**Request for Proposals (RFP) ETC0051**

**Strategic Partner for Pension Administration System**

****

**Issued by the**

**State of Wisconsin**

**Department of Employee Trust Funds**

**On behalf of the Employee Trust Funds Board**

Release Date: April 12, 2023

Table of Contents

[Table of Contents 2](#_Toc114832093)

[Required FORMS, Sample contract, department terms & conditions 2](#_Toc114832095)

[1 General Information 3](#_Toc114832096)

[2 Preparing and Submitting a Proposal 10](#_Toc114832097)

[3 Proposal Selection and Award Process 1](#_Toc114832098)6

[4 Proposer MANDATORY Requirements and Qualifications 2](#_Toc114832099)0

[5 Scope of WORK - requirements 2](#_Toc114832100)1

[6 General Questionnaire 23](#_Toc114832101)

[7 Technical Questionnaire 27](#_Toc114832102)

[8 Cost 31](#_Toc114832103)

[9 Contract Terms and Conditions 32](#_Toc114832104)

Required FORMS

* Form A – Proposal Checklist
* Form B – Mandatory Requirements and Qualifications
* Form C – Subcontractor Information
* Form D – Request for Proposal Signature Page
* Form E – Vendor Information
* Form F – Vendor References
* Form G – Designation of Confidential and Proprietary Information
* Form H – Cost Proposal

Appendices

* Appendix 1 - Sample Contract Cover Page
* Appendix 2 - Department Terms and Conditions (DTCs 6.1.2022)
* Appendix 3 –Overview of ETF Information Technology (IT) Improvements
* Appendix 4 – Modernization Guiding Principles

# General Information

## 1.0 Procuring and Contracting Agency

This Request for Proposals (RFP) is issued by the Wisconsin Department of Employee Trust Funds (Department) on behalf of the State of Wisconsin Employee Trust Funds Board (Board). The Department is the sole point of contact for this RFP. The terms “ETF” and “Department” may be used interchangeably in this RFP and its attachments.

Prospective Proposers are prohibited from contacting any person other than the individual listed below regarding this RFP. Violation of this requirement may result in the Proposer being disqualified from further consideration.

**Wisconsin Department of Employee Trust Funds**

Procurement Lead:

Joanne Klaas

Telephone: 608-261-7247

E-mail: [ETFSMBProcurement@etf.wi.gov](mailto:ETFProcurement@etf.wi.gov)

**NOTE:** The Department’s offices are closed on Saturdays, Sundays, and State holidays. See State holidays <https://dpm.wi.gov/Pages/How_Do_I/seeStateHolidays.aspx>.

## 1.1 Board and Department Authority

This solicitation is authorized under Chapter 40 of the Wisconsin State Statutes. Procurement statutes and rules that govern other State agencies may not be applicable. All decisions and actions under this RFP are solely under the authority of the Board. On March 23, 2023 the Board delegated to the Department the authority to solicit proposals for a strategic partner for the search, selection, implementation, and oversight of a pension administration system (PAS). The Department is acting as an agent of the Board in carrying out any directives or decisions relating to this RFP, the Contract, and subsequent award.

## 1.2 Introduction

The Department administers the Wisconsin Retirement System (WRS), the Group Health Insurance Program (GHIP) for State Employers and many Local government entities, and a variety of other public employee benefit programs. The WRS has consistently ranked among the top 10 largest public pension funds in the U.S., providing retirement benefits for approximately 665,000 current and former State and Local government Employees and their families on behalf of approximately 1,500 Employers. Participants in the WRS include public school teachers, current and former Employees of State agencies and the University of Wisconsin system, and Employees of most Local Governments. All State WRS Members and those from the participating Local Employers are eligible to enroll in the GHIP. The Department is overseen by independent governing boards and funds are held on behalf of the benefit program beneficiaries in the Public Employee Trust Fund created and regulated under Chapter 40 of the Wisconsin State Statutes.

The purpose of this RFP is to solicit proposals from interested and qualified parties who can be the Department’s strategic partner for the search, selection, implementation, and oversight of a pension administration system.

