	Alcoholic Beverages and Tobacco (ABT) Electronic Data Submission (EDS) System Upgrade Project – Phase Two
	Department of Business & Professional Regulation Division of Technology 2601 Blairstone Road Tallahassee, FL 32399-0781
Document Number/Name:	**EDS System Upgrade Project - Phase Two – Request For Quote (RFQ)**
Description and Purpose:	The Florida Department of Business and Professional is seeking consulting services for analysis, development and upgrade of the Alcoholic Beverages and Tobacco Electronic Data Submission (EDS) System.

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1 Purpose

The Florida Department of Business and Professional Regulation (the "Department" or "DBPR") is seeking consulting services for analysis, development and implementation to upgrade of the Division of Alcoholic Beverages and Tobacco's (ABT's) Electronic Data Submission (EDS) System. The upgraded EDS system will be designed to work toward eliminating the need for manual entry of required monthly tax reports and to make available critical staff resources that will be devoted to the primary function of auditing licensees regulated by ABT. The enhanced system will speed up the processing time of required monthly tax reports with industry members providing a confirmation in real time that a monthly report has been imported and accepted. The modernized EDS system will also include enhanced revenue operations for cigarette tax stamp management, Indian coupon management, database management, and report generation.

The services requested will be based on Department of Management Services (DMS) State Term Contracts, entitled Information Technology (IT) Consulting Services, numbered 973-561-10-01 (Project Area 1-Analysis and Design and/or Project Area 2-Development and Integration). The Department will provide four full-time employees to assist with this project.

1.1 Background

The EDS system is in limited use by both internal auditing staff and external industry stakeholders of ABT at the Department. A Gap Analysis study was conducted in late 2014, documenting known gaps between the current as-is functionality and the preferred to-be state of the EDS system. As a result of the study, ABT and the DBPR Division of Technology have collaborated on the EDS System Upgrade Project (Project). The Project is guided by the comprehensive review and recommendations achieved by the EDS Gap Analysis. The Project has been organized into two phases: (1) Phase One, which will be completed by June 2016, focuses on documenting detailed business requirements and functional designs which serves as the foundation for system development; and (2) Phase Two will utilize the requirements and designs from Phase One to complete an expedited system development initiative for the EDS system. This RFQ covers Phase Two of EDS System Upgrade Project.

- The EDS system was developed utilizing Microsoft .NET 2.0 framework with a primary programming language of C#, ASP.NET and resides on a Microsoft SQL Server 2005 database platform utilizing SQL Server Integration Services (SSIS) and SQL Server Report Services (SSRS). The presentation layer contains approximately 545 code files and 72 web files utilizing HTML 4, CCS 3.0, JQuery, AJAX and a substantial amount of client side JavaScript. The code base is represented in a development, test and production environment.
- Although the information exchanged on the EDS is open to public record laws, careful consideration has been made for user security and access control.
- The EDS Application Architecture is comprised of separate, logical applications layers. This makes maintaining the code easier by allowing for reuse between the Web Interface and Batch Upload Interface, and provides the framework to potentially increase scalability by separating functions across separate servers.
- EDS's core code currently operates within the internal DBPR network.

2 Statement of Work

2.1 Purpose

DBPR requires consulting services to assist in the implementation and upgrade of the EDS system. The Vendor will utilize the business requirements (See Attachment A - EDS Business Requirements Summary) to develop and implement the system upgrades to the EDS system. Tasks will include, but are not limited to writing design documentation, writing C# .Net code, developing SSIS batch processes, report development using SSRS and/or Crystal Reports, developing C# .NET web applications, writing SQL Server stored procedures, performing unit testing, updating documentation as needed, designing a data warehouse and implementing responsive web design.

2.2 Scope of Work

The selected Vendor(s) will perform the following tasks, working with the DBPR's Division of Information Technology and ABT:

- Create technical specifications (implementation) to address the approved business requirements (see Attachment A - EDS Business Requirements Summary)
- Application and technical documentation as required by DBPR
- Build out and implementation of all business requirements included in Attachment A - EDS Business Requirements Summary.
- Assist DBPR staff with user testing
- Full production implementation of all EDS system upgrades.

2.3 Tasks

Deliverable # (Section 2.3)	Task Name	Estimated Total hours per Task	Work Completed/ Month	Planned Start	Planned Finish
	Month: August, 2016		**960**	**Mon 8/1/2016**	**Wed 8/31/2016**
1	5.2.5 - 5.2.7 Technical Design document for Code enhancement and security requirements	40	40	Thu 8/4/2016	Mon 8/8/2016
2	5.2.5.1 - File handling and security	280	280	Mon 8/8/2016	Tue 8/16/2016
	5.2.5.2 - Large report submission handling	400	400	Tue 8/16/2016	Fri 8/26/2016
	5.2.5.3 - Refined save process	400	240	Fri 8/26/2016	Wed 8/31/2016
	Month: September, 2016		**960**	**Thu 9/1/2016**	**Fri 9/30/2016**
	5.2.5.3 - Refined save process	400	160	Thu 9/1/2016	Wed 9/7/2016
	5.2.5.4 - Reflection avoidance	280	280	Thu 9/8/2016	Thu 9/15/2016
	5.2.5.5 - Web Form pre-edits centralization	280	280	Thu 9/15/2016	Fri 9/23/2016
	5.2.5.6 - Inline JavaScript recoding	280	240	Fri 9/23/2016	Fri 9/30/2016
	Month: October, 2016		**1,000**	**Mon 10/3/2016**	**Mon 10/31/2016**
	5.2.5.6 - Inline JavaScript recoding	280	40	Mon 10/3/2016	Mon 10/3/2016

Deliverable # (Section 2.3)	Task Name	Estimated Total hours per Task	Work Completed/ Month	Planned Start	Planned Finish
	5.2.5.7 - Responsive web design implementation	280	280	Tue 10/3/2017	Tue 10/11/2016
	5.2.5.8 - Replacement of synchronous processes with asynchronous processes	280	280	Tue 10/11/2016	Wed 10/19/2016
	5.2.7.1.1 - Creation of additional administrative functions for user access control	60	60	Wed 10/19/2016	Thu 10/20/2016
	5.2.7.1.2 - Establishment of role based permissions	60	60	Thu 10/20/2016	Fri 10/21/2016
	5.2.7.2.1a - External user access account modifications	280	280	Fri 10/21/2016	Mon 10/31/2016
	Month: November, 2016		**964**	**Tue 11/1/2016**	**Wed 11/30/2016**
	5.2.7.2.1b - Web interface for FTP submittal and error handling	60	60	Tue 11/1/2016	Tue 11/1/2016
	5.2.7.3.1 - Batch Upload Enhancement	280	280	Tue 11/1/2016	Wed 11/9/2016
	5.2.7.3.2 - Securing users' credentials for SFTP transmission	60	60	Wed 11/9/2016	Thu 11/10/2016
	5.2.7.4.1 - Business Entity import role creation	60	60	Thu 11/10/2016	Mon 11/14/2016
3	Technical Design document for 6.2.1 - 6.2.3: Implement Tax Reporting Enhancement Requirements	40	40	Mon 11/14/2016	Wed 11/16/2016
4	6.2.1.1 & 6.2.3.2 - Enabling printing and/or exporting of tax reports	280	280	Wed 11/16/2016	Thu 11/24/2016

Deliverable # (Section 2.3)	Task Name	Estimated Total hours per Task	Work Completed/ Month	Planned Start	Planned Finish
	6.2.1.3 - Wine Manufacturer's Report modifications	280	184	Thu 11/24/2016	Wed 11/30/2016
	Month: December, 2016		**1,046**	**Thu 12/1/2016**	**Fri 12/30/2016**
	6.2.1.3 - Wine Manufacturer's Report modifications	280	96	Thu 12/1/2016	Fri 12/2/2016
	6.2.1.4 - Changes to Sales Persons handling on alcohol distributor's form	60	60	Fri 12/2/2016	Mon 12/5/2016
	6.2.1.6a - Beer Price Posting requirements	80	80	Mon 12/5/2016	Wed 12/7/2016
	6.2.1.6b - Direct wine shipments form requirements	120	120	Wed 12/7/2016	Fri 12/9/2016
	6.2.1.7 - Discount allowance criteria on all forms	280	280	Fri 12/9/2016	Mon 12/19/2016
	6.2.1.8 - Alternatives to manually entering product transaction details	760	410	Mon 12/19/2016	Fri 12/30/2016
	Month: January, 2017		**1,058**	**Mon 1/2/2017**	**Tue 1/31/2017**
	6.2.1.8 - Alternatives to manually entering product transaction details	760	350	Mon 1/2/2017	Tue 1/10/2017
	6.2.1.9 & 6.2.3.3 - Formatting of transaction summaries	60	60	Tue 1/10/2017	Wed 1/11/2017
	6.2.1.10 - Fix Negative tax submission error	8	8	Wed 1/11/2017	Wed 1/11/2017
	6.2.1.14 - Validation Search screen changes	60	60	Wed 1/11/2017	Thu 1/12/2017
	6.2.1.17 - Role based function to delete payment data on validation screen	60	60	Thu 1/12/2017	Mon 1/16/2017

Deliverable # (Section 2.3)	Task Name	Estimated Total hours per Task	Work Completed/ Month	Planned Start	Planned Finish
	6.2.1.19 - Redesign of validation screen (perhaps database)	280	280	Mon 1/16/2017	Tue 1/24/2017
	6.2.2.1 - Automatic carry-over of physical, book or actual inventory	60	60	Tue 1/24/2017	Wed 1/25/2017
	6.2.3.1 - Enabling sorting and inline editing	280	180	Wed 1/25/2017	Tue 1/31/2017
	Month: February, 2017		**960**	**Wed 2/1/2017**	**Tue 2/28/2017**
	6.2.3.1 - Enabling sorting and inline editing	280	100	Wed 2/1/2017	Thu 2/2/2017
5	Technical Design document for 6.3.1-6.3.3 Implement Audit and cross-checking module	40	40	Thu 2/2/2017	Mon 2/6/2017
6	6.3.1.2 - Auditor's report and summary generated in EDS	60	60	Mon 2/6/2017	Tue 2/7/2017
	6.3.1.3 - Expand the EDS Audit management Proof of Concept	860	760	Tue 2/7/2017	Tue 2/28/2017
	Month: March, 2017		**913**	**Wed 3/1/2017**	**Tue 3/28/2017**
	6.3.1.3 - Expand the EDS Audit management Proof of Concept	860	100	Wed 3/1/2017	Fri 3/3/2017
	6.3.1.1 - EDS data available to auditors via laptop (including exception lists)	60	60	Wed 3/1/2017	Thu 3/2/2017
	6.3.1.6 - Generation of audit assessment/summary for signature and collection with management approval workflow	60	60	Thu 3/2/2017	Mon 3/6/2017

Deliverable # (Section 2.3)	Task Name	Estimated Total hours per Task	Work Completed/ Month	Planned Start	Planned Finish
	6.3.1.7 - Generation and management/tracking of notification letters (by assessment type)	60	60	Mon 3/6/2017	Tue 3/7/2017
	6.3.2.1 - Automation of cross-checking of Tax Report entries	280	280	Tue 3/7/2017	Wed 3/15/2017
	6.3.2.2 - Leveraging data warehouse online analytical processing	200	200	Wed 3/15/2017	Tue 3/21/2017
	6.3.3.1 - Creating audit assignment "prospecting"	15	15	Tue 3/21/2017	Tue 3/21/2017
	6.3.3.3 Audit tracking and review (assignment through completion and collection)	15	15	Tue 3/21/2017	Tue 3/21/2017
	6.3.3.4 - Compliance audit tracking	60	60	Tue 3/21/2017	Thu 3/23/2017
	6.3.3.5 - Calculation of penalties, interest and payment plans	15	15	Thu 3/23/2017	Thu 3/23/2017
	6.3.3.7 - Recording of comments	8	8	Fri 3/24/2017	Fri 3/24/2017
7	6.4.1-6.4.3 Technical Design document for stamps management, tax credits and payment options	40	40	Fri 3/24/2017	Tue 3/28/2017
	Month: April, 2017		**868**	**Mon 4/3/2017**	**Fri 4/28/2017**
8	6.4.1.1 - Calculation of remaining inventory balance and trigger re-orders of stamps as needed	280	280	Mon 4/3/2017	Tue 4/11/2017

