

STATE OF NEW MEXICO  
Workers' Compensation Administration

**REQUEST FOR PROPOSALS (RFP)**

**WCA Case Management System Modernization**



**RFP#**

24-632-PS-00001

RFP Release Date: 2/12/2024

Proposal Due Date: 3/25/2024

**ELECTRONIC-ONLY PROPOSAL SUBMISSION**

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# **I. INTRODUCTION**

## **A. PURPOSE OF THIS REQUEST FOR PROPOSALS**

The purpose of the Request for Proposal (RFP) is to solicit sealed proposals to establish a contract through competitive negotiations for the procurement of a Case Management System Modernization.

## **B. BACKGROUND INFORMATION**

Workers Compensation Administration (WCA) uses software to manage cases and calendar scheduling for the mediation and court system necessary to meet the New Mexico legal requirements. Currently WCA uses a native homegrown system that lacks capabilities as compared to other software used by other Worker's Compensation and similar court systems.

WCA is looking for a resilient user-friendly case management system that is simple, flexible, and easy to use for WCA users. The new software must have customization and configuration capabilities to help meet the business needs of the WCA assigned users. WCA contains 15 bureaus and several field offices which have varying needs for data about cases. There are several applications which use the case data and present it with different emphasis and from different viewpoints. Any modernized application would need to be configurable to present data about cases for use by different bureaus.

Case management is the most critical information technology function of the New Mexico WCA, which is the single largest software technology investment. Traditional case management activities such as case initiation, event docketing, scheduling, and calendaring of events, financial record keeping, and statistical reports are basic requirements.

### Facts about WCA

In 2020, New Mexico's population was 2.12 million. The three largest cities, Albuquerque, Santa Fe and Las Cruces had populations of 562,581; 85,627; and 104,672 respectively. The Albuquerque Metropolitan Statistical area has a population of 914,480 (2020). The state has 33 counties.

Between 2013 and 2020 NM Workers' Compensation Injuries ranged between ~14,000 and ~20,000 Indemnity and Non-Indemnity per year. Between 2013 and 2020 NM workplace injuries and rates ranged between ~15,000 and ~20,000 per year.

Only a small number of these injuries become cases:

- Active Cases as of February 2023 – 1,047
- Total Filings for Clerk of the Court 850 per quarter
- Total Filings Closed 650 per quarter
- 200 Settlement conferences held by Judges/mediators per year
- Average Recommended Resolutions 340 - 360 per quarter
- Dispute Resolutions 630 per quarter

On average the WCA has 6 mediators and 6 judges working through cases. There are 10 courtrooms and 4 Virtual court rooms in use throughout the state. There are 2 Mediation and several other conference rooms, but mediation happens mostly through video meetings.

Storage for all documents of any kind related to cases currently and in the past adds up to about 15 Terabyte (TB) of data. This is mostly archived information and the size for current cases over the last few years is going to be quite a bit smaller than that. Though all data needs to be kept, there can be different speeds for retrieval for older cases to save storage costs.

There are 115 internal users who will need access to the system and will have various roles in the use of the system. There will be at least 500 external users who may use the system for external filing of information to the Administration.

### **C. SCOPE OF PROCUREMENT**

This RFP will result in a single award.

This procurement will result in a contractual agreement between two parties; the procurement will ONLY be used by those two parties exclusively.

The initial contract shall begin as soon as possible following the selection of a vender. Deliverables must be completed no later than January 31, 2026.

WCA is looking for a robust case management system that is flexible and allows for user-defined customization and configuration to help meet the business needs of its users. WCA has been using a homegrown system primarily based on .NET and SQL Server technologies. The Administration wants to move to a more modern system with more capabilities built-in so that there are less programming requirements to fill the current and future business needs of the WCA. A platform which includes workflow, integral calendaring and modern data reporting and communication capabilities will be a step forward in modernizing the Administrations software functions.

The most important features in a case management system for WCA are the ability to configure and track workflow, manage, and track data changes and additions, track and manage and retain documents related to cases, calendaring of events like mediations and hearings etc., manage audio and video related to cases.

### **D. PROCUREMENT MANAGER**

The Workers' Compensation Administration has assigned a Procurement Manager who is responsible for the conduct of this procurement whose name, address, telephone number and e-mail address are listed below:

**Name:** Veronica Purcell, Procurement Manager  
**Address:** Workers' Compensation Administration  
2410 Centre Avenue SE  
Albuquerque, NM 87106  
**Telephone:** (505) 841-6032

Email: [Veronica.Purcell@wca.nm.gov](mailto:Veronica.Purcell@wca.nm.gov)

1. **Any inquiries or requests** regarding this procurement should be submitted, in writing, to the Procurement Manager. Offerors may contact **ONLY** the Procurement Manager regarding this procurement. Other state employees or Evaluation Committee members do not have the authority to respond on behalf of the WCA.
2. **Protests of the solicitation or award must be submitted in writing to the Protest Manager identified in Section II.B.13.** As a Protest Manager has been named in this Request for Proposals, pursuant to §13-1-172 NMSA 1978 and 1.4.1.82 NMAC, **ONLY** protests delivered directly to the Protest Manager in writing and in a timely fashion will be considered to have been submitted properly and in accordance with statute, rule, and this Request for Proposals. Protests submitted or delivered to the Procurement Manager will **NOT** be considered properly submitted.

## E. PROPOSAL SUBMISSION

*All deliveries of proposals via express carrier, courier or hand delivery, must be addressed and submitted as follows:*

Name: Veronica Purcell  
Reference RFP Name: WCA Case Management System Modernization  
Address: Workers' Compensation Administration  
2410 Centre Avenue SE  
Albuquerque, NM 87106

## F. DEFINITION OF TERMINOLOGY

This section contains definitions of terms used throughout this procurement document, including appropriate abbreviations:

1. “**Agency**” means the State Purchasing Division of the General Services Department or the State Agency sponsoring this Procurement.
2. “**Award**” means the final execution of the contract document.
3. “**Business Hours**” means weekdays (Monday – Friday) 8:00 AM thru 5:00 PM MST/MDT, whichever is in effect on the date given.
4. “**Close of Business**” means weekdays (Monday – Friday) 5:00 PM MST/MDT, whichever is in effect on the date given.
5. “**Confidential**” means confidential financial information concerning Offeror’s organization and data that qualifies as a trade secret in accordance with the Uniform Trade Secrets Act §§57-3-A-1 through 57-3A-7 NMSA 1978,. See also NMAC 1.4.1.45. The following items may **not** be labelled as confidential: Offeror’s submitted Cost response,

Staff/Personnel Resumes/Bios (excluding personal information such as personal telephone numbers and/or home addresses), and other submitted data that is **not** confidential financial information or that qualifies under the Uniform Trade Secrets Act.

6. **“Contract”** means any agreement for the procurement of items of tangible personal property, services or construction.
7. **“Contractor”** means any business having a contract with a state agency or local public body.
8. **“Determination”** means the written documentation of a decision of a procurement officer including findings of fact required to support a decision. A determination becomes part of the procurement file to which it pertains.
9. **“Desirable”** – the terms “may,” “can,” “should,” “preferably,” or “prefers” identify a desirable or discretionary item or factor.
10. **“Electronic Submission”** means a successful submittal of Offeror’s proposal in the WCA email referenced in III B. ELECTRONIC SUBMISSION of this document.
11. **“Electronic Version/Copy”** means a digital format consisting of text, images or both, readable on computers or other electronic devices, which includes all content that the Original document contains.
12. **“Evaluation Committee”** means a body appointed to perform the evaluation of Offerors’ proposals.
13. **“Evaluation Committee Report”** means a report prepared by the Procurement Manager and the Evaluation Committee to support the Committee’s recommendation for contract award. It will contain scores and written evaluations of all responsive Offeror proposals.
14. **“Final Award”** means, in the context of this Request for Proposals and all its attendant documents, that point at which the final required signature on the contract(s) resulting from the procurement has been affixed to the contract(s) thus making it fully executed.
15. **“Finalist”** means an Offeror who meets all the mandatory specifications of this Request for Proposals and whose score on evaluation factors is sufficiently high to merit further consideration by the Evaluation Committee, as explained in Section II.B.7.
16. **“Hourly Rate”** means the proposed fully loaded maximum hourly rates that include travel, per diem, fringe benefits and any overhead costs for contractor personnel, as well as subcontractor personnel if appropriate.
17. **“IT”** means Information Technology.



18. “**Mandatory**” – the terms “must,” “shall” “will,” “is required,” or “are required,” identify a mandatory item or factor. Failure to meet a mandatory item or factor may result in the rejection of the Offeror’s proposal.
19. “**Minor Irregularities**” means anything in the proposal that does not affect the price, quality and/or quantity, or any other mandatory requirement.
20. “**Multiple Source Award**” means an award of a contract for one or more items of tangible personal property, services or construction to more than one Offeror.
21. “**Offeror**” is any person, corporation, or partnership who chooses to submit a proposal.
22. “**Price Agreement**” means a definite quantity contract or indefinite quantity contract which requires the contractor to furnish items of tangible personal property, services or construction to a state agency or a local public body which issues a purchase order, if the purchase order is within the quantity limitations of the contract, if any.
23. “**Procurement Manager**” means any person or designee authorized by a state agency or local public body with the responsibility, authority, and resources to conduct the RFP procurement, make written determinations regarding the RFP procurement, and/or enter into or administer contracts as a result of the RFP procurement.
24. “**Procuring Agency**” means all State of New Mexico agencies, commissions, institutions, political subdivisions and local public bodies allowed by law to procure items of tangible personal property, services or construction from the agreement(s) awarded as a result of this RFP.
25. “**Project**” means a temporary process undertaken to solve a well-defined goal or objective with clearly defined start and end times, a set of clearly defined tasks, and a budget. The project terminates once the project scope is achieved and project acceptance is given by the project executive sponsor.
26. “**Redacted**” means a version/copy of the Offeror’s proposal with the information considered proprietary or confidential (as defined by §§57-3A-1 to 57-3A-7 NMSA 1978 and NMAC 1.4.1.45 and summarized herein and outlined in Section II.C.8 of this RFP) blacked-out BUT NOT omitted or removed.
27. “**Request for Proposals (RFP)**” means all documents, including those attached or incorporated by reference, used for soliciting proposals.
28. “**Responsible Offeror**” means an Offeror who submits a responsive proposal and who has furnished, when required, information and data to prove that his financial resources, production or service facilities, personnel, service reputation and experience are adequate to make satisfactory delivery of the services, or items of tangible personal property described in the proposal.

29. **“Responsive Offer”** or means an offer which conforms in all material respects to the requirements set forth in the request for proposals. Material respects of a request for proposals include, but are not limited to price, quality, quantity or delivery requirements.
30. **“Sealed”** means, in terms of electronic submission, an Offeror’s proposal and all accompanying documents has been completely and successfully emailed to the official WCA Email address prior to the submission deadline stated in the RFP.
31. **“Single Source Award”** means an award of contract for items of tangible personal property, services or construction to only one Offeror.
32. **“SPD”** means State Purchasing Division of the New Mexico State General Services Department.
33. **“Staff”** means any individual who is a full-time, part-time, or an independently contracted employee with the Offerors’ company.
34. **“State (the State)”** means the State of New Mexico.
35. **“State Agency”** means any department, commission, council, board, committee, institution, legislative body, agency, government corporation, educational institution or official of the executive, legislative or judicial branch of the government of this state. “State agency” includes the Purchasing Division of the General Services Department and the State Purchasing Agent but does not include local public bodies.
36. **“State Purchasing Agent”** means the Director of the Purchasing Division of the General Services Department.
37. **“Statement of Concurrence”** means an affirmative statement from the Offeror indicating its response to a required Section IV specification agreeing to comply and concur with the stated requirement(s). This statement shall be included in Offerors proposal, pursuant to Section III.C.1. (E.g. “We concur,” “Understands and Complies,” “Comply,” “Will Comply if Applicable,” etc.)
38. **“Unredacted”** means a version/copy of the proposal containing all complete information; including any that the Offeror would otherwise consider confidential, such copy for use only for the purposes of evaluation.
39. **“WCA”** means State of New Mexico Workers’ Compensation Administration.
40. **“Written”** means typed in standard 8 ½ x 11 inch document format, by common electronic means (such as Microsoft Word, Adobe PDF, etc.). A larger size document is permissible for charts, spreadsheets, etc.

## **G. PROCUREMENT LIBRARY**

A procurement library has been established. Offerors are encouraged to review the material contained in the Procurement Library by selecting the link provided in this document through your own internet connection. The library contains information listed below:

RFP, Questions & Answers, RFP Amendments, etc.

<https://www.generalservices.state.nm.us/statepurchasing/active-procurements.aspx>

Other relevant links:

<https://Workerscomp.nm.gov>

Rules and Regulations for Workers' Compensation Administration Act. These are found at the following link:

<https://workerscomp.nm.gov/WCA-Rules-and-Statutes>

## II. CONDITIONS GOVERNING THE PROCUREMENT

This section of the RFP contains the schedule of events, the descriptions of each event, and the conditions governing this procurement.

### A. SEQUENCE OF EVENTS

The Procurement Manager will make every effort to adhere to the following schedule:

Action	Responsible Party	Due Dates
1. Issue RFP	WCA	02/12/24
2. Acknowledgement of Receipt Form	Potential Offerors	02/19/24
3. Pre-Proposal Conference	WCA	02/26/24
4. Deadline to submit Written Questions	Potential Offerors	03/04/24
5. Response to Written Questions	Procurement Manager	03/08/24
<b>6. <i>Submission of Proposal</i></b>	<b><i>Potential Offerors</i></b>	<b>03/25/24</b>
7.* Proposal Evaluation	Evaluation Committee	03/26/24 - 03/29/24
8.* Selection of Finalists	Evaluation Committee	04/01/24
9* Oral Presentation(s)	Finalist Offerors	04/08/24 - 04/12/24
10.* Best and Final Offers	Finalist Offerors	04/15/24
11.* Finalize Contractual Agreements	WCA/Finalist Offerors	04/16/24 - 04/19/24
12.* Contract Awards	WCA/ Finalist Offerors	04/22/24
13.* Protest Deadline	WCA	+15 days

\* Dates indicated in Events 7 through 13 are estimates only and may be subject to change without necessitating an amendment to the RFP.

### B. EXPLANATION OF EVENTS

The following paragraphs describe the activities listed in the Sequence of Events shown in Section II.A., above.

#### 1. Issue RFP

This RFP is being issued on behalf of the State of New Mexico Workers' Compensation Administration on the date indicated in Section II.A, Sequence of Events.

#### 2. Acknowledgement of Receipt Form

The procurement distribution list will be used for the distribution of written responses to questions, and/or any amendments to the RFP. Failure to return the Acknowledgement of Receipt Form does not prohibit potential Offerors from submitting a response to this RFP.

However, by not returning the Acknowledgement of Receipt Form, the potential Offeror's representative shall not be included on the distribution list and will be solely responsible for obtaining from the Procurement Library (Section I.G.) responses to written questions and any amendments to the RFP.

### 3. Pre-Proposal Conference

A pre-proposal conference will be held as indicated in Section II.A, Sequence of Events via Zoom (Date and time will be announced at the pre-proposal conference).

All Potential Offerors will be sent instructions for the Pre-Proposal Conference.

**Potential Offeror(s) are encouraged to submit written questions in advance of the conference to the Procurement Manager** (see Section I.D). The identity of the organization submitting the question(s) will not be revealed. Additional written questions may be submitted at the conference. All questions answered during the Pre-Proposal Conference will be considered **unofficial** until they are posted in writing. All written questions will be addressed in writing on the date listed in Section II.A, Sequence of Events. A public log will be kept of the names of potential Offeror(s) that attended the pre-proposal conference.

Attendance at the pre-proposal conference is highly recommended, but not a prerequisite for submission of a proposal.

#### Deadline to Submit Written Questions

Potential Offerors may submit written questions to the Procurement Manager as to the intent or clarity of this RFP until 5:00 PM MST/MDT as indicated in Section II.A, Sequence of Events. All written questions must be addressed to the Procurement Manager as declared in Section I.D. Questions shall be clearly labeled and shall cite the Section(s) in the RFP or other document which form the basis of the question.

### 4. Response to Written Questions

Written responses to the written questions will be provided via e-mail, on or before the date indicated in Section II.A, Sequence of Events, to all potential Offerors who timely submitted an Acknowledgement of Receipt Form (Section II.B.2 and APPENDIX A).

The Questions and Answers will be posted to:

<https://workerscomp.nm.gov/IT-Projects>

### 5. Submission of Proposal

At this time, only **electronic** proposal submission is allowed. **Do not** submit hard copies until further notice.

ALL PROPOSALS MUST BE RECEIVED BY THE PROCUREMENT MANAGER OR DESIGNEE NO LATER THAN 5:00 PM MST/MDT ON THE DATE INDICATED IN SECTION II.A, SEQUENCE OF EVENTS. **NO LATE PROPOSAL CAN BE ACCEPTED.**

A log will be kept of the names of all Offeror organizations that submitted proposals. Pursuant to §13-1-116 NMSA 1978, the contents of proposals shall not be disclosed to competing potential Offerors during the negotiation process. The negotiation process is deemed to be in effect until the contract is awarded pursuant to this Request for Proposals. Awarded in this context means the final required state agency signature on the contract(s) resulting from the procurement has been obtained.

## **6. Proposal Evaluation**

An Evaluation Committee will perform the evaluation of proposals. This process will take place as indicated in Section II.A, Sequence of Events, depending upon the number of proposals received. During this time, the Procurement Manager may initiate discussions with Offerors who submit responsive or potentially responsive proposals for the purpose of clarifying aspects of the proposals. However, proposals may be accepted and evaluated without such discussion. Discussions SHALL NOT be initiated by the Offerors.

## **7. Selection of Finalists**

The Evaluation Committee will select and the Procurement Manager will notify the finalist Offerors as per schedule Section II.A, Sequence of Events or as soon as possible thereafter. A schedule for Oral Presentation, if any, will be determined at this time. Finalists will be comprised of up to three (3) Offerors receiving the highest cumulative scores in the following Sections: Section IV.B.1 Organizational Experience, Section IV.B.2 Organizational References, and Section IV.B.3 Mandatory Specifications.

## **8. Oral Presentations**

Finalist Offerors, as selected per Section II.B.7 above, may be required to conduct an oral presentation at a venue to be determined as per schedule Section II.A., Sequence of Events, or as soon as possible thereafter. If Oral Presentations are held, Finalist Offerors may be required to make their presentations through electronic means (Microsoft Teams, Zoom, etc.). The Agency will provide Finalist Offerors with an agenda and applicable details; including an invitation to the event. Whether or not Oral Presentations will be held is at the sole discretion of the Evaluation Committee.

## **9. Best and Final Offers**

Finalist Offerors may be asked to submit revisions to their proposals for the purpose of obtaining best and final offers by as per schedule Section II. A., Sequence of Events or as soon as possible. Best and final offers may also be clarified and amended at finalist Offeror's oral presentation and demonstration.