The Department intends to use the results of this solicitation process to award a contract for the services described herein. The contract will be administered and managed by the Department, with oversight by the Board. This RFP document, its forms, appendices, attachments, and the awarded Proposal will be incorporated into the contract. Vendors may only submit one Proposal.

ETF is seeking to identify a vendor who solely, or through the use of clearly defined and managed subcontractors, can provide consulting services to assist ETF in the search, selection, implementation, and program/project oversight of a Commercial-Off-the-Shelf (COTS) pension administration system, as well as, serve in the role of strategic partner during the life of this engagement. The strategic partner aspect of the relationship pertains specifically to executive level analysis and briefings focused on insight as to whether the selection, implementation and operationalization of a pension administration system is targeted to meet ETF’s desired business outcomes and if not, to provide recommended course corrections.

The consultant must have detailed knowledge and experience with functional change for multiple business programs across an organization as part of an enterprise-wide transformation effort. Proposed Key Personnel must have the breadth of industry knowledge to support a significant and complex public pension transformation project.

ETF may involve the consultant in other projects related to this multi-year effort. ETF wants to ensure that the consultant is aware of this possibility and that any additional work will need to be mutually agreed upon and approved by ETF.

## Background Information

ETF is in the process of replacing multiple outdated legacy systems and a pension administration system is a major component in ETF’s transformation journey. ETF has four strategic goals described in [ETF's memo](https://etf.wi.gov/boards/bu-op/2023/03/23/bud7a/download?inline=) to the ETF Board at their March 23, 2023 meeting, with the ultimate business outcome of serving our customers as they prefer to be served. The chosen solution strategy is to implement multiple, best-of-breed, commercial-off-the-shelf (COTS) solutions, each specializing in a specific business area that is reflected in the related programs: imaging, data, technology, insurance administration, pension administration and customer relationship management if needed. ETF’s defined roadmap includes the following and several key components have been completed:

1. Enterprise Content Management Solution (Complete)

2. Data Management Program

a. Current-State Analysis and Future-State Design (Complete)

b. Technical Architecture and Integration (Complete)

c. Data Storage, Warehouse and Business Intelligence (In progress)

d. Data Governance (Complete)

e. Master Data Management Solution (Complete)

f. Data Quality (Complete)

3. Technology Program

a. IT Operations and Support Model (Complete)

b. Dev Ops – Repository and Code Management and Continuous Integration and Deployment (Complete)

c. Authorization and Authentication (Complete)

d. Adaptive Security (Complete)

e. Security Standards (Complete)

4. Identity proofing (In Progress)

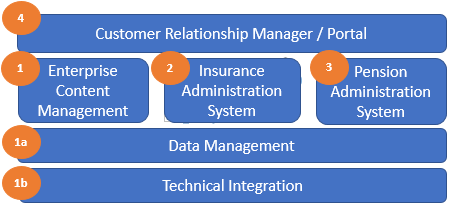
5. Insurance Administration System (In Progress)

6. Pension Administration System (Not Started)

7. Customer Relationship Management (If needed)

The Pension Administration System will be the third major business system in ETF’s replacement roadmap.

### ETF Legacy IT Replacement Plan1



1 Appendix 3 includes additional information on each program. Programs are

numbered in order of implementation.

In order to move the organization from its current state into one that effectively leverages the capabilities of the new pension administration system, ETF requires proven, expert assistance in assessing the current business environment, preparing process change guides, aligning core functions with the new system capabilities, developing maps and materials to communicate the changes, providing expertise to minimize risk during the changes and providing support to leadership to wisely transform and/or reorganize the business. See Appendix 4 – Modernization Guiding Principles. CRM/Portal is listed as “if needed” because ETF would like the PAS to provide the functionality and will be evaluating whether the proposed solution can do so.

### Additional Background Information

Table 1 below provides links to additional informational resources. This information is provided to assist Proposers in completing an RFP response.

