

**DEPARTMENT OF TREASURY OF THE  
COMMONWEALTH OF PUERTO RICO**



**REQUEST FOR PROPOSAL**

**FOR**

**THE IMPLEMENTATION OF**

**SISCON**

**(SISTEMA CONTRIBUTIVO)**

**DATE OF PUBLICATION**

**FRIDAY, SEPTEMBER 05, 2003**

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## **1 Introduction and General Information**

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### **1.1 Introduction**

The Department of the Treasury of the Commonwealth of Puerto Rico (from hereon referred to as Department) is seeking qualified IT Consulting firms with expertise in Enterprise Application Integration (EAI) solutions. The Department needs assistance with the integration of its demographic data into the three Department tax applications (PRITAS, REFO and ARBITRIOS) and to modernize their front-ends from 3270 screens to an e-business front-end.

### **1.2 Purpose of the Procurement**

The purpose of this Request for Proposal (RFP) is to solicit proposals from software vendors, systems integrators and service providers interested in providing a solution that leads to the services described above.

The DOT encourages Proposers to fully describe certain functions and capabilities that may not be in response to the RFP, but are functions and capabilities that will add value to Proposers' solution. Proposers are also encouraged to describe additional features, functions, and capabilities of their solution that Proposers believe would be of interest to DOT in accomplishing the goals and objectives set forth in this initiative.

### **1.3 Authority Under which the Request is Issued**

This request is issued in accordance with the Laws of the Commonwealth of Puerto Rico, including applicable regulations.



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## **2 Procurement Guidelines, Conditions and Procedures**

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### **2.1 RFP Guidelines**

Proposals must be prepared and submitted in accordance with all instructions, conditions, and requirements included in this RFP. Failure to observe the specified terms and conditions will be at the Proposers risk, and may render the Proposers Proposal non-responsive and therefore may be disqualified.

### **2.2 Acceptance of Terms**

Each Proposer, by submitting a signed Proposal, acknowledges and agrees to all requirements, terms and conditions of this Request and the Department, including, but not limited to, being subject to the court jurisdiction of Puerto Rico and incorporating all the provisions of the Proposal in a Contract, if selected.

### **2.3 Cost of Proposal Preparation**

The Department will not be responsible, nor liable, for costs incurred by Proposers in the preparation of a Proposal, submitting supplemental information, attending negotiation or clarification meetings, if any is requested, or any other cost related to the Proposal or to the process. These costs will be borne by Proposers.

### **2.4 Restriction on Communication Prior to Submission of Proposal**

After the Release of the RFP and continuing through the Due Date to Submission of Proposal, communication will be limited between Proposers and Department employees and representatives involved in this RFP.

All Potential Proposers may compile their questions concerning the RFP and must submit those questions in written form to the Department **on or before Friday, September 12, 2003**. All communications must be sent by fax (787-721-6401) or personal delivery to the following address:

**Radames Garcia Badillo**  
Director Bureau Information Systems  
Department of Treasury  
10 Paseo Covadonga Street  
Intendente Ramirez Building - Basement Floor  
San Juan, Puerto Rico 00905



The Department will respond to written questions or comments in writing, and distributed to all persons or entities that participate in the RFP process. The responses to proposer's questions will not identify the actual name of the Proposer that asked the question, and could be sent by mail, e-mail or fax.

The Department assumes no responsibility for correspondence that Prospective Proposers send to the Department as well as correspondence it sends to Prospective Proposers, that fails to reach its destination or that is received after any due date previously stated.

The Department will not consider, or respond, to any communication, comment or request for clarification it receives after due date as scheduled in section 2.9.

### **2.5 *Communication after Submission of Proposals***

The Department reserves the right, in its sole and absolute discretion, to request additional information from any Proposer after the Proposals are submitted.

However, a Proposer may not communicate with the Department or request information regarding any Proposal or this Request, except in response to a request from the Department. Any prohibited communication, could, at the discretion of the Department disqualify the Proposal.

### **2.6 *RFP Amendments***

The Department reserves the right to modify this RFP at any time before the Proposal due date. RFP amendments will be delivered to all companies that responded to this RFP.

### **2.7 *Withdrawal of Proposals***

A Proposer may withdraw its Proposal by submitting a written request to the Department at any time prior to the Proposal due date. A duly authorized officer or representative of the Proposer must sign the request for withdrawal of the Proposal.

### **2.8 *Prohibition of Use of Official Symbols***

The use of the official symbols of the Department or GSA in Proposer documents, including Proposals, is expressly prohibited.



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### **2.9 Proposal Due Date**

All Proposals must be **hand-delivered** to the Evaluation Committee at the physical address stated in Section 2.4 above on **September 25<sup>th</sup>, 2003** (the "Proposal Due Date") on or before 4:00 p.m. Proposals cannot be withdrawn or amended after the Proposal Due Date.

### **2.10 Multiple Proposals**

Each Proposer may submit only one Proposal.

### **2.11 Bid Bond**

A Bid Bond in favor of the Puerto Rico's Secretary of the Treasury must be presented in original at the same time and together with the Proposal for 15% of the total amount of the solution. The Bid Bond should be issued by an insurance company registered and duly authorized to do insurance business in Puerto Rico by the Office of the Insurance Commissioner of Puerto Rico. The Bid Bond will constitute a provisional security submitted by the Proposer to assure the Department that the Proposal will be maintained for one hundred eighty (180) days from the Due Date of the Proposal or until the earlier termination of the Proposal process. Annual bid bonds are not accepted.

The Bid Bond will be returned to all Proposers except the Selected Proposer(s), if any, after a Proposal(s) has been finally selected.

### **2.12 Conflict of Interest**

Each Proposer must fully disclose any relationship with clients or any other person or entity that would prevent such Proposer from providing the services subject of this RFP in an objective and unbiased manner. Proposer must certify compliance with Executive Order No. OE-2001-73.

### **2.13 Registration Requirement**

Proposers must be registered in the "Registro de Licitadores" of the GSA ("Administración de Servicios Generales" in Spanish), and must be authorized by the Commonwealth's Department of State to do business in Puerto Rico. The web page address of the GSA is <http://www.asgpr.com>.



**2.14 Compliance with Laws**

The Proposal will be subject to all applicable Puerto Rico and United States laws and regulations. The Selected Proposer(s) will be responsible for obtaining applicable permits and approvals.

**2.15 Schedule of Events**

<b>Event</b>	<b>Date</b>	<b>Address</b>
Release of the RFP	Friday, Sept 5 <sup>th</sup> , 2003	Pick-up window Area of Information Technology Department of Treasury 10 Paseo Covadonga Street Intendente Ramírez Building Basement Floor San Juan, Puerto Rico 00905
Bidder's Conference	Wednesday, Sept 10 <sup>th</sup> , 2003 at 10 A.M.	Conference Room Office of the Secretary Department of Treasury 10 Paseo Covadonga Street Intendente Ramírez Building 8th. Floor San Juan, Puerto Rico 00905
Last Date for Proposer Questions	Friday, Sept 12 <sup>th</sup> , 2003 4:00 PM	Please send to the following email address: vs5485@hacienda.gobierno.pr
Responses to Proposer Questions	Wednesday, Sept 17 <sup>th</sup> , 2003	
<b>Proposal Due Date</b>	Thursday, Sept 25 <sup>th</sup> , 2003 before 4:00 PM local time	Pick-up window Same as Release of RFP



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### **3 Requirements & Specifications**

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#### **3.1 Project Overview**

The Department of the Treasury of the Commonwealth of Puerto Rico has formulated a system integration strategy and has called it SISCON for its internal tax system. The strategy pursues the achievement of various key objectives, described in more detail in the following sections. But in summary the Department is seeking the acquisition of an Enterprise Application Integration toolset and the services associated with the training, installation, configuration and operation of such toolset, the utilization of such tools to modernize the ARBITRIOS front-end screens, and the integration of the PRITAS and REFO tax systems by integrating the demographic data of both systems into one and by analyzing the screens and functionality of both applications with the goal of creating a single e-business application from the end users point of view. In the following sections you will find more detail specifications and requirements for the SISCON RFP.