## **10. Finalize Contractual Agreements**

After approval of the Evaluation Committee Report, any contractual agreement(s) resulting from this RFP will be finalized with the most advantageous Offeror(s), taking into consideration the evaluation factors set forth in this RFP, as per Section II.A., Sequence of Events, or as soon as possible thereafter. The most advantageous proposal may or may not have received the most points. In the event mutually agreeable terms cannot be reached

with the apparent most advantageous Offeror in the timeframe specified, the State reserves the right to finalize a contractual agreement with the next most advantageous Offeror(s) without undertaking a new procurement process.

## **11. Contract Awards**

Upon receipt of the signed contractual agreement, the Agency Procurement office will award as per Section II.A., Sequence of Events, or as soon as possible thereafter. The award is subject to appropriate Department and State approval.

## **12. Protest Deadline**

Any protest by an Offeror must be timely submitted and in conformance with §13-1-172 NMSA 1978 and applicable procurement regulations. As a Protest Manager has been named in this Request for Proposals, pursuant to §13-1-172 NMSA 1978 and 1.4.1.82 NMAC, ONLY protests delivered directly to the Protest Manager in writing and in a timely fashion will be considered to have been submitted properly and in accordance with statute, rule and this Request for Proposals. The 15 calendar day protest period shall begin on the day following the notice of award of contract(s) and will end at 5:00 pm MST/MDT on the 15<sup>th</sup> day. Protests must be written and must include the name and address of the protestor and the request for proposal number. It must also contain a statement of the grounds for protest including appropriate supporting exhibits and it must specify the ruling requested from the party listed below. The protest must be directed to:

Michael Holt

Workers' Compensation Administration General Counsel

2410 Centre Ave. SE, Albuquerque, NM 87106

**PROTESTS RECEIVED AFTER THE DEADLINE WILL NOT BE ACCEPTED.**

## **C. GENERAL REQUIREMENTS**

### **1. Acceptance of Conditions Governing the Procurement**

Offerors must indicate their acceptance to be bound by the Conditions Governing the Procurement, Section II.C, and Evaluation, Section V, by completing and signing the Letter of Transmittal form, pursuant to the requirements in Section II.C.30, located in APPENDIX E.

### **2. Incurring Cost**

Any cost incurred by the potential Offeror in preparation, transmittal, and/or presentation of any proposal or material submitted in response to this RFP shall be borne solely by the Offeror. Any cost incurred by the Offeror for set up and demonstration of the proposed equipment and/or system shall be borne solely by the Offeror.

### **3. Prime Contractor Responsibility**

Any contractual agreement that may result from this RFP shall specify that the prime contractor is solely responsible for fulfillment of all requirements of the contractual agreement with a State Agency which may derive from this RFP. The State Agency entering into a contractual agreement with a vendor will make payments to only the prime contractor.

### **4. Subcontractors/Consent**

The use of subcontractors is allowed. The prime contractor shall be wholly responsible for the entire performance of the contractual agreement whether or not subcontractors are used. Additionally, the prime contractor must receive approval, in writing, from the agency awarding any resultant contract, before any subcontractor is used during the term of this agreement.

### **5. Amended Proposals**

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 as such in the transmittal letter. **Agency personnel will not merge, collate, or assemble proposal materials.**

### **6. Offeror's Rights to Withdraw 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 addressed to the Procurement Manager and signed by the Offeror's duly authorized representative.

The approval or denial of withdrawal requests received after the deadline for receipt of the proposals is governed by the applicable procurement regulations, 1.4.1.5 & 1.4.1.36 NMAC.

### **7. Proposal Offer Firm**

Responses to this RFP, including proposal prices for services, will be considered firm for one-hundred twenty (120) days after the due date for receipt of proposals or ninety (90) days after the due date for the receipt of a best and final offer, if the Offeror is invited or required to submit one.

### **8. Disclosure of Proposal Contents**

The contents of all submitted proposals will be kept confidential until the final award has been completed by the Agency. At that time, all proposals and documents pertaining to the proposals will be available for public inspection, *except* for proprietary or confidential material as follows:



- a. ***Proprietary and Confidential information is restricted to:***
  1. confidential financial information concerning the Offeror's organization; and
  2. information that qualifies as a trade secret in accordance with the Uniform Trade Secrets Act, §§57-3A-1 through 57-3A-7 NMSA 1978.
- b. An additional but separate redacted version of Offeror's proposal, as outlined and identified in Section III.B.2.a, shall be submitted containing the blacked-out proprietary or confidential information, in order to facilitate eventual public inspection of the non-confidential version of Offeror's proposal.

**IMPORTANT:** The price of products offered or the cost of services proposed **SHALL NOT** be designated as proprietary or confidential information.

If a request is received for disclosure of proprietary or confidential materials, the Agency shall examine the request and make a written determination that specifies which portions of the proposal should be disclosed. Unless the Offeror takes legal action to prevent the disclosure, the proposal will be so disclosed. The proposal shall be open to public inspection subject to any continuing prohibition on the disclosure of proprietary or confidential information.

## **9. No Obligation**

This RFP in no manner obligates the State of New Mexico or any of its Agencies to the use of any Offeror's services until a valid written contract is awarded and approved by appropriate authorities.

## **10. Termination**

This RFP may be canceled at any time and any and all proposals may be rejected in whole or in part when the Agency determines such action to be in the best interest of the State of New Mexico.

## **11. Sufficient Appropriation**

Any contract awarded as a result of this RFP process may be terminated if sufficient appropriations or authorizations do not exist. Such terminations will be affected by sending written notice to the contractor. The Agency's decision as to whether sufficient appropriations and authorizations are available will be accepted by the contractor as final.

## **12. Legal Review**

The Agency requires that all Offerors agree to be bound by the General Requirements contained in this RFP. Any Offeror's concerns must be promptly submitted in writing to the attention of the Procurement Manager.

### **13. Governing Law**

This RFP and any agreement with an Offeror which may result from this procurement shall be governed by the laws of the State of New Mexico.

### **14. Basis for Proposal**

Only information supplied in writing by the Procurement Manager or contained in this RFP shall be used as the basis for the preparation of Offeror proposals.

### **15. Contract Terms and Conditions**

The contract between an agency and a contractor will follow the format specified by the Agency and contain the terms and conditions set forth in the Draft Contract Appendix C. However, the contracting agency reserves the right to negotiate provisions in addition to those contained in this RFP (Draft Contract) with any Offeror. The contents of this RFP, as revised and/or supplemented, and the successful Offeror's proposal will be incorporated into and become part of any resultant contract.

The Agency discourages exceptions from the contract terms and conditions as set forth in the RFP Draft Contract. Such exceptions may cause a proposal to be rejected as nonresponsive when, in the sole judgment of the Agency (and the Evaluation Committee), the proposal appears to be conditioned on the exception, or correction of what is deemed to be a deficiency, or an unacceptable exception is proposed which would require a substantial proposal rewrite to correct.

Should an Offeror object to any of the terms and conditions as set forth in the RFP Draft Contract (APPENDIX C) strongly enough to propose alternate terms and conditions in spite of the above, the Offeror must propose **specific** alternative language. The Agency may or may not accept the alternative language. General references to the Offeror's terms and conditions or attempts at complete substitutions of the Draft Contract are not acceptable to the Agency and will result in disqualification of the Offeror's proposal.

Offerors must provide a brief discussion of the purpose and impact, if any, of each proposed change followed by the specific proposed alternate wording.

If an Offeror fails to propose any alternate terms and conditions during the procurement process (the RFP process prior to selection as successful Offeror), no proposed alternate terms and conditions will be considered later during the negotiation process. Failure to propose alternate terms and conditions during the procurement process (the RFP process prior to selection as successful Offeror) is an **explicit agreement** by the Offeror that the contractual terms and conditions contained herein are **accepted** by the Offeror.

## **16. Offeror's Terms and Conditions**

Offerors must submit with the proposal a complete set of any additional terms and conditions they expect to have included in a contract negotiated with the Agency. See Section II.C.15 for requirements.

## **17. Contract Deviations**

Any additional terms and conditions, which may be the subject of negotiation (such terms and conditions having been proposed during the procurement process, that is, the RFP process prior to selection as successful Offeror), will be discussed only between the Agency and the Offeror selected and shall not be deemed an opportunity to amend the Offeror's proposal.

## **18. Offeror Qualifications**

The Evaluation Committee may make such investigations as necessary to determine the ability of the potential Offeror to adhere to the requirements specified within this RFP. The Evaluation Committee will reject the proposal of any potential Offeror who is not a Responsible Offeror or fails to submit a Responsive Offer as defined in §13-1-83 and §13-1-85 NMSA 1978.

## **19. Right to Waive Minor Irregularities**

The Evaluation Committee reserves the right to waive minor irregularities, as defined in Section I.F.19. The Evaluation Committee also reserves the right to waive mandatory requirements, provided that **all** of the otherwise responsive proposals failed to meet the same mandatory requirements and the failure to do so does not otherwise materially affect the procurement. This right is at the sole discretion of the Evaluation Committee.

## **20. Change in Contractor Representatives**

The Agency reserves the right to require a change in contractor representatives if the assigned representative(s) is (are) not, in the opinion of the Agency, adequately meeting the needs of the Agency.

## **21. Notice of Penalties**

The Procurement Code, §§13-1-28 through 13-1-199 NMSA 1978, imposes civil, and misdemeanor and felony criminal penalties for its violation. In addition, the New Mexico criminal statutes impose felony penalties for bribes, gratuities and kickbacks.

## **22. Agency Rights**

The Agency in agreement with the Evaluation Committee reserves the right to accept all or a portion of a potential Offeror's proposal.

### **23. Right to Publish**

Throughout the duration of this procurement process and contract term, Offerors and contractors must secure from the agency written approval prior to the release of any information that pertains to the potential work or activities covered by this procurement and/or agency contracts deriving from this procurement. Failure to adhere to this requirement may result in disqualification of the Offeror's proposal or removal from the contract.

### **24. Ownership of Proposals**

All documents submitted in response to the RFP shall become property of the State of New Mexico. If the RFP is cancelled, all responses received shall be destroyed by the Agency.

### **25. Confidentiality**

Any confidential information provided to, or developed by, the contractor in the performance of the contract resulting from this RFP shall be kept confidential and shall not be made available to any individual or organization by the contractor without the prior written approval of the Agency.

The Contractor(s) agrees to protect the confidentiality of all confidential information and not to publish or disclose such information to any third party without the procuring Agency's written permission.

### **26. Electronic mail address required**

A large part of the communication regarding this procurement will be conducted by electronic mail (e-mail). Offeror must have a valid e-mail address to receive this correspondence. (See also Section II.B.5, Response to Written Questions).

### **27. Use of Electronic Versions of this RFP**

This RFP is being made available by electronic means. In the event of conflict between a version of the RFP in the Offeror's possession and the version maintained by the agency, the Offeror acknowledges that the version maintained by the agency shall govern. Please refer to:

<https://www.generalservices.state.nm.us/statepurchasing/active-procurements.aspx>

or

<https://bids.sciquest.com/apps/Router/PublicEvent?CustomerOrg=StateOfNewMexico&tap=PHX>

### **28. New Mexico Employees Health Coverage**

A. If the Offeror has, or grows to, six (6) or more employees who work, or who are expected to work, an average of at least 20 hours per week over a six (6) month period

during the term of the contract, Offeror must agree to have in place, and agree to maintain for the term of the contract, health insurance for those employees if the expected annual value in the aggregate of any and all contracts between Contractor and the State exceed \$250,000 dollars.

- B. Offeror must agree to maintain a record of the number of employees who have (a) accepted health insurance; (b) decline health insurance due to other health insurance coverage already in place; or (c) decline health insurance for other reasons. These records are subject to review and audit by a representative of the state.
- C. Offeror must agree to advise all employees of the availability of State publicly financed health care coverage programs by providing each employee with, as a minimum, the following web site link to additional information: <https://bewellnm.com>.
- D. For Indefinite Quantity, Indefinite Delivery contracts (price agreements without specific limitations on quantity and providing for an indeterminate number of orders to be placed against it); these requirements shall apply the first day of the second month after the Offeror reports combined sales (from state and, if applicable, from local public bodies if from a state price agreement) of \$250,000.

## 29. Campaign Contribution Disclosure Form

Offeror must complete, sign, and return the Campaign Contribution Disclosure Form (APPENDIX B) as a part of their proposal. This requirement applies regardless of whether a covered contribution was made or not made for the positions of Governor and Lieutenant Governor or other identified official. **Failure to complete and return the signed, unaltered form will result in Offeror's disqualification.**

## 30. Letter of Transmittal

Offeror's proposal must be accompanied by a Letter of Transmittal Form (APPENDIX E), which must be **signed** by the individual authorized to contractually obligate the company, identified in #2 below.

Provide the following information:

1. Identify the submitting business entity; Name, Mailing Address, Phone Number, Federal Tax ID Number (TIN), and New Mexico Business Tax ID Number (BTIN, formerly CRS);
2. Identify the Name, Title, Telephone, and E-mail address of the person authorized by the Offeror's organization to (A) contractually obligate the business entity providing the Offer, (B) negotiate a contract on behalf of the organization; and/or (C) provide clarifications or answer questions regarding the Offeror's proposal content (*A response to B and/or C is only necessary if the responses differs from the individual identified in A*);
3. Identify any subcontractor/s that may be utilized in the performance of any resultant contract award;

4. Identify any other entity/-ies (such as State Agency, reseller, etc., that is not a sub-contractor identified in #3) that may be used in the performance of this awarded contract; and
5. The individual identified in #2 above, must sign and date the form, attesting to the veracity of the information provided, and acknowledging (a) the organization's acceptance of the Conditions Governing the Procurement stated in Section II.C.1, (b) the organizations acceptance of the Section V Evaluation Factors, and (c) receipt of any and all amendments to the RFP.

**Failure to submit a signed Letter of Transmittal Form (Appendix E) will result in Offeror's disqualification.**

### **31. Disclosure Regarding Responsibility**

- A. Any prospective Contractor and any of its Principals who enter into a contract greater than sixty thousand dollars (\$60,000.00) with any state agency or local public body for professional services, tangible personal property, services or construction agrees to disclose whether the Contractor, or any principal of the Contractor's company:
  1. is presently debarred, suspended, proposed for debarment, or declared ineligible for award of contract by any federal entity, state agency or local public body;
  2. has within a three-year period preceding this offer, been convicted in a criminal matter or had a civil judgment rendered against them for:
    - a. the commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) contract or subcontract;
    - b. violation of Federal or state antitrust statutes related to the submission of offers; or
    - c. the commission in any federal or state jurisdiction of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violation of Federal criminal tax law, or receiving stolen property;
  3. is presently indicted for, or otherwise criminally or civilly charged by any (federal state or local) government entity with the commission of any of the offenses enumerated in paragraph A of this disclosure;
  4. has, preceding this offer, been notified of any delinquent Federal or state taxes in an amount that exceeds \$3,000.00 of which the liability remains unsatisfied. Taxes are considered delinquent if the following criteria apply.
    - a. The tax liability is finally determined. The liability is finally determined if it has been assessed. A final liability is not determined if there is a pending administrative or judicial challenge. In the case of a judicial challenge of liability, the liability is not finally determined until all judicial appeal rights have been exhausted.
    - b. The taxpayer is delinquent in making payment. A taxpayer is delinquent if the taxpayer has failed to pay the tax liability when full payment was due and required. A taxpayer is not delinquent in cases where enforced collection action is precluded.

- c. Have within a three-year period preceding this offer, had one or more contracts terminated for default by any federal or state agency or local public body.)
- B. Principal, for the purpose of this disclosure, means an officer, director, owner, partner, or a person having primary management or supervisory responsibilities within a business entity or related entities.
- C. The Contractor shall provide immediate written notice to the State Purchasing Agent or other party to this Agreement if, at any time during the term of this Agreement, the Contractor learns that the Contractor's disclosure was at any time erroneous or became erroneous by reason of changed circumstances.
- D. A disclosure that any of the items in this requirement exist will not necessarily result in termination of this Agreement. However, the disclosure will be considered in the determination of the Contractor's responsibility and ability to perform under this Agreement. Failure of the Contractor to furnish a disclosure or provide additional information as requested will render the Offeror nonresponsive.
- E. Nothing contained in the foregoing shall be construed to require the establishment of a system of records in order to render, in good faith, the disclosure required by this document. The knowledge and information of a Contractor is not required to exceed that which is the normally possessed by a prudent person in the ordinary course of business dealings.
- F. The disclosure requirement provided is a material representation of fact upon which reliance was placed when making an award and is a continuing material representation of the facts during the term of this Agreement. If during the performance of the contract, the Contractor is indicted for or otherwise criminally or civilly charged by any government entity (federal, state or local) with commission of any offenses named in this document the Contractor must provide immediate written notice to the State Purchasing Agent or other party to this Agreement. If it is later determined that the Contractor knowingly rendered an erroneous disclosure, in addition to other remedies available to the Government, the State Purchasing Agent or Central Purchasing Officer may terminate the involved contract for cause. Still further the State Purchasing Agent or Central Purchasing Officer may suspend or debar the Contractor from eligibility for future solicitations until such time as the matter is resolved to the satisfaction of the State Purchasing Agent or Central Purchasing Officer.

### **32. New Mexico/Native American Resident Preferences**

To ensure adequate consideration and application of §13-1-21 NMSA 1978 (as amended), **Offeror must submit a copy of its valid New Mexico/Native American Resident Preference Certificate or its valid New Mexico/Native American Resident Veteran Preference with its proposal.** Certificates for preferences must be obtained through the New Mexico Department of Taxation & Revenue  
<http://www.tax.newmexico.gov/Businesses/in-state-veteran-preference-certification.aspx>.

### III. RESPONSE FORMAT AND ORGANIZATION

#### A. NUMBER OF RESPONSES

Offerors shall submit only one proposal in response to this RFP.

#### B. ELECTRONIC SUBMISSION

##### ONLY ELECTRONIC SUBMISSION VIA OFFICIAL EMAIL IS PERMITTED

[wca.rfp@wca.nm.gov](mailto:wca.rfp@wca.nm.gov)

Any proposal that does not adhere to the requirements of this **Section II.B** and **Section III.C Proposal Content and Organization** may be deemed non-responsive and rejected on that basis.

##### 1. Electronic Submission Requirements

- a. **Follow all submission instructions** - Proposals must be submitted in the manner outlined in Sections III.B.2 and III.B.3, and organized in accordance with Section III.C. Technical and Cost portions of Offerors proposal must be submitted as **separate emails**, and must be prominently identified as “Technical Proposal,” or “Cost Proposal,” in the subject of each email.
- b. **Complete proposal email prior to submission deadline** - *In accordance with statute and rule, **NO LATE OFFER CAN BE ACCEPTED.***
- c. **Email a single Technical file and a single Cost file, unless a document exceeds 35MB** - The Offeror need only submit one single electronic copy of each portion of its proposal (one Technical and one Cost), as outlined in Sections III.B.2 and III.B.3. *EXCEPTION: Single electronic files that exceed 35MB may be submitted as multiple emails, which must be **the least number of emails necessary to fall under the 35mb limit.***
- d. **DO NOT email .zip files** - In accordance with the State of New Mexico’s Information Technology (IT) policies and procedures, we are unable to accept .zip files. See Section III.B.2, below, requirements for emailing large files.
- e. **DO NOT password-protect proposal documents** – Confidential information must adhere to the requirements of Section II.C.8 and must be submitted pursuant to Section II.B.2.a.