Table 1. Resources

|  |  |
| --- | --- |
| Background | Web Address |
| Employee Trust Funds (ETF) Website | <http://etf.wi.gov> |
| ETF Board – Budget and Audit Committee Transformation Update | [BUD 7A - Memo - Transformation Update - 03.23.23 (wi.gov)](https://etf.wi.gov/boards/bu-op/2023/03/23/bud7a/download?inline=) |
| RFP ETC0051 Webpage | <https://etf.wi.gov/node/31476> |
| WI State Statutes Chapter 40 | <https://docs.legis.wisconsin.gov/statutes/statutes/40> |
| ETF Annual Comprehensive Financial Reports | <https://etf.wi.gov/about-etf/reports-and-studies/financial-reports-and-statements> |

## Definitions and Acronyms

Words and terms will be given their ordinary and usual meanings. Where capitalized in this RFP and attachments, the following definitions and acronyms have the meanings indicated unless otherwise noted. The meanings will be applicable to the singular, plural, masculine, feminine, and neuter forms of the words and terms.

**Board** means State of Wisconsin Employee Trust Funds Board.

**Business Day** means each Calendar Day except Saturday, Sunday, and official State of Wisconsin holidays (see also: Calendar Day, Day).

**Calendar Day/Day** refers to a period of twenty-four hours starting at midnight.

**Calendar Year** means the time period from January 1 to December 31.

**Calendar of Events** means the schedule of events in Section 1.8.

**Confidential Information** means all tangible and intangible information and materials being disclosed in connection with the Contract, in any form or medium without regard to whether the information is owned by the State of Wisconsin or by a third party, which satisfies at least one of the following criteria: (i) Individual Personal Information; (ii) Personally Identifiable Information under Wis. Stat. § 19.62(5); (iii) Protected Health Information under HIPAA, 45 CFR 160.103; (iv) proprietary information; (v) non-public information related to the State of Wisconsin’s employees, customers, technology (including data bases, data processing and communications networking systems), schematics, specifications, and all information or materials derived therefrom or based thereon; (vi) information expressly designated as confidential in writing by the State of Wisconsin; (vii) all information that is restricted or prohibited from disclosure by State or federal law, including Individual Personal Information and Medical Records as governed by Wis. Stat. § 40.07, Wis. Admin. Code ETF 10.70(1) and 10.01(3m); or (viii) any material submitted by the Proposer in response to this RFP that the Proposer designates confidential and proprietary information and which qualifies as a trade secret, as provided in Wis. Stat. § 19.36 (5) or material which can be kept confidential under the Wisconsin public records law.

**Contract** means the written agreement resulting from the successful Proposal and subsequent negotiations that incorporates, among other documents, this RFP and its exhibits, appendices and forms, the successful Proposer's Proposal as accepted by the Department, an updated and executed Contract Cover Page, its exhibits, subsequent amendments, and other documents as agreed upon by the Department and the Contractor.

**Contractor** means the Proposer who is awarded a Contract.

**Cost Proposal** means the document submitted by a Proposer that includes Proposer’s costs to provide the Services. Form H – Cost Proposal is one of the required documents all Proposers must submit. The Cost Proposal is described in Section 8 and elsewhere in this RFP.

**Customer** means Members, or their agent, who are actively working, inactive, or receiving a benefit, participating employers, and beneficiaries and survivors as they become members eligible to receive a benefit.

**Customer Experience (CX)** means the sum total of our customers’ opinions, perceptions, and feelings resulting from all of their interactions, across all channels and touchpoints, spanning the entire lifecycle of their relationship with us.  It is not a single interaction via a website visit, phone call, meeting, reading a brochure, completing a form, or getting a letter from us nor a single benefit program. It is how the customer feels about their entire ETF experience.

**Department** or **ETF** means the Wisconsin Department of Employee Trust Funds.

**Employee** means an eligible employee of the State of Wisconsin as defined under [[Wis. Stat. § 40.02 (25) (a), 1., 2., or (b), 1m., 2., 2g., or 8](https://docs.legis.wisconsin.gov/statutes/statutes/40/I/02/25)](https://docs.legis.wisconsin.gov/statutes/statutes/40/I/02/25). As used herein, a State Employee is an Employee of a State Employer and a Local Government Employee is an Employee of a Local Government entity.