#### **3.2 Project Objectives**

The SISCON project must meet the following objectives:

- Acquire an Enterprise Application Integration Toolset that provide the mechanism for the creation, publishing and execution of Web Services, utilizing the following industry standards:
  1. XML
  2. SOAP
  3. UDDI
  4. WSDL
  5. JAVA and .NET
  6. SQL data access
- Provide a single demographic for PRITAS, REFO and ARBITRIOS utilizing, but not limited to, the data, structure and functionality provided by PRITAS and REFO.
- Reuse the COBOL and NATURAL programs in use today
- Define a set of Web Services that will wrap these programs and exposed then to the e-business applications.
- Provide the end-users of the Department with an e-business front-end to PRITAS, REFO and a set of selected modules of ARBITRIOS (see Appendix 1 for details).
- Provide the Department IT personnel with the training and documentation necessary to support the resulting application.



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- Provide an application portal from which to access these new programs



### **3.3 Current Environment**

The sections consist of four sub-sections of brief descriptions that provide understanding of context for the SISCON project.

Technical environment at the Department of the Treasury of the Commonwealth of Puerto Rico consist of the following main components:

- IBM mainframe running OS/390 operating system Release 2.10
- IBM DB2 for OS/390 6.5
- ADABAS 7.13 for OS/390
- VSAM files
- Microsoft office productivity tools
- JAVA and .NET Applications
- Microsoft SQL server 2000, Windows 2000 Server, IIS
- Cobol II-VS/CICS 4.1 Applications
- Natural 3.15 Applications

The Department provides a high-speed switch Enterasys to serve the processing needs of employees at the Department Headquarters. The Network consists of 1 GBPS backbone with: Two (2) Extrasys 8600 switch for the ground floor and twelve (12) Enterasys 6000 switches, for the other building floors.

- The network supports IPX/SPX, TCP/IP, and Ethernet protocols. Currently, Department maintains all servers in a central computer room. Users are provided Internet access through a shared service used by other Government agencies. This service provides an aggregate bandwidth of 4.5 Mbps to support all Internet traffic.

#### **3.3.1 Organization Profile**

The Department of the Treasury is the government agency responsible for the collection of revenues for the Commonwealth of Puerto Rico. Located in Paseo Covadonga in San Juan, Puerto Rico the Department employs around 50 IT personnel. The Department is led by the sub-secretary Jose Lezcano who reports directly to the treasurer Juan Flores Galarza. The Department main clients are government agencies and private citizens and corporations.



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### **3.3.2 Business Functions**

The Department performs most of the revenue collection processes for the government of Puerto Rico. But for the purposes of this document we will focus on three main areas. Individual income taxes, Corporate income taxes and, excise taxes both incoming and outgoing from the Puerto Rico ports.

### **3.3.3 Components or System Description**

The applications of interests for the purpose of this RFP are PRITAS, REFO and ARBITRIOS.

#### **PRITAS**

PRITAS is the system responsible for the account receivable, payments reconciliation, and corporate taxes. PRITAS was written in COBOL II, CICS and DB2. PRITAS is accessed through 3270 terminals or Attachmate Extra terminal emulation software. PRITAS runs in its entirety in the OS/390 environment.

#### **REFO**

REFO is the system responsible for processing the individual income taxes. REFO was written in COBOL II, COBOL VS, CICS. VSAM files are used for its data storage. REFO runs in its entirety in the OS/390 environment.

#### **ARBITRIOS**

The “Arbitrios” Department is in charge of the enforcement of the “Arbitrios” Law (Subtitled B) of the Internal Tax Code of 1994, as amended on December 22, 2000. It is responsible to determine the amount of taxes to be applied. This is performed in several steps: Entry, Imposition, Inspection and Release, Liquidation and Revision, in the case of importation.

The “Arbitrios” Application is accessed through 3270 terminals or *Attachmate Extra* terminal emulation sessions on their desktops under the *CICS/ESA V4.1* system. The database used is *Adabas V7.13* and *Natural V3.15* is the programming language. The application and the database reside in the IBM 390 mainframe machine.

### **3.3.4 Deficiencies**

The current system exhibits the following deficiencies:

- Difficult Data Validation
- Difficult and unfriendly user interface
- Dispersed data amongst many screens
- Non standard user experience



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- Non standard business language between the users of PRITAS and REFO
  - Two distinct customer demographic data and functionality
  - Difficult to integrate data from the three primary data sources at the department (DB/2, VSAM, and ADABAS)

### **3.3.5 Compliance with Laws, Regulations and Standards**

The Proposal and the SISCON solution will be subject to all applicable Puerto Rico and United States laws, regulations and industry standards including, but not limited to:

- Electronic and Information Accessibility Standards, 36 CFR 1194
- Circular Letter no. 96-01 of the Governor's Committee on Information Systems (COGSSI, by its Spanish acronym)

### **3.3.6 Technical Requirements**

The EAI tool to be proposed by the proposer must meet the following technical requirements:

- Provide the ability to access DB2, VSAM and ADABAS data sources directly utilizing an SQL statement. It must also allow the searching, inserting and updating of any combination of these data sources using SQL. The data access layer has to act as the intermediary element between the browser and application program invoked.
- The Web Services, Broker and Orchestration Engine must run on the Host an IBM Mainframe 9672 running OS/390 and not on a separate machine.
- Provide a mechanism for the creation, publishing and execution of Web Services, utilizing the following industry standards:
  1. XML
  2. SOAP
  3. UDDI
  4. WSDL
  5. JAVA and .NET development
- Provide a way to wrap COBOL and Natural Code into Web Services
- A screen scrapping tool that can be publish as a Web Service



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- All front-end software developed by the proposer must run on a Windows 2000 or Windows XP platform.
  - All front-end software developed by the proposer must not exceed 800 by 600 screen resolution



### **3.4 Requirements**

This section states the functions required of the software in quantitative and qualitative terms, and what the system must do to completely fulfill the owner/users expectations. The requirements will answer the following questions:

- How are inputs transformed into outputs?
- Who initiates and receives specific information?
- What information must be available for each function to be performed?

The SISCON project will provide the Department the software and the services needed to achieve the integration of the two tax systems plus the modernization of the Arbitrios system. Appendix 1 overviews the system dependencies envisioned within the SISCON RFP.

#### **3.4.1 Goals**

The goals identified for this project are the following. Please notice that they are not in order of priority.

- Improve the efficiency of the Department personnel by integrating and consolidating PRITAS and REFO demographic data into one
- Empower a selected group of Department employees by providing ways to integrate familiar tools such as Spreadsheets and reporting tools into their daily work
- Provide the Department IT personnel with faster and easier integration between the mainframe and modern e-business tools for improve efficiency and response time
- Improve citizen services by integrating PRITAS and REFO thus reducing manual processes and process cycle time.
- Leverage the investment in hardware and software made by the department over the years

#### **3.4.2 Input and Output Requirements**

This section provide a description of all manual and automated input requirements for the software product such as input screens data extracts from other applications, as well as all output requirements for the software product such as printed forms, reports, display screens, files and other work products the system will process and produce.

#### **ARBITRIOS**

Please see Appendix 1 for details specifications.



