments, VLANs, etc.

**5) Integration**

- a) Describe if the system supports a web-based front end or if a client install is required.
- b) Define the system's capability to support multiple browser types (i.e. Internet Explorer, Mozilla Firefox, and Opera) on different platforms, and the minimum version of each browser supported if the system supports web-based access.
- c) Specify all browser plug-ins necessary to utilize web-based features.

**6) Application Security Features**

- a) Describe the system's compliance with LDAP (Lightweight Directory Access Protocol), and how the system can be configured to authenticate users against it.
- b) Describe how the proposed solution can be configured to authenticate users against an Active Directory 2003 tree, if possible.
- c) Describe how the solution audits user access and privilege use and the information that is logged.
- d) Describe how the solution allows the County to configure minimum password difficulty requirements, and password lockout policies.
- e) Describe how the solution allows system administrators to set a password expiration policy, thereby requiring end-users to change their passwords at a specified interval.
- f) Describe how access privileges are configured in the system, and whether or not privileges can be based on group designations.
- g) Describe how different levels of security and privileges are established.
- h) Specify if a "user inactivity timeout" feature is available that forces a user to re-authenticate if idle for a preconfigured amount of time.
- i) Describe how the system utilizes electronic signatures and electronic confirmation (if applicable).

## Appendix A1

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR A COUNTY HOSTED SOLUTION

- j) Given the scenario where multiple departments implement the system, how would the graphical user interfaces (e. g. pick list, lookup tables, forms, department layers, department workflow, etc.) be created, modified, and removed without effecting other department's implementation.
- k) Given the scenario where multiple departments implement the system, describe how users will only see data and forms specific to their department's implementation.

**7) Escrow**

- a) Explain your company's ability to make available a software escrow account and include the source code and all products released during the maintenance term, including third party software. List the products that your company will hold in an escrow account and a list of those products that cannot be held and explain why.
- b) Explain in detail the process to retrieve the software source code.
- c) Provide written evidence of ability to provide and maintain a Software Escrow account in the form of a letter from an escrow agent or other acceptable third party.



## Appendix A2

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR AN ASP (VENDOR HOSTED) SOLUTION

**APPENDIX A2**  
**TECHNICAL REQUIREMENTS RESPONSE FORM FOR AN ASP**  
**(VENDOR HOSTED) SOLUTION**

If proposing an ASP solution, please complete and submit Appendix A2 with your proposal.

**1) Description of System**

- a. Provide a description of the proposed product, database, software and services, including how the proposed system will meet or exceed the requirements stated in the entire RFP. Include sufficient technical information about the application, operating environment and performance data to enable the County to determine whether or not the proposed system meets the technical environment prerequisites.
- b. Identify/list all software required for the solution that is not supplied directly by the Offeror (any/all third party software).
- c. Provide an overview and/or benchmarks relating to the system's ability to process information in real time. Include the number of concurrent users as well as named users the proposed system will accommodate and state the maximum number of recommended users.
- d. Identify any requirement to purchase interfaces from other vendors to work with the proposed solution.
- e. Define the scalability of the proposed system.
  - i. Can the system be purchased in modules and expanded?
  - ii. How scalable is the proposed software regarding the number of users?
  - iii. Does the system scale in parallel, i.e. can additional application servers be configured in a load-balanced cluster?
  - iv. Can the database, application and data analysis components be configured to reside on separate independent servers, so that one impacted subsystem does not affect the overall solution?
- f. Describe licenses required for the software (concurrent / per seat and the number associated).
- g. Define the requirements for a test system. Include all related components (hardware, software, etc.) Include test system costs.
- h. Define which third party reporting tools are compatible with the proposed system.
- i. Provide the data dictionary and schema used by the system.

## Appendix A2

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR AN ASP (VENDOR HOSTED) SOLUTION

- a. Describe the minimum monitor and screen resolution limit.
- b. Describe the process for change management or customer notification.
- c. Describe the current generally available (GA) version number and release date, including how often new GA releases are made available.
- d. Describe how continuous application and system support is provided 24 hours a day, 365 days per year. Describe the process for requesting support during standard business hours and after hours.
- e. Provide the company escalation and response plan, and describe how issues are triaged and escalated.
- f. Describe the level of customization available without a programmer or vendor support.
- g. Provide the location of the closest service representative.
- h. Define the system uptime. Include planned downtime windows.

**2) Equipment and Software**

- a. Provide detailed server hardware specifications, including but not limited to:
  - i. operating system,
  - ii. processors type and speed,
  - iii. redundancy
  - iv. system configuration
  - v. hard drive size
- b. Include a list of all hardware and software components the County must purchase.
- c. Describe the proposed system architecture.
- d. Describe any maintenance and support the client is expected to do.

**3) Backup/Recovery**

- a. Describe the backup capabilities for the proposed system.
- b. Describe the process for automatic reprogramming and/or recovery after a failure due to hardware, software or absence of power.

## Appendix A2

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR AN ASP (VENDOR HOSTED) SOLUTION

- c. Describe the capabilities for periodically exporting data stored in the database, and if it can be exported to MS Excel, MS Access or other software.

**4) Network/Hardware**

- a. Describe any special networking requirements, i.e. dedicated/segreated network segments, VLANs, etc.

**5) Integration**

- a. Describe if the system supports a web-based front end or if a client install is required.
- b. Define the system's capability to support multiple browser types (i.e. Internet Explorer, Mozilla Firefox, and Opera) on different platforms, and the minimum version of each browser supported if the system supports web-based access
- c. Specify all browser plug-ins necessary to utilize web-based features.

**6) Application Security Features**

- a. Describe the system's compliance with LDAP (Lightweight Directory Access Protocol), and how the system can be configured to authenticate users against it.
- b. Describe how the proposed solution can be configured to authenticate users against an Active Directory 2003 tree, if possible.
- c. Describe how the solution audits user access and privilege use and the information that is logged.
- d. Describe how the solution allows the County to configure minimum password difficulty requirements, and password lockout policies.
- e. Describe how the solution allows system administrators to set a password expiration policy, thereby requiring end-users to change their passwords at a specified interval.
- f. Describe how access privileges are configured in the system, and whether or not privileges can be based on group designations.
- g. Describe how different levels of security and privileges are established.
- h. Specify if a "user inactivity timeout" feature is available that forces a user to re-authenticate if idle for a preconfigured amount of time.