Deliverable # (Section 2.3)	Task Name	Estimated Total hours per Task	Work Completed/ Month	Planned Start	Planned Finish
	6.4.1.2 - Calculate number of Indian Coupons to be issued based on tribe population data	60	60	Mon 4/3/2017	Thu 4/6/2017
	6.4.2.1 - Automate credit usage	240	240	Thu 4/6/2017	Thu 4/13/2017
	6.4.2.2 - Automatic credit close-out	240	240	Thu 4/13/2017	Thu 4/20/2017
	6.4.3.1 - Interface to payment system (Dept. of Revenue)	8	8	Thu 4/20/2017	Fri 4/21/2017
9	6.5.1-6.5.4 Technical Design document for Administrative functions, customer reports and batch processing	40	40	Fri 4/21/2017	Mon 4/24/2017
	Month: May, 2017		**547**	**Mon 5/1/2017**	**Fri 5/12/2017**
10	6.5.1.1 - Creating ability to format system messages	60	60	Mon 5/1/2017	Tue 5/2/2017
	6.5.1.2 - Creating administrative screen to manage breakage/spoilage designations for beer	100	100	Tue 5/2/2017	Thu 5/4/2017
	6.5.1.3 - Fix issue with changing license number	100	100	Thu 5/4/2017	Mon 5/8/2017
	6.5.1.4 - Creating confirmation emails for report submission	60	60	Mon 5/8/2017	Tue 5/9/2017
	6.5.2.1 - Creating end of month exception reports	40	40	Tue 5/9/2017	Wed 5/10/2017
	6.5.2.2 - Creating "Saved but not Submitted" reports	8	8	Wed 5/10/2017	Wed 5/10/2017

Deliverable # (Section 2.3)	Task Name	Estimated Total hours per Task	Work Completed/ Month	Planned Start	Planned Finish
	6.5.2.3 - Creating payment missing reports	16	16	Wed 5/10/2017	Thu 5/11/2017
	6.5.2.4 - Creating 25-50 additional custom reports	60	60	Thu 5/11/2017	Fri 5/12/2017
	6.5.4.1 - Creation of system help (tax reporting/navigating, etc.)	8	8	Fri 5/12/2017	Fri 5/12/2017
	6.5.4.2 - Creating of "How To's"	25	25	Fri 5/12/2017	Fri 5/12/2017
	6.5.4.3 - Creating Frequently Asked Questions and tutorials	40	40	Fri 5/12/2017	Mon 5/15/2017
	6.5.4.4 - Reviewing and updating existing help content	30	30	Mon 5/15/2017	Tue 5/16/2017
	Total Project Hours		**9,276**		

2.4 Deliverables

Table 1: Deliverables			
No.	**Deliverable**	**Acceptance Criteria**	**Estimated Hours to complete**
1	5.2.5 - 5.2.7 Technical Design document for Code enhancement and security	Design document will include the necessary information from which all functional and non-functional requirements will be implemented. Document will be reviewed and signed off on by the system project administrator.	40
2	Completed implementation of all requirements in module 5.2.5 - 5.2.7	All requirements in the business requirements have been implemented, tested and signed off on by ABT	3340
3	6.2.1 – 6.2.3 Technical Design document for Tax Reporting Enhancements	Design document will include the necessary information from which all functional and non-functional requirements will be implemented. Document will be reviewed and signed off on by the system project administrator.	40
4	Completed implementation of all requirements in module 6.2.1 - 6.2.3	All requirements in the business requirements have been implemented, tested and signed off on by ABT	2668
5	6.3.1-6.3.3 Technical Design document for Audit and cross-checking module	Design document will include the necessary information from which all functional and non-functional requirements will be implemented. Document will be reviewed and signed off on by the system project administrator.	40
6	Completed implementation of all requirements in module 6.3.1-6.3.3	All requirements in the business requirements have been implemented, tested and signed off on by ABT	1693

Table 1: Deliverables			
No.	**Deliverable**	**Acceptance Criteria**	**Estimated Hours to complete**
7	6.4.1-6.4.3 Technical Design document for stamps management, tax credits and payment options	Design document will include the necessary information from which all functional and non-functional requirements will be implemented. Document will be reviewed and signed off on by the system project administrator.	40
8	Completed implementation of all requirements in module 6.4.1-6.4.3	All requirements in the business requirements have been implemented, tested and signed off on by ABT	828
9	6.5.1-6.5.4 Technical Design document for Administrative functions, customer reports and batch processing	Design document will include the necessary information from which all functional and non-functional requirements will be implemented. Document will be reviewed and signed off on by the system project administrator.	40
10	Completed implementation of all requirements in module 6.5.1-6.5.4	All requirements in the business requirements have been implemented, tested and signed off on by ABT	547

Exhibit 1 - Deliverables Table

2.5 Project Constraints

- Project must be completed on or before June 30, 2017.
- Project funding is contingent upon the submission of the operational work plan or project plan by DBPR.
- Deliverables must be provided within the funding provided; no additional funding is available.

3 Services

3.1 Services Provided by the Department

To assist in the successful delivery of services the Department will provide the following:

- Workspace, network access and a computer workstation
- Direction and approval for completion of tasks and deliverables, including timeframes, shall be provided and overseen within the Division of Technology by David Cantrell; System Project Administrator
- The Department shall provide 3 full-time employees to assist with this endeavor
- The Department shall provide the Vendor with the Department approved Project Timesheet (see Exhibit 1 section 4.3). The Vendor's existing timesheet may be used upon Project Manager's approval.
- Steve Mulkey, Project Manager will be responsible for obtaining approvals of all tasks, activities and deliverables.

3.2 Services Provided by the Vendor

The Vendor shall provide a number of temporary employee(s) to provide development duties listed below. The Department's preference is Vendor employees be located onsite at Department headquarters located at 2601 Blairstone Road, Tallahassee, FL 32399, during normal business hours, unless otherwise approved by the Department. Normal business hours are defined as Monday through Friday, 8 AM to 5 PM, Eastern Standard Time (EST), excluding State of Florida observed holidays. The Vendor's staff will report to David Cantrell, System Project Administrator.

The Vendor shall provide staff that meets the following minimum criteria: *(The Vendor is not limited to a single staff member that has all required experience but, must be able to provide sufficient staff members so that all areas of experience are covered.)*

- Documented experience in the following languages and technologies: C#, ASP.NET, JQuery, and JavaScript.
- Microsoft SQL Server 2005 database platform experience
- SSIS and SSRS experience
- Crystal Report experience
- Data warehouse design experience
- Responsive web design experience
- System analysis

3.3 Vendor Responsibility

At a minimum, the Vendor shall:

- Fully test and comment application code to be implemented in the production environment
- Code and unit test C # .Net deliverables
- Code and unit test SQL server stored procedures
- Provide application and technical documentation as required by the Department
- Transfer of knowledge to the Department's staff regarding the system referenced in the Scope of Work, including technical knowledge related to the systems separation process, determined to be acceptable by the Department
- Responsible for all deliverables documented in the deliverables section of this document

3.3.1 Reporting

The Vendor shall provide progress/status reports to the Project Manager every Friday by 5:00PM EST via email, unless otherwise directed by the Department. The Report shall include date, requirement name, description of assignment/requirement, number of hours worked, and hours billed for each task accomplished during the week. In addition, the report is to include at a high level task list for the following week, and any project risks or issues identified. The Vendor's existing reporting structure may be used upon Project Manager's approval.

3.3.2 Monitoring

The Department will evaluate and monitor the Vendor's performance on a daily and weekly basis through on-site supervision through the Vendor's participation in meetings; provision of service requirements; and desktop reviews of the employee timesheets and weekly progress/status reports.

4 Method of Payment

4.1 Payment Clause

This is a fixed rate Purchase Order (PO). The Department shall pay the Vendor monthly for the delivery of completed tasks provided in accordance with the terms of the PO and all attachments thereto for a total dollar amount not to exceed $1,239,780, subject to the availability of funds.

The Department agrees to pay for service units at the price(s) and limits listed in Attachment B.

4.2 Invoicing

The Vendor shall submit a properly completed invoice (see below) to the Contract Manager, Natalie Lowers, Government Analyst I, no later than the 15th day of the month following the month for which payment is requested. The Contract Manager shall approve and submit for payment of all invoices, based on prior approval from the Project Manager of the completion of scheduled specified requirements/deliverables and completed timesheets.

4.3 Invoice Example

DBPR Invoice for EDS Upgrade Project					
Vendor:					
Invoice Date:					
Invoice Number:					
Purchase Order Number:					
Completed Task Name	**Total Hours worked on Task**	**Task Start Date**	**Task Finish Date**	**Staff Working on Task**	**Hourly Rate**
Invoice Total					
Approved By	**Signature**				**Approved Date**
David Cantrell, EDS Team Lead					
Steve Mulkey, EDS Project Manager					

Exhibit 2 - Invoice Example

4.4 Supporting Documentation

Invoices shall be accompanied by properly completed timesheets (see Section 4.5).

4.5 Project Timesheets

The Vendor shall provide evidence of number of hours completed and tasks worked on during a reporting period using a DBPR provided or approved project timesheet (see exhibit 2). The Project Timesheet will include Date, hours worked, the requirement ID (from Attachment A) and the requirement details; this must be signed by the employee, and approved by the project team lead and Project Manager or designee.

Date	Hours Worked		Total Hours	Requirement ID	Requirement Detail
	Reg	OT			
8/1/2016					
8/2/2016					
8/3/2016					
8/4/2016					
8/5/2016					
8/6/2016					
8/7/2016					
8/8/2016					

Exhibit 3 – Example Timesheet

4.6 Financial Consequence

Failure to complete the project in accordance with the business requirements (See Attachment A) and in particular, as specified in Section 2, Statement of Work, will result in substantial injury to the Department and damages arising from such failure cannot be calculated with any degree of certainty. Therefore, it is hereby agreed that if the services/items are not timely and satisfactorily performed, and the parties agree to a corrective action plan, but the Vendor then fails to comply with the approved corrective action plan, the Vendor(s) shall be assessed a penalty equal to 3% of the PO amount each business day until the non-compliance is resolved. If the Contractor(s) has only one instance of failure to timely and satisfactorily comply with an approved corrective action plan, the Department, in its complete discretion, may grant a one-time waiver upon Contractor coming into compliance with the corrective action plan.

If the Vendor fails to perform the services within the time or terms specified in the PO, the Department shall withhold from the Vendor, financial consequences of 3% PO amount per calendar day for each occurrence of delay or non-compliance until the delay or non-compliance is resolved. However, once financial consequences reach $100,000, the PO shall be terminated and the Vendor shall be liable for the Department's cost to secure substitute Vendor.

The financial consequence shall not be assessed if DBPR provides prior approval for delays due to extenuating circumstances outside of the control of the Vendor.

5 RFQ schedule and structure

The following schedule applies to this RFQ.

Event	Due Date
1. RFQ released to Vendors	Thursday, May 26, 2016
2. Vendor Confirmation of Intent to Quote Form submitted to Procurement Administrator (see Attachment C)	Friday June 3, 2016

Event	Due Date
3. Vendors submit questions regarding RFQ to Procurement Administrator	Friday, June 10, 2016
4. Department compiles Vendor questions and Department answers, and then sends the compiled Q&A to those Vendors who responded to Events 2 and 3 above.	Friday, June 17, 2016
5. Vendors submit quotes	Friday, July 1, 2016
6. Department selects Vendor.	Friday, July 15, 2016
7. Vendor begins work	Monday, August 1, 2016

Exhibit 4 - RFQ Timeline

The Department's timing for processing of purchase orders to fulfill this RFQ will be contingent upon release of approved funding by the Florida Legislature. The Department will make every effort to communicate intentions for the convenience of all parties and the success of the project. According to the General Appropriations Act of 2016, Special Appropriation 2111 requires the release of funding for this project to be contingent upon the submission of the operational work plan or project plan by DBPR.