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## **REFO**

To learn about the REFO system you must schedule an appointment with the Department contact person to review all available data structure and screen documentation available at the Department. All review appointments shall not exceed two (2) hours, and the proposer must sign a non-disclosure agreement. You may take notes but copies of the material will be prohibited.

## **PRITAS**

To learn about the PRITAS system you must schedule an appointment with the Department contact person to review all available data structure and screen documentation available at the Department. All review appointments shall not exceed two (2) hours, and the proposer must sign a non-disclosure agreement. You may take notes but copies of the material will be prohibited.

### **3.4.3 Data Requirements**

Data shall not be manipulated directly by any application developed by the proposer.

### **3.4.4 Functional Requirements**

This section contains information about what the product must do and not its behavior. A Functional Requirement is a precise specification of the function of a product, phrased in terms of things it will do during operation, not how. The functional requirements listed below apply to the front-end applications only.

- All system functionality shall be accessible from the application home page.
- System functionality available in the sidebars will be of use to the main form being worked on.
- The user shall login only once to the application, all other logins shall be handled internally by the proposers' application.
- The system shall provide an alert mechanism to instruct the user when special circumstances have occurred or must occur.
- The system shall be accessible with a Web Browser such as Internet Explorer or Netscape
- The system must provide a consistent and uniform user interface paradigm for all new front-end applications.
- The system must handle all browser features that may cause it to malfunction.
- The system must provide a central application portal.
- The system shall allow the user to cancel from an operation wherever possible
- The system shall advise the user when the cancellation of an operation is not available



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- The system must use a font type and size that is readable and understandable on a 800 by 600 screen resolution
  - The system shall handle all error and give the user the instructions as to what to do next.
  - The system shall prevent accidental exits
  - The system shall keep the user informed about where it is and what is doing
  - The system must not clutter the screen with multiple browser windows opened at once
  - All important interface elements must be visible and legible, items such as:
    - Logos
    - Site wide navigation
    - Persistent tools such as (help, about, search, etc)
    - Page content area
    - Links related to current content area
  - The system must not implement obscure elements

### **3.4.5 Performance Requirements**

The system must be operational during extended business hours (24x7, 7 days a week) of every week. Peak times have been identified to be from January to May of every year. The responses time for the system must be no more than 2 seconds to display a form. If there is a situation in which the user has to wait longer, then an appropriate message should be displayed and the status of the process communicated to the user in real time.

### **3.4.6 Systems and Communications Requirements**

The system must work on an IP network.

### **3.4.7 Systems Security Requirements**

The system must be compatible with and be able to use the mainframe security mechanism RACF.

### **3.4.8 Backup and Recovery Requirements**

The backup and recovery of the data will be the responsibility of the mainframe system area. Any component outside the mainframe must be identified by the proposer and advice the department of any specific backup and recovery requirement.



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### **3.4.9 Support Considerations**

The proposer must include as part of its proposal a number of technical support hours to be used by the department developers during or after the project has finished. The Department may require the support to be rendered by telephone or in person in the format of supplemental staffing.

### **3.4.10 Hardware Requirements**

The mainframe and servers of the Department will be used for the production environment and thus is the responsibility of the Department. Please advice of any known hardware requirement your EAI tool may require for proper operation.

### **3.4.11 Software Requirements**

In order to achieve efficiency in the construction of the code and to take advantage of the latest technological advancement available at the time of development, the front-end system will be developed utilizing the Microsoft VB.NET, ASP.NET or JAVA tools. These languages fully support the Object Oriented Paradigm which in turn allows for code reuse. Both of which are requirement for the applications. In other to facilitate the maintenance and enhancement of the application in the future the code will follow the Microsoft Coding and Documentation Guidelines. The application source code shall be kept on a central repository with the use of Visual SourceSafe, a Microsoft developed tool included in the .NET tools set or an equivalent.

All mainframe source code must be kept on CA Librarian which is the Department standard tool for such purposes. All sources along with the final application software will be delivered to the Department on a CD ROM for backup purposes.

### **3.4.12 Usability Requirements**

For the system to fulfill its usability requirements one must keep in mind the profile of the user community. The Department users are familiar with the basic use of PC computers, and best yet very knowledgeable about their business functions. Nevertheless the front-end shall be design following the **Inductive User Interface** as defined by Microsoft. The front-end must also follow the Department color scheme and logos. Any particular screen shall not exceed the size of the visible are of the screen to prevent the user from having to scroll in order to see or access application functionality. The front-end must provide an online help function that must be focused on the functional aspects of the system and all front-end applications must be consistent and uniform from one to the other.

### **3.4.13 Purchased Components**

Please advice of any hardware or software component that your solution may require.



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#### **3.4.14 Licensing Requirements**

Explain the licensing term applicable to your solution.

#### **3.4.15 Legal, Copyright and other Notices**

All source code developed by the proposer during the course of this project shall be the property of the Department.

#### **3.4.16 Applicable Standards**

- The services offered by the proposer must adhere to the following standards:
- Microsoft Coding Techniques and Programming Practices
- Microsoft Inductive User Interface Guidelines
- Use of UML – Use Cases for the demographic modules
- A software development methodology
- Project Management Methodology

#### **3.4.17 Implementation Requirements**

- Project deliverables must be implemented in five (5) months after contract signing date.
- The Department may, at its sole option, inspect the Proposers work at one or more sites or a proposed subcontractor's products are installed or services have been provided. The Proposer will include the list of sites in its Proposal.

#### **3.4.18 Testing**

- The awarded proposer will be provided a development and a test environment on the host.
- Testing activities must include components, functionality, security, infrastructure, coding, performance, stress, service availability, and all measures and activities listed in Sections 3.3.6 and 3.4.1 thru 3.4.22.
- Testing will comprise:
  - Stress testing simulating 500 concurrent users
  - Provide details as to how many reviews will be conducted within a given project phase; who will conduct the reviews, how the results will be reported and to whom. It is suggested that a chart be included to depict the flow of the process
  - Describe how project defect finding activities will be conducted, such as structured walkthroughs/ peer reviews. Include details such as when and



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how the activity will be executed and recorded, who will participate, reporting mechanisms, and follow up for corrective actions.

- Defect and non-compliance tracking
- Review meetings
- Operation performance testing
- Transaction integrity

#### **3.4.19 Documentation**

Successful Proposer must provide full documentation of the solution, products, networks, components, web services, procedures and any other information that describes the functionality, infrastructure and security for the solution. All documentation must be delivered in English.

#### **3.4.20 Training**

Proposer must provide training in all functional, technical and administrative areas of the Solution to the Department's designated staff and representatives. In addition, Proposer must provide training documentation for each training session conducted and provide electronic copies of all training materials distributed. All technical specifications and additional configuration parameters must be completely described and documented for the Department personnel. Proposer must submit a training plan with the Proposal. Proposer must also provide a training plan that covers Web development and SQL fundamentals.

#### **3.4.21 Maintenance**

Successful Proposer will be contractually responsible for all maintenance and support services for all elements of the application, including but not limited to all software and any data transport services that are required under the contract, and will be the single point of contact for service and support. Proposers must describe problem resolution procedures, including problem severity classifications, response times and fix times for each level of severity, and the escalation procedures (including on-site service) that will apply where resolution is not immediately achieved.



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#### **3.4.22 Scalability**

The Solution must have a demonstrated track record for servicing a base of users that could ultimately expand into thousands. The Proposers systems must be capable of handling daily loads as well as seasonal loads on the system.