## Appendix A2

## TECHNICAL REQUIREMENTS RESPONSE FORM FOR AN ASP (VENDOR HOSTED) SOLUTION

- i. Describe how the system utilizes electronic signatures and electronic confirmation (if applicable).
- j. Given the scenario where multiple departments implement the system, how would the graphical user interfaces (e. g. pick list, lookup tables, forms, department layers, department workflow, etc.) be created, modified, and removed without effecting other department's implementation.
- k. Given the scenario where multiple departments implement the system, describe how users will only see data and forms specific to their department's implementation.

**7) Escrow**

- a. Explain your company's ability to make available a software escrow account and include the source code and all products released during the maintenance term, including third party software. List the products that your company will hold in an escrow account and a list of those products that cannot be held and explain why.
- b. Explain in detail the process to retrieve the software source code.
- c. Provide written evidence of ability to provide and maintain a Software Escrow account in the form of a letter from an escrow agent or other acceptable third party.

**8) ASP Redundancy and Downtime**

- a. Explain in detail your company's ability to provide 99.99% uptime for remote customer access to the system. Describe the methodology and application/hosting architecture used to ensure this level of reliability.
- b. Explain in detail the process used to notify customers of application downtime for both planned and unplanned outages.
- c. Explain in detail any geographic separation of redundant datacenters used to mitigate wide area disasters or events.
- d. Explain and describe in detail the features used to ensure the security, redundancy, resiliency and integrity of the datacenter(s) hosting the application, infrastructure and other components.

Appendix B  
FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

**APPENDIX B**  
**FUNCTIONALITY AND INTEGRATION RESPONSE FORM**

The functionality and integration requirements of the RFP are listed in this section.

**Offerors submitting a proposal for both types of solutions must submit a separate Appendix B for each solution.**

**Response Code:**

Offeror should place the appropriate letter designation in the "Availability" column according to the following codes and their description:

"A" means specification is one that currently exists in the proposed software, in the current production version and included in the County's price.

"B" means specification is not in the proposed software but is a planned enhancement or will be added at no additional cost.

"C" means specification is not part of the proposed software but will be added at additional cost included in the County's price. All such additional costs must be reported on cost response form.

"D" means specification is not available in the proposed software.

**References:**

Please provide any additional information requested or any additional information useful to the proposal in the comments column. If referencing attachments or other included information, write the location (Section/Page Number) of the discussion of the specification in the Offeror's proposal.

Technical materials may be submitted as part of the proposal, and should be clearly labeled as such. If your availability response is "B" or "C", please provide the estimated delivery date in the appropriate column below.

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Appendix B  
FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

| ID                         | Description   | Priority Level<br>(Mandatory/<br>Critical /<br>Desirable) | Availability | Comments or Page and<br>Binder Number in the<br>proposal where additional<br>information can be found.<br>(Include delivery date if<br>Availability is "B" or "C") |
|----------------------------|---|---|--------------|--|
| <b>General</b>             |   |   |              |  |
| 1.                         | The proposed solution will provide a simple, intuitive interface for the entry and reporting of information and workflows common to public sector Vector Control and Integrated Pest Management.  | Critical  |              |  |
| 2.                         | The proposed solution provides an on-line tutorial/documentation/webinar for basic functions.   | Critical  |              |  |
| 3.                         | The proposed solution allows for event alerts to be triggered and sent to system users, such as: <ul style="list-style-type: none"> <li>• Service Request overdue</li> <li>• Inventoried Source recurring, scheduled inspections</li> </ul> | <b>Mandatory</b>  |              |  |
| 4.                         | The proposed solution provides users remote access into the system via personal computer or mobile device.  | Desirable   |              |  |
| 5.                         | The proposed solution provides an off-premise hosting option, commonly referred to as "the cloud".  | Desirable   |              |  |
| 6.                         | The proposed solution allows user to select pro-forma language (i.e. glossary or snippets) for the Recommended Action section. Hints should be provided to help the user select the appropriate glossary or snippet.                        | Desirable   |              |  |
| 7.                         | The proposed solution will keep an audit log of all field changes made by each user.  | Desirable   |              |  |
| 8.                         | The proposed solution uses security roles to determine read/add/write/delete access to items.   | <b>Mandatory</b>  |              |  |
| <b>Operating System</b>    |   |   |              |  |
| 9.                         | If client software is required, the proposed solution must operate on Microsoft Windows 7 and above.  | Critical  |              |  |
| <b>User Administration</b> |   |   |              |  |
| 10.                        | The proposed solution provides a means to setup user accounts, assign passwords, and assign users to access-defined groups. Individual users may be members of more than one group.   | Critical  |              |  |
| 11.                        | The proposed solution will provide the ability to assign access by role, by functionality, and screen/view level.   | Critical  |              |  |
| 12.                        | The proposed solution provides the ability for individuals and/or administrators to delegate their security role (i.e. authorization/review authority) to other users for certain user-defined roles.                                       | Critical  |              |  |

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FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                  |   |           |  |  |
|------------------|---|-----------|--|--|
| 13.              | The proposed solution allows users to reset their password without requiring administrator support.   | Desirable |  |  |
| 14.              | The proposed solution forces users to change their passwords after a specified period of time.  | Desirable |  |  |
| 15.              | The proposed solution will provide reports detailing contact info for specific roles/access levels.   | Critical  |  |  |
| 16.              | The proposed solution will provide the ability for users to use their Active Directory account to log into the proposed system.   | Desirable |  |  |
| 17.              | The proposed solution will allow single sign-on using Active Directory login accounts   | Desirable |  |  |
| <b>Usability</b> |   |           |  |  |
| 18.              | The proposed solution is easy to learn.   | Critical  |  |  |
| 19.              | The proposed solution provides a consistent menus and screens with a common look and feel throughout the application.   | Critical  |  |  |
| 20.              | The proposed solution provides <ul style="list-style-type: none"> <li>• A comprehensive context-sensitive help that can be accessed both from the function in question and independently from a menu.</li> <li>• A "Tool Tip" display for all buttons on the graphical toolbar and display the "Hot-Key" combination to perform the same action.</li> <li>• Ability to "reuse" a prior submittal and just update the key info</li> </ul>      | Desirable |  |  |
| 21.              | The proposed solution is efficient: common, frequently used transactions must be designed so that they can be completed with the smallest possible number of mouse clicks and/or keystrokes. <ul style="list-style-type: none"> <li>• Provide an intuitive graphical user interface using screen navigation via pointing device or keyboard at user option.</li> <li>• Provide a map control for selecting and adjusting locations</li> </ul> | Critical  |  |  |
| 22.              | The proposed solution provides a calendar pop-up for date fields.   | Desirable |  |  |
| 23.              | The proposed solution is effective: business processes common to Vector Control and Integrated Pest Management must be accurately implemented as intuitive and streamlined workflows, and can easily be changed by authorized users to accommodate changing needs.  | Critical  |  |  |