5.1 Selection Criteria

This RFQ will result in the selection of one Vendor to provide the services described. The Department will select the Vendor who offers the best value considering Vendor experience and cost. The Department will subsequently issue specific purchase orders (or purchase order change orders, as appropriate) from time to time. Each purchase order or change order will contain a specific statement of work.

All quotes will be reviewed using the following criteria:

- Staff qualifications that demonstrate the following abilities: *(The Vendor is not limited to a single staff member that has all required experience but, must be able to provide sufficient staff members so that all areas of experience are covered.)*
    - C#, ASP.NET, JQuery, and JavaScript
    - Microsoft SQL Server 2005 database platform experience
    - SSIS and SSRS experience
    - Crystal Report experience
    - Data warehouse design experience
    - Responsive web design experience
    - System analysis experience
    - Onsite availability (preferred but not required)
- Résumés for individuals proposed to work on this project
- Demonstrated recent and relevant experience related to the purpose and scope of this RFQ
- Pricing should be based on the number of hours anticipated will be needed to complete each item listed in Attachment A - EDS Business Requirements Summary, the number of staff needed, the hourly rate and classification for each staff member identified.

5.2 Quote Structure

Quotes must include following sections in the order prescribed below:

1. **Executive Summary** – This section shall present a high-level synopsis of the Vendor's response to the RFQ. The Executive Summary should be a brief overview of:
   - The services the Vendor is offering
   - The team (the Vendor and any subcontractors) assembled to provide the services described in this RFQ
   - The experience of the Vendor's organization and proposed team
   - The experience of the Vendor's organization and proposed team on projects of similar scope
2. **Service Capability** – This section shall include descriptions of relevant experience related to the services that are needed and available from the Vendor. The Vendor should include samples of relevant work performed as attachments to the quote to provide an example of the types of capabilities that will be provided in response to this RFQ.
3. **Contact Information** – Identify information about all contact persons, including name, title, address, email address and direct telephone numbers.
4. **References** – Provide at least three clients for which similar or identical services were performed.
5. **Team Member Résumés** – Provide résumés and relevant experience of key staff and management personnel that will be involved in providing the services.
6. **Task Proposed Timeline** – Provide a projected timeline for completion of each item in the business requirements (see Attachment A - EDS Business Requirements Summary) with dates of associated milestones proposed by the Vendor. The project must be completed no later than June 30, 2017.

In order to be considered each quote must completely address each requirement as described above. The Department reserves the right to reject any quote that does not properly address the above requirements, that fails to include the information requested, or that deviates from the requirements of this RFQ in any manner.

5.3 Pricing

The Respondent shall provide for a fixed rate for the cost of services defined under section 2, Statement of Work. In addition to those items listed under Quote Structure listed above, respondents shall complete and submit Attachment B, Vendor's Cost of Services. For each business requirement listed in Attachment A - EDS Business Requirements Summary, respondents shall identify the Project Area (for IT Consulting Services STC only), Job Title, Scope Variant, estimated hours of service, hourly rate, and total cost proposed for each employee the Vendor intends to utilize in completion of the business requirement. The Project Area, Job Title and Scope Variant identified above shall be based on those stated in the Department of Management Services' State Term Contracts (STCs, #973-561-10-01) Information Technology (IT) Consulting Services. Hourly rates of service quoted shall not exceed those identified in the aforementioned STCs, but may be less than those identified in the STCs.

The Department will request that each requirement in Attachment A - EDS Business Requirements Summary be priced using a fixed rate method of payment that includes total hour/rate and associated costs set out in the quote. The fixed rate shall be estimated by the Vendor based on a statement of work and final fee negotiated by the Department. The completion date shall be based on the project schedule negotiated with the Department, but shall not exceed June 30, 2017. The Vendor shall complete each requirement within the agreed upon fixed rate and by the estimated completion date, unless the completion date is modified by the Department's Contract Manager.

The Department will not be responsible for Vendor travel costs or other expenses. The rates proposed in Attachment B shall not be subject to subsequent change during the term of the purchase order issued as a result of this RFQ.

5.4 Contact information

Contact Person and Procurement Administrator

The sole point of contact for all communications regarding this RFQ is:

Steve Schmidt, Procurement Administrator
2601 Blairstone Road
Florida Department of Business and Professional Regulation
Tallahassee, Florida 32399
Email: *Steve.Schmidt@myfloridalicense.com*

Contract Manager

The point of contact for communications regarding purchase orders is:
Natalie Lowers, Government Analyst I
Division of Alcoholic Beverages & Tobacco
2601 Blairstone Road
Florida Department of Business and Professional Regulation
Tallahassee, Florida 32399-0781
Email: Natalie.Lowers@myfloridalicense.com

Project Manager

All services related to the Electronic Data Submission Project will be monitored and controlled by:
Steve Mulkey, Project Manager
Division of Technology
2601 Blairstone Road
Florida Department of Business and Professional Regulation
Tallahassee, Florida 32399-0781
Email: *Steve.Mulkey@myfloridalicense.com*

5.5 Submission of RFQ Responses

Responses are due to the Procurement Administrator by the date and time specified in the Schedule section above. The Department requires electronic responses only. Responsibility for timely delivery rests with the Vendor. Electronic responses are to be submitted in MFMP Sourcing along with attachments and other relevant information. A copy of the response and attachments should be sent via electronic mail (email) to the Procurement Administrator. The Vendor's electronic mail response to this RFQ should be addressed with the SUBJECT line as "DBPR – EDS Upgrade Project", and delivered to Steve Schmidt at *steve.schmidt@myfloridalicense.com*. All required documents may be included as an attachment to the email.

5.6 Terms and Conditions

1. The provisions of State Term Contracts (STC) 973-561-10-01 supersede all other Vendor terms and conditions with regard to this RFQ. Pursuant to the STC 973-561-10-01, Section 5, Special Conditions, any additional terms and conditions outlined in this SOW are supplemental to those set forth in the STC. The SOW and Proposal may serve as a Task Order under the STC; however the SOW will supersede the Proposal in the event of any conflicting provisions. The Contracts can be viewed at the following websites:

973-561-10-01 - http://www.dms.myflorida.com/content/download/54960/230885/file/973-561-10-1%20Oct%2022%202014.doc

2. **Tax Exemption**: The Department is exempted from payment of Florida State Sales and Use taxes. The Department will provide its tax exemption certification.
3. **Sovereign Immunity**: Nothing contained in the agreement shall constitute a waiver by either party of its sovereign immunity or the provisions of Section 768.28, Florida Statutes. Contractor agrees to not seek indemnification from the Department for any costs or services.
4. **Public Records**: Notwithstanding any provisions to the contrary, disclosure of any confidential information received by the State of Florida will be governed by the provisions of the Florida Public Records Act, Chapter 119, and Florida Statutes. The Contractor, and any approved subcontractor, will keep and maintain the public records that ordinarily and necessarily would be required, provide access to all records regarding the contract or any approved subcontracts upon reasonable notice, and ensure that records that are exempt from the Florida public records laws are not disclosed except as authorized by law, and meet all of the requirements of the STC regarding retaining records, and upon transition, transfer such records to Customer at no additional cost.
5. **Limitations of Actions**: With regard to limitation of actions, Section 95.11, Florida Statutes shall govern. Florida law shall govern the contract and jurisdiction shall be in Leon County, FL.
6. **Change Process**: The Vendor must contact the Contract Manager to request any changes to the purchase order. This is also referred to as the change order process. If the Vendor fails to notify and obtain approval from the Department before commencing performance of activities relating to changes in the purchase order, such activities will be considered to be performed gratuitously by the Vendor, and the Vendor shall not have any right thereafter to assert any claim for additional compensation or time for the performance of such activities.
7. The Department reserves the right to perform the service or activity, directly or with another Vendor, if service levels are not being achieved. The Department may, in addition to other remedies available to them at law or equity and upon notice to the Vendor, retain such monies from amounts due to the Vendor as may be necessary to satisfy any claim for damages, costs and the like asserted by or against them.
8. **Liquidated Damages Upon Contract Termination**: If the Vendor does not complete the required services in accordance with the approved schedule, one percent (1%) of the Contract amount will be assessed for each business day the services are delayed. The financial consequence shall not be assessed if DBPR provides prior approval for delays due to extenuating circumstances outside of the control of the Vendor. If prior approval is not given, the Vendor may be eligible for a one-time waiver of financial consequence provided only that one instance occurs without DBPR prior approval. DBPR has full discretion on whether the one-time waiver is granted. If a financial consequence is imposed and due, DBPR will offset the financial consequence from the next invoice submitted by the Contractor or from the final retainage payment.
   Failure to complete the project in accordance with the requirements of this Contract, and in particular, as specified in the Scope of Work, will result in substantial injury to the Department and damages arising from such failure cannot be calculated with any degree of certainty. Therefore, it is hereby agreed that if the services/items are not timely and satisfactorily performed, and the parties agree to a corrective action plan, but the Vendor then fails to comply with the approved corrective action plan, the Vendor may be assessed 5% of the Contract amount for each business day beyond the corrective action plan deadline. If the Vendor has only one instance of failure to timely and satisfactorily comply with an approved corrective action plan, the Department, in its complete discretion, may grant a one-time waiver upon the Vendor coming into compliance with the corrective action plan.
   This provision for financial consequences shall in no manner affect the Department's right to terminate the Contract.
9. **Work Authorization Program**: The Immigration Reform and Control Act of 1986 prohibits employers from knowingly hiring illegal workers. The Vendor shall only employ individuals who may legally work in the United States – either U.S. citizens or foreign citizens who are authorized to work in the U.S. The Vendor shall use the U.S. Department of Homeland Security's E-Verify Employment Eligibility Verification system, https://e-verify.uscis.gov/emp, to verify the employment eligibility of all new

employees hired by the Vendor during the term of this Purchase Order and shall also include a requirement in its subcontracts that the subcontractor utilize the E-Verify system to verify the employment eligibility of all new employees hired by the subcontractor performing work or providing services pursuant to this Purchase Order.

10. **Minority and Certified Minority Subcontractors**: The Department of Business & Professional Regulation encourages the Vendor to use Minority and Certified Minority businesses as subcontractors when procuring commodities or services to meet the requirements of this Purchase Order.
    A minority owned business is defined as any business enterprise owned and operated by the following ethnic groups: African American (Certified Minority Code H or Non-Certified Minority Code N), Hispanic American (Certified Minority Code I or Non-Certified Minority O), Asian American (Certified Minority Code J or Non-Certified Minority Code P), Native American (Certified Minority Code K or Non-Certified Minority Code Q), or American Woman (Certified Minority Code M or Non-Certified Minority Code R).

11. **MyFloridaMarketPlace Vendor Registration**: Each Vendor doing business with the State of Florida for the sale of commodities or contractual services as defined in section 287.012, Florida Statutes, shall register in MyFloridaMarketPlace, in compliance with Rule 60A-1.030, Florida Administrative Code, unless exempt under Rule 60A-1.030(3) Florida Administrative Code.