2. **Technical Proposal** – One (1) ELECTRONIC email must be organized in accordance with **Section III.C.1. Proposal Format**. All information for the Technical Proposal **must be combined into a single file/document for emailing.** *EXCEPTION: Single electronic files*



*that exceed 35mb may be submitted as multiple emails, which must be the least number of emails necessary to fall under the 35mb limit. **The Technical Proposal SHALL NOT contain any Cost information.***

- a. **Confidential Information:** If Offeror’s proposal contains confidential information, as defined in Section I.F.5 and detailed in Section II.C.8, Offeror **must** submit **two (2) separate ELECTRONIC technical files:**
    - i. One (1) ELECTRONIC version of the requisite proposals identified in Section III.B.2, above, as an **unredacted** (def. Section I.F.38) version for evaluation purposes; **and**
    - ii. One (1) **redacted** (def. Section I.F.26) ELECTRONIC for the public file, in order to facilitate eventual public inspection of the non-confidential version of Offeror’s proposal. Redacted versions **must** be clearly marked as “REDACTED” or “CONFIDENTIAL” on the first page of the electronic file;
3. **Cost Proposal** – One (1) ELECTRONIC email of the proposal containing **ONLY** the Cost Proposal. All information for the cost proposal **must be combined into a single file/document for emailing.** *EXCEPTION: Single electronic files that exceed 35mb may be submitted as multiple emails, which must be the least number of emails necessary to fall under the 35mb limit*

## C. PROPOSAL CONTENT AND ORGANIZATION

All proposals must be submitted as follows:

Direct reference to pre-prepared or promotional material may be used if referenced and clearly marked. Promotional material must be minimal. Within each section of the proposal, Offerors must organize and address the RFP requirements in the order indicated below. All forms provided in this RFP must be thoroughly completed and included in the appropriate section of Offeror’s proposal. **Any and all discussion of proposed costs, rates or expenses must occur ONLY in the Cost Proposal.**

### **Technical Proposal – DO NOT INCLUDE ANY COST INFORMATION IN THE TECHNICAL PROPOSAL.**

1. Signed Letter of Transmittal
2. Signed Campaign Contribution Form
3. Table of Contents
4. Proposal Summary (Optional)
5. Response to Contract Terms and Conditions (from Section II.C.15)
6. Offeror’s Additional Terms and Conditions (from Section II.C.16 )
7. Response to Specifications (**except Cost information which shall be included ONLY in Cost Proposal**)
  - a. Organizational Experience
  - b. Organizational References

- c. Oral Presentation (if applicable)
  - d. Mandatory Specification
  - e. Desirable Specification
  - f. Financial Stability –(Financial information considered confidential, as defined in Section I.F. and detailed in Section II.C.8, should be placed in the **Confidential Information** file, per Section III.B.2.a, as applicable)
  - g. New Mexico/Native American Resident Preferences (if applicable)
8. Other Supporting Material (if applicable)

**Cost Proposal:**

1. Completed Cost Response Form (APPENDIX D)

A Proposal Summary may be included in Offeror's Technical Proposal, to provide the Evaluation Committee with an overview of the proposal; however, this material will not be used in the evaluation process unless specifically referenced from other portions of the Offeror's proposal. **DO NOT INCLUDE COST INFORMATION IN THE PROPOSAL SUMMARY.**

## **IV. SPECIFICATIONS**

### **A. DETAILED SCOPE OF WORK**

The Offeror will be responsible if contracted to provide the following deliverables during the project's planning and implementation phases:

1. Detailed Project Plan – The Offeror will be required to create a detailed plan for the implementation of the project in consultation with WCA personnel. The Plan must include at a minimum:
  - a. A Software Installation plan - The Offeror will be required to provide a detailed plan for installation of all necessary software along with the dates after the beginning of the project when this software will be installed.
  - b. A Software Customization and Configuration plan - The Offeror will be required to create a detailed plan based on any high-level Mandatory and Desirable specifications from section IV B. of this document. In addition, the Offeror will consult with WCA personnel to gather detailed requirements for implementation in the Customization and Configuration plan. Detailed requirements will include but not be limited to role permissions, workflow changes, data entry screens created and modified, and data views based on injury and other data related to cases. The Offeror will provide dates when each specification will be filled.
  - c. A Data Cleanup and Migration plan - The Offeror will be required to create a complete plan for Data Cleanup and Migration based on consultation with WCA. The Offeror will detail in the plan which data will need to be cleaned and which WCA personnel will be required to carry out the cleanup in coordination with Offeror personnel. In addition, Offeror will provide a complete plan for data migration from the current system to Offeror's system.
  - d. A Test Plan - The Offeror is required to provide a test plan which will be used by the Offeror to test the system before final delivery.
  - e. An Acceptance Test Plan – The Offeror is responsible for providing an Acceptance test plan after consultation with WCA to detail how and when the system will be tested for acceptance by WCA upon delivery.
  - f. A Training Plan – The Offeror will be required to create a training plan which will meet the requirements detailed in Section IV B. 14 of this document.
  - g. Post-Production Support and Warranty Plan – The Offeror will be required to provide a Post-Production Support and Warranty Plan to support WCA after Go-Live.
2. Software Installation – The Offeror will be responsible if contracted for installation and licensing of any necessary software and/or hardware required to complete the project. This installation must be implemented with the coordination of WCA personnel. If any software installed by WCA is needed for use by the Offeror (including Network and Hardware components) then the Offeror must make this part of the Software Installation plan after gaining written permission from WCA.

3. Software Customization and Configuration – Based on the Mandatory and Desirable specifications as detailed in Section IV B. of this document, and after gathering detailed requirements with WCA personnel the software installed by the Offeror must be customized and configured as necessary to meet those requirements. Detailed requirements will include but not be limited to role permissions, workflow changes, data entry screens created and modified and data views based on injury and other data related to cases.
4. Data Cleanup and Migration – Based on the plan created by the Offeror the Data Cleanup will need to be carried out as necessary in coordination with WCA personnel. The Data Migration from the current WCA system must be implemented by the Offeror in adherence to the Data Migration plan agreed upon with WCA.
5. Training – The Offeror will be required if contracted to provide training for WCA personnel as mandated in Section IV B of this document. The Offeror will be required to follow the plan agreed upon by WCA.

## **B. TECHNICAL SPECIFICATIONS**

### **1. Organizational Experience**

Offeror **must**:

- a) provide a brief description of relevant corporate experience with state government and private sector. The experience of all proposed subcontractors must be described. The narrative **must** thoroughly describe how the Offeror has supplied expertise for similar contracts and must include the extent of their experience, expertise, and knowledge as a provider of Court Case Management Software. All Case Management Software provided to the private sector will also be considered.
- b) provide a brief resume of all key personnel Offeror proposes to use in performance of the resulting contract, should Offeror be awarded. Key personnel are personnel in key roles in the project for implementation of the Court Case Management Software. Key roles may be performed by one or multiple key personnel and include but are not limited to: design work, coding tasks, project management, testing. Offeror must include key personnel education, work experience, relevant/applicable certifications/licenses.
- c) indicate how many instances of Court Case Management Software have been installed in the last two years and what percentage of business revenue is derived from Court Case Management Software engagements; and
- d) describe at least two project successes and failures of Court Case Management Software implementations. Include how each experience improved the Offeror's services.

## 2. Organizational References

Offeror must provide a list of a minimum of three (3) external references from similar projects/programs performed for private, state, or large local government clients within the last five (5) years.

Offeror shall include the following Business Reference information as part of its proposals:

- a) Client name;
- b) Project description;
- c) Project dates (starting and ending);
- d) Technical environment (i.e., Software applications, Internet capabilities, Data communications, Network, Hardware);
- e) Staff assigned to reference engagement that will be designated for work per this RFP; and
- f) Client project manager's name, telephone number, fax number and e-mail address.

Offeror is required to submit APPENDIX F, Organizational Reference Questionnaire ("Questionnaire"), to the business references it lists. **The business references must submit the Questionnaire directly to the designee identified in APPENDIX F. The business references must not return the completed Questionnaire to the Offeror.** It is the Offeror's responsibility to ensure the completed forms are submitted on or before the date indicated in Section II.A, Sequence of Events, for inclusion in the evaluation process.

Organizational References that are not received or are not complete, may adversely affect the Offeror's score in the evaluation process. Offerors are encouraged to specifically request that their Organizational References provide detailed comments.

## 3. Mandatory Specification (375 Points)

Offerors must respond in the form of a thorough narrative to each specification, unless otherwise specified. The narratives, including required supporting materials will be evaluated and awarded points accordingly. For each case where the Offeror will expect WCA to perform tasks please detail what those tasks are and what training and skills will be needed of WCA personnel to carry out the needed work.

### 1. Role-based Security

Most modern software systems deal with access to functions and content by creating roles which stand for users needing access to that content and functionality. Roles are configured to get the required set of access and then users are assigned to one or more roles. This allows administrators to pick and choose which users have which roles without having to set up special access for each user to the many screens and controls in the system.

The Offeror must describe the end-user provisioning process for the proposed solution and explain the proposed system's use of role-based security based on the requirements detailed below:

- a. The Offeror's proposed system must provide the ability for WCA to define users and the functions available to them in the system based on the roles they play in the organization.
- b. The Offeror must provide the capability for WCA to configure the system to allow different roles access to different case information, notes, calendar items, alerts and documents depending on their roles. WCA consists of multiple bureaus which must be able to protect documents and case information within their own bureaus based on roles and responsibilities.
- c. The Offeror must train WCA personnel to make changes to the characteristics of different roles and make decisions about which users should have which roles.
- d. The Offeror's proposed system must provide an audit trail for changes to roles and the personnel in each role.
- e. The Offeror must train WCA to use this audit system to manage who is in which role and when.
- f. The Offeror's system must protect Personally Identifiable Information (PII) with the practice of data encryption.
- g. The Offeror's system must require two factor authentication for access to Administrative Role-Based system administration access.

2. **Workflow**

The Offeror's proposed system must provide "visible" workflow capabilities these include but are not limited to the following requirements:

- a. Each of the steps in a workflow and what must be done for a step to be completed by different roles in the system must be configurable.
- b. All authorized user roles will need to be able to view the current status of a case.
- c. All authorized user roles must be able to view the steps that have been completed and those steps that still need to be completed in a defined and configurable process for each type of case.
- d. Deadlines and alerts for each workflow step must be configurable.
- e. The workflow system must provide for digital signatures at those points defined by WCA and the system must be configurable to allow changes to the digital signature steps as needed.
- f. The workflow system must provide the ability for WCA to audit the steps followed for each case and track which roles were responsible for completing each step.
- g. For document tracking the system must keep an audit trail for the changes to documents as they are made by each user role.
- h. The Offeror's system must provide a "tickler" system which can be set to remind users when deadlines are coming up. The amount of time for each tickler and each step in the workflow must be configurable.

3. **Case Management**

The Offeror must describe the system used for the proposed solution and include but not be limited to meeting the following requirements:

- a. The Offeror's system must provide for different categories/types of cases which have different workflows and deadlines and role responsibilities.
- b. The Offeror must provide a method to WCA for defining and changing any disposition or activity codes applied to cases without Offeror involvement.
- c. Each category and type of case must have unique identifiers which will be assigned by the system automatically to each case as it is created.
- d. The Offeror must provide a system which will allow WCA to assign certain types of cases to certain roles within the agency. The system must allow WCA to configure the security on case information and documents to allow some roles to see this information and others to be denied access.
- e. Users must be able to create relationships between cases and allow roles to access each of the related cases as needed and within that roles purview.
- f. The system must allow a user to duplicate a case so that a new case with all the same characteristics of the old one will be created.
- g. The Offeror's system must allow the user to join or consolidate multiple cases into one case.
- h. The Offeror's system must allow an unlimited number of parties to be assigned to a case.
- i. The Offeror's system must allow WCA to manage parties and assign roles to different parties with different permissions.
- j. The system must allow users to search cases by party's last name, DOB, SSN, or combination of these.
- k. The system must assign case numbers in a format designated by WCA sequentially and automatically based on case category and case type.
- l. The system must allow users to seal/restrict certain case types based on NM specific business rules.
- m. The system must allow WCA to define dispositions and activities that may be restricted to certain case types.
- n. The system must provide a history of data entered or edited (who, when, what).
- o. The system must permit manual reassignment of a case to a new judge, hearing officer or mediator by an authorized user with the correct role.
- p. The system must track the history of judge, hearing officer or mediator assignments to a case. Authorized roles must be able to access this history information.
- q. The system must allow a user to enter notes on a case which can be classified as private/restricted. Only certain roles as defined by WCA will have access to each set of notes.
- r. The system must have a docket sheet (list of activities through life of a case) that can be formatted and printed out.
- s. System users must be able to search cases by judge, attorney, or other parties to a case.
- t. The system must permit entry and tracking emails, calls and other communications, including date submitted and party submitting; and, date and time of emails and calls.
- u. The system must allow for interfacing with other external data sources. Other state agencies submit information and require information from WCA and some system

of Application Programming Interfaces (APIs) or other data exchange will be required.

#### **4. Automated Document Production**

Each case has a number of documents that are automatically created based on business processes. These documents are automatically generated and sent to the respective parties.

- a. The Offeror must provide automated document production for those documents which are created by the system based on the category/type of case.
- b. The Offeror must provide WCA the administrative capability to change templates for documents created by the system for each case category/type.
- c. The Offeror's proposed system must be able to link generated forms and documents to one or more docket entries and on multiple cases.
- d. Offeror must provide WCA a way to access audit data showing which documents have been created and when and by whom in the system.
- e. The Offeror must provide a way to create and configure stamps which can be attached with date, time, and other information to any automatically generated document.

#### **5. Document Management**

Each case has a number of documents which need to be related to the case and be searchable in the system. These documents are submitted to WCA by various parties or created and distributed by WCA to parties to the cases. These documents need to be stored, tracked, and searched in the system along with other data related to cases.

- a. The Offeror must provide a system for managing documents and the relations of the documents to cases and individuals. Users will be able to add and access documents which are accessible based on the role of the users.
- b. The Offeror must provide a storage database for documents which can be searched based on multiple criteria across cases.
- c. The Offeror must provide record retention capabilities for the document storage which can be customized for WCA compliance.

#### **6. Calendaring and Scheduling**

Hearings and mediations need to be scheduled by the system following business rules and allowing changes from authorized users. Judge assignment also follows internal business rules and must be done with needed intervention from authorized users. Authorized users must be able to view and modify all relevant calendars based on roles.

- a. The system must have the capability to create individual schedules/calendars at different court nodes for a judge, mediator, or courtroom. The system must allow the user to schedule a judge or mediator separately from a particular courtroom.
- b. The system must have the capability to add multiple resources to a session (judge, clerk, courtroom, etc.).
- c. The system must automatically generate a notice when a hearing is scheduled.
- d. The system must send a notice of hearing electronically or via text to parties with reminders.
- e. The system's calendar/hearing module must allow the integration of audio recordings from an application like FTR.



- f. The system must allow a judge or mediator to open his/her daily calendar and directly link to events and documents on cases that have events scheduled.
- g. The system must allow a user to print calendars and event information

## **7. Financial Tracking**

WCA must track payments made by third parties and to various bureaus in the administration. A court system must be able to track simple payments and balances on multiple accounts and make simple reports while keeping an audit trail on changes made.

- a. The Offerors system must propose a module to allow assessment and receipt of monies on cases.
- b. The Offerors system must provide a clear accounting trail for monies received by the Court (who and how paid to, when and to whom it was disbursed or refunded).
- c. The Offerors system's module must allow for voids, reversals, credits, and adjustments.
- d. The Offerors system module must provide tools ( e.g. reports) to balance/reconcile daily transactions, deposits, and individual accounts.
- e. The Offerors Financial module must allow fees to be configured to feed into a specific fund within an account.
- f. The Offeror's Financial tracking data must be encrypted while at rest, in transit, and in use.

## **8. Configuration and Customization**

WCA needs a system which can be customized and configured during implementation to provide the correct workflows and support the correct business rules and data entry and display. WCA will need to make periodic changes to the system based on New Mexico rule changes and workflow modifications. These changes need to be made easily and quickly and it is preferable that some can be made by WCA administrators themselves.

- a. The Offeror's system must be customizable and configurable so that workflow task orders and approvals can be changed by users or WCA administrators.
- b. The system must have a reporting tool available for use by WCA.
- c. The system should allow custom reports to be built by WCA without Offeror assistance.

## **9. Audio Access**

The system must allow access to audio recordings of case-related events such as hearings. Authorized users must be able to access documents, recordings, and other available data about these events.

- a. The system must allow the integration of audio recordings from an application like FTR and allow access to parties for recordings.

## **10. External Filing**

External users will need to be able to file and track documents and decisions on cases. External users must have different roles and security access than internal users. For external users, describe your end-user provisioning process.

- a. The Offeror must provide an external filing interface (Client Portal) where non-agency parties may access and enter data as well as upload and download case documents.
- b. Accessibility - Any user interface for external filing must follow state mandated Web Content Accessibility Guidelines (WCAG) 2.1 standards. Web Content Accessibility must be Americans with Disabilities Act compliant.

### **11. Data Cleansing, Data Migration, and Interfaces**

WCA has legacy data and documents related to previous cases which needs to be migrated to the new system. A scheme for being able to search and work with old case data needs to be worked out for use in the new system.

- a. The Offeror must coordinate and plan data cleansing as necessary for the old system in order to migrate data correctly to the new system.
- b. The Offeror must provide data migration from WCA's current system to the new case management solutions database.
- c. The Offeror must provide data migration services and build any data exchange interface(s) required.

### **12. Ongoing Maintenance**

The Offeror must provide ongoing maintenance to the system. Please respond to the mandatory requirements as detailed below:

- a. The Offeror must provide updates to software as they are released and provide notice to WCA when maintenance windows are needed.
- b. The Offeror must provide updates to software documentation, including system documentation.
- c. The Offeror must provide changes to any online standard user guides.
- d. The Offeror must be responsible for server maintenance (for a vendor hosted solution).
- e. Telephone support during Business Hours as defined.
- f. Monthly activity report on maintenance activities (description of activity, status of each activity, start date work begin for activity, end date work completed for activity).
- g. SLA standards and response times.
- h. Uptime guarantee, system will maintain 99.95% uptime during operation.
- i. Incident/Issue Management/Response and Resolution Time based on severity Levels (recommend identifying the severity levels and Response and Resolution Time).

### **13. Security**

Security is an important concern in any modernized application or set of applications.