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|                                     |   |           |  |  |
|-------------------------------------|---|-----------|--|--|
| 24.                                 | <p>The proposed solution alerts the users of error: Controls data entry errors using field validation (e.g. date, numeric, etc.) on fields not validated against tables or specific values.</p> <ul style="list-style-type: none"> <li>• Must provide the ability for data entry/workflow errors to be identified with descriptive and instructional messages in non-technical terms.</li> <li>• Make it difficult for the user to take incorrect, invalid, or irreversible actions.</li> <li>• Data entry and processing errors to be identified with descriptive and instructional messages in non-technical terms.</li> <li>• Allow users with sufficient rights to create data entry validation rules.</li> <li>• Ensures data validity by requiring certain fields to be completed before other dependent fields can be edited.</li> </ul> | Critical  |  |  |
| 25.                                 | <p>The proposed solution is engaging: The system should allow users to customize the graphical user interface, including menu contents, shortcuts, layout of screens, use of function keys, on-screen colors, fonts and font sizes, and audible alerts. These configuration changes made by the user should be saved as their user-profile.</p>   | Desirable |  |  |
| 26.                                 | <p>The proposed solution allows the user to select any network installed printer to print documents and reports, including the ability to output to PDF.</p>  | Critical  |  |  |
| 27.                                 | <p>The proposed solution's mobile component will function on Windows Mobile 5.0 and 6.0 devices.</p>  | Desirable |  |  |
| 28.                                 | <p>The proposed solution's mobile component will function on Apple iPhones (iOS), Android or other mobile devices.</p>  | Desirable |  |  |
| <b>Integration/Interoperability</b> |   |           |  |  |
| 29.                                 | <p>The proposed solution will provide a way to import and link to data from current applications, such as SQL Server 2008 R2+, Archibus, Mainstar Work Order system, ArcGIS Server or similar application currently used in the County.</p>   | Critical  |  |  |
| 30.                                 | <p>The proposed system will provide a way to import/bulk entry of data for the pest control activities conducted by external sources such as:</p> <ul style="list-style-type: none"> <li>• PDF or InfoPath forms</li> <li>• Word or Excel forms</li> </ul>  | Critical  |  |  |
| 31.                                 | <p>The proposed solution provides an API (Application Programming Interface), web services, or other interfaces to allow ad hoc integration with other systems, such as SharePoint, ArcGIS Server or custom applications.</p>   | Critical  |  |  |
| 32.                                 | <p>The proposed solution will allow for integration with Microsoft Office 2010, especially Outlook.</p>   | Critical  |  |  |



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|                  |   |           |  |  |
|------------------|---|-----------|--|--|
| 33.              | <ul style="list-style-type: none"> <li>The proposed solution sends email notifications. Notifications sent for work requests</li> <li>Notification settings can be adjusted for new, changed, and/or deleted items.</li> </ul>  | Critical  |  |  |
| 34.              | <p>The proposed solution will allow for integration with the Kronos timekeeping system as follows:</p> <ul style="list-style-type: none"> <li>Validate Work-item time entries against Kronos data</li> <li>Load to and from the Kronos database</li> </ul> <p>(If professional services are required, please address separately.)</p>   | Desirable |  |  |
| <b>Reporting</b> |   |           |  |  |
| 35.              | The proposed solution will provide pre-configured Activity and Status Reports common to Vector Control and Integrated Pest Management.  | Mandatory |  |  |
| 36.              | Offeror will provide a detailed narrative of the reporting and searching technology and capabilities of the proposed solution.  | Critical  |  |  |
| 37.              | <p>The proposed solution will provide a simple, intuitive graphic user interface for selecting information to be displayed in reports, including but not limited to the following:</p> <ul style="list-style-type: none"> <li>Pest History Report</li> <li>Pesticide Use Reports</li> <li>Service Requests Status and History Reports</li> <li>Location History Reports</li> <li>Customer History Reports</li> <li>All Staff and Employee (Technicians) Work Reports.</li> <li>Deficiency/Improvement Reports</li> </ul> <p>Note: See Attachment 5 for additional samples/examples of reports</p> | Critical  |  |  |
| 38.              | The proposed solution will provide for integration with SQL Server 2008 R2 and above, PowerPivot and SharePoint 2010 and above.   | Critical  |  |  |
| 39.              | The proposed solution will allow for adhoc reporting and support use of SQL Server Reporting services and PowerPivot for ad-hoc reporting.  | Critical  |  |  |
| 40.              | The proposed solution will provide for uploading of statutory pest and pesticide use and disease surveillance reports to California and US agencies as per the agencies requirements.   | Desirable |  |  |
| 41.              | The proposed solution will provide for reports that include map insets of the locations that are queried (needed for those areas with not physical address)   | Critical  |  |  |
| 42.              | The proposed solution will provide for a simple and intuitive Dashboard-type interface that will display drill-down information for one-to-many relationships, such as:   | Critical  |  |  |

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|                                  |   |           |  |  |
|----------------------------------|---|-----------|--|--|
|                                  | <ul style="list-style-type: none"> <li>• Location -&gt; Work Items</li> <li>• Customer Info -&gt;Work Items</li> <li>• Trap Location -&gt;Collection Data</li> <li>• Site -&gt; target Pest</li> <li>• Site -&gt; Deficiency</li> </ul> <p>Note: See Attachment 5 for additional samples/examples of reports</p>  |           |  |  |
| <b>Printing</b>                  |   |           |  |  |
| 43.                              | The proposed solution will allow users to print Service Requests, Treatments, Inspections, Laboratory Data and other stage of workflow items, search results and/or report with the option to print selective items.  | Critical  |  |  |
| 44.                              | The proposed solution will provide the ability to select data to print on labels and print barcodes.  | Desirable |  |  |
| <b>Work Oder/Service Request</b> |   |           |  |  |
| 45.                              | The proposed solution will provide a simple, intuitive graphic user interface to enter work assignments, be they service requests from the public or internally generated work assignments.   | Critical  |  |  |
| 46.                              | The proposed solution will provide address validation and intellisense lookup during entry of work assignments locations (with option for areas with no physical address).  | Critical  |  |  |
| 47.                              | The proposed solution will provide "point-and-click" address selection for forms fill-in via a mapping interface.   | Critical  |  |  |
| 48.                              | The proposed solution will allow for Environmental Sciences Research Institute (ESRI) ArcMap generated layers to be used for workforce zone designation.  | Critical  |  |  |
| 49.                              | The proposed solution will allow for multiple zones to be assigned to the work order representing different aspects of Operations: <ul style="list-style-type: none"> <li>• Layers for assigned technician zones</li> <li>• Layers for data on vector/pest abundance, invasive weeds, monitoring traps, inventoried sources, etc.</li> </ul>                        | Critical  |  |  |
| 50.                              | The proposed solution will allow for task to be assigned to multiple technician workgroups as represented by technician zone layers.  | Critical  |  |  |
| 51.                              | The proposed solution will provide automatic and manual workflow and approval initiation to route the work assignment record to the appropriate technician/staff: <ul style="list-style-type: none"> <li>• Copy other users, such as supervisor.</li> <li>• Re-route to backup technician/staff based on attendance events, such as vacation, sick, etc.</li> </ul> | Critical  |  |  |
| 52.                              | The proposed solution will provide a SharePoint 2010 and/or 2013 web part that will display timely work assignment information.   | Desirable |  |  |