12. **MyFloridaMarketPlace Transaction Fee**: The State of Florida, through the Department of Management Services, has instituted MyFloridaMarketPlace, a statewide eProcurement system. Pursuant to section 287.057(23), Florida Statutes (2002), all payments for commodities and/or contractual services as defined in Section 287.012, Florida Statutes, shall be assessed a transaction fee of one percent (1.0%), which the Vendor shall pay to the State, unless exempt under Rule 60A-1.032, Florida Administrative Code. Notwithstanding the provisions of Rule 60A-1.030, et seq., the assessment of a transaction fee shall be contingent upon Federal approval of the transaction fee assessment program and continued payment of applicable federal matching funds.
    For payments within the State accounting system (FLAIR or its successor), the transaction fee shall, when possible, be automatically deducted from payments to the Vendor. If automatic deduction is not possible, the Vendor shall pay the transaction fee pursuant to Rule 60A-1.031(2), Florida Administrative Code. By submission of these reports and corresponding payments, Vendor certifies their correctness. All such reports and payments shall be subject to audit by the State or its designee.
    The Vendor shall receive a credit for any transaction fee paid by the Vendor for the purchase of any item(s) if such item(s) are returned to the Vendor through no fault, act, or omission of the Vendor. Notwithstanding the foregoing, a transaction fee is non-refundable when an item is rejected or returned, or declined, due to the Vendor’s failure to perform or comply with specifications or requirements of the agreement.
    Failure to comply with these requirements shall constitute grounds for declaring the Vendor in default and recovering re-procurement costs from the Vendor in addition to all outstanding fees. VENDORS DELINQUENT IN PAYING TRANSACTION FEES MAY BE EXCLUDED FROM CONDUCTING FUTURE BUSINESS WITH THE STATE.

13. **Data Security**: In the event the Vendor has access to any Department data systems or software, the Vendor agrees to comply with the Department’s data security requirements provided in Attachment D - Department Information Technology Resources and Data Access Security.

14. **Assignment and Replacement of Key Personnel:** The Department will have the right to recommend and approve in writing the initial assignment, as well as any proposed reassignment or replacement, of any Key Personnel. Before assigning an individual to any Key Personnel position, the Vendor will notify the Department of the proposed assignment, will introduce the individual to the appropriate Department representatives, and will provide the Department with a résumé and any other information about the individual reasonably requested by the Department. The Department reserves the right to interview the individual before granting written approval.

    a) The Vendor shall not remove any Key Personnel from their assigned roles or the Project without the prior written consent of the Department (an “Unauthorized Removal”), which consent will not be unreasonably withheld. It shall not be considered an Unauthorized Removal if Key Personnel must be replaced for reasons beyond the reasonable control of the Contractor, including illness, disability, or resignation or for cause termination of the Key Personnel’s employment. It is acknowledged that career advancement of Key Personnel is a legitimate reason for reassignment, the Department consent to such reassignment will not be unreasonably withheld. However, the Vendor is to identify a replacement approved by the Department and assign the replacement to the Project to shadow the Key Personnel he or she is replacing for a period of at least thirty (30) days prior to such Key Personnel's removal. Any Unauthorized Removal may be considered by the Department to be a material breach of the Contract, and entitle the Department to terminate the contract.

b) It is acknowledged that an Unauthorized Removal may interfere with the timely and proper completion of the Project, to the loss and damage of the State, and that it would be impracticable and extremely difficult to fix the actual damage sustained by the State as a result of any Unauthorized Removal. Therefore, the Vendor and the Department agree that in the case of any Unauthorized Removal, the Department may assess liquidated damages against the Vendor as specified below. For amounts due the Department as liquidated damages, the Department may at its option deduct the amount due from any money payable to the Vendor by the Department or may bill the Vendor as a separate item.

c) In the event of an Unauthorized Removal of any Key Personnel designated in the Scope of Work, the liquidated damages amount shall not exceed $50,000 per individual provided the Vendor identifies a replacement approved by the Department pursuant to Section 14.a and assigns the replacement to the Project to shadow the Key Personnel he or she is replacing for a period of at least thirty (30) days prior to such Key Personnel's removal.

i. If the Vendor fails to assign an agreed upon replacement to shadow the removed Key Personnel for at least thirty (30) calendar days, in addition to the $20,000 liquidated damages for an Unauthorized Removal, the Contractor shall pay the amount of $2,000 per day (1/30th of $50,000 per month), for each day of the thirty (30) day shadow period that the replacement Key Personnel does not shadow the removed Key Personnel, up to $50,000 maximum per individual. The total liquidated damages that may be assessed per Unauthorized Removal and failure to provide thirty (30) days of shadowing shall not exceed $50,000 per individual.

ii. In the alternative, in the event of the Unauthorized Removal of any Key Personnel, the Department reserves the right to recruit, hire, or otherwise contract directly with any Key Personnel who have performed Services under this Contract in the event such reassignment is proposed or occurs. In the event such reassignment is proposed the Vendor releases from any non-compete agreement intended to bar such Key Personnel from employment with the Department. Vendor's failure to replace a Key Personnel subsequent to such Key Personnel's Unauthorized Removal shall be deemed to be a material breach of the Contract.

15. The Vendor shall comply with Patents, Royalties, Copyrights, Right to Data, and Works for Hire/Software requirements as follows:

a) The Vendor, without exception, shall indemnify and hold harmless the Department and its employees from liability of any nature or kind, including cost and expenses for or on account of any copyrighted, patented, or unattended invention, process, or article manufactured or supplied by the Vendor. The Vendor has no liability when such claim is solely and exclusively due to the combination, operation or use of any article supplied hereunder with equipment or data not supplied by the Vendor or is based solely and exclusively upon the Department's alteration of the article.
The Department shall provide prompt written notification of a claim of copyright or patent infringement and shall afford the Vendor full opportunity to defend the action and control the defense. Further, if such a claim is made or is pending, the Vendor may, at its option and expense procure for the Department the right to continue the use of, replace or modify the article to render it non-infringing (if none of the alternatives is reasonably available, the Department agrees to return the article on request to the Vendor and receive reimbursement, if any, as may be determined by a court of competent jurisdiction).

b) If the Vendor brings to the performance of this Purchase Order a pre-existing patent or copyright, the Vendor shall retain all rights and entitlements to that pre-existing patent or copyright, unless this Purchase Order provides otherwise.

c) If the Vendor uses any design, device, or materials covered by letter, patent, or copyright, it is mutually agreed and understood without exception that the proposed prices shall include all royalties or cost arising from the use of such design, device, or materials in any way involved in the work. Prior to the initiation of services under this Purchase Order, the

Vendor shall disclose, in writing, all intellectual properties relevant to the performance of this Purchase Order which the Vendor knows, or should know, could give rise to a patent or copyright. The Vendor shall retain all rights and entitlements to any pre-existing intellectual property which is so disclosed. Failure to disclose will indicate that no such property exists. The Department shall then have the right to all patents and copyrights which arise as a result of performance under this Purchase Order as provided in this section.

d) If any discovery or invention arises or is developed in the course of, or as a result of, work or services performed under this Purchase Order, or in any way connected herewith, the Vendor shall refer the discovery or invention to the Department for a determination whether patent protection will be sought in the name of the State of Florida. Any and all patent rights accruing under or in connection with the performance of this Purchase Order are hereby reserved to the State of Florida. All materials to which the Department is to have patent rights or copyrights shall be marked and dated by the Vendor in such a manner as to preserve and protect the legal rights of the Department.

e) Where activities supported by this Purchase Order produce original writing, sound recordings, pictorial reproductions, drawings or other graphic representation and works of any similar nature, the Department has the right to use, duplicate and disclose such materials in whole or in part, in any manner, for any purpose whatsoever and to have others acting on behalf of the Department to do so. If the materials so developed are subject to copyright, trademark, or patent, legal title and every right, interest, claim, or demand of any kind in and to any patent, trademark or copyright, or application for the same, shall vest in the State of Florida, Department of State for the exclusive use and benefit of the state. Pursuant to Section 286.021, Florida Statutes, no person, firm, corporation, including parties to this Purchase Order shall be entitled to use the copyright, patent, or trademark without the prior written consent of the Florida Department of State.

f) The Department shall have unlimited rights to use, disclose, or duplicate, for any purpose whatsoever, all information and data developed, derived, documented, or furnished by the Vendor under this Purchase Order.

g) All rights and title to works for hire under this Purchase Order, whether patentable or copyrightable or not, shall belong to the Department and shall be subject to the terms and conditions of this Purchase Order.

h) The computer programs, materials and other information furnished by the Department to the Vendor hereunder shall be and remain the sole and exclusive property of the Department, free from any claim or right of retention by or on behalf of the Vendor. The services and products listed in this Purchase Order shall become the property of the Department upon the Vendor's performance and delivery thereof. The Vendor hereby acknowledges that said computer programs, materials and other information provided by the Department to the Vendor hereunder, together with the products delivered and services performed by the Vendor hereunder, shall be and remain confidential and proprietary in nature to the extent provided by Chapter 119, Florida Statutes, and that the Vendor shall not disclose, publish or use same for any purpose other than the purposes provided in this Purchase Order; however, upon the Vendor first demonstrating to the Department's satisfaction that such information, in part or in whole, (1) was already known to the Vendor prior to its receipt from the Department; (2) became known to the Vendor from a source other than the Department; or (3) has been disclosed by the Department to third parties without restriction, the Vendor shall be free to use and disclose same without restriction. Upon completion of the Vendor's performance or otherwise cancellation or termination of this Purchase Order, the Vendor shall surrender and deliver to the Department, freely and voluntarily, all of the above described information remaining in the Vendor's possession.

i) The Vendor warrants that all materials produced hereunder will be of original development by the Vendor and will be specifically developed for the fulfillment of this Purchase Order and will not knowingly infringe upon or violate any patent, copyright, trade secret or other property right of any third party, and the Vendor shall indemnify and hold the Department harmless from and against any loss, cost, liability or expense arising out of any breach or claimed breach of this warranty.

j) The terms and conditions specified in this section shall also apply to any subcontract made under this Purchase Order. The Vendor shall be responsible for informing the subcontractor of the provisions of this section and obtaining disclosures.

6 Attachment A - EDS Project Phase II Business Requirements Summary

Please note the following is a summary of the detailed business requirements, this is only to serve as a guideline to help develop the hours and rates for the quote. The full detailed requirements will be provided upon request.

Each Module will have two deliverables 1) a design document at the start of each module and 2) sign off that all requirements have been implemented

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
Module 1 – Implement Code enhancement and security requirements – Requirement ID 5.2.5-5.2.7			
Deliverable	**Technical Design document**	**5.2.5 - 5.2.7 Technical Design document for Code enhancement and security**	**Design document will include the necessary information from which all functional and non-functional requirements will be implemented. Document will be reviewed and signed off on by the system project administrator.**
5.2.5.1	File handling and security	EDS security does not utilize DBPR's centralized security and file handling mechanisms. While there is partial utilization of a copy of an older version of the DBPR Enterprise code, there have been numerous modifications and enhancements that have not been incorporated into EDS. By replacing the older version of DBPR Enterprise code with the latest version, EDS can take advantage of new functionality regarding file handling and security.	Submit batch process via new web form and confirm functionality
5.2.5.2	Large report submission handling	Because the transaction detail for reports is retrieved in a single action and displayed in its totality, large reports may render very slowly or not at all. It's desired that coding changes be implemented to make data retrieval and display more efficient for large reports. There are 25 reports with 1-8 grids apiece that could be lazy loaded and/or paged, plus another 8 search/edit screens that may need paging.	Verify improved page loading times for reports 4000A100, 4000A110, 4000A125, 4000A130, 4000A135, 4000A140DW, 4000A140IW, 4000A150, 4000A155, 4000A200, 4000A205, 4000A210, 4000A225, 4000A235, 4000A250, 4000A251, 4000A255, 4000A256, 4000A300, 4000A305, 4000A310; in addition, if paging is implemented or corrected on the following pages, they will need verification as well: Searcher.aspx, ChangeUserProfile.aspx, Messages.aspx, ReportDeleteSearch.aspx, EditReportPeriod.aspx, ReportAmendmentMaintenance.aspx, CreditsRefunds.aspx, IndianCoupons.aspx, StampsManagement.aspx.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
5.2.5.3	Refined save process	Because the Save function in tax reports saves all the report data every time a save is made, the Save process becomes progressively slower as additional items are added to the report. It's desired that coding changes be implemented that will save only the new or changed data each time the save function is used. Coding changes would primarily involve the ReportSubmitted, ALCReportSubmitted, CigReportSubmitted, and OTPReportSubmitted classes.	Analytics that verify improvement in report save times for non-summary reports (4000A100, 4000A110, 4000A125, 4000A130, 4000A135, 4000A140DW, 4000A140IW, 4000A150, 4000A155, 4000A200, 4000A205, 4000A210, 4000A225, 4000A235, 4000A250, 4000A251, 4000A255, 4000A256, 4000A300, 4000A305, 4000A310)
5.2.5.4	Reflection avoidance	The save process in the Enterprise layer of code is inefficient because the current process requires multiple lookups to the database for validation purposes for each save. It's desired that coding changes be implemented to reduce or remove these unnecessary lookups.	Pre-coding and post-coding profiling in conjunction with load testing for reports using the ReportSubmitted, ALCReportSubmitted, CigReportSubmitted and OTPReportSubmitted classes.
5.2.5.5	Web Form pre-edits centralization	The code behind the web forms is unnecessarily complex and difficult to maintain due to the presence of pre-edits (validations) repeated on each page. It's desired that this code be consolidated and moved to a single location.	Confirmed by peer review and/or inspection Existing functionality remains uncompromised
5.2.5.6	Inline JavaScript recoding	The web pages duplicate the in-line JavaScript instead of having it maintained in an external file. It's desired that for ease of maintenance and to reduce the web page size, this in-line JavaScript be stored externally to the page in a central location.	Confirmed by peer review and/or inspection Existing functionality remains uncompromised
5.2.5.7	Responsive web design implementation	Existing code is not designed for users who may wish to use alternatives to a standard desktop PC. It's desired that responsive web design coding changes be implemented to accommodate displays and menus for mobile devices.	Reports submitted via mobile devices automatically resize and display properly