#### **3.4.23 Non-Proprietary**

The Department fully appreciates the advantages of using standard conforming technologies in establishing an application environment in which application integration is required. Although many systems and software products have elements that may be categorized as proprietary, the Department will not implement a Solution that relies on major components that are proprietary. Therefore, all proposed Solution not conforming to industry standards would not be considered responsive to this RFP.

#### **3.4.24 Software Source Code**

As mandated by COGSSI, the Commonwealth of Puerto Rico will retain ownership in all rights in any computer code or materials (other than products, modified products or pre-existing work) developed by the Successful Proposer and provided to the Department in the course of performance of the contracted project. As such, the Commonwealth retains the rights to use, reproduce, modify and distribute the developments for any purpose whatsoever, without any obligation of accounting or payment of royalties.



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## **4 Proposal Requirements and Format**

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### **4.1 Clarity and Completeness of Proposals**

All information solicited in this Request must be provided in a clear, accurate and complete manner. Proposals should be organized to specifically answer each question or request for information in the order stated in the Request.

The Department may, in its sole and absolute discretion, request clarification and/or additional information from any Proposer. Proposals that are ultimately determined by the Department in its sole and absolute discretion to be unclear, incomplete, or non-responsive may be disqualified.

All determinations as to the completeness or compliance of any Proposal, or as to the eligibility or qualification of any Proposer will be within the sole and absolute discretion of the Department. The Department has the right to waive any of the terms, conditions, and provisions contained in this Request.

### **4.2 Proposal Components and Submission Requirements**

Proposals must be received by the date and time stated on this RFP. A valid Proposal is composed of: (1) Cover Letter, (2) Executive Summary, (3) Technical Proposal, (4) Cost Proposal, (5) Bid Bond, (6) Certification from the “Registro de Licitadores”, and (7) Debt Certificates. Their format and content are described below.

Each Proposer must submit one original, six (6) bound copies and one (1) electronic copy of the Proposal labeled as follows:

- Proposers Name
- Address
- Telephone and Fax Numbers
- E-mail

The Cover Letter and each of the pages of the original bound Proposal must be signed and initialed by the representative of the Proposer who is authorized to bind the Proposer.

Proposers have the responsibility to notify the Department of any change of representative, address, telephone or fax number or any other change to the Proposers organization or legal status that occurs at any time during the proceeding of this Request.



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### **4.3 Cover Letter**

The Proposal must include a Cover Letter written on the Proposers letterhead. The Cover Letter must contain: (1) an executive summary of the Proposal; and (2) the Authorized Representative's name, address, e-mail address, and telephone and fax numbers, as well as the name of the person who may be contacted during the period of Proposal evaluation, if different. It must also includes the following:

- (i) A statement indicating that the prime vendor will be the prime contractor for all activities and that all other participant shall be designated as subcontractors.
- (ii) Identification of all proposed subcontractors and a brief description of their roles. All subcontractors will be subject to approval by the Department. Prior to contract execution, the successful Proposer will be required to furnish the corporate or company name and the name of the officers and principals of all subcontractors. Notwithstanding any such approval by the Department, the successful Proposer shall itself be solely responsible for the performance of all work set forth in any contract resulting from this RFP, and for compliance with costs and other terms provided in the contract. The successful respondent shall cause the appropriate provisions of its Proposal and the contract to be inserted in all subcontracts.
- (iii) Acknowledgement of receipt of this RFP and, if applicable, all amendments to this RFP.
- (iv) Certification that the information provided in the Proposal has been reviewed for accuracy and completeness.
- (v) Stipulation that the Proposal will remain valid for one hundred twenty (120) days from the Proposal due date.
- (vi) Confirmation that no cost information has been included in the technical Proposal.
- (vii) A statement that the prime vendor and all it subcontractors have no conflict of interest that could influence the performance on the model contract or the cost of services provided and will not employ, in the performance of the contract, any person having such conflict.
- (viii) A statement that the person signing the Proposal is duly authorized to bind the prime vendor to the pricing, resources and services described in the Proposal.



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The executive summary should present the prime vendor approach, staffing overview, and key issues and success factors.

The representative who is authorized to bind the Proposer (the “Authorized Representative”) must initial each page and sign the Cover Letter. The signatures must be in ink. Stamped signatures or seals will not be accepted.

#### **4.4 Technical Proposal**

The Technical Proposal should incorporate all applicable objectives, limitations, terms, conditions and requirements set forth in this Request. The Technical Proposal content should be organized as follows:

- Qualifications.
- Description of the Proposed Solution.
- Project Approach.

##### **4.4.1 Qualifications**

The Proposer should include information about itself and for any subcontractor it will use.

- ORGANIZATION INFORMATION
  - a. Entities' Name.
  - b. Type of organization (i.e. corporation, partnership, joint venture).
  - c. A brief overview of the organization, time in business, number of employees, and primary services offered.
  - d. A Proposed Project Management Plan, including all major points of contact and the proposed overall management structure.
  - e. Provide names, experience, and academic credentials of company personnel that would be assigned to the project.
- FINANCIAL INFORMATION
  - a. Describe the financial condition. Include most recent audited financial statements.



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- RELEVANT EXPERIENCE AND REFERENCES
    - a. Provide names of clients (at least three) to which the Proposer has provide the services required in this RFP.
    - b. The timeframe of the referenced engagement.
    - c. The magnitude of the work performed in terms of staff-hours, revenue or other relevant measures.
    - d. The name, telephone number and e-mail address of a key contact person who was directly involve in the engagement and can provide first-hand answers to questions about Proposer or subcontractors performance.

#### **4.4.2 Description of the Proposed Solution**

The proposed Solution section should provide a detailed description of the services proposed. This section has been structured to facilitate consistent structure in all Proposals. Proposers are encouraged to expand their response to provide a full understanding of all value components of their Solution. The Department will attempt to evaluate each Proposal to accurately determine its true value. Concise, accurate, and easy to understand presentations will facilitate this goal.

- A statement confirming that the Proposer will provide, at a minimum, the services requested in this RFP.
- A clear and concise summary of the software components that comprise the Solution. This section should provide the name of each major software component, its manufacturer and software version.
- A brief description of the Proposers vision for using the Solution's functional capabilities to achieve the requirements described in this RFP. This description should demonstrate the Proposer understanding of the Department's needs and the ability to creatively merge disparate systems into a cohesive integrated system. Proposers are encouraged to reference previous experiences with other clients that are relevant to the requirements of this RFP.
- A clear and concise explanation of all specific assumptions underlying the Proposers approach.
- A clear technical detail of the proposed solution with a breakdown of transaction flow, network topology, software and/or web services involved.



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#### **4.4.3 Project Approach**

The Project Approach must include descriptions of tasks, deliverables, Proposer and subcontractor responsibilities, Department responsibilities, proposed staffing levels and project time schedule. If Proposer becomes the winning Proposer, the information provided in these sections will be the basis for the development of a project plan. The Proposal must include:

- Target Dates – The Department has determined that the project should be completed within **5 months** from the signature of the contract. Proposer must include reasonable interim target dates that support the completion of the project in the desired time frame.
- Project Team – The Department will assign one project manager and will appoint a project executive committee to represent the Department's interests.
- The Department project manager may be either an employee of the Department or a consultant retained by the Department to perform this role.
- This section of the Proposal must include:
  - An organizational chart for the project that identifies the principal individuals assigned to this project. In addition, the chart should indicate projected staffing levels for the project.
  - A clear description of the working relationship between the Proposers team and the client.
- Detailed Work Plan – This section of the Proposal must present a detailed work plan that specifies:
  - All major tasks required for the successful completion of this project, the objectives of the tasks and the Proposers approach to executing them.
  - A staff-day estimate, by labor category for each task.
  - A concise description of each of the deliverable, work product, or completion criteria for each task and deliverable acceptance criteria.
  - Resources required from the Department.
  - Assumptions used to formulate the timeframe and the staffing level for the task.
- Technical Assumptions – This section must present the major assumptions of the Proposer in developing the technical solution as well as a risk



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assessment of the risks that may affect the timely completion of the project.