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FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                             |  |           |  |  |
|-----------------------------|--|-----------|--|--|
| 53.                         | The proposed solution will provide for transportation, driving directions and routing maps for assigned work items.  | Desirable |  |  |
| <b>Location Management</b>  |  |           |  |  |
| 54.                         | The proposed solution will have a simple, intuitive graphic user interface for the management of locations in which work is performed.   | Critical  |  |  |
| 55.                         | The proposed solution will allow for Locations that consists of a combination of point, multi-point, line, multi-line, polygon, and multi-polygon.   | Mandatory |  |  |
| 56.                         | The proposed solution will allow for export of the locations in ESRI ArcMap compatible formats.  | Critical  |  |  |
| 57.                         | The proposed solution will allow for adjusting and updating locations via a drag-and-drop mapping interface.   | Desirable |  |  |
| 58.                         | The proposed solution will allow for the use of Santa Clara County Basemap, unincorporated roads and other County infrastructure (e.g., trails, park roads, facilities, etc.) layers; and joining Assessor Parcel Number (APN) data in the solutions Location data.                            | Critical  |  |  |
| 59.                         | The proposed solution will consolidate duplicate address via a simple, intuitive graphic user interface.   | Critical  |  |  |
| 60.                         | The proposed solution will allow for assigning multiple habitat (including endangered species) and role designation to locations.  | Mandatory |  |  |
| 61.                         | The proposed solution will allow for attachments in location records, such as photos, documents, notes, and hyperlinks.  | Critical  |  |  |
| 62.                         | The proposed solution will allow for locations to be scheduled for recurring inspections.  | Critical  |  |  |
| 63.                         | The proposed solution will allow for attaching geo-referenced photographs to a location and work records. <ul style="list-style-type: none"> <li>The photographs would be displayed on the proposed solution's mapping interface.</li> <li>Allow for geo-referencing of photographs</li> </ul> | Desirable |  |  |
| 64.                         | The proposed solution will allow for connection to and export from the location data source.   | Critical  |  |  |
| 65.                         | The proposed solution will provide the ability to selectively group locations and export selectively grouped locations to ArcMap compatible formats.   | Critical  |  |  |
| 66.                         | The proposed solution will be able to display static and dynamic layers & geo-databases from Web Mapping Services published by the County's ArcSDE server.   | Desirable |  |  |
| <b>Pesticide Management</b> |  |           |  |  |

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 FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                          |   |           |  |  |
|--------------------------|---|-----------|--|--|
| 67.                      | The proposed solution will provide a simple, intuitive interface for the management of pesticide inventories common to Vector Control and Integrated Pest Management.   | Critical  |  |  |
| 68.                      | The proposed solution will allow for the updating and maintaining an update history of pesticide information. <ul style="list-style-type: none"> <li>• Update EPA Registration information.</li> <li>• Update MSDS and Label information</li> </ul>   | Critical  |  |  |
| 69.                      | The proposed solution will connect to government online registries of Pesticide Information to show updated registration numbers, application advice, safety advice, etc.<br>Registries should include but not limited to: <ul style="list-style-type: none"> <li>• California Department of Pesticide Regulations</li> </ul>   | Desirable |  |  |
| <b>Field Inspections</b> |   |           |  |  |
| 70.                      | The proposed solution will provide a simple, intuitive graphic user interface on a mobile device for the recording of species abundance surveying. <ul style="list-style-type: none"> <li>• Allow for multiple species to be recorded.</li> <li>• Allow for all types of pests e.g. vertebrate, invertebrate, plant species, fungi, bacteria, virus etc. to be recorded.</li> </ul> | Critical  |  |  |
| 71.                      | The proposed solution will provide for the ability to use multiple methods for surveying, such as dips, visual, monitors, and trapping.   | Critical  |  |  |
| 72.                      | The proposed solution will provide for the ability to recommend treatments (i.e. insecticide, rodenticide, larvacide, herbicide, prescribe fire, manual, etc.).   | Critical  |  |  |
| 73.                      | The proposed solution will provide detailed screens for each method for surveying.  | Critical  |  |  |
| 74.                      | The proposed solution will provide for a simple, intuitive graphic user interface on a mobile device to record environmental information associated with a specific survey for species abundance, such as observations of temperature, vegetation, water quality, water flow, wind velocity, etc.   | Critical  |  |  |
| 75.                      | The proposed solution will allow for a one-to-many relationship between locations and survey activities at those locations.   | Critical  |  |  |
| 76.                      | The proposed solution will provide a history of events (surveys, treatments, service request, etc.) within a reasonable radius of the survey location.  | Critical  |  |  |
| 77.                      | The proposed solution will provide maps displaying provide a history of events (surveys, treatments, service request, etc.) within a reasonable radius of the survey location.  | Critical  |  |  |