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
5.2.5.8	Replacement of synchronous processes with asynchronous processes	The processes handling web server requests can become inefficient in that they cannot handle other incoming requests while waiting for data or results from a prior request. To avoid potential problems that can be caused by an increased number of simultaneous users, it's desired that coding changes be implemented to allow these tasks to be handed off to a background process or flagged so that the remaining requests can continue to be processed.	Load testing shows no performance impact when worker thread queue limit is exceeded.
5.2.7.1.1	Creation of additional administrative functions for user access control	Access to tax report review, submission, and validation for internal users is based solely on permissions derived through the user's Active Directory account. It's desired that the EDS administration area provide a form for account maintenance whereby user privileges and access could be viewed and edited.	Admin users should be able to view and configure permissions from within the new web form
5.2.7.1.2	Establishment of role based permissions	Although roles for read only and report entry have been created within the database, they are not being used by EDS. Existing roles include Report Entry, Audit Entry, Read (Research), Audit Review, Stamp Sales, Stamps Receive/Request/Inventory/Transfer, Receipting (Report Validation), Stamps Request to Meyer Cord, Credit & Refunds, Indian Coupons, Administration, Import Businesses, and Stamp Management . It is desired that the roles and role-based permissions be expanded to include Role Maintenance, Business Entity Maintenance, Beer Breakage/Spoilage Maintenance, and any newly discovered security roles that are needed, that all roles be fully implemented within EDS, and that they be viewable from within EDS administration.	Verify that specific user account groups have the intended permissions.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
5.2.7.2.1 (a)	External user access account modifications	External users are currently required to create a unique user account for each business location. It is desired that EDS allow for the registration and linking of multiple licenses under a single login. The relationships between the user accounts and the licenses should be configurable and definable by the user. This ability to link licenses should be available both to the user at the time of registration and manually through the EDS administration form. In addition, upon initial login users should be able to view a list of all licenses linked under their account and select the one with which they wish to work. External users should be able to delegate some or all of their licenses/permits to one or more individuals so that they may submit reports on behalf of the external user. Existing users should also be able to retain their current logins if they wish.	Able to verify that internal and external users are able to set up accounts with linked licenses as desired and view them from their initial login screen

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
5.2.7.2.1 (b)	Web interface for FTP submittal and error handling	Currently, user credentials (logon ID and password) are emailed in a single email to the external users in plain text when they register to use EDS. It is desired that this process be modified so that the emails to those external entities who register to utilize EDS are encrypted, the initial passwords are generated by EDS and provided via a separate encrypted email, strong password requirements are enforced, and the external user is prompted to immediately change their password after initial logon. If an external user assigns a delegate to one or more of the external user's licenses/permits, the delegate should be issued a unique user ID and initial password in accordance with the aforementioned criteria. Any account activity changes should result in an email to the owner of the user account notifying them that activity occurred and directing them to EDS Support if they were unaware of the account activity.	Able to verify that external users are sent encrypted emails with their user ID and a subsequent email with a graphic of a strong password. Able to verify that the initial password allows the user to login but requires that the password be reset immediately thereafter. Verify that strong password criteria are enforced. Verify that the same criteria are applied when a delegate is assigned to an external user's account.
5.2.7.3.1	Batch Upload Enhancement	Batch uploads are accomplished through a standard FTP process. It's desired that functionality be enhanced through providing a web interface for uploads that allows users to browse to the file they wish to upload and blocks unwanted file types from being uploaded. This interface would be accessed via a link on the EDS home page.	A link to an upload portal should be placed on the EDS home page that will allow users to upload through a web interface.
5.2.7.3.2	Securing users' credentials for SFTP transmission	All FTP users share a single account, which opens the system to security risks. It is desired that this be enhanced so that users have the option of a unique login, which ideally would be their login for the EDS web application. Current users should have the option of retaining their existing FTP account login if they wish.	Verify ability to submit via new FTP logins.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
5.2.7.4.1	Business Entity import role creation	Although EDS manages most user privileges through roles, rights to create new business entities in EDS are handled by adding a user to the web.config file. It's desired that a role be utilized for business entity import capability within EDS.	Verify that user accounts having that role can create new business entities.
Deliverable	**Completed Implementation**	**Completed implementation of all requirements in module 1**	**All requirements in the business requirements have been implemented, tested and signed off on by ABT**
Module 2 - Tax Reporting Enhancements – Requirement ID 6.2.1 - 6.2.3			
Deliverable	**Technical Design document**	**6.2.1 – 6.2.3 Technical Design document for Tax Reporting Enhancements**	**Design document will include the necessary information from which all functional and non-functional requirements will be implemented. Document will be reviewed and signed off on by the system project administrator.**
6.2.1.1 & 6.2.3.2	Enabling printing and/or exporting of tax reports	Users are limited to printing their tax reports from the browser, which does not preserve column headings on multi-page reports. It's desired that external users be able to export their reports in PDF format and internal users be able to run a Crystal Report containing the report data. The reports, whether Crystal or PDF, should follow the same general format as the web pages with general info preceding transaction detail and summaries. The export feature will be available from a new button on the General Info page of the form and from the View List in "My Reports".	Internal users will be able to run the report from the Business Objects Launch Pad; external users will be able to export from a new button on the General Info view or in View List in "My Reports".
6.2.1.3	Wine and Liquor	The alcohol manufacturer's reports in EDS are significantly	Licensees and EDS staff will be able to submit and review

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
	Manufacturer's Report modifications	different from the paper reports. It is desired that the EDS Domestic Wine Manufacturer's, Imported Wine Manufacturer's, and Liquor Distiller's and Rectifier's reports be updated, using the specifications provided in the source document.	revised alcohol manufacturer's reports.
6.2.1.4	Changes to Sales Persons handling on alcohol distributor's form	There is a tab on the Alcoholic Beverage Distributor's Monthly Report where users can add a Licensed Sales Person. This functionality is to be removed from EDS as adding it here does not legally update the Licensed Sales Person; this is done through a separate process outside of EDS. Existing Salesperson data will be preserved and viewable for reports saved or submitted prior to the implementation of this change.	Users will no longer see a Licensed Sales Person tab on this report unless the report was previously submitted with Salesperson data.
6.2.1.6.a	Beer Price Posting requirements	There are additional compliance reports licensees are required to file that are not in EDS. Currently, beer distributors email a notice of malt beverage price notifications in PDF format to ABT, which ABT then uploads to a public-facing website. It is desired that this process be automated through a Beer Price Posting web interface that will be developed and added to EDS. Only 4005 JDBW and KLD licensees should be able to submit these price notifications. The submittal specifications in terms of fields and layout are laid out in the referenced source document. Licensees with the ability to submit these notifications will also have an option on their search screen that allows them to search their own notifications by date range. In addition, a new public-facing website will be developed that will allow searches based on name or license number restricted by date range. Because licensees are currently not required to submit through EDS, the ability to view the PDF reports must be retained as well.	4005 JDBW and KLD licensees will be able to create and search for their Beer Price Posting information from within EDS. Public users will have access to a separate web site from which they can search for and view the same postings.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.2.1.6.b	Direct wine shipments form requirements	Addition of new tax report - Direct Wine Shipments. This report will be able to be submitted by license type 4097, series AMFG and AIMP. The tax rates will mimic those of the ALC Distributor. The report will have General Info, Report Detail (with summaries), and Computation of Tax tabs. The detail tab will mimic that of the Beverages Shipped report (4000A125) except that the following fields will be used: Transaction Type (Shipped To/Returns), Consumer Name, Consumer Address, Quantity (like distributor wine categories; see ALC Distributor's report (4000A100).	Users with the appropriate type of license should be able to access and create this new report.
6.2.1.7	Discount allowance criteria on all forms	Discounts for timely and accurate submission of reports are displayed automatically, but EDS does not automatically remove these discounts when reports are late or amended. If the postmark, delivery date, electronic delivery date or saved file timestamp (for FTP submissions) is after the report's due date, it is desired that the discount be set to zero and the discount net amount due not display on the report. An FTP submission containing a discount amount and filed (placed of the FTP server) after the due date should result in an error being emailed to the email address contained within the file and copied to EDS support. If a report is amended, the current discount amount is greater than zero, and the discount amount changes based on a change in tax liability, the discount amount should be set to zero if the postmark, delivery date, or saved file timestamp of the amended report is after the due date. For reports that have multiple product category submissions (e.g., beer, wine), if a timely and accurate report has been received for a single category, the discount amount for that category should not be affected by changes in the tax liability for another	Users will no longer see discount amounts displayed if they do not apply, and their discounts will be adjusted if tax liability changes.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
		category on the same report on a subsequent submission (amendment). If the tax liability and, hence, the discount amount changes on an amended report, the web user should receive a pop-up upon attempting to submit the report advising the user that the tax liability has changed and the discount has been lost. The user will be required to acknowledge this by clicking "OK" before the report can be submitted and accepted. Once this acknowledgment has been made the computation of tax form will be flagged to show that that the discount has been removed and acknowledged. FTP users will receive an email indicating that the submission has been rejected and requiring them to zero out the discount amount and resubmit. It is also desired that an administrative function, with appropriate security role, be created that will allow EDS support to designate an alternate due date for a licensee or group of licensees. To facilitate this, they should be able to search by, display and select by license number or county. A historical record of any adjustments to due date should be available.	