- Testing – This section must include detailed descriptions of:
  - Proposers testing methodology.
  - The level of detail incorporated into Proposers testing methodology.
  - The procedures used to identify, report and resolve problems that arise during testing.
  - Resources required from the Department to maintain the environment.
- Project Management and Quality Assurance – This section should present a detailed discussion of Proposers approach to the management of the project and quality assurance of the deliverable and the Solution. The section must address:
  - Project status reporting
  - Access required to the Department staff
  - Issue reporting, resolution and escalation process
  - Project risks management
  - Project control documentation
  - Sign-off procedures to obtain the Department acceptance of deliverables and completion of milestones
  - Procedures for negotiating and executing change orders
  - Test plans to be used in assuring functional compliance of the Solution

#### **4.5 Cost Proposal**

The Cost Proposal must be submitted separately from the Technical Proposal. It should be organized to provide detailed information on the price for the solution and payment terms. The Cost proposal must have a separate section for Services and another for Software. However, the software costs must include the following services:

- Cost of installation and configuration of the software solution.
- 20 seats training costs to cover the installation, configuration and operation of the software tools



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- 20 seats training costs to cover web development fundamentals
  - 20 seats training costs to cover SQL fundamentals
  - Documentation costs
  - Cost of software subscription to cover upgrades and new releases for one year

#### **4.6 Bid Bond**

Each Proposer must submit a Bid Bond in accordance with Section 2.11.

#### **4.7 Certification from the “Registro de Licitadores”**

Each Proposer must submit a Certification from the “Registro de Licitadores” in accordance with Section 2.13.



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## **5 Proposal Evaluation**

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### **5.1 Evaluation Committee**

All Proposals received in response to this Request will be evaluated in the sole and absolute discretion of the Department.

Proposals will be evaluated by the Department's Evaluation Committee. The Evaluation Committee may use the services of technical professionals, as they may deem appropriate, for the Technical Proposal evaluation.

### **5.2 Proposal Completeness and Compliance with Request**

All Proposals will be reviewed for completeness and compliance with the terms and conditions of this Request. The Department may at any time exclude any Proposal it deems, in the exercise of its sole and absolute discretion, to be incomplete or to not comply with this Request. The Evaluation Committee will determine whether each of the following Minimum Objective Requirements are met:

- Timely Submission of Proposal
- Compliance with Submission Requirements
  - Cover Letter
  - Bid Bond
  - Certification from the "Registro de Licitadores"

Proposals meeting the above Minimum Objective Requirements will then be evaluated on a qualitative basis as stated below.

### **5.3 Supplemental Information**

At any time and from time to time after the receipt of Proposals, the Department may, at its sole and absolute discretion, give written notice to the Proposer to furnish additional materials, clarifications, or confirmations to supplement any Proposal or to meet with designated representatives of the Department to discuss or clarify its Proposal. Proposers may also be asked to make presentations and demonstrations.

The Department may also prepare a written interpretation of any aspect of any Proposal and seek the Proposers acknowledgment of that interpretation.



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All such supplemental information will be considered part of the Proposal. However, Proposers will not be entitled to change or amend their Proposals after the Proposal Due Date.

A Proposer may not communicate with the Department or request information regarding any Proposal or this Request, except in response to a request from the Department. Any prohibited communication, at the discretion of the Department, could disqualify the Proposal.

#### **5.4 Investigation**

With the submission of a Proposal, the Proposer consents that the Department investigate any and all information with respect to any Proposer or its Proposal. The results of any investigation may be considered in the evaluation of the Proposal and need not be disclosed to the Proposer prior to the selection of a Proposal, if any is selected.

#### **5.5 Basis for Award**

The Proposals will be evaluated on a qualitative basis based on the information (including, without limitation, supplemental information) provided, received, or obtained in accordance with this Request, and applying the applicable preferences, requirements, and prohibitions stated in this Request.

The Department will select the Proposal(s) that it deems to provide the best overall value to the Government of the Commonwealth of Puerto Rico and the Department, taking into account all of the requirements contained in this Request.



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## **6 Negotiation and Selection of Preferred Proposal**

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### **6.1 Proposal Negotiations**

Once the Department determines that one or more Proposals, if any, are complete and acceptable, the Evaluation Committee may, in the exercise of its sole and absolute discretion, discuss with the Proposers whose Proposals have been deemed to be complete and acceptable (the Finalist Proposers or Finalist Proposals).

At the discretion of the Department, each Finalist Proposer may be invited to assist to one or several private meetings with the Evaluation Committee, to discuss any of the aspects of the Proposal. The content and extent of the discussions between the Evaluation Committee and each Proposer will be determined by the Evaluation Committee based on the facts and circumstances specific to each Proposal.

The Evaluation Committee:

- Shall establish the methods and schedule for such discussions as well as adequate measures to maintain the meetings under control;
- May try to clarify any doubts related to the Proposal or otherwise clarify its terms and conditions;
- Shall keep a record of the date, hour, place, and purpose of the discussions and the persons who were present;
- Shall after each interview or meeting with a Proposer, the Evaluation Committee draw up a memorandum, which will include all the important elements of the interview, or meeting. The memorandum will be part of the file of the process;
- May require the Proposer to submit in writing any clarification to the Proposal as requested;
- May hold that the discussions and negotiations may take place in whole or in part through written communication with no meetings or interviews in person, at the discretion of the Evaluation Committee;
- May select a Proposal or a combination of Proposals without the need for any further discussions or negotiations with any Proposer.

### **6.2 Proposal Selection**

An award, if any, under this Request will be made to the Proposer(s) whose Proposal(s), in the aggregate, are determined to provide the best overall value to the Government of the Commonwealth of Puerto Rico and the Department taking into consideration all of



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the evaluation criteria contained in this Request and which best meet the applicable objectives of this Request considering all information (including, without limitation, supplementary information), applicable technical and price considerations, and other evaluation criteria described in the Request.



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## **7 Terms and Conditions**

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### **7.1 Minimum Contract Requirements**

This section contains the provisions that will be included, as minimum, in the contract with the selected Proposer or Proposers.

#### **7.1.1 Proposal Provisions**

Proposers should be prepared to incorporate the provisions of this Request, the terms of the Proposal and other written representations submitted with the Proposal. Failure to so incorporate these provisions could result in the cancellation of the selection and award. Other provisions will be included as part of the Contract. Acceptance of the terms and conditions outlined in this section shall be a condition precedent to the award of the Contract.

#### **7.1.2 Performance Bond**

The Department could require a Performance Bond to the Selected Proposer.

#### **7.1.3 Penalties**

The Department will execute the Performance Bond of any Contractor that does not comply with its Contract. Non compliance may include:

- Project delays
- Software products that fail to meet the technical and functional requirements
- Failure to comply with technical capabilities of the EAI tool
- Breach of confidentiality of user or Department's information
- Project Audits

The Department will revoke the Contract to a Contractor that incurs in breach of any of the terms and conditions of the Contract. In addition to any other remedies that the Department may have in law or in equity, any merchandise or service, object of said breach, that must be obtained from another supplier and the surcharge, if any, that has to be paid by the Department, will be charged to the Contractor.