These mandatory security requirements require a detailed response:

- a. If the system is hosted or on the cloud the Offeror must have a Security Plan that has been prepared by a Certified Information Systems Security Professional or someone with similar credentials.
- b. The system must have security controls to restrict access to data.

- c. The system must have security controls to prevent unauthorized modifications (changes, deletions, corruption) to data.
- d. Additionally, mandatory security information is required to make the response to the RFP complete. If the solution you are proposing will be hosted on the Agency premises with local hardware and software, please fill out Appendix G information with system technical information. If your solution is Hosted in the cloud or other hosting solution, please fill out Appendix H with the technical and other details.

**14. Training**

WCA will require training in the use of the system for agency and non-agency parties. The agency will also require training in the management and configuration of the system features for agency personnel. WCA will require periodic training based on new system features.

- a. The Offeror must provide up front training to agency users and administrators prior to go-live.
- b. The Offeror must provide training to administrators and users for upgrades to the system as they are implemented.
- c. Training Plan - The Offeror will be responsible for the Training Plan to provide training to allow WCA’s users, administrators, and IT technical staff to understand the proposed solution’s capabilities before go-live. The Offeror must describe details about training activities, such as but not limited to the following:
  - 1. Provide technical training to ensure full understanding and operational capabilities for WCA subject matter experts, users, and IT technical staff that will be using the proposed solution daily.
  - 2. Ensure WCA subject matter experts, users, and IT technical staff acquire adequate knowledge and skills of the proposed solution to perform their work.
  - 3. Offeror will use one or more of the following training methodologies as approved by WCA (instructor-led hands-on classroom training (onsite), Web-based training, or other proposed training method.
  - 4. Provide detailed training information that is available for the proposed system. WCA retains the right to reproduce training materials for internal training, refresher courses or for sessions for new staff following implementation.
  - 5. If there is a significant modification to the proposed solution, the Offeror will provide training and documentation.
  - 6. Describe how training and knowledge transfer will occur and the frequency using instructor-led hands-on classroom training (onsite) and/or (offsite).
  - 7. Provide user documents that describe the proposed system from a system administrator and user’s viewpoint that includes a User’s Guide, Reference Guide, and Administrator’s Guide.

**4. Desirable Specification (75 Points)**

**1. Workflow Desirable**

The Offeror should describe if its proposed solution meets the following requirements:

- a. Each of the steps in a workflow and what must be done for a step to be completed by different roles in the system should be configurable by WCA directly.
- b. Deadlines and alerts for each workflow step should be configurable by WCA directly.
- c. The amount of time for each tickler and each step in the workflow should be configurable by WCA administrators.

**2. Case Management Desirable**

The Offeror should describe if its proposed solution meets the following requirements:

- a. Within each category of cases the Offeror should provide multiple case types which can be identified using detailed changes in rules and workflow based on the category.
- b. Upon case initiation the system should have the capability to create a skeleton case docket based on category or type if applicable.
- c. The system should allow a case type to change for a case without deleting or re-entering the case.
- d. The system should automatically assign cases to judges/mediators based on rules.
- e. The system should allow for the merging of parties.
- f. The system should be able to be configured to either prevent a previously assigned judge to a case from being reassigned to the same case or alternatively automatically reassign the same judge to the case.
- g. The system should have a "wild card" function or a "sounds like" option.

**3. Document Management Desirable**

The Offeror should describe if its proposed solution meets the following requirements:

- a. The system should allow electronic signatures to be attached to documents.
- b. The system should have the capability to redact PII from scanned/uploaded documents.

**4. Calendaring and Scheduling Desirable**

The Offeror should describe if its proposed solution meets the following requirements:

- a. The calendaring system should be able to create multiple sessions on a calendar for a single day with multiple hearings in each session.
- b. Using rules entered by WCA the Calendaring system should be able to automatically schedule mediation/hearings which can then be changed by users manually.

**5. Financial Tracking Desirable**

The Offeror should describe if its proposed solution meets the following requirements:

- a. Vendors system should allow fees to be configured to feed into a specific fund within an account.
- b. Asset management functionality in Financial Module.

**6. Configuration and Customization Desirable**

The Offeror should describe if its proposed solution meets the following requirements:

- a. The system should provide reports that include both management and statistical reports.

**7. Ongoing Maintenance**

The Offeror should describe any value added to the maintenance and support services that will exceed the mandatory requirements in Section IV B. 12 above.

## **C. BUSINESS SPECIFICATIONS**

### **1. Financial Stability**

Offerors must submit copies of their most recent three years independently audited financial statements, the most recent applicable SEC form 10K, 10Q or 8K, as well as financial statements for the preceding three years if they exist. Offeror must disclose any regulatory action against the entity in last five years and provide explanation. The submission must include the audit opinion, balance sheet, statements of income, retained earnings, cash flows and notes to the financial statements. If independently audited financial statements do not exist, Offeror must state the reason and, instead submit sufficient information (e.g. D & B report) to enable the Evaluation Committee to assess the financial stability of the Offeror.

### **2. Letter of Transmittal Form**

The Offeror's proposal **must** be accompanied by the Letter of Transmittal Form located in APPENDIX E. The form **must** be completed and must be signed by the person authorized to obligate the company. **Failure to submit a signed form will result in Offeror's disqualification.**

### **3. Campaign Contribution Disclosure Form**

The Offeror must complete an unaltered Campaign Contribution Disclosure Form and submit a signed copy with the Offeror's proposal. This must be accomplished whether or not an applicable contribution has been made. (See APPENDIX B). **Failure to complete and return the signed, unaltered form will result in Offeror's disqualification.**

### **4. Support Services during Transition off Proposed Solution to a Future Solution**

In the event the proposed solution is replaced at a future date, the Offeror must submit in its RFP proposal response "A Statement of Concurrence" or a response agreeing with this requirement (a-c).

- a. The Offeror must agree to provide any required future support services during the transition off the proposed Case Management Solution to the new vendor and the Procuring Agency.

- b. The Offeror must provide the support services required to fully transition off the proposed Case Management Solution within a six month period from the date WCA contracts with a new vendor.
- c. The Offeror must provide and present a Service Transition Plan within 30 days after a future contract is awarded and must maintain the Transition Plan with any updates resulting from changes or updates to WCA. The Transition Plan must include but not limited to the following:
  - 1) Explanation of how it will ensure transition of services without any complications, errors, outages, or negative impact to the Procuring Agency.
  - 2) Transition Timeline: Offeror must provide a transition timeline using a format required by the Procuring Agency.

## **5. Oral Presentation**

If oral presentations are held, finalist Offeror(s) may be required to explain, demonstrate, detail, and/or clarify any aspect of its submitted proposal, to which the Evaluation Committee may ask questions and/or seek clarifications. Pursuant to Section II.B.9, Oral Presentations may be held at the sole discretion of the Evaluation Committee.

## **6. Cost**

Offeror must complete the Cost Response Form in APPENDIX D. All charges listed in the Cost Response form in APPENDIX D must be justified and evidence of need documented in the proposal.

Offeror must propose the total cost of the contract. Total cost proposed shall include all costs associated with the work to be done. (excluding gross receipts tax).

## **7. New Mexico/Native American Resident Preferences**

To ensure application of § 13-1-21 NMSA 1978 (as amended), an Offeror **MUST** submit a copy, in this section, of its valid New Mexico/Native Resident Preference Certificate or its valid New Mexico/Native American Resident Veteran Preference Certificate, as issued by the New Mexico Taxation and Revenue Department.

# **V. EVALUATION**

## **A. EVALUATION POINT SUMMARY**

The following is a summary of evaluation factors with point values assigned to each. These weighted factors will be used in the evaluation of individual potential Offeror proposals by sub-category.

Table 1: Evaluation Point Summary

<b>Evaluation Factors</b> <i>(Correspond to Sections IV.B and IV.C)</i>	<b>Points Available</b>
<b>B. Technical Specifications</b>	
1. Organizational Experience	100
2. Organizational References	50
3. Mandatory Specifications	375
4. Desirable Specifications	75
<b>C. Business Specifications</b>	
1. Financial Stability	Pass/Fail
2. Letter of Transmittal	Pass/Fail
3. Campaign Contribution Disclosure Form	Pass/Fail
4. Support Services During Transition off Existing Solution to a Future Solution as the Incumbent	Pass/Fail
5. Oral Presentation	150
6. Total Cost	250
7. New Mexico/Native American Resident Preferences	100
<b>TOTAL POINTS AVAILABLE</b>	<b>1,100</b>

## **B. EVALUATION FACTORS**

### **1. B.1 Organizational Experience (See Table 1)**

Points will be awarded based on the thoroughness and clarity of Offeror’s response in this Section. The Evaluation Committee will also weigh the relevancy and extent of Offeror’s experience, expertise, and knowledge; and of personnel education, experience, and certifications/licenses. In addition, points will be awarded based on Offeror’s candid and well-thought-out response to successes and failures, as well as the ability of the Offeror to learn from its failures and grow from its successes.

### **2. B.2 Organizational References (See Table 1)**

Points will be awarded based upon an evaluation of the responses to a series of questions on the Organizational Reference Questionnaire (Appendix F). Offeror will be evaluated on references that show positive service history, successful execution of services and evidence of satisfaction by each reference. References indicating significantly similar services/scopes of work and comments provided by a submitted reference will add weight and value to a recommendation during the evaluation process. Points will be awarded for each individual response up to 1/3 of the total points for this category. Lack of a response will receive zero (0) points.

The Evaluation Committee may contact any or all business references for validation of information submitted. If this step is taken, the Procurement Manager and the Evaluation

Committee must all be together on a conference call with the submitted reference so that the Procurement Manager and all members of the Evaluation Committee receive the same information. Additionally, the Agency reserves the right to consider any and all information available to it (outside of the Organizational Reference information required herein), in its evaluation of Offeror responsibility per Section II.C.18.

**3. B.3 Mandatory Specifications (See Table 1)**

Points will be awarded based on the Offeror's response in this Section that meet and/or exceed the requirements.

**4. B.4 Desirable Specifications (See Table 1)**

Points will be awarded based on the Offeror's response in this Section that meet and/or exceed the requirements.

**5. C.1 Financial Stability (See Table 1)**

Pass/Fail only. No points assigned.

**6. C.2 Letter of Transmittal (See Table 1)**

Pass/Fail only. No points assigned.

**7. C.3 Campaign Contribution Disclosure Form (See Table 1)**

Pass/Fail only. No points assigned.

**8. C.4 Support Services during Transition off Existing Solution to a Future Solution as the Incumbent**

Pass/Fail only. No points assigned.

**9. C.4 Oral Presentation (See Table 1)**

Points will be awarded based on the quality, organization, and effectiveness of communication of the information presented, as well as the professionalism of the presenters and technical knowledge of the proposed staff. Prior to Oral Presentation, Agency will provide the Offeror a presentation agenda. Oral Presentations may require in person attendance. (If no Oral Presentations are held all Offerors will receive the maximum number of total points for this Evaluation Factor).

**10. C.6 Cost (See Table 1)**

The evaluation of each Offeror's cost proposal will be based on the Total Cost proposed and conducted using the following formula:

$$\frac{\text{Lowest Responsive Offeror's Cost}}{\text{Each Offeror's Cost}} \times \text{Available Award Points}$$



## **11. C.7. New Mexico/Native American Resident Preferences**

Percentages will be determined based upon the point-based system outlined in § 13-1-21 NMSA 1978 (as amended).

### **A. New Mexico Resident Business Preference / Native American Resident Preference**

If an Offeror has provided a copy of its New Mexico Resident Preference Certificate or Native American Resident Preference Certificate, the points awarded will be calculated as 8% of the total points available in this RFP.

### **B. New Mexico/Native American Resident Veteran Preference**

If an Offeror has provided a copy of its New Mexico Resident Veteran Preference Certificate or Native American Resident Veteran Preference Certificate the points awarded will be calculated as 10% of the total points available in this RFP.

## **C. EVALUATION PROCESS**

1. All Offeror proposals will be reviewed for compliance with the requirements and specifications stated within the RFP. Proposals deemed non-responsive will be eliminated from further consideration.
2. The Procurement Manager may contact the Offeror for clarification of the response as specified in Section II. B.7.
3. Responsive proposals will be evaluated on the factors in Section IV, which have been assigned a point value in Section V. The responsible Offerors with the highest scores may be selected as finalist Offerors, based upon the proposals submitted. In accordance with §13-1-117 NMSA 1978, the responsible Offerors whose proposals are most advantageous to the State taking into consideration the Evaluation Factors in Section V will be recommended for award (as specified in Section II.B.12). Please note, however, that a serious deficiency in the response to any one factor may be grounds for rejection regardless of overall score.

## APPENDIX A

### REQUEST FOR PROPOSAL

#### WCA Case Management System Modernization

24-632-PS-00001

#### ACKNOWLEDGEMENT OF RECEIPT FORM

This optional Acknowledgement of Receipt Form establishes a distribution list to be used for the distribution of written responses to questions, and/or any amendments to the RFP. Failure to return the Acknowledgement of Receipt Form does not prohibit potential Offerors from submitting a response to this RFP. However, by not returning the Acknowledgement of Receipt Form, the potential Offeror's representative shall not be included on the distribution list, and will be solely responsible for obtaining from the Procurement Library (Section I.G.) responses to written questions and any amendments to the RFP.

The information below will be used for all correspondence related to the Request for Proposal. Only one contact per Offeror is permitted.

ORGANIZATION: \_\_\_\_\_

CONTACT NAME: \_\_\_\_\_

TITLE: \_\_\_\_\_ PHONE NO.: \_\_\_\_\_

E-MAIL: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

**Submit Acknowledgement of Receipt Form to:**

To: Veronica Purcell, Procurement Manager

E-mail: [wca.rfp@wca.nm.gov](mailto:wca.rfp@wca.nm.gov)

Subject Line: WCA Case Management System Modernization

## APPENDIX B

### CAMPAIGN CONTRIBUTION DISCLOSURE FORM

Pursuant to the Procurement Code, Sections 13-1-28, *et seq.* NMSA 1978 and § 13-1-191.1 NMSA 1978 (2006), as amended by Laws of 2007, Chapter 234, a prospective contractor subject to this section shall disclose all campaign contributions given by the prospective contractor or a family member or representative of the prospective contractor to an applicable public official of the state or a local public body during the two years prior to the date on which a proposal is submitted or, in the case of a sole source or small purchase contract, the two years prior to the date on which the contractor signs the contract, if the aggregate total of contributions given by the prospective contractor or a family member or representative of the prospective contractor to the public official exceeds two hundred fifty dollars (\$250) over the two-year period. A prospective contractor submitting a disclosure statement pursuant to this section who has not contributed to an applicable public official, whose family members have not contributed to an applicable public official or whose representatives have not contributed to an applicable public official shall make a statement that no contribution was made.

A prospective contractor or a family member or representative of the prospective contractor shall not give a campaign contribution or other thing of value to an applicable public official or the applicable public official's employees during the pendency of the procurement process or during the pendency of negotiations for a sole source or small purchase contract.

Furthermore, a solicitation or proposed award for a proposed contract may be canceled pursuant to Section [13-1-181](#) NMSA 1978 or a contract that is executed may be ratified or terminated pursuant to Section [13-1-182](#) NMSA 1978 if a prospective contractor fails to submit a fully completed disclosure statement pursuant to this section; or a prospective contractor or family member or representative of the prospective contractor gives a campaign contribution or other thing of value to an applicable public official or the applicable public official's employees during the pendency of the procurement process.

The state agency or local public body that procures the services or items of tangible personal property shall indicate on the form the name or names of every applicable public official, if any, for which disclosure is required by a prospective contractor.

**THIS FORM MUST BE INCLUDED IN THE REQUEST FOR PROPOSALS AND MUST BE FILED BY ANY PROSPECTIVE CONTRACTOR WHETHER OR NOT THEY, THEIR FAMILY MEMBER, OR THEIR REPRESENTATIVE HAS MADE ANY CONTRIBUTIONS SUBJECT TO DISCLOSURE.**

The following definitions apply:

**“Applicable public official”** means a person elected to an office or a person appointed to complete a term of an elected office, who has the authority to award or influence the award of the contract for which the prospective contractor is submitting a competitive sealed proposal or who has the

authority to negotiate a sole source or small purchase contract that may be awarded without submission of a sealed competitive proposal.

**“Campaign Contribution”** means a gift, subscription, loan, advance or deposit of money or other thing of value, including the estimated value of an in-kind contribution, that is made to or received by an applicable public official or any person authorized to raise, collect, or expend contributions on that official’s behalf for the purpose of electing the official to statewide or local office. “Campaign Contribution” includes the payment of a debt incurred in an election campaign, but does not include the value of services provided without compensation or unreimbursed travel or other personal expenses of individuals who volunteer a portion or all of their time on behalf of a candidate or political committee, nor does it include the administrative or solicitation expenses of a political committee that are paid by an organization that sponsors the committee.

**“Family member”** means a spouse, father, mother, child, father-in-law, mother-in-law, daughter-in-law, or son-in-law of (a) a prospective contractor, if the prospective contractor is a natural person; or (b) an owner of a prospective contractor;

**“Pendency of the procurement process”** means the time period commencing with the public notice of the request for proposals and ending with the award of the contract or the cancellation of the request for proposals.

**“Prospective contractor”** means a person or business that is subject to the competitive sealed proposal process set forth in the Procurement Code [Sections [13-1-28](#) through [13-1-199](#) NMSA 1978] or is not required to submit a competitive sealed proposal because that person or business qualifies for a sole source or small purchase contract.

**“Representative of a prospective contractor”** means an officer or director of a corporation, a member or manager of a limited liability corporation, a partner of a partnership or a trustee of a trust of the prospective contractor.

**Name(s) of Applicable Public Official(s) if any:** \_\_\_\_\_  
**(This field must be completed by the issuing State Agency. In most cases, the official identified will be the current Governor of New Mexico and Lieutenant Governor. If a local public body is using this template for their RFPs, it must complete this field with the applicable elected official(s).)**

**DISCLOSURE OF CONTRIBUTIONS BY PROSPECTIVE CONTRACTOR:**

Contribution Made By: \_\_\_\_\_

Relation to Prospective Contractor: \_\_\_\_\_

Date Contribution(s) Made: \_\_\_\_\_  
\_\_\_\_\_

Amount(s) of Contribution(s) \_\_\_\_\_

Nature of Contribution(s)

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Purpose of Contribution(s)

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(Attach extra pages if necessary)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title (position)

**--OR--**

**NO CONTRIBUTIONS IN THE AGGREGATE TOTAL OVER TWO HUNDRED FIFTY DOLLARS (\$250) WERE MADE** to an applicable public official by me, a family member or representative.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title (Position)

**APPENDIX C**  
**STATE OF NEW MEXICO**  
**DRAFT CONTRACT**

**STATE OF NEW MEXICO**

**Workers' Compensation Administration**

INFORMATION TECHNOLOGY AGREEMENT

Agreement No. \_\_\_\_\_

THIS INFORMATION TECHNOLOGY AGREEMENT (this "Agreement") is made by and between the State of New Mexico (the "State"), **Workers' Compensation Administration**, hereinafter referred to as "Procuring Agency" and **[Insert Contractor Name]**, hereinafter referred to as "Contractor" and collectively the parties are hereinafter referred to as the "Parties." This Agreement must be approved by the Department of Information Technology ("DoIT").