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.2.1.8	Alternatives to manually entering product transaction details	Transaction details must be entered manually within the web interface. It's desired that users be able to utilize Excel templates available from within EDS to upload a file containing transaction details via an asynchronous process accessed through a button on their details tab. The data in the Excel file will be extracted and rendered in an efficient format (to be determined later) for processing by the EDS server. In preparing the file, users will be able to provide either the license number or the business entity ID, with the business entity ID having priority for identification purposes if both are provided. A report of errors will be sent back to the user with the ability to make any needed corrections in the web form. The users will also be able to flag records for rejection if they wish to remove them and resubmit. A link will also be available on the details tab for users to download the template if they do not already have one. This will apply to reports 4000A100, 4000A110, 4000A125, 4000A130, 4000A135, 4000A140DW, 4000A140IW, 4000A150, 4000A155, 4000A200, 4000A205, 4000A210, 4000A225, 4000A235, 4000A250, 4000A251, 4000A255, 4000A256, 4000A300, 4000A305, and 4000A310.	Users will have a button on their Report detail tab that allows them to upload a file that populates their transaction grid, and they will be able to make any needed corrections to these transactions prior to submitting.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.2.1.9 & 6.2.3.3	Formatting of transaction summaries	The cigarette and OTP reports do not have consistent summaries of transactions on their detail pages. It is desired that the report detail tabs for reports 4000A205, 4000A250, 4000A251, 4000A255, and 4000A256 include a breakout summary by Pack Size, Transaction Type, Stamped Quantity, and Unstamped Quantity; that the report detail tabs for reports 4000A200, 4000A210, and 4000A225 include a breakout summary by Pack Size, Transaction Type, and Quantity; and that the report detail tabs for reports 4000A300 and 4000A305 include a breakout summary by Transaction Type, Wholesale Sales Price, and Adjusted Wholesale Sales Price. On all reports with a details tab, including the alcohol reports, this summary will be made available through clicking a button labeled "Show [name of current label]" on the Report Details page, which will invoke a pop-up grid with the desired summary data. The grid will need a button allowing users to refresh data on demand while entering new transactions.	Users will be able to see report detail with the appropriate summary breakdowns on the above-referenced reports.
6.2.1.14	Validation Search screen changes	Users cannot search by the Report Number on the Report Validation Search page (ReportValidation_V2.aspx). It's desired that the Report Number (reportsubmittedID) be added as a search option.	Users performing validations will be able to search by Report Number.
6.2.1.17	Role based function to delete payment data on validation screen	EDS Support cannot currently delete a validation assessment or payment from EDS, but must create a reverse entry to zero out the amount of the original transaction. It's desired that staff with an admin security role be able to logically delete an existing validation transaction without creating a new reverse entry.	Users can delete a validation transaction from the Report Validation page.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.2.1.19	Redesign of validation screen (perhaps database)	The EDS validation screen does not always display the correct payment due for validators, and requires additional enhancements for ease of use for EDS staff validating payments. It is desired that the requirement to select a report type be removed from the validation search screen, that the report name be available on the search results grid to select by, and that the selection results use lazy loading to speed up generating the results list. The report payment summary should be broken out by tax category and display the correct discount amount based on the timeliness of the report as well as the total amount due. Cigarette and OTP report summaries should display the net excise and surcharge amount due (the gross less credit and applicable discount), not the gross tax. Cigarette summaries should be further broken out by Stamp Purchases detail for cash purchases, but merely show total by tax category for deferred purchases. The Add Payment portion will provide the user with a list of applicable payments derived from a VR query; the user can then select the appropriate payment and have it automatically populate the payment data. The same process should be available in reverse to allow the validator to dissociate the payment from the report. A historical record of all payment associations and changes to these should be available, and once a payment has been associated with a report during the validation process, it should be flagged so that it unavailable to be selected for other reports.	EDS staff will be able to view the above enhancements from the validation search screen and validation report summary screen.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.2.2.1	Automatic carry-over of physical, book or actual inventory	The ending inventory for one reporting period is not automatically carried over as the beginning inventory for the next reporting period. It's desired that a button be placed on the summary tab (or other tab as referenced in the list for the specific reports) that will allow the user to retrieve the prior period submitted report ending inventory and have it populate the beginning inventory field. The field itself must remain editable. If the prior month report contains both a book and an actual inventory, the actual inventory data will be used. This requirement will apply to all product type Summary tabs on 4000A100 and 4000A110, the Bulk Inventory and Case Goods Inventory sub-tabs on the 4000A140IW and 4000A140DW Summary tabs, the 4000A130 Inventory Summary tab, the 4000A135, 4000A150, and 4000A160 Summary tabs, the 4000A205 and 4000A225 Pack Summary tabs, the Off-Premise Storage tab for 4000A205, and the 4000A250, 4000A255, 4000A235, 4000A200, and 4000A210 Summary of Transactions tabs.	Users will have a button on the above-mentioned tabs that they will be able to click and retrieve the prior month's inventory figures.
6.2.3.1	Enabling sorting and inline editing	No sorting or in-line editing is available for detail transactions. It's desired that users be able to sort the rows of detail data in the grid and also to edit entries instead of deleting and re-entering data. This functionality should apply to the Details tabs of reports 4000A100, 4000A110, 4000A125, 4000A130, 4000A135, 4000A140DW, 4000A140IW, 4000A150, 4000A155, 4000A200, 4000A205, 4000A210, 4000A225, 4000A235, 4000A250, 4000A251, 4000A255, 4000A256, 4000A300, 4000A305, 4000A310;	Users will be able to sort and edit detail transactions in the above-referenced reports.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
Deliverable	**Completed Implementation**	**Completed implementation of all requirements in module 2**	**All requirements in the business requirements have been implemented, tested and signed off on by ABT**
Module 3 - Audit and cross-checking – Requirement ID 6.3.1-6.3.3			
Deliverable	**Technical Design document**	**6.3.1-6.3.3 Technical Design document for Audit and cross-checking module**	**Design document will include the necessary information from which all functional and non-functional requirements will be implemented. Document will be reviewed and signed off on by the system project administrator.**
6.3.1.1	EDS data available to auditors via laptop (including exception lists)	Auditors who are in the field and off-line are not able to review EDS data or automatically post adjustments and updates to their audits. It is desired that the Adjustments tab of each audit screen have additional button controls for exporting cross check results and adjustment detail to Excel. In addition, it is desired for the ability to import off-line adjustment data in Excel format back into the audit module, thereby updating existing adjustment records where appropriate.	Auditors will be able to print exception reports from EDS and upload adjustments to EDS.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.3.1.2	Auditor’s report and summary generated in EDS	Currently an auditor's report and summary is generated from a work-paper spreadsheet and emailed to the Bureau Chief and supervisor upon completion of the audit. It is desired that an email notification be sent from the EDS module to the Bureau Chief and supervisor that the audit has been completed: the data previously included in the summary will be available under Notes on the status tab of the EDS auditing module for review.	Supervisors and the Bureau chief will receive a notification that the audit is completed.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.3.1.3	Expand the EDS Audit management Proof of Concept	In EDS's current implementation, audit management, consisting of elements of both the current ABT work-paper spreadsheets and the GUIDE audit tracking application, is proof of concept only and limited to cigarette and OTP audits. It is desired that the existing proof of concept as laid out in the EDS Technical Document be made fully functional; the cross-checking functionality envisioned in the prior development cycle but not included in the existing proof of concept (and more fully outlined in section 6.3.2) be implemented; the bug fixes and enhancements outlined in the Proof of Concept Fixes – Enhancements documents be put in place; and the audit management module be extended to include the following alcohol audit reports: 13 Ct Audit, Beer Manufacturer, Beer Wholesaler, Brew Pub, Beverage Compliance, Cruise Ships, Importer, Liquor Manufacturer Bottling, Liquor Manufacturer Bulk Spirits, Liquor Wholesaler, Pool Buying Group, SRX, State Bonded Warehouse Beer, State Bonded Warehouse Liquor, State Bonded Warehouse Wine, Wine Manufacturer, and Wine Wholesaler. All additional audits listed above shall have the following tabs in common with existing audits: General Info, Work Performed, Review, Status/Tracker. In addition, each new audit will have the following custom tabs derived from the functionality present in the current workpapers: 13 Ct Audit (use Sum, Event Sch, and FBPur tabs from 13 CT Audit.xlsm document); Beer Manufacturer (use Wkps and Adj's tabs from Beer Manufacturer.xlsm document); Beer Wholesaler (use Wkps and Adj's tabs from Beer	Auditing staff will be able to create and manage audits from with the EDS application.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
		Wholesaler.xlsm document); Brew Pub (use Wkps, Adj's, and FedTest tabs from Brew Pub.xlsm document); Beverage Compliance (use COD NoSale, 10 Day, NSF, Price Post, JDBW Invoice, and KLD Invoice tabs from Beverage Compliance.xlsm document); Cruise Ships (use Bev Wkps, Cig Wps, Bev Adj, Cig Adj, and Interview tabs from Cruise Ships.xlsm document); Importer (use Bev Wkps, Bev Adj, and Interview tabs from Importer.xlsm document); Liquor Manufacturer Bottling (use Wkps and Adjust tabs from Liquor Manufacturer Bottling.xlsm document); Liquor Manufacturer Bulk Spirits (use Wkps and Adjust tabs from Liquor Manufacturer Bulk Spirits.xlsm document); Liquor Wholesaler (use Wkps and Adjust tabs from Liquor Wholesaler.xlsm document); Pool Buying Group (use Wkps and Adj's tabs from Pool Buying Group.xlsm document); SRX (use Sum, ZTapes, GChecks, and FBPur tabs from SRX Audit.xlsm document); State Bonded Warehouse Beer (use Wkps and Adjust tabs from State Bonded Warehouse Beer.xlsm document); State Bonded Warehouse Liquor (use Wkps and Adjust tabs from State Bonded Warehouse Liquor.xlsm document); State Bonded Warehouse Wine (use Wkps and Adj's tabs from State Bonded Warehouse Wine.xlsm document); Wine Manufacturer (use Wkps and Adj's tabs from Wine Manufacturer.xlsm document); and Wine Wholesaler (use Wkps and Adj's tabs from Wine Wholesaler.xlsm document). In addition, once the audit is completed, if an audit adjustment shows a cross-check status as "Not Equal" when cross-checked against completed audits stored in the data warehouse (as described in 6.3.2.2.), an email will be sent to the audit supervisor responsible for the district from which the cross-checked transaction emanates notifying him or her of the discrepancy.	