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#### **7.1.4 Government Ethics Law**

No officer or public employee can be part of or have any interest in the earnings or benefits as a result of a Contract with any other executive agency or governmental dependency unless the Governor, prior a recommendation from the Secretary of the Treasury and Secretary of Justice, expressly authorizes it. A Contract can only be executed without requesting and obtaining the Governor's authorization as defined in this paragraph, only when the Contract is for an amount less than \$3,000.00 and it does not occur more than once a fiscal year.

#### **7.1.5 Administrative Bulletin Number OE-1991-24**

All Contracts will include a clause under which the Contractor certifies and guarantees that at the date of execution of the Contract it does not owe taxes to the GCPR and, if applicable, that it has filed its income tax returns as required by Administrative Bulletin Number OE-1991-24, issued on June 18, 1991.

#### **7.1.6 Puerto Rico Court Jurisdiction and Governing Laws**

The Contract will be governed by and interpreted under Puerto Rico Law.

### **7.2 Confidentiality Requirements**

In performing the services described in this RFP, the Successful Proposer will have access to data, documents, and other information that is considered to be Confidential. The Department will require that the Successful Proposer, its Business Affiliates, Business Partners, and sub-contractors will make their best efforts to ensure the privacy and confidentiality of confidential information.

To support this requirement, the Department will require that all staff members working either directly or indirectly for the Successful Proposer will sign a Non-Disclosure Agreement.

If a staff member working either directly or indirectly for the Successful Proposer compromises the confidentiality of any information obtained as part of this project, the Department may, at its sole discretion, direct the Successful Proposer to immediately remove the employee in question from the project.



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## **8 Other Terms, Conditions and Disclaimers**

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The following terms, conditions and disclaimers apply to each Prospective Proposer, Finalist Proposer, Selected Proposer, Contractor or any other firm, entity or person that receives this Request from any of the foregoing (each a “Proposer”) with respect to this Request or any response thereto.

1. The furnishing of the information contained in the Documents must not create or be deemed to create any obligation or liability on the part of the Department or the Agencies part of the Evaluation Committee or any of the officers, employees, agents, advisors or representatives of either of them, for any reason whatsoever, and each Proposer, by submitting a Proposal, expressly agrees that it has not relied upon the foregoing information, and that it must not hold the Department, the Evaluation Committee or any of the officers, employees, agents, advisors or representatives of either of them liable or responsible therefore in any manner whatsoever.
2. The Documents are not, and do not contain a commitment to select a Proposal, purchase or to get into any Contract or other agreement regarding the Solution.
3. Neither the expression of any person’s interest, nor the submission of a Proposal, nor the acceptance thereof by the Department, nor any correspondence, discussion, meetings or other communications between the Proposer and the Department must impose any obligation on the Department to include such person in any such further procedures which the Department may use prior to the final selection of a Proposer, must be deemed to impose any obligation whatsoever on the Department to select the Proposer as the Contractor, to discuss any Proposal which the Proposer may submit, or to enter into negotiations with the Proposer, or must entitle the Proposer to any compensation or reimbursement for any costs or expenses incurred by the Proposer in connection with the expression of the Proposer’s interest and the submission of the Proposer’s Proposal. The Department or the Government of the Commonwealth of Puerto Rico will reimburse no costs of responding to this Request or of attending any subsequent interviews, site visits, or meetings in connection with this project.
4. Neither the furnishing of the Request to the Proposer, nor the submission of any materials, documents, or other information by the Proposer, nor the acceptance thereof by the Department, nor any correspondence, discussions, meetings, or



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- other communications between the Proposer and the Department, nor anything stated by the Department in or at any such correspondence, discussions, meetings, or other communications must be construed or interpreted by the Proposer to mean that the Department has made a determination that the Proposer will be selected as the Contractor nor be deemed to impose any obligations whatsoever on the Department or the Government of the Commonwealth of Puerto Rico (“GCPR”) to compensate or reimburse the Proposer for any costs or expenses incurred in connection with its Proposal.
5. The Department may consult references believed by it to be familiar with the Proposer regarding the Proposers prior operations, development or management of projects, financial condition, past performance, experience, and qualifications, or other matters, whether or not the persons consulted are identified in the Proposal. Submission of a Proposal in response to this Request must constitute permission for the Department to make such inquiries and authorization to third parties to respond thereto.
  6. Any information given to the Department in any Proposal or any correspondence, discussion, meeting, or other communication between the Proposer and the Department before, with, or after the submission of the Proposal, either orally or in writing, may be held as confidential if requested by the Proposer, and the Department, the Evaluation Committee and its Contractors will use their best efforts not to disclose such information to others except as may be required by Puerto Rico or Federal Law. All materials to be kept confidential should be clearly marked as confidential. The Department’s receipt or discussion of any information submitted in a Proposal, including information submitted during discussions after said submittal (including ideas, drawings, or other materials communicated or exhibited) does not, and will not impose any obligations whatsoever on the Department, or entitle the Proposer to any compensation.
  7. Neither the Department nor any officer, agent, representative, advisor or employee thereof must be charged personally by the Proposer with any liability or held liable to it under any term or provision of any of the Documents or any statements made therein.
  8. The Department reserves the right, in its sole and absolute discretion, to disqualify any Proposer or any firm or individual from any phase or component of the selection process, due to felonious or other criminal record in any jurisdiction (domestic or foreign), or for any other reason that would disqualify the Proposer or firm or individual with respect to any desirable security clearances.



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9. Neither Proposer nor any of its respective partners, shareholders, officers, directors, employees, agents, or affiliates must have any right to consent to, be notified of, or respond to, any investigation conducted by, or on behalf of, the Department in connection with any and all information with respect to the Proposer, or its Proposal. Unless specifically requested by the Department, no supplemental information provided by any Proposer will be considered in the evaluation. Proposals, including supplemental information, will become the property of the Department and there must be no obligation to return any information to the Proposer.
10. Debt Certificates. Administrative Bulletin Number OE-1991-24, as amended by Administrative Bulletin Number OE-1992-52, and Treasury's Circular Letter Number 1300-25-98 provides that every person Contracting with a GCPR agency must submit certain documentation certifying that the person does not owe taxes to the GCPR and that it has met its obligations to file Puerto Rico income tax returns. Successful Proposer should be able to submit the following certificates:
- a. Income tax debt certificates,
  - b. Excise tax debt certificates,
  - c. Income tax filing certificate for the last five (5),
  - d. Real and personal property tax for the last five (5) years, and
  - e. Unemployment, Disability, partial Disability and Driver's Insurance (as applicable).

The Department issues certifications (a), (b) and (c). These certifications must be filed even though the Successful Proposer is not engaged in trade or business in Puerto Rico, in which case they would appear as negative debt certificates. (Call (787) 721-2020, Taxpayer Services Division). The Municipal Revenue Collection Center (or CRIM for its Spanish acronym) issues certification (d). (Call (787) 274-8503, Central Office). The Puerto Rico Labor Department issues certification (e).

If the Proposer has a payment plan with respect to a tax debt, evidence should be presented that it is up to date.

In the case of a partnership or joint venture, the above certifications should be obtained for each of the partners or joint ventures, as applicable.



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## **Appendix 1. ARBITRIOS Requirements**

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### ***BACKGROUND INFORMATION***

#### ***Overview of the “Arbitrios” Department***

The “Arbitrios” Department is in charge of the enforcement of the “Arbitrios” Law (Subtitled B) of the Internal Tax Code of 1994, as amended on December 22, 2000. It is responsible to determine the amount of taxes to be applied. This is performed in several steps: Entry, Imposition, Inspection and Release, Liquidation and Revision, in the case of importation.