WHEREAS, pursuant to the New Mexico State Use Act (13-1C-1 NMSA 1978);] Contractor has held itself out as an expert in implementing the Scope of Work attached hereto and Procuring Agency has selected Contractor as the offeror most advantageous to the State; and

WHEREAS, all terms and conditions of the **24-632-PS-00001 WCA Case Management System Modernization** and Contractor's response to such document(s) are incorporated herein by reference; and

**THEREFORE, IT IS MUTUALLY AGREED BETWEEN THE PARTIES:**

**ARTICLE 1 – DEFINITIONS**

- A. "Acceptance," "Accept" or "Accepted" means the approval, following Quality Assurance, of all the Deliverables by Procuring Agency's ELR ("ELR").
- B. "Agency CIO" means Procuring Agency's Chief Information Officer.
- C. "Application Deployment Package" or "ADP" means Contractor's centralized and systematic delivery of business critical applications, including the source code (for custom software), documentation, executable code, and the deployment tools necessary to successfully install application software fixes, including Contractor's Software related additions, modifications, or deletions.
- D. "Business Days" means Monday through Friday, 7:30 a.m. (MST or MDT) to 5:30 p.m. except for Federal and State holidays.
- E. "Change Request" means a written document utilized by either Party to request changes or revisions in the Scope of Work – Exhibit A, attached hereto.

- F. “Confidential Information” means any communication or record (whether oral, written, electronically stored or transmitted, or in any other form) that consists of: (1) confidential Procuring Agency or client information as the term is defined in State and/or Federal statutes or regulations; (2) all non-public State budget, expense, payment and other financial information; (3) all attorney-client privileged work product; (4) all information designated by Procuring Agency or any other State office or agency as confidential, including all information designated as confidential under Federal and State statutes or regulations; (5) unless publicly disclosed by Procuring Agency or the State, the pricing, payments, and terms and conditions of this Agreement, and (6) State information that has not been publicly disclosed and that is utilized, received, or maintained by Procuring Agency, Contractor, or other participating State agencies for the purpose of fulfilling a duty or obligation hereunder.
- G. “Contract Manager” means a Qualified Person designated by Procuring Agency who is responsible for all aspects of the administration of this Agreement. Under the terms of this Agreement, the Contract Manager will be **Insert Name** or his/her Representative.
- H. “Data” means a compilation, body, set or sets, of discrete information gathered by Procuring Agency and/or Contractor which Procuring Agency owns and/or controls and which concerns, and may be utilized or manipulated by Procuring Agency and/or Contractor, to further Procuring Agency’s governmental interests, role, and mission (“Mission”). Data includes, but is not limited to, Procuring Agency’s information, whether or not stored in one or more databases, Confidential Information and other internal information which affects or may affect Procuring Agency’s ability to further its Mission.
- I. “Default” means a violation or breach of this Agreement by a Party’s either: (1) failing to perform one’s own contractual obligations hereunder, or (2) by interfering with the other Party’s performance of its obligations hereunder.
- J. “Deliverable” means the verifiable outcomes, results, the Services, or products that Contractor will develop, perform, and/or produce and deliver to Procuring Agency according to the Scope of Work.
- K. “DoIT” means the New Mexico State Department of Information Technology.
- L. “DoIT CIO” means DoIT’s Cabinet Secretary or Chief Information Officer, who also serves as the State’s Chief Information Officer.
- M. “Employees” means stockholders, directors, officers, employees, and agents.
- N. “Escrow” means a legal document (such as Source Code) delivered by Contractor to a third party escrow agent (“Escrow Agent”), and held by Escrow Agent until Procuring Agency Accepts one or more the Deliverables; in the event Contractor Defaults this Agreement, Procuring Agency will receive the legal document, *e.g.*, Source Code, from Escrow Agent.
- O. “Enhancement” means any modification including addition(s), modification(s), or deletion(s) that, when Contractor makes or adds to a Deliverable, materially improves the Deliverable’s utility, efficiency, functional capability, or application (“Utility”). An error correction is not an Enhancement unless the Deliverable’s Utility is improved in Contractor’s process of making the error correction.
- P. “Executive Level Representative” or “ELR” means the individual designated and empowered with the authority to represent and make decisions on behalf of Procuring Agency or the Representative of the Executive Level Representative.
- Q. “GRT” means New Mexico gross receipts tax.

- R. "GSD" means the General Services Department; "GSD/CRB" means the General Services Department, Contracts Review Bureau.
- S. "Intellectual Property (IP)" means any and all proprietary information or material, whether tangible or intangible, whether derived, embodied, composed or comprised of any hard copy, soft copy, electronic format, hardware, firmware, software or manifested in any other form, whether solid, liquid or vapor, that consists of, or is directly or indirectly related to, Know How, trade secrets, copyrightable material, patent protected or protectable inventions and/or information, U.S. and foreign patent applications and patents, service marks, trademarks, and trade names, any of which is conceptualized, created or developed by either one or both of the Parties. For the purposes of this Agreement each Party will have exclusive ownership rights and control over Intellectual Property that the Party owns or controls prior to the commencement of this Agreement ("Pre-Owned IP"). Intellectual Property that Contractor creates during the course of Contractor's performance of work hereunder will be deemed work made for hire ("Work Made for Hire"). Procuring Agency will be considered to be the creator and sole and exclusive owner of all Work Made for Hire. Contractor agrees that Contractor will not make any application for nor any other claim of ownership regarding any Work Made For Hire or any of the Procuring Agency's Pre-Owned IP. Together, any and all combinations of Procuring Agency's Pre-Owned IP and Work Made for Hire will comprise "Agency IP."
- T. "Independent Verification and Validation ("IV&V")" means the process whereby Procuring Agency retains an independent expert to evaluate, verify and issue a written validation opinion concerning Contractor's performance of the Project and to determine Contractor's compliance with the requirements stated in the Scope of Work, whether with respect to evaluating certain stages of the Deliverables, or to evaluating the body of the Deliverables as a whole, or both.
- U. "Know How" means the idea(s), technical information and knowledge including, but not limited to, documents, computer storage devices, drawings, flow charts, plans, proposals, records, notes, memoranda, manuals, and other tangible items containing, relating to, or causing the enablement of the Work Made for Hire and the Intellectual Property developed hereunder.
- V. "Payment Invoice" means each of Contractor's detailed, certified, and written requests for payment concerning the Deliverables that Contractor renders to Procuring Agency. Each Payment Invoice must identify each Deliverable for which the Payment Invoice is submitted and must include the price stated in the Scope of Work (Deliverables section), and in Article 3, below, as well as Contractor's actual charge, for each Deliverable.
- W. "Performance Bond" means a surety bond which guarantees against Contractor's Default as well as Contractor's full performance of its obligations hereunder.
- X. "Project" means the sum of Contractor's efforts necessary to produce and deliver the Deliverables to Procuring Agency according to the Scope of Work. The title for this Project is **WCA Case Management System Modernization**.
- Y. "Project Manager" means a Qualified Person appointed by Procuring Agency who oversees and manages Contractor's efforts to produce and deliver the Deliverables to Procuring Agency. The Project Manager for this Project is Gordon Muthigi or his/her Representative.
- Z. "Qualified Person" means a person who has demonstrated experience performing and completing activities and tasks similar to the Project.



- AA. “Quality Assurance” or “Quality Assurance Review” means the planned and systematic pattern of rules, measures, procedures, and process established by Procuring Agency to ensure that each Deliverable conforms to the requirements stated in the Scope of Work.
- BB. “Representative” means one or more substitute person(s) for a title or role, e.g. Project Manager or Contract Manager, when the Party’s primary contact person is unavailable.
- CC. “Scope of Work” or “SOW” means the statements of Purpose and the Deliverables attached to this Agreement as Exhibit “A.”
- DD. “Service” or “the Services” means the task(s), function(s), and responsibility(ies) assigned to, and performed by Contractor according to the SOW.
- EE. “State” means the State of New Mexico.
- FF. “State Purchasing Agent (NMSPA)” means the New Mexico State Purchasing Agent or his/her Representative.
- GG. “State Purchasing Division (SPD)” means the State Purchasing Division of the New Mexico General Services Department.
- HH. “Software” means the operating system and/or application software used by Contractor to provide the Deliverables hereunder. Software may include, but is not limited to, Third Party Software. “Third Party Software” means software owned by third parties which is utilized by Contractor and/or Procuring Agency hereunder.
- II. “Software Maintenance” means the set of activities that result in changes to the Accepted (baseline) product set of Software. These activities consist of corrections, insertions, deletions, extensions, and Enhancements to the baseline Software and operating system.
- JJ. “Source Code” means the human-readable programming instructions organized into sets of files that represent the business logic for the Project application. Source Code may be read as text and subsequently edited, requiring compilation or interpretation by a Qualified Person into binary or machine-readable form before being directly useable by a computer.
- KK. “Turnover Plan” means the written plan developed by Contractor and approved by Procuring Agency to continue the Project in the event the Deliverables stated in the SOW are transferred, either directly to Procuring Agency or to a third party.

## **ARTICLE 2 – SCOPE OF WORK**

- A. The Scope of Work. The Scope of Work, or “SOW” attached hereto as “Exhibit A,” is incorporated into this Agreement as if fully set forth herein. The SOW governs Contractor’s production and delivery of the Deliverables to Procuring Agency. The Parties may amend the SOW by executing one or more mutually agreed upon written amendments. In the event a conflict of terms exists between this Agreement and the SOW, the terms of this Agreement will govern.
- B. Contractor Default. Contractor will deliver the Deliverables as stated in the SOW. In the event Contractor fails to deliver the Deliverables according to the SOW, Procuring Agency may declare Contractor to be in Default hereunder. In the event Procuring Agency declares Contractor to be in Default, Procuring Agency will give written notice to Contractor describing the Default and will specify a reasonable period of time during which Contractor will remediate the Default. Contractor will then give Procuring Agency a written response that advises Procuring Agency concerning the measures Contractor will take to cure the Default as well as Contractor’s proposed timetable for implementing those measures.

Nothing in this Section will be construed to prevent Procuring Agency from exercising Procuring Agency's rights pursuant to Article 6 or Article 16, below.

- C. Schedule. Contractor will deliver the final Deliverables to Procuring Agency on or before the due dates stated in the SOW. The due dates will not be altered or waived by Contractor absent Procuring Agency's prior written consent, according to the Amendment process stated in Article 25, below.
- D. License. Contractor hereby grants Procuring Agency a non-exclusive, irrevocable, perpetual license to use, modify, and copy the following Software: **[Insert name of the software and the patent number if applicable]** and any and all updates, corrections and revisions as stated in Article 2 and the SOW for the term of this Agreement.

Procuring Agency's right to copy the Software is limited to Procuring Agency's archival, backup and training purposes only. All of Procuring Agency's archival and backup copies of the Software are subject to the provisions of this Agreement, and Procuring Agency will reproduce all Software related titles, patent numbers, trademarks, copyright, and other restricted rights notices on Procuring Agency's Software copies.

- 1. Contractor will maintain, at Contractor's sole expense, a copy of the Software Source Code to be kept by Escrow Agent and will identify Procuring Agency as an authorized recipient of the Software Source Code from Escrow Agent. Contractor will store the Software Source Code in magnetic form on media specified by Procuring Agency. Escrow Agent will be responsible for storing and safekeeping the Software Source Code magnetic media. Contractor will replace the escrowed Software Source Code magnetic media at least every six (6) months to ensure readability and to preserve the Software at the then current revision level. Contractor will include all associated Software documentation with the magnetic media, which will allow Procuring Agency to "top load," compile and maintain the Software in the event of Contractor's Default(s).
  - 2. In the event Contractor (a) ceases to do business or ceases to support the Project, or (b) fails to make adequate provision for continued support of the Software that Contractor develops or provides to Procuring Agency, or (c) if Contractor Defaults hereunder, or (d) if this Agreement is terminated, Contractor will, within a twenty-four (24) hour period, make all of the following items available to Procuring Agency: (i) the latest available Source Code and documentation related to the Software that Contractor develops or provides according to the SOW; (ii) the Source Code and compiler/utilities necessary to maintain Procuring Agency's system; and, (iii) Contractor's related documentation for Software developed by third parties to the extent Contractor is authorized to disclose such Software to Procuring Agency. In any of the above circumstances (a), (b), (c) or (d), Contractor will, by virtue of this Section, grant Procuring Agency an automatic, uncontested, and unlimited right to use, modify and copy the Software, the Source Code and all of their related documentation.
- E. Source Code. **[CHOICE #1 – If this is a new development and/or a maintenance and operations agreement, use the following language:]** Contractor will deliver any and all

Software and Source Code that Contractor develops as a result of Contractor's new development and/or maintenance Software releases. Each of Contractor's Application Deployment Packages ("ADP") must be able to reproduce fully operational applications that include all base application functionalities, all cumulative release functionalities and include the functionalities, as documented, verified, and supported by Contractor, which comprise each new application release.

**[CHOICE #2 – If Contractor will hold Software and Source Code in escrow, use the following language:]** For each maintenance release, at Contractor's sole expense, Contractor will update Contractor's Application Deployment Packages ("ADP") and place the updated ADP for escrow with Escrow Agent. The ADP will be in magnetic or digital form on media specified by Procuring Agency. Escrow Agent will be responsible for storage and safekeeping of the ADP storage media. Contractor will identify Procuring Agency to Escrow Agent as an authorized recipient of the ADP storage media, which will contain the most recent application release.

**[CHOICE #3 – If Contractor will not hold Software and/or Source Code in escrow, use the following language:]** For each maintenance release, at Contractor's sole expense, Contractor will update Contractor's Application Deployment Packages ("ADP") and deliver the updated ADP to Procuring Agency in magnetic or digital form on media specified by Procuring Agency.

F. Procuring Agency's Rights.

1. Rights to Software. **[CHOICE #1 – If Procuring Agency has right to own the Software, use the following language:]** Procuring Agency will own all right, title, and interest in and to Procuring Agency's Confidential Information, the Software, the Source Code, and other Deliverables, including without limitation, the specifications, the work plan, and the Custom Software, except that the Deliverables will not include third party software and its associated documentation for the purposes of this Section. Contractor will take all actions necessary and transfer ownership of the Confidential Information, the Software, the Source Code, and the other Deliverables to Procuring Agency, without limitation, as well as the Custom Software and associated Documentation on Final Acceptance or as otherwise provided hereunder. **[CHOICE #2 –**Procuring Agency will have rights to the software as stated in Article 2. D., above.**]** **[CHOICE #3 –**Not Applicable.**]** The Parties agree that this is an agreement pertaining only to professional services and does not involve the provision or use of Software.**]**
2. Protection of Proprietary Rights. Contractor will reproduce and attach the State's copyright, product identifications and other proprietary notices on the copies Contractor makes and delivers of the Software, the Source Code, and other Deliverables for Procuring Agency, in whole or in part, or on any electronic, hard copy or other tangible form of the Deliverables.
3. Protection of Data. Contractor will protect and safekeep all of Procuring Agency's Data to the same or a higher degree of care that Contractor takes with respect to its own information and data. Contractor will implement all measures necessary to protect Procuring Agency's Data from any and all harm, including but not limited

to, breach, intrusion, contamination, corruption, loss, leak, theft, disintegration, viral attack, denial-of-service, malware, worms, trojans, ransomware, hacking, phishing, skimming and other damage of any kind (collectively “Data Damage”), whether caused by Contractor, Contractor’s Employees or one or more third parties. In the event a Data Damage incident occurs while Procuring Agency’s Data is within Contractor’s purview and/or control, within one (1) hour of Contractor’s discovery of a Data Damage incident, Contractor will notify the Project Manager concerning the Data Damage incident, including sufficient information for the Project Manager to determine, in conjunction with Contractor, which measures, if any, Contractor must implement to mitigate the Data Damage.

4. Rights to Data. Any and all of Procuring Agency’s Data that is stored upon Contractor’s servers or lies within Contractor’s custody hereunder, is Procuring Agency’s sole and separate property and inures to Procuring Agency’s exclusive benefit. None of Contractor or Contractor’s Employees, subcontractor(s), affiliates and/or assigns will make use of, disclose, sell, copy, license or reproduce Procuring Agency’s Data in any manner, or provide of Procuring Agency’s Data to any third party absent Procuring Agency’s prior written authorization.

### **ARTICLE 3 - COMPENSATION**

- A. Compensation Schedule. Procuring Agency will pay Contractor according to the fixed price set for each Deliverable, per the schedule stated in the SOW, less retainage, if any, as identified in Paragraph D.
- B. Payment. The total compensation hereunder will not exceed **Insert Dollar Amount** excluding New Mexico gross receipts tax This amount is the maximum total amount; it is not a guarantee that the work to be performed by Contractor, and the total of the corresponding payments that Procuring Agency pays to Contractor, will equal the maximum total amount. However, the Parties do not intend for Contractor to continue to deliver the Deliverables without compensation once the total compensation amount has been reached. Therefore, Contractor must notify Procuring Agency before the price of a Deliverable reaches the compensation amount for that Deliverable stated in the SOW. In no event will Procuring Agency pay Contractor for any Deliverables in an amount that exceeds the maximum total amount without this Agreement being amended in writing prior to Contractor’s continued delivery of the Deliverables.

Procuring Agency will pay Contractor upon Procuring Agency’s Acceptance of each Deliverable according to Article 4, below, and upon the receipt and Acceptance of Contractor’s detailed and certified Payment Invoice(s). Procuring Agency will forward its payments to Contractor’s designated mailing address, stated in Article 28, below. In accordance with Section 13-1-158 NMSA 1978, Procuring Agency will tender payment to Contractor within thirty (30) days of the date of Procuring Agency’s written certification of Acceptance. All Payment Invoices MUST BE received by Procuring Agency no later than fifteen (15) days after the termination of this Agreement. Contractor’s Payment Invoices received by Procuring Agency later than fifteen (15) days after the termination of this Agreement WILL NOT BE PAID.

C. Taxes.

Contractor will be reimbursed by Procuring Agency for applicable New Mexico gross receipts taxes (“GRT”), excluding interest or penalties assessed on Contractor by the New Mexico Taxation and Revenue Department. Contractor is solely responsible for the payment of GRT for any money Contractor receives hereunder. Contractor must report its GRT, income tax and other tax obligations under Contractor's Federal and State tax identification number(s).

Contractor and its subcontractors, if any, will pay all Federal, State, and local income and other taxes and government fees applicable to its operation(s) as well as the taxes and fees associated with Contractor’s employment of its Employees. Contractor will require its subcontractors, if any, to hold Procuring Agency harmless from any responsibility for taxes, damages, fees, and interest, if applicable, as well as any and all contributions required under Federal and/or state and local laws and regulations, including any other costs, transaction privilege taxes, unemployment compensation insurance, Social Security and Worker’s Compensation.