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.3.1.6	Generation of audit assessment/summary for signature and collection with management approval workflow	The proof of concept for supervisor review, under the current EDS audit module's "Review" tab, provides for checking off various audit components as completed along with the completion date. It is desired that the current design, once functional, be enhanced to allow the supervisor to record whether an error was found on the audit and to automatically generate the assessment letter and package once the supervisor has verified that the audit has been finalized. In addition, it is desired that an administrative screen be developed to allow ABT to configure the order of checklist items, and add, change or delete checklist items per audit type.	Supervisors will be able to assign a quality rating to an audit and print the audit letters upon completion of the audit.
6.3.1.7	Generation and management/tracking of notification letters (by assessment type)	The audit process involves printing an initial appointment and notification letter, a letter informing the licensee of the initial audit results, and letters that set an assessment conference if requested and inform the licensee of the results of that conference. While the letter informing the licensee of the initial audit results exists in the EDS auditing module proof of concept, the other letters do not. In addition, the letter tracking system currently handled via a tracking spreadsheet does not exist in the current EDS module. It is desired that EDS provide the ability to generate the following letters: Appointment Letter, Proposed Assessment, FinalAssesLtrNoConf, AssessConference, and NoticeofDecision. It is further desired that the status tab of the EDS audit module be enhanced to list the letters that have been generated along with their creation dates. It is further desired that there be an administrative capability to modify/edit the letter content and to allow for versioning of the content.	Auditors will be able to generate all needed letters from within the EDS auditing module, and supervisors will be able to review and determine the status of the audit.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.3.2.1	Automation of cross-checking of Tax Report entries	EDS users cannot currently automatically cross-check transactions against each other to identify potential errors in reporting. It is desired that EDS automate cross-checking of the tax report entries to match the data the distributors report buying from the manufacturers against the data the manufacturers report selling to the distributors. Electronic cross-checking will be based on Business Entity, Invoice Number, Date and Amount. For each report type, specific transactions will be cross-checked to the report and transaction types listed in the attached CrossCheckGrid spreadsheet. Any non-matching data would be listed in an exception report. Cigarette reports should also cross-check against the stamp sales and Indian Coupons reported in the stamps management module of EDS. Users should be able to make ad-hoc requests for cross-checking, cross-check during an audit, or view in the form of a monthly report. A nightly check will be made on each report to determine whether all other reporting entity reports are available for the same report period, and if so, a determination made whether the report has passed or failed cross-checking. All reports that fail cross-checks will have a cross-check status recorded, and the cross-check re-run weekly until either the report passes its cross-check or the audit supervisor updates the cross-check status to indicate that checking should cease. For exception reports that are run on a monthly basis, the report will be placed in an accessible location to be agreed upon and an email containing a link to the report sent to the audit supervisor and copied to EDS support. Reports with cross-check errors should be flagged on the general tab of the report. Cross-check errors will also be figured into the weighting for audit prospecting, so that reports with more errors and more frequent errors will be more likely to be selected for an audit.	Auditors and other EDS staff will have access to regularly scheduled exception reports and will be able to run them on as as-needed basis as well.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.3.2.2	Leveraging data warehouse online analytical processing	The current EDS OLTP database is not designed for the queries necessary to do cross-checking; therefore, running cross-checks directly against the EDS database could have a significant negative impact on performance. It is desired that a data warehouse be created that would make use of online analytical processing (OLAP) technology to manage the process of gathering data and providing it in a format suitable for cross-checking and other EDS reporting needs. This data warehouse will comprise a highly denormalized subset of data from the EDS database and VERSA licensing databases as outlined in the source document. The data will be refreshed and the cubes rebuilt on a daily basis. All exception reports and other analytical reports used for auditing will then be built based on data from the data warehouse.	Cross-checking exception reports and other EDS reports will be able to be run using the data warehouse as their data source.
6.3.3.1	Creating audit assignment "prospecting"	The legacy audit tracking program, GUIDE, creates a list of candidates for an audit through a process called prospecting, which uses district office and license type criteria specified by an Audit Supervisor and excludes those who have been audited in the past 3 years. It is desired that this prospecting functionality be incorporated in the new EDS Audit Management module, inclusive of the additional criteria of denoted cross-check errors as delineated in section 6.3.2.1.	Audit supervisors will be able to create lists of candidates for audits within the EDS Audit Management module.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.3.3.3	Audit tracking and review (assignment through completion and collection)	The EDS Audit proof of concept does not include a robust mechanism for tracking whether an audit was referred to enforcement, the reason for the referral, and other referral details. It is desired that the Audit module proof of concept be extended to include not only that the audit was referred, but the reason for the referral (drawn from the source document list of referral reasons), the date of the referral, the associated Versa Regulation complaint number, and the status of the referral itself. An individual audit may have multiple referrals to enforcement, and separate records would need to be created for each. In addition, an ad-hoc report should be created that shows all audits in EDS that have been referred to enforcement along with the current status of those referrals.	Auditors will be able to view the referral status of an audit from the audit tracking screen in EDS and will be able to run reports showing the status of all audit referrals.
6.3.3.4	Compliance audit tracking	There are 31 existing Crystal Reports using the current ABT GUIDE system as a data source. Once the ABT EDS audit module is fully operational, it is desired that 12 reports that ABT has identified as no longer in use be removed from the report server and the remaining Crystal Reports for GUIDE be modified to use EDS as a data source. It is also desired that the past three years' worth of GUIDE data, as defined and mapped in the source document, be imported into the new EDS audit management module.	Auditors and their supervisors will be able to run Crystal Reports from inside the EDS audit module that now access EDS audit module data and will be able to access historical GUIDE data from the EDS audit management module.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.3.3.5	Calculation of penalties, interest and payment plans	The existing GUIDE audit management application allows for the calculation of penalties, interest, and payment plans specific to an audit. It is desired that the ability to calculate penalties and interest be incorporated into the EDS Audit Management more fully described in 6.3.1.3. In addition, the ability to track and audit I&E (funds provided by ABT to cover expenses of investigation) needs to be incorporated in the audit module. Finally, failure to pay an assessment should automatically generate the liability letters more specifically discussed in 6.3.1.7 as well as flag the audit as unpaid so that it can be referred to enforcement.	Auditors will be able to automatically calculate penalties and interest thereon from within the Audit Management module.
6.3.3.7	Recording of comments	The existing GUIDE audit management application allows for the entry of comments specific to an audit or to a payment. It is desired that the ability to enter and search comments be incorporated into the EDS Audit Management more fully described in 6.3.1.3. It is further desired that the comment functionality be broken down to include a specific field for percentages on the SRX audits.	Auditors and supervisors will be able to record audit comments and search through them from within the Audit Management module.
Deliverable	**Completed Implementation**	**Completed implementation of all requirements in module 3**	**All requirements in the business requirements have been implemented, tested and signed off on by ABT**
Module 4 - Stamps management, tax credits and payment options – Requirement ID 6.4.1-6.4.3			

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
Deliverable	**Technical Design document**	**6.4.1-6.4.3 Technical Design document for stamps management, tax credits and payment options**	**Design document will include the necessary information from which all functional and non-functional requirements will be implemented. Document will be reviewed and signed off on by the system project administrator.**
6.4.1.1	Implement Proof of concept and calculation of remaining inventory balance and trigger re-orders of stamps as needed.	EDS does not currently track stamp inventory, district office requests for them, or stamp purchases by licensees. Within EDS, stamps management exists in a proof of concept only. It is desired that the proof of concept be made fully functional; the bug fixes and enhancements outlined in the "additional issues" document be put in place; and the district offices be given the option of recording standing orders that will be automatically filled at the desired time.	Users will be able to request stamps, create standing orders, send orders to central office users designated to order stamps from Meyercord, and record purchases by licensees all within EDS.
6.4.1.2	Calculate number of Indian Coupons to be issued based on tribe population data	EDS does not currently calculate the number of Indian coupons allowed per tribe member. It is desired that EDS provide for automatic calculation of the number of coupons based on the number of tribe members. The specific formulae used are provided in the referenced source document.	Users will be able to enter the number of tribe members annually and have the quarterly coupon totals automatically calculated for them.
6.4.2.1	Automate credit usage	Credits that have been issued to a licensee are not automatically applied to a report but must be manually added by EDS staff. It is desired that this process be automated so that applicable unexpired credits will be automatically applied to a report.	Users will be able to enter a credit and see it automatically applied to the next report for the licensee.
6.4.2.2	Automatic credit close-out	EDS does not close out expired credits automatically, auto-calculate credits, or apply the balance. In addition, attempting to apply a credit does not validate against existing credits in EDS. It is desired that the credit functionality in EDS be	Users will be able to see credit balances recalculated, carried over, and automatically applied to taxes due on a report without the necessity of manually entering these credits.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
		extended so that credits are automatically applied in the correct order and any remaining credit balance recalculated and applied to the next report. It is further desired that credits be validated against the limits that can be applied (in the case of scholarship credits) and the expiration date of the credit. The specific processes for calculating and applying credits are found in the source document referenced below.	
6.4.3.1	Link to payment system (Dept. of Revenue)	External users who qualify can currently submit payment via the DOR Payment Initiation System, which is not accessible from within EDS. It is desired that a link to the payment system login at https://ritx-fl-payonly.bswa.net/Login.aspx be made available from the EDS home page main menu and from the external user submittal confirmation page so that licensees can easily access the payment site. Clicking on this menu item should display a warning message (text to be found in the source document) indicating that licensees who meet the revenue threshold must register with the Department of Revenue to utilize the referenced site to authorize their electronic funds transfer and that taxes are not to be paid via credit card. This link should only be visible for external users.	External users will be able to access the DOR payment system from a link on their home page in EDS.
Deliverable	**Completed Implementation**	**Completed implementation of all requirements in module 4**	**All requirements in the business requirements have been implemented, tested and signed off on by ABT**
Module 5 - Administrative functions, customer reports and batch processing – Requirement ID 6.5.1-6.5.4			

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
Deliverable	**Technical Design document**	**6.5.1-6.5.4 Technical Design document for Administrative functions, customer reports and batch processing**	**Design document will include the necessary information from which all functional and non-functional requirements will be implemented. Document will be reviewed and signed off on by the system project administrator.**
6.5.1.1	Creating ability to format system messages	Currently EDS administrative users can create messages but cannot format them or edit existing messages to update the display order. It is desired that this functionality be enhanced to allow for basic formatting (font size, color, effects and emphasis) of the messages as well as the addition of start and end dates for the messages, modal capability (user will need to click "OK" to acknowledge the message before continuing), and hyperlink capability.	EDS administrative users will be able to format messages, edit existing messages, and indicate when the message should expire.
6.5.1.2	Creating administrative screen to manage breakage/spoilage designations for beer	A method for changing a licensee's method for reporting breakage or spoilage does not currently exist within EDS: a help ticket must be submitted to make these changes through table updates on the back end. It is desired that a maintenance page be developed whereby administrative staff may add, change or logically delete elections within EDS, with start and end report period dates for these changes.	EDS administrative users with appropriate permissions will be able to add, change or logically delete a licensee's breakage/spoilage election from within EDS.
6.5.1.3	Fix issue with changing license number	Currently EDS validates at the detail level so that a product transaction cannot be added for an inactive license. It is desired that this functionality be extended to the report submission itself so that a report cannot be submitted for an inactive license. Business logic can be found in the stored procedure ValidateProductTransactionLicenseInfo.sql. An	Licensees will only be able to submit a report under their current active license number.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
		administrative function also needs to be added that will allow for an override of this restriction on an ad-hoc basis to allow submission or amendment of a report for an inactive license.	
6.5.1.4	Creating confirmation emails for report submission	When licensees submit a report via the web interface they do not get a confirmation email that the report has been successfully submitted. It is desired that upon successful submission of a report, all email addresses in the report will receive notification of such and, this notification will be written to a log that tracks whether each email has been successfully delivered.	Licensees will get email confirmation of their submissions and EDS support will be able to view a log with verification that the emails were delivered.
6.5.2.1	Creating end of month exception reports	Currently in EDS there is no simple way to identify licenses who have failed to submit a report in any given month. It is desired that two on-demand Crystal reports be created, one that will identify users with status 20 or 21 that haven't submitted in the prior month, and another that will identify users with a status date change within the past 45 days that have not submitted a report. Both reports should include the licensee's name, license number, DBA, address, and telephone number; the report type, the report period, and should be able to be filtered by district.	EDS staff will be able to run reports filtered by district that show licensees who have failed to submit reports in the prior month.
6.5.2.2	Creating "Saved but not Submitted" reports	EDS does not currently have a way to show reports that have been saved but not submitted. It is desired that a Crystal report be developed that will show reports that have been saved but not submitted as well as saved reports that have the same period and business entity as a submitted report. This report should also be able to be filtered by district.	EDS staff will be able to run a report showing them business entities with saved but unsubmitted reports for a given report period.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
6.5.2.3	Creating payment missing reports	EDS does not currently have a way to show reports that do not have a payment associated with them. It is desired that a Crystal report be developed, displaying the licensee, license number, DBA, report amount due, and any payments made that do not match liability (with allowable variance over or under of $5) for all reports for which payment has not been received. This report should be able to be filtered by district.	EDS staff will be able to run a report showing them licensees that have not submitted payments for report liabilities.
6.5.2.4	Creating 25-50 Additional custom reports	EDS support staff currently run 31 queries based on EDS data to gather information for administrative purposes. It is desired that these queries be turned into custom reports that can be run from within EDS against a mirror of production data. Access for each report will be granted to individual EDS users via a report administration function from within EDS. A list of reports needed along with a reference to the SQL files necessary to build them is contained in the source document referenced herein.	EDS staff with appropriate permissions will be able to access a Reports tab within EDS from which they can run these reports
6.5.3.1	Implementing advanced error handling information	If a batch file is submitted with errors, error handling is currently limited to sending an email to the user notifying them of the error and asking them to resubmit. It is desired that error messages include details from the row that has the error and that users be provided the opportunity to make the corrections and resubmit via the web form requested in requirement 5.2.7.3. It is further desired that users be given the option of canceling the submission if they feel there are too many errors to handle via the web form.	Licensees will be able to submit a batch file via a web form, and if the batch file contains errors, they will be provided with a real-time detailed listing of these errors and given the opportunity to correct the errors on the web form or cancel the submission.
6.5.4.2	Creating of "How To's"	The current implementation of EDS provides occasional tooltips (hover-over tips) on troublesome or potentially confusing fields,	Users will receive context-sensitive hover-help for potentially confusing fields.