**Employer** means the State, including each State agency, UW institution, any county, city, village, town, school district, other governmental unit or instrumentality of two or more units of government as defined is [Wis. Stat. § 40.02 (28)](https://docs.legis.wisconsin.gov/document/statutes/40.02(28)).

**HIPAA** means the Health Insurance Portability and Accountability Act of 1996.

**Holiday** means those days recognized by the State of Wisconsin: New Year’s Day, Martin Luther King Jr. Day, Memorial Day, Independence Day, Labor Day, Thanksgiving, Christmas Eve, Christmas Day, New Year’s Eve Day.

**IV&V** means Independent Verification and Validation.

**Key Personnel** means Contractor designated staff personnel assigned to perform work under the Contract. See DTCs (6.1.2022) Section 27.0

**Mandatory** means the least possible threshold, functionality, degree, performance, etc. needed to meet the compulsory requirement.

**Proposal** means the complete response of a Proposer submitted in the format specified in this RFP, which sets forth the Services offered by a Proposer and Proposer’s pricing for providing the Services described in this RFP.

**Proposer** means any individual, firm, company, corporation, consultant or other entity that submits a Proposal in response to this RFP.

**Retiree or Annuitant** means a State or a Local Government WRS participant who is retired and receives an annuity or lump sum benefit from the Wisconsin Retirement System. See [Wis. Stat. § 40.02 (49)](https://docs.legis.wisconsin.gov/document/statutes/40.02(49)).

**Services** means all work performed, and labor, actions, recommendations, plans, research, and documentation provided by the Contractor necessary to fulfill that which the Contractor is obligated to provide under the Contract.

**State** means the State of Wisconsin.

**State Statutes** or **ss** or **Wisconsin Statutes** or **Wis. Stat.** means Wisconsin State Statutes referenced in this RFP, viewable at: <http://www.legis.state.wi.us/rsb/stats.html>.

**Subcontractor** means a person or company hired by the Contractor to perform a specific task or provide Services as part of the Contract.

**UW** means the University of Wisconsin. The UW System has 13 universities across 26 campuses and a statewide extension.

**WPE** means Wisconsin Public Employer as defined under [Wis. Stat. § 40.02 (28)](https://docs.legis.wisconsin.gov/document/statutes/40.02(28)), other than the State, which has acted under [Wis. Stat. § 40.51 (7)](https://docs.legis.wisconsin.gov/document/statutes/40.51(7)), to make health care coverage available to its Employees. Also, typically referred to as a Local Employer.

**WRS** means the Wisconsin Retirement System.

See the Department’s glossary at: <https://etf.wi.gov/glossary> for additional definitions.

## Clarification of the Specifications and Requirements

Proposers must submit all questions concerning this RFP via email (no phone calls) to [ETFSMBProcurement@etf.wi.gov](mailto:ETFSMBProcurement@etf.wi.gov). The subject line of the email must include “ETC0051” and the email must be received on or before the date identified in Section 1.8 Calendar of Events.

Proposer Questions. Proposers are expected to raise any questions they have concerning this RFP at this point in the process. Do not include any information within your questions that would identify your company as all submitted questions will be shared publicly on the Department’s website.

Proposers are encouraged to submit any assumptions or exceptions during the above process. All assumptions and exceptions listed must contain a rationale as to the basis for the assumption/exception. The Department will inform Proposers what assumptions/exceptions are acceptable to the Department.

Questions must be submitted as a Microsoft Word document (not a .pdf or scanned image) to [ETFSMBProcurement@etf.wi.gov](mailto:ETFSMBProcurement@etf.wi.gov) using the format specified below:

Table 2. Format for Submission of Clarification Questions

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Q # | RFP / Appendix # and Section # | RFP Page | Question/Rationale | Department Answer |
| Q1 |  |  |  |  |
| Q2 |  |  |  |  |
| Q3 |  |  |  |  |

Q = Proposer’s question

Proposer’s email must include the name of Proposer’s company and the person submitting the question(s). A compilation of all questions and answers, along with any RFP updates, will be posted to the Department website at <https://etf.wi.gov/node/31476> on or about the date indicated in Section 1.8 Calendar of Events, Department Posts Responses to Proposer Questions.