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FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                                  |   |           |  |  |
|----------------------------------|---|-----------|--|--|
| 78.                              | The proposed solution will provide ability for the technician to record inspection start and end time   | Mandatory |  |  |
| <b>Treatments</b>                |   |           |  |  |
| 79.                              | The treatment details should be recordable on both the desktop and portable clients.  | Mandatory |  |  |
| 80.                              | The proposed solution will provide detailed screens for recommended treatment types on both the desktop and portable clients.   | Critical  |  |  |
| 81.                              | The proposed solution's mobile implementation provides a simple, intuitive graphic user interface for pesticide application (chemical and non-chemical methods)   | Critical  |  |  |
| 82.                              | The proposed solution's mobile implementation provides the ability to calculate pesticide usage amounts based on area (acreage, square feet, etc.) via a simple, intuitive graphic user interface.      | Critical  |  |  |
| 83.                              | The proposed solution provides the ability to calculate labor and material for all non-chemical methods.  | Critical  |  |  |
| 84.                              | The proposed solution's mobile implementation provides menus for pesticides selection, dilutions, and application method.   | Critical  |  |  |
| 85.                              | The proposed solution provides the ability to associate treatments with a preceding survey, inspection or observation for the purpose of efficacy tracking on both the desktop and portable clients.    | Critical  |  |  |
| 86.                              | Proposed solution recommends chemical and non-chemical treatment options and other strategies for treatment, i.e. physical barrier, drainage, biological etc. on both the desktop and portable clients. | Critical  |  |  |
| 87.                              | The proposed solution will provide ability for the technician/staff to record treatment start and end time on both the desktop and portable clients.  | Critical  |  |  |
| 88.                              | The proposed solution will provide ability for the technician/staff to record treatment start and end time.   | Mandatory |  |  |
| <b>Document Item Attachments</b> |   |           |  |  |
| 89.                              | The proposed solution will allow files (of various formats and sizes) to be attached to an item.  | Critical  |  |  |
| 90.                              | The proposed solution has the ability to delete a file from the item.   | Critical  |  |  |
| 91.                              | The proposed solution has the ability to replace the file with another file.  | Critical  |  |  |
| 92.                              | The proposed solution provides the ability to attach to an item a link to a file stored outside the system, such as a local file share (UNC) or SharePoint library.                                     | Desirable |  |  |
| 93.                              | The proposed solution will provide for versioning of items.   | Desirable |  |  |
| <b>Work Assignment/Workflow</b>  |   |           |  |  |

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FUNCTIONALITY AND INTEGRATION REQUIREMENTS RESPONSE FORM

|                                      |   |           |  |  |
|--------------------------------------|---|-----------|--|--|
| 94.                                  | The proposed solution provides the ability to customize workflows.  | Critical  |  |  |
| 95.                                  | In the proposed solution, a super user should be able to override any workflow - to bypass workflow, skip a step, or reroute to someone else.   | Critical  |  |  |
| 96.                                  | The proposed solution has the ability to auto-route items in a workflow to alternate individuals (i.e. person is out of office).  | Critical  |  |  |
| 97.                                  | The proposed solution's workflow must enforce a deadline for Service Requests and recurring Inventoried Source inspections.   | Critical  |  |  |
| <b>Laboratory</b>                    |   |           |  |  |
| 98.                                  | The proposed solution will provide a simple, intuitive interface for the management of Laboratory functions and processes commonly associated with Vector Control and Integrated Pest Management.   | Critical  |  |  |
| 99.                                  | The proposed solution will provide for vertebrate and invertebrate and disease trap and sample tracking. <ul style="list-style-type: none"> <li>• Tracking through the stages of testing, reporting, and carcass disposition</li> <li>• Assign unique ID to sample</li> <li>• Format labels/barcode to be affixed to samples, especially vials.</li> <li>• Track sample through the stages of testing and reporting.</li> </ul> | Critical  |  |  |
| 100.                                 | The proposed solution will provide for the collection of information derived from polymerase chain reaction (PCR) test.   | Critical  |  |  |
| 101.                                 | The proposed solution will provide tools for Laboratory supply management   | Desirable |  |  |
| <b>Disease Surveillance</b>          |   |           |  |  |
| 102.                                 | The proposed solution will provide a simple, intuitive interface for the management of information relating to Disease Surveillance.  | Critical  |  |  |
| <b>Disease Surveillance (Mobile)</b> |   |           |  |  |
| 103.                                 | The proposed solution will provide a simple, intuitive interface for the collection of field samples related to Disease Surveillance.   | Critical  |  |  |

## **APPENDIX C**

### **IMPLEMENTATION, PROJECT MANAGEMENT, TRAINING, AND ONGOING SUPPORT**

#### **1. Project Implementation Plan and Project Management Team**

- a. Include the implementation plan the Offeror intends to employ for the project and an explanation of how it will support the project requirements and logically lead to the required deliverables. The description shall include the organization of the project team, including accountability and lines of authority.
- b. The current process flow for VCD and IPM is shown in Attachment 4. Provide a detailed description of how the process flow will be implemented in the proposed solution including but not limited to:
  - “Out of the Box” configuration
  - Custom development (including cost estimate)
  - Flexibility of the proposed solution to make changes in the process flow
  - Recommendation to improve the process
- c. Describe services to be provided to ensure success of the project e.g. publicize the system to employees, organizing support infrastructure and processes, consulting on content set up and management etc.
- d. Describe how the relationship between the County and Offeror will be managed from an account and technical support perspective.
- e. Describe what is required of the County to ensure the successful implementation of the system.
- f. Include the steps that will be undertaken to identify and resolve any issues or problems before, during and after the implementation.
- g. Include a list of proposed project staff and key personnel.
- h. Provide resumes, experience narratives and at least one reference for key personnel who will be assigned to the project, if awarded the contract.
- i. Explain the relationship of the project management team with the Offeror, including job title and years of employment with the Offeror; role to be played in connection with the proposal; relevant certifications and experience.

#### **2. Statement of Work (SOW) - Training Plan**

- a. Include a description for system training responses for three different audiences:
  - i. Power users/administrators, general users, Content creators and Instructors.
  - ii. Technical administrators of the proposed system.
  - iii. Technical operations staff and support staff for the proposed system.

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## IMPLEMENTATION, PROJECT MANAGEMENT, TRAINING AND ONGOING SUPPORT

- b. Describe the type and quantity of training that will be provided for each audience. The description must include:
  - i. The methods by which training will be provided e.g. online, on-site, webcast, self-paced online courses etc.;
  - ii. A recommended training curriculum;
  - iii. Explain how the Offeror will work with the County to determine training needs and tailor the curriculum;
  - iv. Explain the type of training that will be provided at what stage/phase of the project as well as follow-up training after implementation;
  - v. Explain the ability to provide training at a County location.
- c. Describe the training facility requirements for physical layout, communication needs (internet connectivity, etc.), projectors, the number of computers, etc. that are needed to fulfill the proposed training plan. Identify which elements of the training facility will be supplied by the Offeror.
- d. Describe the System Documentation that will be provided to system administrators and users for reference purposes.

### 3. **SOW - Project Work Plan**

Include a detailed work plan for the implementation and operation of the proposed system.