D. Retainage. [CHOICE #1 - Procuring Agency will retain [INSERT percentage (which is recommended at - twenty percent (20%))] of the fixed-price cost of each stated Deliverable as security for Contractor’s full performance of this Agreement. Procuring Agency will release all retained amounts to Contractor upon Procuring Agency’s Acceptance of the final Deliverable.] [CHOICE #2 – Not Applicable. The Parties agree there is no retainage.]

E. Performance Bond. Not Applicable. The Parties agree there is no Performance Bond.

#### ARTICLE 4 – ACCEPTANCE

A. Submission. Upon Contractor’s completion and delivery of each Deliverable stated in the SOW, Contractor will submit a Payment Invoice, together with an accurate description of the Deliverable, to Procuring Agency. Contractor will submit its Payment Invoices to Procuring Agency according to, or lower than, the Deliverable price stated in the SOW, less the retainage, if any, stated in Article 3(D), above. Contractor will not submit Payment Invoices to Procuring Agency for any amount(s) that exceed the amount(s) stated in the SOW absent Procuring Agency’s prior written permission.

B. Acceptance. According to Section 13-1-158 NMSA 1978, the ELR will determine whether the Deliverable(s) meet(s) the specifications stated in the SOW. Procuring Agency will not pay for any Deliverable until the ELR Accepts the Deliverable in writing. In order to Accept a Deliverable, the ELR, in conjunction with the Project Manager, will perform a Quality Assurance Review of the Deliverable to determine, at a minimum, whether the Deliverable:

1. Meets or exceeds the Deliverable requirements stated in the SOW; and

2. Complies with the terms and conditions of RFP; and
3. Meets or exceeds the generally accepted industry standards and procedures applicable to the Deliverable(s); and
4. Complies with all other of Contractor's requirements, duties, and obligations hereunder.

In the event the ELR Accepts a Deliverable according to the ELR's Quality Assurance Review, the ELR will send Contractor the ELR's written Acceptance within **fifteen (15) Business Days** of the "Acceptance/Rejection Period" from the date the ELR receives each of Contractor's Payment Invoice(s).

- C. Rejection. If the ELR fails to give Contractor notice of Procuring Agency's rejection of a Payment Invoice within the Acceptance/Rejection Period, the Deliverable, together with its corresponding Payment Invoice will be deemed to be Accepted by Procuring Agency. In the event the ELR rejects the Deliverable following the ELR's Quality Assurance Review within the Acceptance/Rejection Period, the ELR will send Contractor a rejection notice together with a consolidated set of comments ("Comments") indicating the issues, unacceptable items, and/or requested revisions that Contractor should make or perform with respect to the rejected Deliverable. Upon Contractor's receipt of the ELR's rejection and Comments, Contractor will have ten (10) Business Days to resubmit the rejected Deliverable to Procuring Agency together with Contractor's revisions, corrections and/or modifications made according to the ELR's Comments. Upon receipt of Contractor's revised, corrected or modified ("Revised") Deliverable, the ELR will determine whether the Revised Deliverable is Acceptable by conducting a second Quality Assurance Review. The ELR will then issue a written determination of Procuring Agency's acceptance or rejection of the Revised Deliverable within fifteen (15) Business Days of Procuring Agency's receipt of the Revised Deliverable. In the event the ELR rejects the Revised Deliverable according to the second Quality Assurance Review, Contractor will be then required to provide a remediation plan that will include a list of Contractor's planned corrective measures and an associated timeline for Contractor to complete its remediation of the Deliverable. Contractor's remediation plan must be accepted by the ELR prior to Contractor's implementation of its Deliverable remediation plan. At the same time, Contractor will also be subject to pay Procuring Agency all of Procuring Agency's monetary damages associated with Contractor's failure to timely deliver an Acceptable Deliverable and must complete all remedies attributable to Contractor's late delivery of the Deliverable. In the event ELR rejects a Deliverable three times, Procuring Agency may declare Contractor to be in Default and may immediately terminate this Agreement. Procuring Agency may then seek to recover from Contractor any and all damages and remedies available hereunder and otherwise available in law or equity.

## **ARTICLE 5 – TERM**

THIS AGREEMENT WILL BECOME EFFECTIVE AND BINDING ONLY UPON THE SIGNATURE OF THE STATE PURCHASING DIVISION.

This Agreement will terminate on **[Insert Termination Date]**, unless terminated pursuant to Article 6, below. The term of this Agreement, including extensions and renewals, will not exceed four years, except as may otherwise be allowed by Section 13-1-150 NMSA 1978.

## ARTICLE 6 – TERMINATION

- A. Grounds. Procuring Agency may terminate this Agreement at any time for convenience or cause. Contractor may only terminate this Agreement in the event Procuring Agency materially Defaults hereunder and subsequently fails to cure its Default within ninety (90) days from the date Contractor first declares Procuring Agency to be in Default.
- B. Appropriations. Procuring Agency may terminate this Agreement if required by changes in State or federal law, or so ordered by a court of competent jurisdiction, or due to insufficient appropriations made available by the United States Congress and/or the State Legislature concerning the Parties' performance hereunder. Procuring Agency's determination concerning whether sufficient appropriations are available will be deemed fully accepted by Contractor and will be final. In the event Procuring Agency terminates this Agreement pursuant to this subparagraph B, Procuring Agency will provide Contractor written notice of such termination at least fifteen (15) Business Days prior to the effective date of the termination.
- C. Notice; Opportunity to Cure.
1. Except as otherwise provided in Paragraph (B), immediately above, Procuring Agency will give Contractor written notice of Procuring Agency's intended termination at least thirty (30) days prior to the effective termination date.
  2. Contractor will give Procuring Agency written notice of Contractor's termination at least thirty (30) days prior to Contractor's effective termination date, which notice will (i) identify Procuring Agency's material Default(s) upon which Contractor bases its termination, and (ii) state the measures Procuring Agency should implement to cure such material Default(s). Contractor's termination notice to Procuring Agency will only take effect: (i) if Procuring Agency fails to commence curing Procuring Agency's material Default(s) within Contractor's thirty (30) day notice period, or (ii) in the event Procuring Agency cannot commence to cure its material Default(s) within Contractor's thirty (30) day notice period, Procuring Agency will issue a written notice to Contractor concerning: (a) Procuring Agency's intent to cure, and (b) Procuring Agency's commencement of the due diligence necessary to cure its material Default.
  3. Notwithstanding the foregoing, Procuring Agency may terminate this Agreement immediately upon its written notice sent to Contractor: (i) in the event Contractor becomes patently unable to deliver the Deliverables, as Procuring Agency may, in its sole and exclusive discretion, determine; (ii) if, during the term of this Agreement, Contractor is suspended or debarred by the State Purchasing Agent; or (iii) this Agreement is terminated pursuant to Article 5, above.
- D. Liability. Except as otherwise expressly allowed or provided hereunder, Procuring Agency's sole liability upon termination by either Party will be to compensate Contractor for Contractor's Acceptable work performed prior to Contractor's receipt or issuance of a written

termination notice; provided, however, that a notice of termination issued by either Party will not nullify or otherwise affect either Party's liability for pre-termination defaults hereunder. Contractor will submit a Payment Invoice to Procuring Agency for Contractor's Acceptable work within thirty (30) days of receiving or issuing a notice of termination.

THE PROVISIONS CONTAINED WITHIN THIS ARTICLE 6 ARE NOT EXCLUSIVE AND DO NOT ACT TO WAIVE PROCURING AGENCY'S OTHER LEGAL RIGHTS AND EQUITABLE REMEDIES ENGENDERED BY CONTRACTOR'S DEFAULT HEREUNDER.

## **ARTICLE 7 – TERMINATION MANAGEMENT**

- A. Contractor's Duties. In the event this Agreement is terminated for any reason, or upon expiration, and in addition to all of Procuring Agency's other rights to receive Deliverables and other property hereunder, Contractor will:
1. Transfer, deliver, and/or make readily available to Procuring Agency every Deliverable, partially completed Deliverable, and any and all other property in which Procuring Agency has a financial interest, including but not limited to, any and all Procuring Agency Data and/or Procuring Agency Intellectual Property;
  2. Not incur any further financial obligations for materials, services, or facilities hereunder absent Procuring Agency's prior written approval;
  3. Terminate all of Contractor's purchase orders, procurements and subcontractors and will cease all work, except as Procuring Agency may direct, for the orderly completion of the Deliverables and the transition, if any, to a third party;
  4. Take and effect all actions as Procuring Agency may direct, for the protection and preservation of the Deliverables, the Data, Procuring Agency's Intellectual Property and all other all Procuring Agency property as well as any and all records pertaining to, related to and/or required hereunder;
  5. Agree in writing that Procuring Agency is not liable for any costs arising out of the termination other than the costs related to the Deliverables Accepted by Procuring Agency prior to the termination;
  6. Cooperate fully in the closeout or transition of Contractor's activities to facilitate Procuring Agency's administration continuity with respect to Procuring Agency's ongoing projects and programs;
  7. In the event this Agreement is terminated due to Contractor's Default, lack of performance and/or negligence or willful misconduct, which result(s) in funding reduction(s) to Procuring Agency from any governmental or other source, Contractor will remit the full amount of the funding reduction(s) to Procuring Agency within thirty (30) days of the date of Procuring Agency's request to Contractor for remittance of the funding reduction(s);
  8. Should this Agreement terminate due to Contractor's Default, Contractor will reimburse Procuring Agency for all costs arising from retaining one or more third party(ies) at potentially higher rates as well as for all other direct and indirect costs incurred by Procuring Agency following Contractor's Default up to the full amount of the total compensation stated in Article 3. B. above;



9. In the event this Agreement is terminated for any reason, or upon its expiration, Contractor will develop and submit for Procuring Agency's Acceptance a turnover plan ("Turnover Plan") at least ten (10) Business Days prior to the effective date of termination or expiration of this Agreement. Contractor's Turnover Plan will state Contractor's policies, procedures, and measures necessary to ensure: (1) the least disruption in the delivery of the Deliverables during Procuring Agency's transition of the Project to a third party; and (2) Contractor's cooperation with Procuring Agency and the third party with respect to Contractor's orderly transfer of all partial or completed Deliverables to Procuring Agency and the third party.

Contractor's Turnover Plan will consist of Contractor's orderly and timely transfer or return to Procuring Agency of any and all documents, files, Procuring Agency Data, the Software, the Source code, all other related software, documentation, the system turnover plan, IP Procuring Agency IP, and other materials. Upon receipt of Procuring Agency's written request for such transfer or return, Contractor will, within five (5) Business Days, provide to Procuring Agency a copy of Contractor's most recent versions of all pertinent documents, files, Procuring Agency's Data, the Software, the Source Code, all other related software, documentation, the system turnover plan, IP Procuring Agency IP, and other materials, whether provided by Procuring Agency or created by Contractor hereunder.

- B. Procuring Agency. In the event this Agreement is terminated for any reason, or upon expiration, and in addition to all other rights to property set forth in this Agreement, Procuring Agency will:
  1. Retain ownership of all Deliverables, Procuring Agency's Intellectual Property, Contractor's other work products hereunder, and all related documentation created by Contractor hereunder; and
  2. Pay Contractor all amounts due for the Deliverables Accepted by Procuring Agency prior to the effective date of such termination or expiration.

## **ARTICLE 8 – INDEMNIFICATION**

- A. General. Contractor will defend, indemnify and hold harmless Procuring Agency, the State and their Employees free from all actions, proceedings, claims, demands, costs, damages, attorneys' fees and all other liabilities and expenses of any kind from any source which may arise out of Contractor's performance of this Agreement, which is caused by Contractor's or Contractor's Employees' negligent act(s) or failure(s) to act, during the time when Contractor, and/or any of Contractor's Employees, has delivered or is delivering the Deliverables hereunder. In the event that any action, suit or proceeding related to the Deliverables is brought against Contractor and/or any of Contractor's Employees, Contractor will, as soon as practicable, but no later than two (2) Business Days after Contractor receives notice thereof, will notify, by certified mail, the legal counsel of Procuring Agency, the Risk Management Division of GSD, and DoIT.¶
- B. The indemnification obligation hereunder will not be limited by the existence of any insurance policy or by any limitation concerning the amount or type of damages,

compensation or benefits payable by or for Contractor or any subcontractor, and will survive the termination of this Agreement. Money due or to become due to Contractor hereunder may be retained by Procuring Agency, as necessary, to satisfy any outstanding claim that Procuring Agency may have against Contractor. ]

## **ARTICLE 9 – INTELLECTUAL PROPERTY**

**[CHOICE #1 – If purchasing only IT hardware/equipment, use the following language:** - Not Applicable. The Parties agree there is no Intellectual Property.]

**[CHOICE #2 - Use this provision if Procuring Agency is to own the Intellectual Property:]**

Ownership. Procuring Agency IP will solely belong and inure to Procuring Agency for Procuring Agency's sole and exclusive use and benefit. The Procuring Agency will own and control all right, title and interest to Procuring Agency IP on a worldwide basis. None of Contractor or Contractor's Employees, subcontractor(s), affiliates, and assigns will utilize, copy, re-compile, re-engineer, reverse engineer, create derivative works, or otherwise utilize Procuring Agency IP for Contractor's benefit or the benefit of any third party or for any purpose other than to fulfill Contractor's obligations hereunder. Contractor will not disclose Procuring Agency IP to any entity or person outside of Procuring Agency absent Procuring Agency's prior written permission.

Contractor will notify Procuring Agency, within ten (10) Business Days, of any IP created hereunder by Contractor, Contractor's Employees or Contractor's subcontractor(s), all of which IP will be considered Work For Hire and a part of Agency IP. Contractor, on behalf of itself and its Employees and subcontractor(s), will execute or will cause to have executed any and all written assignments and other document(s) necessary to ensure that ownership of such IP vests solely in Procuring Agency. Contractor will take no affirmative action(s) that might have the effect of vesting all or any portion of Procuring Agency IP in any person or entity other than Procuring Agency.

In the event, by judgment of a court of competent jurisdiction, Procuring Agency IP is deemed not to have been created or owned by Procuring Agency, Contractor will grant to Procuring Agency and the State, a perpetual, non-exclusive, royalty free license to reproduce, publish, use, copy and modify all or any portion of the disputed IP for Procuring Agency's and/or the State's continued use. Procuring Agency, together with DoIT, may extend to Contractor the privilege of utilizing all or any portion(s) of Procuring Agency IP through one or more intellectual property use license agreements that may be created separate and apart from this Agreement.

**[CHOICE #3 - If the Parties agree that Procuring Agency will grant Contractor the right to own and/or use any Procuring Agency IP, delete the above language and insert the following language:]** In the event Procuring Agency grants Contractor the right to own and/or use any Procuring Agency IP, Contractor hereby acknowledges and grants to Procuring Agency and the State, a perpetual, non-exclusive, royalty free license to reproduce, publish, sell, trade, transfer, transmit, use, copy and modify any and all Procuring Agency IP.

## **ARTICLE 10 – INTELLECTUAL PROPERTY LICENSE AND INDEMNIFICATION**

- A. Intellectual Property License. For the purpose of this Agreement, Contractor hereby grants Procuring Agency a full, complete, and non-transferable right and license to utilize any and all of Contractor's Related Pre-Owned IP for so long as Procuring Agency utilizes the Software, Source Code and other Deliverables. Contractor does not grant Procuring Agency any right or license to utilize Contractor's Unrelated Pre-Owned IP. If Contractor expects that any of Contractor's Pre-Owned IP will be used by Contractor to fulfill the scope of work under this Agreement, it is Contractor's responsibility to make the Procuring Agency aware of such Pre-Owned IP in order to eliminate questions of ownership of such IP. If Contractor does use Pre-Owned IP to fulfill the scope of work under this Agreement and identifies such, Contractor, at Procuring Agency's request, hereby grants Procuring Agency a permanent, full, complete, non-sublicensable, and non-transferable right and license to utilize any and all such IP.
- B. Intellectual Property Indemnification. At Contractor's sole expense, Contractor will defend Procuring Agency, the State and/or any other State entity against any claim brought or made by a third party alleging that any product, Service or Deliverable that Contractor provides hereunder infringes the third party's Intellectual Property (an "Infringement Claim"). Contractor will pay all costs, damages and attorney's fees and monetary damages that may be awarded as a result of such Infringement Claim(s) in addition to the amount of the judgment award(s). To qualify to receive Contractor's defense cost(s) and/or other payment(s) related to any Infringement Claim(s), Procuring Agency will:
1. Give Contractor written notice, within forty-eight (48) hours, of Procuring Agency's receipt of an Infringement Claim;
  2. Work with Contractor to control the defense and settlement of the Infringement Claim(s); and
  3. Cooperate with Contractor, in a reasonable manner, to facilitate Contractor's defense or settlement of the Infringement Claim(s).
- C. Procuring Agency's Rights. In the event any product, Service or Deliverable that Contractor provides to Procuring Agency hereunder becomes, or in Contractor's opinion is likely to become, the subject of an Infringement Claim, Contractor will, at its sole cost and expense:
1. Provide Procuring Agency the right to continue using the product, Service or Deliverable and fully indemnify Procuring Agency against any and all third Infringement Claim(s) that may arise from Procuring Agency's use of the product, Service or Deliverable;
  2. Replace or modify the product, Service or Deliverable so that such product, Service or Deliverable becomes non-infringing; or
  3. Accept the return of the product, Service or Deliverable and refund an amount equal to the value of the returned product, Service or Deliverable, less the unpaid portion of the purchase price and any other amounts, which Procuring Agency owes to Contractor. Contractor's obligation will be void with respect to any product, Service or Deliverable modified by Procuring Agency to the extent the modification is the direct cause of the Infringement Claim.

## ARTICLE 11 - WARRANTIES

- A. General. Contractor hereby expressly warrants the Deliverable(s) will be correct in all aspects according to the specifications stated in the SOW and all generally accepted industry standards (the combination of which comprise the “Applicable Specifications”). Contractor’s warranty includes, but is not limited to, Contractor’s making correction(s) of defective Deliverable(s) and revision(s) of those defective Deliverables, as necessary, including Contractor’s repair of deficiencies in the Deliverables that are discovered during testing, implementation, or post-implementation phases at no additional cost.
- B. Software. Contractor warrants that Software will be correct in all aspects according to the Applicable Specifications. Contractor further warrants that Software will meet the Applicable Specifications for four (4) years following Acceptance by the ELR and implementation by Procuring Agency. In the event Software fails to meet the Applicable Specifications during the warranty period, Contractor will correct the deficiencies, at no additional cost to Procuring Agency, so that the Software meets the Applicable Specifications.