#### ***Infrastructure Description***

The DOT provides a high-speed switch Enterasys to serve the processing needs of employees at the DOT Headquarters. The Network consists of 1 GBPS backbone with: Two (2) Extrasys 8600 switch for the ground floor and twelve (12) Enterasys 6000 switches, for the other building floors.

The network supports IPX/SPX, TCP/IP, and Ethernet protocols. Currently, DOT maintains all servers in a central computer room. Users are provided Internet access through a shared service used by other Government agencies. This service provides an aggregate bandwidth of 4.5 Mbps to support all Internet traffic. The DOT will prefer to support all servers required by the solution in the current computer room facility for ease of maintenance and security.

The DOT provides client server systems, web-enabled systems and mainframe access for its users. An IBM 390 mainframe running *MVS 2.6* provides mainframe application support. Users access these services by running *Attachmate Extra* terminal emulation sessions on their desktops. *Microsoft Exchange* provides e-mail services and the *Outlook client* provides user access to the service.

The “Arbitrios” Application is accessed through 3270 terminals or *Attachmate Extra* terminal emulation sessions on their desktops under the *CICS/ESA V4.1* system. The database used is *Adabas V7.13* and *Natural V3.15* is the programming language. The application and the database reside in the IBM 390 mainframe machine.



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## ***GENERAL REQUIREMENTS***

### ***Introduction***

This Section describes the general requirements for the solution for WEB enabling the functionalities of selected modules from the “Arbitrios” Application. The “Arbitrios” Department needs to provide this alternative to external organizations and internal users. Access to these modules will be granted based in the Department of the Treasury Data Security Policies and Procedures. The “Arbitrios” application selected modules for Web enabling are: *Vehicles Inquiry, Dealers, Carriers, and IPLE.*

### **Vehicles Inquiry Module**

The Vehicle Inquiry module was designed to inquire vehicles prices. These prices are changed in a monthly basis and are used at the DOT to determine the taxes to be paid. Also, these functionalities permit to update vehicles records and to calculate the estimated taxes for a vehicle.

Daily the DOT receives a lot of calls asking about the amount to be paid in taxes for a specific vehicle. Having this information through the WEB will reduce significantly, phone calls received. This functionality will be available to the general public for inquiries purposes through the WEB.

### **Dealers Module**

This module was designed for Dealers compliance with reporting the vehicle introduction, payment, authorization for release, and the sales reporting through an electronic method. Through this module, data is uploaded and downloaded to the mainframe and in some modules reports are generated. To execute this process, the “Entire Connection” software is used. This communication is executed via modem, in a dial up mode.

The DOT needs to provide dedicated lines to support this process. In occasions, there are more Dealers trying to transfer data than the amount of lines available, affecting the service. Having this functionality through the WEB will eliminate this situation.

### **Carriers Module**



This Module was designed to permit the Carriers compliance with the reporting to the DOT the information related to the shipment introduced to the Island, through an electronic method. Through this module, data is uploaded and downloaded to the mainframe and in some modules reports are generated. To execute this process, the "Entire Connection" software is used. This communication is executed via modem, in a dial up mode.

The DOT needs to provide dedicated lines to support this process. In occasions, there are more Carriers trying to transfer data than the amount of lines available, affecting the service. Having this functionality through the WEB will eliminate this situation.

### **IPLE Module**

This Module was designed to permit the "Brokers" and other Taxpayers generate the tax declaration and the respective payment, through an electronic method. Through this module, data is uploaded and downloaded to the mainframe and in some modules reports are generated. To execute this process, the "Entire Connection" software is used. This communication is executed via modem, in a dial up mode.

The DOT needs to provide dedicated lines to support this process. In occasions, there are more Taxpayers trying to transfer data than the amount of lines available, affecting the service. Having this functionality through the WEB will eliminate this situation.

### ***Phase I Scope***

DOT typically structures procurements and executes new initiatives to minimize risks. The implementation of the solution will be divided in two (2) phases. The DOT requires the proposer to propose the full implementation, but the awarded proposer will be contracted for the implementation of Phase I. If the DOT decides to continue with Phase II with the same solution, and deliverables of Phase I are accomplished, the DOT will notify to the selected contractor of Phase I to continue the implementation and will be contracted to do so.

Phase I is composed of the implementation of the following functionalities from the "Arbitrios" Application modules selected for Web-Enabling:

Dealers: "Declaración de Ventas de Vehículos de Motor"

Carriers: "Autorización de Levantes"

Vehicles: "Arbitrios de un Vehículo"



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These functionalities are detailed in the *Technical Requirements Section* of this RFP. The “Arbitrios” Department Director considered these functionalities of most priority for this project. They will provide to external users the ability to perform transactions through the WEB, reducing the visit to the DOT building and will reduce the time those users expend in the customer service area. The “Arbitrios” Department needs to have Phase I available on or before three (3) months upon contract negotiation. The DOT has identified the following minimal deliverables for this phase:

#### Phase I – Deliverables

- ❑ Functionalities required in Phase I available through the WEB and functional.
- ❑ All General, Functional and Technical Requirements are satisfied.
- ❑ The Infrastructure for the development of Phase II should be ready to continue effectively.
- ❑ DOT personnel satisfaction and acceptance.

#### ***Phase II Scope***

Phase II Scope will consist of extending the use of the solution to complete the Web-Enabling of the four (4) “Arbitrios” Application modules, described in the Technical Requirements Section of this proposal.

#### Phase II Deliverables

- ❑ Functionalities required in Phase II available through the WEB and functional.
- ❑ All General, Functional and Technical Requirements are satisfied.
- ❑ DOT personnel satisfaction and acceptance.



### ***Product Scope***

#### *Functionality*

The DOT desires to implement a solution that does not impose complicated features and functionalities to the user. No elements of the solution should compromise the current functionality of the “Arbitrios” offices nor require training of end-users in order to take advantage of the Solution’s functionality.

#### *Rapid and Flexible Integration*

The DOT provides many automated systems to support their mission. It is our intent to utilize components of the solution to add value to other automated systems. DOT will evaluate Proposers’ solution based on their capability to integrate with and flexibility to conform to the DOT application environment.

#### *Scalability*

The DOT will evaluate Proposers’ solution based in the ability to handle growth and expansion into other functional areas.

#### *Non-Proprietary*

**Although many systems and software products rely on major components that are proprietary, DOT will not implement a Solution that relies on major components that are proprietary. Proprietary approaches would severely limit the functional extension of the Solution. Therefore, all proposed solution incorporating major proprietary components would not be considered responsive to this RFP.**



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## ***DETAILED REQUIREMENTS***

### ***Functional Requirements***

The following section provides the functional requirements for the solution proposed. They have been divided in five (5) Areas:

#### ***Training and Knowledge Transfer***

- ❑ The DOT staff (technical and programming) must participate actively during the development of the solution.
- ❑ Transfer of knowledge to the DOT technical and programming staff must occur during the Phase I development.
- ❑ The Proposer must provide formal training in all related areas of the solution to the DOT designated staff and representatives. The training provided must include understanding of the technology, system configuration, system administration, and problem diagnosis and correction. This training must be provided in the DOT premises.
- ❑ DOT requires that trainings be provided by qualified personnel either employed by the Proposer, Business Associate of the Proposer, Business Partner, or Subcontractor of the Proposer.
- ❑ Spanish speaking instructors must provide the training.
- ❑ Proposer must provide training documentation for each training session conducted. This material can be freely used by the DOT.
- ❑ System documentation such as; Users' Manuals, Administrators' Manuals and Technicals' Manuals must be provided to the DOT.