- a. **Task Level** -The plan shall include all activities necessary for a successful project down to the task level. No task can exceed more than eighty hours in the work plan.
- b. **Identify All Resources** - The plan shall clearly identify all Offeror (including subcontractors) and County resources required to successfully complete the project. Provide job descriptions and the number of personnel to be assigned to tasks supporting implementation of the project. Identify County resources needed for each task.
- c. **Deliverables** – describe the deliverables of each task.
- d. **Time lines** – describe the timeline of each task.
- e. **Acceptance criteria** – describe the criteria used to determine completion of each task.
- f. **Plan Progress Charts** - The plan shall include appropriate progress/Gantt charts that reflect the proposed schedule and all major milestones. A sample project plan shall be submitted using Microsoft Project.

### 4. **System Documentation**

- a. Describe the documentation provided to facilitate system implementation.
- b. Describe the System Administrator documentation provided.
- c. Attach a listing summarizing available stock (“canned”) reports provided by the solution and a sample of each.



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## IMPLEMENTATION, PROJECT MANAGEMENT, TRAINING AND ONGOING SUPPORT

- d. Describe how system documentation is provided (online, hard copy etc.) for the initial implementation as well as future updates and releases.

**5. Acceptance Test Plan**

Include an acceptance test plan. The plan shall individually address each system component that comprises the proposed system, approach for load testing, and number of people to be involved in testing. The plan should document the acceptance testing approach, resources and/or tools that may be used to validate the functions and features of the proposed system. Include an example test plan that is representative of the structure, content, and level of detail planned for this project.

**6. Risk Management**

Submit a risk assessment using the methodology published by the Project Management Institute or other comparable methodology. Include risk mitigation strategies as well as the resources the County may utilize to reduce risk.

**7. On-Going Service and Support**

- a. Describe the post implementation follow-up activities that will be provided by the Offeror, specifically addressing the following tasks:
  - i. Post-live system debugging to bring application into full conformance with documentation, proposal and modification specifications
  - ii. Six-month and 12-month post live operational (non-technical) audits to review utilization of the software and to provide recommendations for optimizing benefits.
  - iii. Describe how application and support documentation is updated and distributed.
- b. Provide the normal hours and describe the channels (phone, email, web, etc.) for support. Describe how after hours support is provided. Describe the support and escalation process, including response times.
- c. Indicate the current version of the package. Indicate when the next major version of the package will be available. For major software upgrades, describe how often upgrades are released, how upgrades are defined, developed, tested and released, how customers are notified and educated about the upgrade. Describe the decision process on how new features and functions get included in the product.
- d. Explain if the cost of upgrades (including "patches", corrections to defects, feature enhancements, and minor and major version updates) is included with the proposed solution. Provide % of the installed sites that perform minor and major upgrades with no labor/professional services from your organization.
- e. Explain if software upgrades, or other maintenance window, will impose a service disruption on the system. If yes, discuss frequency and duration of the service disruptions.
- f. Explain if there is a user group. If yes, explain how often they meet and where the meetings are held. Include if the user group is a separate independent organization or funded and organized by the Offeror.

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## IMPLEMENTATION, PROJECT MANAGEMENT, TRAINING AND ONGOING SUPPORT

**8. Value Added Services (Optional)**

Offerors are encouraged but not required to propose any optional value added services they believe would help the County to effectively implement, operate or use the proposed system. Information provided in this section must be directly relevant to agenda management systems and not exceed two (2) pages in length.

**APPENDIX D**  
**PROPOSAL COST RESPONSE FORM**

OFFEROR: Complete the applicable sections based upon your proposed solution.

If proposing both types of solutions (County-hosted and ASP), you must complete one cost response form for each solution.

For an ASP solution, be sure to state any monthly subscription costs under recurring costs.

The proposed cost shall include all fees, including one-time and recurring, sales tax, and value added options.

All pricing proposals must be submitted using the form as provided here in Appendix D.

**In addition, Offerors may submit their own pricing structure/format for further clarity.**

Proposed solution (check what is applicable): County-Hosted: \_\_\_\_\_ Vendor Hosted (ASP): \_\_\_\_\_

Offeror Name: \_\_\_\_\_

**Section I – One Time Costs**

| DESCRIPTION   | PROPOSED COST | COMMENT |
|---|---------------|---------|
| 1. Proposed Software  |               |         |
| 2. Customization  |               |         |
| 3. Installation/Implementation                                      |               |         |
| 4. Project Management   |               |         |
| 5. Training, including all materials                                |               |         |
| 6. Travel Expenses *<br><i>(Total from Section II below)</i>        |               |         |
| 7. Other One-time Costs **<br><i>(Total from Section III below)</i> |               |         |
| 8. Applicable Sales Tax   |               |         |
| <b>Total One Time Cost</b>  |               |         |

Appendix D  
PROPOSAL COST RESPONSE FORM

**Section II – Travel Expenses**

\*Please itemize the travel expense in Row 6 in the above table, if any.

| Description _____ | Cost _____ |
|-------------------|------------|
| 1. _____          | \$ _____   |
| 2. _____          | \$ _____   |
| 3. _____          | \$ _____   |
| Total \$ _____    |            |

**Section III – Other One-time Costs**

\*\*Please itemize all other costs, including, but not limited to: enhancement at an additional cost, proposed modules, third party software to operate the proposed software, etc. Use an attachment, if necessary. Be sure to state the total in Row 7 in the above table.

| Description _____ | Cost _____ |
|-------------------|------------|
| 1. _____          | \$ _____   |
| 2. _____          | \$ _____   |
| 3. _____          | \$ _____   |
| Total \$ _____    |            |

OFFEROR NAME: \_\_\_\_\_

Appendix D  
PROPOSAL COST RESPONSE FORM

**Section IV – Recurring Costs**

List any recurring costs below.

1. MAINTENANCE AND SUPPORT

| MAINTENANCE AND SUPPORT | LIST PRICE/COST | PROPOSED COST | DISCOUNT % OFF LIST PRICE |
|-------------------------|-----------------|---------------|---------------------------|
| 1. Year One             |                 |               |                           |
| 2. Year Two             |                 |               |                           |
| 3. Year Three           |                 |               |                           |
| 4. Year Four            |                 |               |                           |
| 5. Year Five            |                 |               |                           |
| <b>TOTAL</b>            |                 |               |                           |

2. UPGRADE

| DESCRIPTION | PROPOSED COST | COMMENT |
|-------------|---------------|---------|
| 1. Upgrade  |               |         |

3. ESCROW FEES

| ESCROW ACCOUNT | ANNUAL FEE |
|----------------|------------|
| 1. Year One    |            |
| 2. Year Two    |            |
| 3. Year Three  |            |
| 4. Year Four   |            |
| 5. Year Five   |            |
| <b>TOTAL</b>   |            |