## ARTICLE 12 – CONTRACTOR PERSONNEL

- A. Key Personnel. Contractor’s key personnel (“Key Personnel”) will not be diverted from this Agreement absent Procuring Agency’s prior written approval. Key Personnel are those individuals Procuring Agency considers to be mandatory to the work to be performed hereunder. Contractor’s Key Personnel hereunder will be:

**[Insert Contractor and/or Subcontractor Key Personnel name(s) and title(s),  
as listed in their statewide price agreement or procurement method.]**

- B. Personnel Changes. In the event Contractor replaces any of its personnel, Contractor will make such replacement(s), with Contractor’s other personnel of equal or superior ability, experience, and qualifications. Contractor’s personnel replacements must be pre-approved in writing by Procuring Agency’s Project Manager. For all of Contractor’s personnel, Procuring Agency reserves the right to require submission of their resumes prior to receiving Procuring Agency’s approval. In the event Contractor reduces the number of its personnel assigned to the Project for any reason, Contractor will, within ten (10) Business Days of its personnel reduction, replace those persons with the same or a greater number of persons with equal or superior ability, experience, and qualifications, subject to Procuring Agency’s prior written approval. Procuring Agency, in its sole and exclusive determination, may extend the time Contractor is allowed beyond the required ten (10) Business Day period concerning Contractor’s replacement of its personnel. Contractor will include status reports to Procuring Agency concerning Contractor’s personnel replacement efforts as well as the impact upon the progress of the Project due to the absence of Contractor’s personnel. In addition, Contractor will make interim arrangements to assure that the progress of the Project remains unimpeded by the loss of any of Contractor’s personnel. Procuring Agency reserves the right to require a change in Contractor’s

personnel in the event Contractor's personnel are not, in Procuring Agency's sole and exclusive determination, meeting Procuring Agency's standards and/or expectations.

### **ARTICLE 13 – INDEPENDENT CONTRACTOR STATUS**

- A. Independent Contractor. For the purposes of this Agreement, Contractor and Contractor's Employees are independent Contractors who produce and deliver the Deliverables to Procuring Agency. Contractor's Employees are neither employees nor agents of the State ("State Employees"). None of Contractor and Contractor's Employees will accrue State benefits, including but not limited to, leave, retirement, insurance, bonding, use of state vehicles, or any other benefits that may be afforded to State Employees as a result of Contractor's entering this Agreement. Contractor acknowledges and agrees that all sums received hereunder are either reportable as a separate business entity or are, in the event Contractor operates as a sole proprietorship, personally reportable by Contractor for income and GRT tax purposes as self-employment or business income and are reportable for self-employment tax.
- B. Subject of Proceedings. Contractor warrants that neither Contractor nor any of Contractor's Employees are presently subject to any litigation or administrative proceeding before any court or administrative body which could adversely affect Contractor's ability to perform hereunder; nor, to the best of Contractor's knowledge, information, or belief, is any such litigation or proceeding presently threatened against Contractor or any of Contractor's Employees. In the event any such proceeding is initiated or threatened during the term of this Agreement, Contractor will immediately disclose such initiation or threat to Procuring Agency.

### **ARTICLE 14 - CHANGE MANAGEMENT**

Change Request Process. In the event circumstances warrant Contractor making a Change to accomplish the SOW, Contractor will submit a Change Request to Procuring Agency. Each Change Request must meet the following criteria:

1. The Project Manager will draft a written Change Request for the ELR's review and approval, including:
  - (a) the name of the person requesting the Change;
  - (b) a summary of the requested Change;
  - (c) the start date for the requested Change;
  - (d) the reason and necessity for the requested Change;
  - (e) the elements in the Deliverable(s) and/or the SOW that must be altered in order for Contractor to produce and deliver the Change; and
  - (f) the impact of the Change upon the Project.
2. The ELR will provide a written decision concerning each Change Request to Contractor within ten (10) Business Days of the ELR's receipt of each Change

Request. All decisions made by the ELR concerning a Change Request will be deemed final. Each Change Request, once approved by the ELR, will be integrated into the SOW through an Amendment executed by the Parties if required by Article 25, Section 2.

#### **ARTICLE 15 – INDEPENDENT VERIFICATION AND VALIDATION**

- A. In the event IV&V Professional Services are used for the Project associated with this Agreement, Contractor will fully comply and cooperate with the IV&V vendor. Contractor's cooperation includes, but is not limited to:
1. Providing the Project documentation;
  2. Allowing the IV&V vendor to attend Project related meetings; and
  3. Supplying the IV&V vendor with any/all other information and/or material(s) as may be directed by the Project Manager.
- B. In the event the purpose of this Agreement is for Contractor to provide IV&V Professional Services, then Contractor will:
1. Submit its IV&V reports directly to DoIT's Project Oversight and Compliance Division ([EPMO@state.nm.us](mailto:EPMO@state.nm.us)) according to DoIT's IV&V Reporting Template and Guidelines located on DoIT's webpage: [http://www.doit.state.nm.us/project\\_templates.html](http://www.doit.state.nm.us/project_templates.html), with a copy to Procuring Agency.
  2. Use a report format consistent with DoIT's IV&V Reporting Template and Guidelines located on the same DoIT website.

#### **ARTICLE 16 – DEFAULT**

In case of Contractor's Default, for any reason whatsoever, Procuring Agency and/or the State may procure the Deliverables from another source and hold Contractor responsible for any resulting excess costs and/or damages, including but not limited to, direct damages, indirect damages, consequential damages, and special damages. Procuring Agency and/or the State may also seek all other available remedies against Contractor hereunder or which may be otherwise available under law or equity.

#### **ARTICLE 17 – EQUITABLE REMEDIES**

Contractor acknowledges that its failure to comply with any provision hereunder may cause Procuring Agency irrevocable harm and that a remedy at law for such a failure would constitute an inadequate remedy for Procuring Agency. Contractor consents to Procuring Agency's obtaining from a court of competent jurisdiction, specific performance, or injunction, or any other equitable relief in order to enforce such compliance. Procuring Agency's right to obtain equitable relief pursuant to this Agreement will be in addition to, and not in lieu of, any other remedy that

Procuring Agency may have under applicable law, including, but not limited to, monetary damages.

### **ARTICLE 18 - LIABILITY**

Contractor will be liable for damages arising out of injury to persons and/or damage to real, tangible, or intangible property at any time, in any way, if and to the extent that the injury or damage was caused by or due to Contractor's fault or negligence or to a defect in Contractor's production or delivery of any Deliverable hereunder, whether Contractor produces or delivers the Deliverable in whole or part. The Contractor will not be liable for damages arising out of, or caused by, alterations made by the Procuring Agency to any equipment or its installation or for losses caused by Procuring Agency's fault or negligence. In the event Contractor's negligent or omitted production or delivery of any Deliverable results in a defect which is the direct or indirect cause of injury to any third party and/or employee of Procuring Agency or the State, nothing hereunder will act to limit Contractor's, or Contractor's Employees' liability to such third party and/or employee, or will act to limit any remedy that may exist under law or equity with respect to Contractor's and/or Contractor's Employees' negligent act or omission.

### **ARTICLE 19 – ASSIGNMENT**

Contractor will not assign or transfer any of Contractor's interests, rights, responsibilities, duties, obligations and/or liabilities hereunder or assign any of Contractor's claims for money due or that might become due hereunder absent Procuring Agency's prior written approval.

### **ARTICLE 20 – SUBCONTRACTING**

- A. General Provision. Contractor will not subcontract or assign any portion of this Agreement or the SOW to any subcontractor absent Procuring Agency's prior written approval. No such subcontracting or assignment will relieve Contractor of its direct and indirect responsibilities, duties, obligations and/or liabilities hereunder, nor will any such subcontracting trigger or obligate Procuring Agency to make a payment, either directly or indirectly, to any subcontractor.
  
- B. Responsibility for Subcontractors to Maintain Confidentiality. Contractor will not disclose any of Procuring Agency's or State's Confidential Information to a subcontractor absent Procuring Agency's prior written consent. Each subcontractor will agree in a written form pre-approved by Procuring Agency to protect and keep confidential any and all Confidential Information in the same manner required of Contractor stated in Article 22, below.

### **ARTICLE 21 – RELEASE**

Contractor's Acceptance of Procuring Agency's final payment made hereunder will operate as Contractor's full release of Procuring Agency, the State, and their officers, employees and agents from any and all liabilities, claims and obligations whatsoever arising hereunder.

#### **ARTICLE 22 – CONFIDENTIALITY**

Contractor will protect and keep confidential any and all Confidential Information that Procuring Agency provides to Contractor as well as any and all Confidential Information that Contractor develops based upon information provided by Procuring Agency during Contractor's performance hereunder. Contractor will not make available or provide Confidential Information to any third party absent Procuring Agency's prior written approval. Upon termination of this Agreement, Contractor will: (a) deliver all Confidential Information in its possession to Procuring Agency within thirty (30) Business Days of the termination, and (b) Contractor will protect and will not make available or provide Confidential Information to any third party absent Procuring Agency's prior written approval for a period of five (5) years commencing on the termination or expiration date. Contractor acknowledges that Contractor's failure: (a) to deliver such Confidential Information to Procuring Agency, or (b) to protect and keep Confidential Information secret may result in Procuring Agency's seeking to obtain direct, special and/or incidental damages from Contractor.

#### **ARTICLE 23 –CONFLICT OF INTEREST**

Contractor warrants that it presently has no interest and will not acquire any interest, direct or indirect, which would conflict in any manner or degree with Contractor's delivery of the Deliverables required hereunder. Contractor certifies that it has followed the requirements of the Governmental Conduct Act, Sections 10-16-1 through 10-16-18, NMSA 1978, regarding contracting with a public officer, state employee or former state employee.

#### **ARTICLE 24 - RECORDS AND AUDIT**

Contractor will maintain detailed time and expenditure records, which indicate the date, time, nature and cost of the Deliverables rendered during this Agreement's term and will retain those records for a period of **two (2) years** from the date of Procuring Agency's final payment to Contractor hereunder. Contractor's records will be subject to inspection by Procuring Agency, DoIT's CIO, NMSPA, GSD, Department of Finance Authority and the New Mexico State Auditor's Office. Procuring Agency will have the right to audit Contractor's billings prior and subsequent to each of Procuring Agency's payments made to Contractor. Procuring Agency's payment for the Deliverables hereunder will not foreclose Procuring Agency's right to recover Procuring Agency's payments made to Contractor or its affiliates against Contractor's excessive or illegal Payment Invoices, if any.

#### **ARTICLE 25 - AMENDMENT**



This Agreement will not be altered, changed, or amended except by an instrument in writing executed by the Parties. No amendment will be effective or binding unless approved by all of the State's and Contractor's approval authorities. Amendments are required for the following:

1. Deliverable requirements stated in the SOW;
2. Due Date of any Deliverable stated in the SOW only if due date change requires extension of Article 5 termination date;
3. Compensation for any Deliverable stated in the SOW;
4. Agreement Compensation, pursuant to Article 3; or
5. Agreement termination, pursuant to Article 5.

#### **ARTICLE 26 – NEW MEXICO EMPLOYEES HEALTH COVERAGE**

- A. In the event Contractor has, or grows to, six (6) or more employees who work, or who are expected to work, an average of at least 20 hours per week over a six (6) month period on the Project during the term of this Agreement, Contractor certifies, by signing this Agreement, to have in place, and agree to maintain for the term of this Agreement, health insurance for those employees and offer that health insurance to those employees in the event the expected annual value in the aggregate of any and all contracts between Contractor and the State exceed (\$250,000) two hundred fifty dollars.
- B. Contractor will maintain a record of the number of employees who have (a) accepted health insurance; (b) declined health insurance due to other health insurance coverage already in place; or (c) declined health insurance for other reasons. Contractor's records are subject to review and audit by a representative of the State.
- C. Contractor will advise Contractor's Employees concerning the availability of State publicly financed health care coverage programs by providing each employee with, as a minimum, the following web site link to additional information: <https://www.bewellnm.com>.
- D. For Indefinite Quantity, Indefinite Delivery contracts (statewide or agency price agreements without specific limitations on quantity and providing for an indeterminate number of orders to be placed against them); Contractor agrees those requirements will become applicable on the first day of the second month after Contractor reports its combined sales (to the State and, if applicable, to local public bodies in the event those sales are made pursuant to a statewide or agency price agreement) in the aggregated amount of (\$250,000) two hundred fifty dollars or more.

#### **ARTICLE 27 – SEVERABILITY, MERGER, SCOPE, ORDER OF PRECEDENCE**

- A. Severability. The provisions of this Agreement are severable, and in the event for any reason, a clause, sentence or paragraph of this Agreement is determined to be invalid by a court, agency or commission having jurisdiction over the subject matter hereof, such

invalidity will not affect the other provisions of this Agreement, which will be given effect absent the invalid provision.

- B. Merger/Scope/Order. This Agreement incorporates any and all agreements, covenants and understandings between the Parties concerning the subject matter hereof, and all such agreements, covenants and understanding have been merged into this Agreement. No prior agreement or understanding, verbal or otherwise, of the Parties or their agents or assignees will be valid or enforceable unless stated in this Agreement.

## **ARTICLE 28 – NOTICES**

All deliveries, notices, requests, demands or other communications provided for or required by this Agreement will be in writing and will be deemed to have been given when sent by registered or certified mail (return receipt requested), when sent by overnight carrier, or by email addressed to the other Party's Representative.

Notices will be addressed as follows:

### **For PROCURING AGENCY**

**Name:** Veronica Purcell, Procurement Manager  
**Address:** Workers' Compensation Administration  
2410 Centre Avenue SE  
Albuquerque, NM 87106  
**Telephone:** (505) 841-6032  
**Email:** [Veronica.Purcell@wca.nm.gov](mailto:Veronica.Purcell@wca.nm.gov)

### **For CONTRACTOR**

[Insert Name of Individual, Position  
Company Name  
E-mail Address  
Telephone Number  
Mailing Address]

Any change made concerning either a change of address or a replacement of a Party's Representative must be made via an email or a hard copy letter addressed to the other Party's Representative.

## **ARTICLE 29 – GENERAL PROVISIONS**

- A. Contractor will abide by all federal and state laws and rules and regulations, and executive orders of the Governor of the State, including but not limited to:

1. Civil and Criminal Penalties. The Procurement Code, Sections 13-1-28 through 13-1-199 NMSA 1978, imposes civil and criminal penalties for its violation. In addition, the New Mexico criminal statutes impose felony penalties for illegal bribes, gratuities and kickbacks.
  2. Equal Opportunity Compliance. Contractor will abide by all federal and state laws and rules and regulations, and executive orders of the Governor of the State, pertaining to equal employment opportunity. In accordance with all such laws of the State, Contractor will assure that no person in the United States will, on the grounds of race, religion, color, national origin, ancestry, sex, age, physical or mental handicap, serious medical condition, spousal affiliation, sexual orientation or gender identity, be excluded from employment with or participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity performed hereunder. In the event Contractor is found to be out of compliance with these requirements during the life of this Agreement, Contractor will take appropriate measures to correct its deficiencies.
  3. Nondiscrimination. Contractor, and all deliverables under this Agreement, shall comply, as applicable, with the Federal Civil Rights Act of 1964, the American with Disabilities Act of 1990 (Public Law 101-336), and every other federal and state law that prohibits discrimination or mandates accommodation for disability, injury, sickness, disease or specified hardship. Any deliverable constituting an interactive or informational system or display solely for use or consumption by a public employee shall comply with accessibility standards for a comparable system or display used or consumed by a member of the public.
  4. Workers Compensation. Contractor will comply with state laws and rules applicable to workers compensation benefits for its employees. In the event Contractor fails to comply with the Workers Compensation Act and applicable rules when required to do so, this Agreement may be terminated by Procuring Agency.
- B. Applicable Law. The laws of the State will govern this Agreement. Venue will be proper only in a New Mexico court of competent jurisdiction in accordance with Section 38-3-1 (G) NMSA 1978. By executing this Agreement, Contractor acknowledges and will submit to the jurisdiction of the courts of the State over any and all such lawsuits arising hereunder.
- C. Waiver. A Party's failure to require strict performance of any provision of this Agreement will not waive or diminish that Party's right thereafter to demand strict compliance with that or any other provision. No waiver by a Party of any of its rights hereunder will be effective unless made in writing, and no effective waiver by a Party of any of its rights will be effective to waive any of its other rights, duties or obligations hereunder.
- D. Headings. Any and all headings within this Agreement are inserted for convenience and ease of reference and will not be considered in the construction or interpretation of any article, section or provision of this Agreement or the SOW. Numbered or lettered provisions, sections and subsections contained herein refer only to provisions, sections and subsections of this Agreement unless otherwise expressly stated.
- E. Dispute Resolution. In the event dispute arises between the Parties, either Party may send a letter to the other Party requesting the other Party to enter into a dispute resolution process, such as mediation or arbitration, in accordance with NMSA 1978 12-8A-1 through 12-8A-3.

### **ARTICLE 30 - SURVIVAL**

The Articles titled Intellectual Property, Intellectual Property Ownership, Confidentiality, and Warranties will survive the expiration or termination of this Agreement. Software License and Software Escrow agreements entered into by the Parties in conjunction with this Agreement will survive the expiration or termination of this Agreement. **[Choice #1 – Other unexpired agreements, promises, or warranties that will survive the termination of this Agreement are: (list here.)]**

### **ARTICLE 31 - TIME**

Calculation of Time. Any time period herein calculated by reference to a “day” or “days” means a calendar day or calendar days, unless Business Days are used; provided, however, that in the event the last day for a given act falls on a Saturday, Sunday, or a holiday as observed by the State, the day for such given act will be the first day following that is not a Saturday, Sunday, or a State observed holiday.

### **ARTICLE 32 – FORCE MAJEURE**

Neither Party will be liable for damages or have any right to terminate this Agreement for any delay or Default in performing hereunder in the event such delay or Default is caused by conditions beyond the Party’s control including, but not limited to Acts of God, Government restrictions (including the denial or cancellation of any export or other necessary license), war, insurrection and/or any other cause beyond the reasonable control of the Party whose performance is affected thereby.

IN WITNESS WHEREOF, the Parties hereby execute this Agreement, which will take effect on the last signature date of the required approval authorities below. Each of the signatories, below, may execute this Agreement by hard copy original, facsimile, digital or electronic signature, any of which will be deemed to be a true and original signature hereunder.

By: \_\_\_\_\_ Date: \_\_\_\_\_  
[Insert Procuring Agency Cabinet Secretary Name], Cabinet Secretary  
[Insert Agency Name]

By: \_\_\_\_\_ Date: \_\_\_\_\_  
[Insert Contractor Name, Title]  
[Company Name]

By: \_\_\_\_\_ Date: \_\_\_\_\_  
[Insert Procuring Agency CIO Name], Chief Information Officer  
[Insert Procuring Agency Name]

Approved for legal sufficiency:

By: \_\_\_\_\_ Date: \_\_\_\_\_  
[Insert Procuring Agency General Counsel Name], General Counsel  
[Insert Procuring Agency Name]

Approved for financial sufficiency:

By: \_\_\_\_\_ Date: \_\_\_\_\_  
[Insert Procuring Agency Chief Financial Officer Name], Chief Financial Officer  
[Insert Procuring Agency Name]

The records of the Taxation and Revenue Department reflect that the Contractor is registered with the Taxation and Revenue Department of the State of New Mexico to pay gross receipts and compensating taxes:

BTIN ID Number: Enter this number before uploading to DocuSign

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Taxation & Revenue Department

*Taxation and Revenue is only verifying the registration and will not confirm or deny taxability statements contained in this contract.*

Approved for compliance with the Department of Information Technology Act, Chapter 9, Article 27 NMSA 1978 and Executive Orders relating to Information Technology issued by the Governor of the State of New Mexico.