Requirement ID	ID Description	Detailed Description	Acceptance/Fit Criteria
		but it is not extensive. It is desired that UAT testers assemble a list of fields for which tooltip help would be beneficial, and this list will be used to update hover-over help on controls as needed.	
6.5.4.3	Creating Frequently Asked Questions and tutorials	Currently myfloridalicense.com/dbpr/abt/ contains numerous brochures, tutorials, and other educational material helpful to EDS users, but they are not incorporated into EDS itself. It is desired that this educational material be updated and made available via context-sensitive links on the relevant report pages.	Users will be able to click on an information button within a report to receive help specific to that report.
6.5.4.4	Reviewing and updating existing help content	No extensive review has been made of existing help documents to determine comprehensiveness or accuracy. It is desired that UAT testers review the existing information, determine gaps (if any), and assemble a list of content to be added or revised where needed.	Users will have access to detailed help at all relevant locations within EDS.

7 Attachment B – Vendor’s Cost of Services

PROPOSED PRICE

For each business requirement listed in Attachment A - EDS Business Requirements Summary, respondents shall identify the Project Area (for IT Consulting Services STC only), Job Title, Scope Variant, estimated hours of service, hourly rate, and total cost proposed for each employee the Vendor intends to utilize in completion of the business requirement.

Total cost for implementation of all business requirements $__________________

HOURLY RATE CALCUALATIONS (include all staff and staff classifications needed to implement the business requirements)

Requirement ID	Project Area	Job Title	Scope Variant	DBPR Estimated Hours	Estimated Hours	Hourly Rate	Total Cost
Design Document				40			
5.2.5.1				280			
5.2.5.2				400			
5.2.5.3				400			
5.2.5.4				280			
5.2.5.5				280			
5.2.5.6				280			
5.2.5.7				280			
5.2.5.8				280			
5.2.7.1.1				60			
5.2.7.1.2				60			
5.2.7.2.1a				280			

Requirement ID	Project Area	Job Title	Scope Variant	DBPR Estimated Hours	Estimated Hours	Hourly Rate	Total Cost
5.2.7.2.1b				60			
5.2.7.3.1				280			
5.2.7.3.2				60			
5.2.7.4.1				60			
5.2.5 - 5.2.7 Module Total				**3380**			
Design Document				40			
6.2.1.1 & 6.2.3.2				280			
6.2.1.3				280			
6.2.1.4				60			
6.2.1.6.a				80			
6.2.1.6.b				120			
6.2.1.7				280			
6.2.1.8				760			
6.2.1.9 & 6.2.3.3				60			
6.2.1.10				8			

Requirement ID	Project Area	Job Title	Scope Variant	DBPR Estimated Hours	Estimated Hours	Hourly Rate	Total Cost
6.2.1.14				60			
6.2.1.15				0			
6.2.1.17				60			
6.2.1.19				280			
6.2.2.1				60			
6.2.3.1				280			
6.2.1 - 6.2.3Module Total				**2708**			
Design Document				40			
6.3.1.1				60			
6.3.1.2				60			
6.3.1.3				860			
6.3.1.6				60			
6.3.1.7				60			
6.3.2.1				280			
6.3.2.2				200			

Requirement ID	Project Area	Job Title	Scope Variant	DBPR Estimated Hours	Estimated Hours	Hourly Rate	Total Cost
6.3.3.1				15			
6.3.3.3				15			
6.3.3.4				60			
6.3.3.5				15			
6.3.3.7				8			
6.3.1-6.3.3Module Total				**1733**			
Design Document				40			
6.4.1.1				280			
6.4.1.2				60			
6.4.2.1				240			
6.4.2.2				240			
6.4.3.1				8			
6.4.1-6.4.3 Module Total				**868**			
Design Document				40			
6.5.1.1				60			

Requirement ID	Project Area	Job Title	Scope Variant	DBPR Estimated Hours	Estimated Hours	Hourly Rate	Total Cost
6.5.1.2				100			
6.5.1.3				100			
6.5.1.4				60			
6.5.2.1				40			
6.5.2.2				8			
6.5.2.3				16			
6.5.2.4				60			
6.5.4.1				8			
6.5.4.2a				25			
6.5.4.3				40			
6.5.4.4				30			
6.5.1-6.5.4 Module Total				**587**			
Total				**9276**			

8 Attachment C - Vendor Confirmation

Confirmation of Intent to Quote

I hereby confirm that my company, ________________________________, intends to submit a quote or quotes to the Department of Business and Professional Regulation in response to this RFQ no later than June 22, 2016. I understand that this confirmation is for information purposes only, and does not constitute a binding contract to submit a quote. I understand that the Department will only share responses to Vendor questions regarding this project or its procurement with those companies that have completed this confirmation

Furthermore, I attest that I am a representative of this company, duly authorized to sign in its name.

Signature:	
Printed Name:	Title:
Date:	

9 Attachment D – Information Security Policy

DEPARTMENT INFORMATION TECHNOLOGY RESOURCES AND DATA ACCESS SECURITY

The Contractor shall comply with Rule 71A-1.005, Florida Administrative Code (F.A.C.), and comply with the following data security requirements in the event the Contractor has access to any Department data systems or software:

1. Data Security Officer: The Contractor shall designate an appropriately skilled individual to function as its Data Security Officer. The Data Security Officer shall act as the liaison to the Department's Division of Technology and shall maintain an appropriate level of data security for the information the Contractor is collecting or using in the performance of this contract. An appropriate level of security includes submitting required access request documents for Department approval, and tracking all contractor employees that have access to any Departmental data system or information. The Data Security Officer shall ensure that user access to the data system or information is timely removed for all separated Contractor employees. The Contractor agrees to notify the Department's assigned contract manager in writing within twenty-four (24) hours of employee resignations or layoffs, and immediately for involuntary terminations for staff that have access to the Department's information systems. As applicable, the Contractor shall execute a network connection agreement that shall ensure compliance with Department security policies prior to connection to the Department's internal network as required by Rule 71A-1.005, F.A.C.

    a. Security Policies and Attestation: All Contractor employees who have access to Departmental information technology systems and/or Department data shall be required to read and comply with all appropriate Department information technology security policies and shall sign and submit to the Department's assigned contract manager an attestation that they have read, understood and agree to comply with each policy. Upon execution of this contract, the Department's assigned contract manager shall provide a copy of all appropriate Department information technology security policies to the Contractor.

    b. Technology Access: The Department reserves the right, at its sole discretion, to grant permissions for access to Department network, systems, and data. Any staff employed by an entity under contract to the Department must be granted specific permission by the Department for access to the Department's network, systems, and data. The Department reserves the right to unilaterally suspend access for security reasons. Contractor employees shall be granted access to Department information technology resources based on the principles of "least privilege" and "need to know." The Department's assigned contract manager, in conjunction with the Department's Division of Technology, shall conduct quarterly access reviews of the Contractor's employees to ensure that access for separated employees was timely reported and removed.

    c. Employee Background Screening: Background screening is required for all Contractor employees hired as Information Technology workers with access to information processing facilities, or who have system, database, developer, network, or other administrative capabilities for systems, applications, or servers with risk categorization of moderate or high. The Contractor agrees to conduct Level 2 background screening for such employees as described in s. 435.05, F.S., and Rule 71A-1.005, F.A.C., at the Contractor's expense. For other Contractor employees who request access to Department data or information technology systems but do not fall into the above category, the Contractor agrees to conduct a Level 1 background screening as described in s. 110.1127 and s. 435.05, F.S., at the Contractor's expense. For each Contractor employee, the Contractor shall sign and submit to the Department's assigned contract manager an attestation, provided by the Department, that verifies the appropriate Level 1 or Level 2 background screening was completed and reviewed by the Contractor; that the screening has not revealed disqualifying information pursuant to ss. 435.03 (2) and (3), F.S. (for Level 1) or ss. 435.04 (2) and (3), F.S. (for Level 2), or computer-related crimes pursuant to Chapter 815, F.S.; and that the Contractor assumes responsibility for the employee's use of the Department's data and information resources.

    d. Employee Security Training: The Contractor shall provide information security awareness training to employees with access to Department information technology resources and data in accordance with Rule 71A-1.008, F.A.C. Initial training shall be provided within 30 days of contract execution or employment start date, and annually thereafter. Employees with access to records that are exempt or confidential and exempt from public records disclosure requirements shall be given specialized training regarding access and use of this information. All information security awareness training materials used by the Contractor shall be submitted to the Department's assigned contract manager upon request. The Contractor shall maintain records of individuals who have completed initial and annual security awareness training and shall make these records available to the Department upon request.

    e. Data Protection: Vendors, contractors, and providers employed by the Department or acting on behalf of the Department shall comply with the Department's information technology security policies, and employ adequate security measures to protect agency information, applications, data, resources, and services. These measures include protecting technology resources through physical controls such as building security and strategic placement of computer monitors. If Department data will reside on the Contractor's system, the Department may conduct, or request the Contractor conduct at the Contractor's expense, an annual network penetration test or security audit of the Contractor's system on which Department data resides. No Department data or information shall be stored in, processed in, or shipped to offshore locations or out of the United States of America, regardless of method, except as required by law or expressly agreed to by the Department.

f. Data Encryption: The Contractor shall make every effort to protect and avoid unauthorized release of any sensitive, exempt or confidential information by ensuring both data and storage devices are encrypted. If encryption of these devices is not possible, then the Contractor shall assure that unencrypted personal and confidential Departmental data will not be stored on unencrypted storage devices. Remote data access shall be provided via a trusted method such as SSL, TLS, SSH, VPN, IPsec or a comparable protocol approved by the Department.

g. Sensitive, Exempt and Confidential Information: Vendors, contractors, and providers employed by the Department or acting on behalf of the Department shall protect sensitive, exempt and confidential information from unauthorized access and use as required by the Department's information technology security policies. Such information includes, but is not limited to, personal information as described in ss. 501.171(g), F.S. Access to sensitive, exempt and confidential data shall be granted to the Contractor and subcontractors by the Department on a need to know basis. Except as required by law or legal process and after notice to the Department, the Contractor shall not divulge to third parties any sensitive, exempt or confidential information obtained by the Contractor or its agents, distributors, resellers, subcontractors, officers or employees in the course of performing contractual services.

h. Investigation of Breaches: The Department shall have the right to investigate any error attributable to the Contractor relating to access or dissemination of exempt or confidential and exempt records, as well as any instance of lost or missing data. The Department may take appropriate legal action as a result of such investigation.

i. Security Breach Notification: The Contractor agrees to notify the Department's assigned contract manager as soon as possible, but no later than 3 business days following the determination of any breach or potential breach of personal information and/or confidential departmental data. The Contractor shall provide notice to affected parties of a security breach in accordance with s. 501.171, F.S.

j. Equipment Sanitization: The Contractor shall enforce a procedure for sanitizing surplus or transferred equipment to protect any sensitive or confidential Department data that may reside on that equipment. At a minimum, the Contractor shall ensure that sanitization is completed according to acceptable methods described in Rule 71A-1.016, F.A.C., and provide documentation to the Department's Division of Technology, evidencing completion of the equipment sanitization.

k. Contract Termination: Upon contract termination or expiration, the Contractor will:

   i. Copies: Submit to the Department's assigned contract manager copies of all finished or unfinished documents, data studies, correspondence, reports and other products prepared by or for the Contractor under this contract; submit copies of all Department data to the Department in a format to be designated by the Department in accordance with s. 119.0701, F.S.; shred or erase parts of any retained duplicates containing personal information (as defined by s. 501.171, F.S.); all copies containing personal information must be made unreadable;

   ii. Originals: Retain its original records such as data required by this contract and maintain (in confidence to the extent required by law) the Contractor's original records in un-redacted form, until the records retention schedule expires according to State of Florida General Records Schedule GS1-SL, and to reasonably protect such documents and data during any pending legal hold, investigation or audit;

   iii. Both copies and originals: Upon expiration of all retention schedules and legal holds, audits or investigations, with notice to the Department, destroy all Department data from the Contractor's systems, including but not limited to, electronic data and documents containing personal information or other data that is confidential and exempt under Florida public records law.

l. Subcontractors: The Contractor shall require that any entities subcontracting with the Contractor who are granted access to Department data or information technology systems comply with the data security requirements stated above.