Appendix D  
PROPOSAL COST RESPONSE FORM

**Section V – Other Value Added Services:**

Please itemize other value added services cost below.

| Description | Cost     |
|-------------|----------|
| 1. _____    | \$ _____ |
| 2. _____    | \$ _____ |

OFFEROR NAME: \_\_\_\_\_

## APPENDIX E NON-COLLUSION DECLARATION

I, \_\_\_\_\_, am the  
(Print Name)  
\_\_\_\_\_ of \_\_\_\_\_,  
(Position/Title) (Name of Company)

the party making the foregoing proposal that the proposal is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation; that the bid is genuine and not collusive or sham; that the Offeror has not directly or indirectly induced or solicited any other Offeror to put in a false or sham bid; and has not directly or indirectly colluded, conspired, connived, or agreed with any Offeror or anyone else to put in a sham bid, or that anyone shall refrain from bidding; that the Offeror has not in any manner directly or indirectly, sought by agreement, communication, or conference with anyone to fix the bid price of the Offeror or any other Offeror, or to fix any overhead, profit, or cost element of the bid price, or of that of any other Offeror, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the bid are true; and, further, that the Offeror has not, directly or indirectly, submitted his or her bid price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company association, organization, bid depository, or to any member or agent thereof to effectuate a collusive or sham bid.

I declare under penalty of perjury under the Laws of the State of California that the foregoing is true and correct:

COMPANY NAME: \_\_\_\_\_

AUTHORIZED  
SIGNATURE \_\_\_\_\_

PRINT NAME: \_\_\_\_\_

DATE: \_\_\_\_\_

## APPENDIX F DECLARATION OF LOCAL BUSINESS

Santa Clara County gives local businesses a preference in formal solicitations of goods and services as set forth in the Board Policy, Section 5.3.13. A bidder or proposer has the option of qualifying for the preference by self-declaring its qualification as a "local business." By signing below, the bidder or proposer is certifying its qualification as a "local business" for purposes of application of Santa Clara County's policy and is deemed to be applying for the local preference.

All information submitted is subject to investigation, as well as to disclosure to third parties under the California Public Records Act. Incomplete, unclear, or incomprehensible responses to the following will result in the bid or proposal not being considered for application of Santa Clara County's local preference policy. False or dishonest responses will result in rejection of the bid or proposal and curtail the firm or individual's ability to conduct business with the County in the future. It may also result in legal action.

Provide the complete physical address of your business with meaningful "production capability" located within the boundary of the County of Santa Clara. The term "production capability" means sales, marketing, manufacturing, servicing, or research and development capability that substantially and directly enhances the firm's/bidder's/proposer's ability to perform the proposed contract. Post Office box numbers and/or residential addresses may not be used as the sole bases for establishing status as a "Local Business." If you have more than one physical address in Santa Clara County, please provide an attachment with all of the addresses in the form specified below.

Business Name: \_\_\_\_\_  
Street: \_\_\_\_\_  
City/State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Please Indicate Business Organization (Check One)

- |  |                                      |
|--|--------------------------------------|
| <input type="checkbox"/> Individual Proprietorship | <input type="checkbox"/> Corporation |
| <input type="checkbox"/> Partnership               | <input type="checkbox"/> Other       |

By filling this form, bidder/proposer declares its qualification as a local business as defined in County of Santa Clara Board Policy, Section 5.3.13.

The undersigned declares that he or she is an official/agent of responding firm or individual and is empowered to represent, bind, and execute contracts on behalf of the firm or individual.

The undersigned declares under penalty of perjury, under the laws of the State of California, that all statements in this Exhibit and response are true and correct, with full knowledge that all statements are subject to investigation and that any incomplete, unclear, false or dishonest response may be grounds for denial or revocation of the accompanying bid or proposal and may result in being barred from doing business with Santa Clara County as well as additional legal consequences.

|  |                |
|--|----------------|
| _____<br>Signature                               | _____<br>Title |
| _____<br>Name                                    | _____<br>Date  |
| _____<br>Business License Number (if applicable) |                |



## APPENDIX G1

### **OFFEROR ACKNOWLEDGEMENT USER RESPONSIBILITY AND VENDOR REMOTE ACCESS STATEMENTS**

If offering a county-hosted solution, Offerors shall acknowledge agreement to abide by the terms and conditions of Attachment 3 here. Should Offerors object to any of the terms and conditions, Offerors must propose specific alternative language here and indicate the reason for their objection on this form. The County may or may not accept the alternative language.

## APPENDIX H OFFEROR'S TERMS AND CONDITIONS

Refer to Section V, Requirements and Offeror Submittal, Item F.4, Other Submittals – Offeror's Terms and Conditions

## OVERALL INSTRUCTIONS

The following checklist identifies the baseline security criteria that need to be considered when an ASP or SaaS-based (Application Service Provider or Software-as-a-Service) application solution is being evaluated. This checklist should be included in RFPs issued to Vendors when a Department is considering an ASP or SaaS solution. The same checklist can also be used to evaluate the security of existing ASP/SaaS implementations that may not have been subjected to a security review process prior to implementation. In both of these cases, the Department and the County CIO's Office designee will review the Vendor's responses in order to determine whether adequate security is provided by the Vendor's proposed solution.

In general, the greater the risk involved in implementing an ASP or SaaS model, the greater the requirement for demonstrating that the Vendor is in compliance with County policies. The following material is provided as suggestions for evaluating these application solutions, rather than as hard requirements in which each standard must be complied with in full.

The situation for each Department considering the use of an ASP or SaaS implementation will be unique, and the overall security requirements for such applications should be based on the classification level of the data involved, on the Department's unique business requirements, and on the overall security measures that are in place. For example, if electronic Protected Health Information (ePHI) data will be processed by the application, more stringent HIPAA regulations should be applied.

For Vendors completing the attached checklist, note that **detailed responses** are required, and not just simple "yes" or "no" answers. Enough information must be provided to allow a valid comparison between Vendor practices and those required by the County.