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Raja Sambandam, Acting Cabinet Secretary and State Chief Information Officer  
Department of Information Technology

This Agreement has been approved by the General Services Department, State Purchasing Division:

By: \_\_\_\_\_ Date: \_\_\_\_\_  
State of New Mexico, State Purchasing Division

**EXHIBIT A – SCOPE OF WORK**

This scope of work and deliverables will be finalized during the “Finalize Contractual Agreement” phase of this request for proposal process.

I. Purpose:

The Purpose of this Agreement, including its goals and objectives are:

[Include a brief narrative that describes the work to be conducted by the Contractor and include the project’s goals and objectives. Performance measures and activities are not required, but if being included, do so in this section.]

[If applicable, insert **Certified Project Name: Name**]

II. The Deliverables:

The following sections describe the required tasks and subtasks to be performed by Contractor concerning each service or product delivered by Contractor to Procuring Agency (a “Deliverable”) pursuant to this Agreement. Contractor will deliver each Deliverable, but Contractor is not limited to delivering only the identified Deliverables in a given area of the Project. The Parties agree that the Deliverables are the controlling items and that Contractor’s primary obligation is to deliver the Deliverables to Procuring Agency according to the following sections.

**[ Procuring Agency may identify as many Deliverables, with as many associated tasks and subtasks, as may be needed for Contractor to accomplish the Scope of Work.]**

A. **Sample Deliverable Number 1 – [Insert name of deliverable. Name of deliverable here should be the same as the deliverable name in the table.]**

<u>Deliverable Name</u>	<u>Due Date</u>	<u>Compensation</u>
<p>[Insert name of deliverable. Deliverable name here should be the same as the name used in the title line above the table.]</p>	<p>[Due dates must be stated to facilitate Procuring Agency and Contractor’s efforts to monitor project progress. Insert actual date this deliverable is due. If an actual date is not available, enter a no later than date.]</p>	<ul style="list-style-type: none"> <li>[Total Compensation not to exceed \$ amount, including % GRT of \$ amount or excluding GRT; To be Paid (include frequency of payment, Monthly, Quarterly, Upon Review and Acceptance or if one payment, indicate Fixed Cost to Be Paid in Full Upon Invoice) at \$ amount rate per hour, hours not to exceed XX. If retainage, include: Less % retainage of \$ amount.] Amount Payable on Acceptance Not to Exceed \$</li> </ul>

		amount including or excluding GRT.
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Task Item	Sub Tasks	Description
[Insert Name of Task 1 or tasks to be performed for each Deliverable.]	Sub 1 through however many subtasks are needed to accomplish Task 1, which leads to the number of Tasks needed to accomplish Deliverable 1.	<ul style="list-style-type: none"> <li>[Insert Description. Use active verbs to describe the tasks and subtasks to be completed. Begin the statement by assigning responsibility for the party completing the task, for example, The Contractor will. Contractor name should not be used, only the term Contractor, as stated in the first sentence of this template. Also, references to the agency name should not be used, instead use Procuring Agency. Note that Contractor and Procuring Agency are capitalized.]</li> <li>[Include the expected deliverable and the agreed upon format. For example, weekly reports to be delivered in Word format, schedule to be delivered in Microsoft Project format. If there is a designated repository the Contractor should use for storing files, include here.]</li> <li>[Conclude with review and acceptance of the deliverable by the Procuring Agency.]</li> </ul>

**B. Sample Deliverable Number 2 – Project Management Services**

<u>Deliverable Name</u>	<u>Due Date</u>	<u>Compensation</u>
Project Management Services	To Begin Upon Contract Execution Through June 30, 2022	<ul style="list-style-type: none"> <li>[Total Compensation not to exceed \$ amount, including % GRT of \$ amount or excluding GRT; To be Paid (include frequency of payment, Monthly, Quarterly, Upon Review and Acceptance or if one payment, indicate Fixed Cost</li> </ul>



		<p>to Be Paid in Full Upon Invoice) at</p> <ul style="list-style-type: none"> <li>\$ amount rate per hour, hours not to exceed XX. If retainage, include: Less % retainage of \$ amount.] Amount Payable on Acceptance Not to Exceed \$ amount including or excluding GRT.</li> </ul>
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Task Item	Sub Tasks	Description
<b>2.0 Stakeholder Management</b>		<ul style="list-style-type: none"> <li>Contractor will initiate stakeholders and develop and maintain a current stakeholder registry.</li> <li>Contract will schedule interviews with stakeholders.</li> </ul>
<b>2.1 Gather and Develop Requirements</b>		<ul style="list-style-type: none"> <li>Contractor will schedule meetings with subject matter experts and stakeholders to gather and develop requirements to be delivered in a Requirements Traceability Matrix.</li> <li>Contractor will develop and deliver a work breakdown structure.</li> </ul>
<b>2.2 Project Management Plan</b>		<ul style="list-style-type: none"> <li>Contractor will develop and maintain an updated Project Management Plan to include integration, scope, schedule, cost, quality, resources, communication, risk, procurement and stakeholder plans in Microsoft Word format.</li> <li>Contractor Project Management Plan shall clearly identify process, procedures and plans for completion of project activities. Project Management Plan shall be reviewed and approved by the Procuring Agency.</li> </ul>
<b>2.3 Establish Project Governance</b>		<ul style="list-style-type: none"> <li>Facilitate the development of an Executive Steering Committee (ESC) and Project Steering Committee in collaboration with the Procuring Agency. Provide organizational charts to include participants and illustrate reporting responsibilities.</li> <li>Provide project team member management.</li> </ul>
<b>2.4 Manage Risks and Issues</b>		<ul style="list-style-type: none"> <li>Develop risk and issues logs, mitigate risks and manage identified issues through communications with ESC and Project Steering Committee.</li> </ul>

<b>2.5 Project Documentation</b>		<ul style="list-style-type: none"> <li>• Develop materials required for Project Certification Committee to include certification request form, presentation, project charter, project management plan and any additionally requested information.</li> <li>• Develop materials required for Technical Architecture Review Committee (TARC) to include TARC request form, system design document, security questionnaire, business continuity plan, operations and support plan, any additionally requested information.</li> <li>• Develop monthly project status reports and deliver to Procuring Agency and epmo@state.nm.us.</li> </ul>
<b>2.6 Review and Acceptance</b>		<ul style="list-style-type: none"> <li>• All materials developed for this deliverable will be presented to the Procuring Agency for review and acceptance.</li> </ul>

C. **Sample Deliverable Number 3 – Retainage Release** **[Include for fixed price deliverable contracts over \$500,000 or other instances when retainage is held]**

<u>Deliverable Name</u>	<u>Due Date</u>	<u>Compensation</u>
Retainage Release	[Insert date payment is due.]	<ul style="list-style-type: none"> <li>• Total Compensation not to exceed \$ Amount, including/excluding GRT.]</li> </ul>

Task Item	Sub Tasks	Description
<b>3.0 Retainage Release</b>	<b>Notice of Acceptance of All Deliverables</b>	Procuring Agency shall release payment for the retainage invoice, representing retainage held against this contract, upon review and acceptance of the Deliverables specified in this scope of work.

## APPENDIX D

### COST RESPONSE FORM

RFP – Workers’ Compensation Administration (WCA) Case Management System Modernization

Description	Total Cost (\$)	Proposed Estimated Completion Due Date	Duration of the activity (Calendar Days)
Project Plan listing all tasks/activities that will be performed and maintained through the completion and written acceptance of the project; including Requirements validation and implementation	\$		
Software Customization			
Software Configuration			
Software Installation			
Data Cleansing and Data Migration			
Hosting			
Testing			
Training			
Post Production Support and Warranty Support	\$		
Any Onetime License fee	\$		
Total Maintenance (from table below)	\$		
<b>TOTAL COST</b>			

Description	Total Cost (\$)	Proposed Estimated Completion Due Date	Duration of the activity (Calendar Days)
<b>Desirable: Additional Cost if Cloud Hosted</b>			

	Year 1	Year 2	Year 3	Year 4	Total 4-year Maintenance Cost
Annual Maintenance and Support cost after post-production warranty	\$	\$	\$	\$	

## APPENDIX E

### LETTER OF TRANSMITTAL FORM

Please complete this form in its entirety. Failure to **sign and/or submit** this form will result in the disqualification of Offeror's proposal.

RFP#: 24-632-PS-00001

**1. Identify the following information for the submitting organization:**

<b>Offeror Name</b>	
<b>Mailing Address</b>	
<b>Telephone</b>	
<b>FED TIN#</b>	
<b>NM BTIN#</b>	

**2. Identify the individual(s) authorized by the organization to (A) contractually obligate, (B) negotiate, and/or (C) clarify/respond to queries on behalf of this Offeror:**

	A Contractually Obligate	B Negotiate*	C Clarify/Respond to Queries*
<b>Name</b>			
<b>Title</b>			
<b>E-mail</b>			
<b>Telephone</b>			

\* If the individual identified in Column A also performs the functions identified in Columns B & C, then no response is required for those Columns. If separate individuals perform the functions in Columns B and/or C, they must be identified.

**3. Will any subcontractor/s be used in the performance of any resultant contract? (Select one):**

No.  
 Yes. Identify subcontractor/s: \_\_\_\_\_

**4. Will any other entity/-ies (such as a State Agency, reseller, etc., that is not a subcontractor identified in #3 above) be used in the performance of any resultant contract? (Select one)**

No.  
 Yes. Identify entity/-ies: \_\_\_\_\_

**By signing the form below, the Authorized Signatory attests to the accuracy and veracity of the information provided on this form, and explicitly acknowledges the following:**

- On behalf of the submitting-organization identified in item #1, above, I accept the Conditions Governing the Procurement, as required in Section II.C.1. of this RFP;
- I concur that submission of our proposal constitutes acceptance of the Evaluation Factors contained in Section V of this RFP; and
- I acknowledge receipt of any and all amendments to this RFP, if any.

Sign: \_\_\_\_\_

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

*(Must be signed by the individual identified in item #2.A, above.)*

## **APPENDIX F**

### **ORGANIZATIONAL REFERENCE QUESTIONNAIRE**

The State of New Mexico, as a part of the RFP process, requires Offerors to list a minimum of three (3) organizational references in their proposals. The purpose of these references is to document Offeror's experience relevant to the Section IV.A, Detailed Scope of Work in an effort to evaluate Offeror's ability to provide goods and/or services, performance under similar contracts, and ability to provide knowledgeable and experienced staffing.

Offeror is required to send the following Organizational Reference Questionnaire to each business reference listed in its proposal, as per Section IV.B.2. The business reference, if it chooses to respond, is required to submit its response to the Organizational Reference Questionnaire directly to: Veronica Purcell, Procurement Manager at [wca.rfp@wca.nm.gov](mailto:wca.rfp@wca.nm.gov) by 5:00 PM MST/MDT on 3/4/24 for inclusion in the evaluation process. The Questionnaire and information provided will become a part of the submitted proposal. Businesses/Organizations providing references may be contacted for validation of content provided therein.

**RFP # 24-632-PS-00001**  
**ORGANIZATIONAL REFERENCE QUESTIONNAIRE**  
**FOR:**

\_\_\_\_\_  
(Name of Offeror)

This form is being submitted to your company for completion as a reference for the organization listed above. Submit this Questionnaire to the State of New Mexico, WCA via e-mail at:

Name: Veronica Purcell, Procurement Manager  
Email: [wca.rfp@wca.nm.gov](mailto:wca.rfp@wca.nm.gov)

Forms must be submitted no later than 5:00 PM MST/MDT on 2/8/24, and **must not** be returned to the organization requesting the reference. References are **strongly encouraged** to provide comments in response to organizational ratings. The comments you provide will help the State evaluate the above-referenced Offeror’s service history, successful execution of services and evidence of customer/client satisfaction.

**For questions or concerns regarding this form**, please contact the State of New Mexico **Procurement Manager** at (505) 841-6032 or [wca.rfp@wca.nm.gov](mailto:wca.rfp@wca.nm.gov). When contacting the Procurement Manager, include the Request for Proposal number provided at the top of this page.

<b>Organization providing reference</b>	
<b>Contact name and title/position</b>	
<b>Contact telephone number(s)</b>	
<b>Contact e-mail address</b>	
<b>Project description</b>	
<b>Project dates (start and end dates)</b>	
<b>Technical environment for the project you are providing a reference (i.e., Software applications, Internet capabilities, Data communications, Network, Hardware);</b>	

QUESTIONS:

1. In what capacity have you worked with this vendor in the past?

COMMENTS:

2. How would you rate this firm's knowledge and expertise?

\_\_\_\_ (3 = Excellent; 2 = Satisfactory; 1 = Unsatisfactory; 0 = Unacceptable)

COMMENTS:

1. How would you rate the vendor's flexibility relative to changes in the project scope and timelines?

\_\_\_\_ (3 = Excellent; 2 = Satisfactory; 1 = Unsatisfactory; 0 = Unacceptable)

COMMENTS:

4. What is your level of satisfaction with hard-copy materials produced by the vendor?

\_\_\_\_ (3 = Excellent; 2 = Satisfactory; 1 = Unsatisfactory; 0 = Unacceptable, N/A = Not applicable)

COMMENTS:

5. How would you rate the dynamics/interaction between vendor personnel and your staff?



\_\_\_\_\_ (3 = Excellent; 2 = Satisfactory; 1 = Unsatisfactory; 0 = Unacceptable)

COMMENTS:

6. Who are/were the vendor's principal representatives involved in your project and how would you rate them individually? Would you, please, comment on the skills, knowledge, behaviors, or other factors on which you based the rating?

\_\_\_\_\_ (3 = Excellent; 2 = Satisfactory; 1 = Unsatisfactory; 0 = Unacceptable)

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

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

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

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

COMMENTS:

7. How satisfied are/were you with the products developed by the vendor?

\_\_\_\_\_ (3 = Excellent; 2 = Satisfactory; 1 = Unsatisfactory; 0 = Unacceptable, N/A = Not applicable)

COMMENTS:

8. With which aspect(s) of this vendor's services are/were you most satisfied?

COMMENTS:

9. With which aspect(s) of this vendor's services are/were you least satisfied?

COMMENTS:

10. Would you recommend this vendor's services to your organization again?

COMMENTS:

## APPENDIX G

### WCA Hosting On-Premise System Information

The State of New Mexico, as a part of the RFP process, requires Offerors to provide system information about their proposed solution. This information will be required of any vendor when implementing a system which will be installed on hardware and software systems hosted at a state agency. Providing this information will allow WCA to evaluate whether any proposed solution will be compatible with state allowed hardware and software.

- Hardware Architecture Diagram - Provide a diagram of the hardware architecture that illustrates the platforms, networks, peripherals, hardware integration and segregation of different tiers/layers, which may include database, application/business and/or presentation that are included in the solution. Include any necessary explanatory text here.
- Software Architecture Diagram - Provide a diagram of the software architecture that illustrates the different tiers/layers related to database, application/business, and/or presentation that are included in the solution. Include any necessary explanatory text here.
- Data Flow Diagrams - Provide different levels of data flow diagrams (DFDs): summary of top-level, system level (between system(s)/user/ device), for each major software module, and one-layer inside the software module. Include any necessary explanatory text here related to the data type, data exchanges, applicable laws, ownership.
- Confidential and Protected Data - How is Personal Identifiable Information (PII) data protected in the solution?

#### General Questions -

1. Describe the technology type including the software and hardware components.
2. Are there limits on the number of users and/or user roles?
3. Do you offer a trial of your solution? If so, how long would it take to set up a pilot site should your solution be awarded?
4. Is your solution 100% SaaS (on-premise)? If not, please explain.
5. Is the software development performed in house?
6. Will users of the system require technical support?
7. Will successful software implementation require training, change management, or adoption initiatives?
8. What customer support is supplied by the vendor and is this bundled with the purchase?
9. How "Future-Proof" Will the Solution Be?
10. Is your solution compatible with commonly used SANs devices?
11. Does your solution require a physical server? Or virtual?
12. What are the recommended software and hardware requirements to host your solution?
13. What databases are compatible with your solution?
14. How do you plan to keep your software updated in a timely manner with minimal impact to our users?

Security -

1. Did your company include integrated software security activities into your software development life cycle (SDLC) from start to finish? If yes, please describe.
2. Does your software application include architecture risk analysis, static, dynamic, and interactive application security testing? SCA? Pen Testing?
3. Is intrusion detection in place for the solution? If yes, describe.
4. Are there firewalls, access control language (ACL), or virtual devices in place for separation of presentation, business and/or data layers of the proposed solution? Who is responsible for managing them? If none of the above are in place, describe why they are not required.
5. Does your solution have any batch processing? If so, include who administers the batch process and explain the security measures that are defined.
6. Describe your plans to monitor and review security logs/alerts and please identify the name and title of the individual(s) from your agency who will be delegated for this task.
7. Describe identity management (username/encrypted password, dual-factor and/or biometric, etc.) for your solution.
8. List the environments that your solution will include development/test/staging. Do the security controls discussed in previous slides apply to these environment(s)? If not, explain why.

## **APPENDIX H**

### **Hosted Solution System Information**

The State of New Mexico, as a part of the RFP process, requires Offerors to provide system information about their proposed solution. In case the vendor is offering a hosted solution please fill out the following information:

1. Will the proposed solution be hosted in a government-certified cloud? If not, include the type of cloud, such as commercial, private, or hybrid.
  
2. Who will have administrator access to the architecture application?
  
3. Describe the controls and process for administrator access.
  
4. Describe the different security measures defined for the solution such as user access, roles-based security, data access, and file access.
  
5. How is Personal Identifiable Information (PII) data protected in the solution?
  
6. Is intrusion detection in place for the solution? If yes, describe.

7. Are there firewalls, access control language (ACL), or virtual devices in place for separation of presentation, business and/or data layers of the proposed solution? Who is responsible for managing them? If none of the above are in place, describe why they are not required.
  
8. If the solution is SaaS/Web Application, is there a Web Application Firewall (WAF)? If so, list what is defined in your Security Operations Center (SOC). If there is no WAF, describe why it is not required?
  
9. What kind of security channel/connection does your solution provide to connect to third-party resources if needed?
  
10. What measures do you have to monitor and review security logs/alerts?
  
11. Describe identity management for your proposed solution; for example, username/encrypted password, dual-factor-authentication and/or biometric, etc.
  
12. Please provide a System Architecture Document that includes a summary of the software architecture and different tiers/layers for example, database, application, business, and presentation that are included in the solution.
  
13. Please include a diagram with a written description that illustrates the platforms, networks, peripherals, hardware integration, and separation of database, application, business, and presentation tiers/ layers.
  
14. Please include an independent security assessment report of the solutions and application, if applicable. If an assessment has not been conducted, please provide an estimated date for when it will be done.