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*Solution Security*

Proposers Solution must incorporate sufficient security features to allow the DOT to develop, implement and enforce multi-level security that is consistent with the confidentiality of the information that will be processed. At a minimum the Proposers security model must provide the following:

- ❑ A single point of security administration that provides control over users access to application, modules and functionalities provided by the solution.
- ❑ A User-Id and password authorization for identification to the WEB. This functionality must permit users to change their password.
- ❑ The capability to generate a security log that captured the details of attempts to access the system, successful logins, logoffs and details of operations performed. The level of detail captures in the security audit log must be configurable by the systems administrator.
- ❑ The capability to administer security on an individual basis, on a role basis and through individual membership in a group.
- ❑ The capability to log users off the system after a pre-determined period of inactivity.
- ❑ Interaction with the security administration that provides control over user access to the “Arbitrios” application modules.
- ❑ Maintain the security controls and functionalities implemented at the DOT.

*Business Continuity Plan*

The Proposer must describe the approach for backups and how the solution would ensure reliable processing, maximum availability, and timely recovery in the event of processing failures.



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*Independence from Prime Contractor and Software Vendors*

The DOT desires to implement a Solution that will provide with flexibility in determining who performs the integration and implementation services. DOT will reserve the right to expand the solution to address additional needs without significant reliance on either the Prime Contractor or other software Vendors that supplies software and products for the Solution. DOT will not implement a Solution that requires the organization to depend exclusively on the technical resource of the Prime Contractor, Business Associate, Business Partners or subcontractors to expand the solution. The Source Codes generated for the solution implementation, will be property of DOT.

*Changes or Development in Main Frame Site*

The DOT prefers to implement a Solution that will not need major changes or major developments to the actual "Arbitrios" application or any other development in Main Frame Site. As a result, the DOT will consider solutions that comply with the following:

- ❑ Utilize the existent "Arbitrios" Application.
- ❑ In the event, that changes to the Arbitrios system are required, they must be minimal and approved by DOT.
- ❑ The solution will interact with the actual "Arbitrios" online system.
- ❑ The "Arbitrios" business rules will be managed by the Actual "Arbitrios" application.
- ❑ Data management will be through the Actual "Arbitrios" application.
- ❑ In the event of programs modifications in the "Arbitrios" application, the changes to the solution should be minimal.



### *General Requirements*

#### *Licensing*

The Proposer must provide at least two (2) distinctive environments for implementation of the solution. These are: Test and Production. Each environment should be configured using separate resources and must be capable of being administered separately.

Proposer licensing shall be enforced only in the production environment. Licensing must not be required for testing environments.

Proposer must agree to use standard change management procedures for development and modification of software components of the solution. These procedures may be either the Proposers upon acceptance of the DOT or developed jointly by the Proposer and the DOT.

#### *Testing Approach and Acceptance Tests*

**Acceptance tests are required to ensure the system implementation as proposed. The Proposer must develop in conjunction with the DOT staff a Test Plan and must conduct acceptance test to Hacienda's users, technical staff and systems administrators. These acceptance tests will ensure system integrity, security, confidentiality, reporting aspects and continuity of services.**

All tests must be conducted in collaboration with Hacienda's Project Manager.

#### *Warranty*

The Proposer must provide a warranty period not less than six (6) months, to fix any defects or problem detected after the production implementation. Also, during this period the Proposer must provide support for any doubts, questions, or misunderstandings of the Solution implemented.



***Technical Requirements***

*Modules for Web Enabling*

The Solution must provide the capability of Web-enabling the functionalities performed through the “Arbitrios” Application screens included in this section and any others required accomplishing with these functionalities. The users identified the following screens, to accomplish the functionalities needed in the WEB. However, some additionally may be required. Copy of the four (4) “Arbitrios” modules screens will be provided to the Proposer selected.

**PHASE I**

Dealers: Declaración de Ventas de Vehículos de Motor

Screen Name	Windows	Screen Messages	Window Natural	Print Reports	Upload/ Download Files
ARBAM800	2	1	3	Yes	Yes
ARBAH800	N/A	N/A	N/A	No	No

Carriers: Autorización de Levantes

Screen Name	Windows	Screen Messages	Window Natural	Print Reports	Upload/ Download Files
ARBIM130	N/A	N/A	N/A	No	No
ARBIM131	N/A	N/A	N/A	No	No

Vehicles: Consulta Arbitrios

Screen Name	Windows	Screen Messages	Window Natural	Print Reports	Upload/ Download Files
ARBAN352	N/A	1	N/A	No	No



**Request for Proposal  
SISCON**

ARBAH050	N/A	N/A	N/A	No	No
ARBAL355	N/A	N/A	N/A	No	No
ARBAM355	N/A	N/A	N/A	No	No

**PHASE II**

IPLE Screens

Screen Name	Windows	Screen Messages	Window Natural	Print Reports	Upload/ Download Files
ARBEM100	2	1	4	Yes	Yes
ARBEM120	1	N/A	N/A	No	Yes
ARBEM180	N/A	N/A	N/A	No	No
ARBEM155	N/A	N/A	N/A	No	No
ARBMM311	N/A	N/A	N/A	No	No
ARBEM145	N/A	N/A	N/A	No	No
ARBTM346	1	N/A	N/A	No	Yes
ARBTM440	1	N/A	N/A	No	Yes
ARBEM163	N/A	N/A	N/A	No	No

Carriers Screens

Screen Name	Windows	Screen Messages	Window Natural	Print Reports	Upload/ Download Files
ARBIM100	2	1	4	Yes	Yes
ARBIM140	N/A	N/A	1	No	No
ARBIM160	1	N/A	N/A	No	Yes
ARBIM130	N/A	N/A	N/A	No	No



**Request for Proposal  
SISCON**

ARBIM131	N/A	N/A	N/A	No	No
ARBIM150	N/A	N/A	N/A	No	No
ARBIM151	N/A	N/A	N/A	No	No
ARBIM100	1	N/A	1	No	Yes
ARBIM185	N/A	N/A	N/A	No	No
ARBIM180	N/A	N/A	1	Yes	No
ARBIM181	N/A	N/A	N/A	No	No
ARBIM186	N/A	N/A	N/A	No	No
ARBIM187	N/A	N/A	N/A	No	No



Dealers Screens

Screen Name	Windows	Screen Messages	Window Natural	Print Reports	Upload/ Download Files
ARBAM800	2	1	3	Yes	Yes
ARBAH800	N/A	N/A	N/A	No	No
ARBAM136	N/A	N/A	N/A	No	No
ARBAM137	N/A	N/A	N/A	No	No
ARBAL825	1	N/A	N/A	No	Yes
ARBAM342	N/A	N/A	N/A	No	No
ARBAH800	N/A	N/A	N/A	No	No
ARBNI150	N/A	N/A	N/A	No	No
ARBAM122	N/A	N/A	1	No	No
ARBAM040	N/A	N/A	N/A	No	No
ARBAH810	N/A	N/A	N/A	No	No
ARBAL834	1	N/A	N/A	Yes	No
ARBAM870	N/A	N/A	1	No	No
ARBAL870	N/A	N/A	N/A	No	No
ARBAM610	N/A	N/A	N/A	No	No
ARBAM625	N/A	N/A	N/A	No	No
ARBAL600	N/A	N/A	N/A	No	No
ARBAM876	N/A	N/A	N/A	No	No
ARBAM635	N/A	N/A	N/A	No	No
ARBAM660	N/A	N/A	N/A	No	No
ARBAM670	1	N/A	N/A	No	Yes
ARBAM070	N/A	N/A	N/A	No	No



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*Printing, upload and download Requirements*

The solution in some of the functionalities must provide the capability of printing information to the end user. Some of the functionalities require to receive (download) information from the mainframe to the PC or to send (upload) information to the Mainframe.