Other "proof" that a particular Vendor meets County security guidelines might include the following:

- A signed statement from the Vendor
- A signed attestation from a responsible third-party, such as a Vendor specializing in conducting security audits/assessments
- Provision of a copy of any relevant documents (e.g., the required IT Security Policy and Business Continuity Plan)

ASP/SaaS Security Assessment Checklist

APPLICATION NAME: \_\_\_\_\_

VENDOR NAME: \_\_\_\_\_

**ASP/SAAS SECURITY ASSESSMENT CHECKLIST**

Briefly describe the purpose of the application. Include an overview of the application architecture, and identify the data that will be 1) stored on the application server at the Vendor site, and 2) that will be transmitted between the application and the County. Also include information on the user authentication process.

| County Policy Ref. # | Description of County Requirement  | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate This Risk | Comments |
|----------------------|--|---|---|----------|
| 16.3.4               | The Vendor has a written Disaster Recovery Plan that offers a viable approach to restoring operations following an emergency situation.          |   |   |          |
| 16.3.4a              | The Vendor site has adequate, redundant physical and/or logical network connectivity to ensure continued operations following a network failure. |   |   |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. # | Description of County Requirement  | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|----------------------|--|---|--|----------|
| 16.3.4b              | The Vendor performs system/application database backups on a schedule that is consistent with the importance of the application.   |   |  |          |
| 16.3.4b              | Backup media are treated with a level of security commensurate with the classification level of the data they contain.   |   |  |          |
| 16.3.4c              | Vendor servers are closely monitored for both performance and availability.  |   |  |          |
| 16.3.4d              | The Vendor is willing to sign a Service level Agreement (SLA) that is consistent with the importance of the application to the County.   |   |  |          |
| 16.3.5               | The Vendor has a formal, written Security Policy, and is willing to provide a copy of this policy to the County on request.  |   |  |          |
| 16.3.5a              | If users access the application directly on the Vendor server, user authentication involves more than a simple User ID/password combination, such as one-time password technology. |   |  |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. # | Description of County Requirement   | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|----------------------|---|---|--|----------|
| 16.3.5b              | Once granted access, Users are limited to authorized activities only; i.e., customers are prevented from accessing either applications or data that belong to other customers.                |   |  |          |
| 16.3.5c              | Vendor network connectivity is protected by firewalls, intrusion detection/ prevention systems, etc. designed to protect against attack.  |   |  |          |
| 16.3.5d              | The equipment hosting the Department's application is located in a physically secure facility that employs access control measures, such as badges, card key access, or keypad entry systems. |   |  |          |
| 16.3.5d              | Vendor servers are kept in locked areas/cages that limit access to authorized personnel.  |   |  |          |
| 16.3.5e              | Vendor staff is bonded, and/or have been subjected to background checks.  |   |  |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. #      | Description of County Requirement   | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|---------------------------|---|---|--|----------|
| 16.3.5f                   | Vendor servers are hardened against attack, and operating system and security-related software patches are applied regularly.   |   |  |          |
| 16.3.5f                   | Commercially available anti-virus software is used on the servers, and is maintained in a current state with all updates.   |   |  |          |
| 16.3.5g                   | Vendor servers are monitored on a continuous basis, and logs are kept of all activity.  |   |  |          |
| 16.3.5g, 16.3.5h, 16.3.5i | The Vendor is willing to report security breaches and/or security issues to the County.   |   |  |          |
| 16.3.5h                   | The Vendor conducts regular vulnerability assessments, using viable third-party organizations, designed to assess both the Vendor's network infrastructure and the individual servers that host applications. |   |  |          |
| 16.3.5h                   | The Vendor implements "fixes" to correct vulnerabilities discovered during security audits.   |   |  |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. #    | Description of County Requirement   | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|-------------------------|---|---|--|----------|
| 16.3.5i                 | The Vendor has a formal, written Incident Response Plan.  |   |  |          |
| No County Policy Ref. # | (Desirable) The network infrastructure hosting the Department application is "air-gapped" from any other network or customer that the Vendor may have. This means that in an ideal situation, the application environment used by the County uses a separate, dedicated server and a separate network infrastructure. |   |  |          |
| No County Policy Ref. # | Identify the APIs that may be part of the solution, and indicate industry standards or best practices employed to ensure security of the data and the integration (e.g., web services, directory services, XML, scripting, etc.)  |   |  |          |
| No County Policy Ref. # | What application security standards, if any, are followed? (e.g., OASIS, WC3, etc.).  |   |  |          |



ASP/SaaS Security Assessment Checklist

| County Policy Ref. #    | Description of County Requirement  | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|-------------------------|--|---|--|----------|
| No County Policy Ref. # | If the application processes credit card information, has the application been certified as PCI compliant? Include information on the level of compliance (e.g., Merchant Level 2) and how the application has been certified. |   |  |          |
| Policy 13.0, Encryption | Data "in motion," including user authentication information and credentials, are encrypted.  |   |  |          |
| Policy 13.0, Encryption | Data "at rest" (stored on the application server), including user authentication information and credentials, are encrypted.   |   |  |          |
| Policy 13.0, Encryption | Encryption or hashing algorithms utilized by the Vendor application infrastructure use standard algorithms that have been published and evaluated by the general cryptographic community.                                      |   |  |          |
| No County Policy Ref. # | The Vendor is willing to permit on-site visits by County staff in order to evaluate security measures in place.  |   |  |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. #       | Description of County Requirement   | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|----------------------------|---|---|--|----------|
| No County Policy Ref. #    | If the Vendor will be connecting to the County via a private connection (such as a dedicated T1 circuit), the Vendor agrees that the circuit will terminate on the County's extranet, and operation of the circuit will fall within the policies related to network connections from non-County entities.               |   |  |          |
| No County Policy Ref. #    | If access to the application uses the Internet, data traffic between the County and the Vendor is protected through the implementation of SSL-VPN or equivalent technology.   |   |  |          |
| Policy 15.0, Data Classify | Is any of the involved data covered by HIPAA regulations, CA disclosure law, or otherwise protected under local, State or Federal law or regulations? If the response is yes, please describe that data in sufficient detail for us to be able to understand the potential exposure involved should a disclosure occur. |   |  |          |

ASP/SaaS Security Assessment Checklist

| County Policy Ref. #       | Description of County Requirement  | Details on How Vendor Meets Requirement | Other Security Measures That Mitigate Risk | Comments |
|----------------------------|--|---|--|----------|
| No<br>County Policy Ref. # | What disclaimers, legal language, conditions of use language do users agree to prior to being given access to use the system? How does this language protect the County should a disclosure of personal and/or protected information occur? How is the acceptance of these conditions by users tracked and maintained? |   |  |          |
| No<br>County Policy Ref. # | Is the ASP system housed in a co-location site? If yes, which hosting companies are involved and do they have security or other relevant certifications? What are those certifications?  |   |  |          |

County CIO's Office Approval: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

## Question and Answers for Bid #RFP-PRO-FY13-0081 - Vector Control and Integrated Pest Management System

### OVERALL BID QUESTIONS

There are no questions associated with this bid. If you would like to submit a question, please click on the "Create New Question" button below.

Question Deadline: Jan 10, 2013 3:00:00 PM PST