If a Proposer discovers any significant ambiguity, error, conflict, discrepancy, omission, or other deficiency in this RFP, the Proposer should immediately upon discovery email the individual identified in Section 1.0 Procuring and Contracting Agency, with “ERROR re ETC0051” stated in the email subject line and explain such error and request modification or clarification of this RFP document. Failure to raise any such cognizable error immediately but no later than before the Proposal submission deadline will result in a bar on subsequently raising the issue.

If it becomes necessary to update any part of this RFP, updates will be published on the Department’s website listed above. Electronic versions of this RFP and its attachments are available on the Department website noted above.

## Vendor Conference

There is no scheduled vendor conference. A vendor conference is an opportunity for vendors to ask questions. If ETF decides to hold a vendor conference, a notice will be posted on the Department’s public website for this RFP at <https://etf.wi.gov/node/31476>. Note, unless this notice is posted, no conference will be held.

## Reasonable Accommodations

The Department will provide reasonable accommodations, including the provision of informational material in an alternative format, for qualified individuals with disabilities, upon request.

## Calendar of Events

Listed below are the important dates by which actions related to this RFP must be completed. If the Department finds it necessary to change any of the dates and times listed below, it will do so by posting an addendum to this RFP on the Department’s website. No other formal notification will be issued for changes in the estimated dates.

Table 3. Calendar of Events \*

|  |  |
| --- | --- |
| Date / Time | Event |
| April 12, 2023 | Department issues RFP ETC0051 Strategic Partner |
| **April 21, 2023 by 12:00 p.m. Central Daylight Time (CDT)** | **Vendors’ questions due** |
| April 28, 2023 | Department posts responses to vendors’ questions |
| **May 3, 2023 by 12:00 p.m. CDT** | **Letter of intent to submit a proposal due** |
| **May 12, 2023 by 12:00 p.m. CDT** | **PROPOSAL DUE DATE** |
| July/August 2023 | Evaluation committee may hold interviews with top scoring Proposers |
| September/October 2023 | Department notifies Proposers of intent to award.  The ETF Board tentatively plans to meet September 21, 2023. Agenda and materials found here  <https://etf.wi.gov/about-etf/governing-boards/retirement-boards-meeting-agendas-and-materials>  The committee’s recommended vendor or vendor finalists may be asked to present to the Board at this or another meeting. |
| January 1, 2024 | Contract start date |

**\*All dates are estimated with the exception of the due dates for Vendors’ questions, Letter of intent to submit a proposal, and PROPOSAL DUE DATE.**

## Contract Term

The contract term for providing the consulting services will commence January 1, 2024 through December 31, 2028 (Initial Term), unless terminated earlier per the terms of the Contract. By submitting a Proposal, Proposer agrees Proposer’s pricing as accepted by the Department in the final Contract shall remain the same throughout the Initial Term.

The Board retains the option, by mutual agreement of the Board and the successful Proposer, to renew the Contract for two (2) additional two (2)-year periods extending the Contract through December 31, 2032, subject to the satisfactory negotiation of terms, including pricing.

Cost increases for any contract renewals may be capped at the rate of inflation or 3% annum (whichever is lower) from the contract effective date to the renewal date as measured by the National (U.S. City Average) consumer price index for all urban customers (CPI-U) unless justified by the contractor and otherwise agreed to by the Department.

## Letter of Intent

A letter of intent indicating that a vendor intends to submit a response to this RFP is *highly encouraged* (see Section 1.8 Calendar of Events). In the letter, identify the vendor’s organization/company name; list the name, location, telephone number, and email address of one or more persons authorized to act on the vendor’s behalf. Submit the letter of intent via email to [ETFSMBProcurement@etf.wi.gov](mailto:ETFSMBProcurement@etf.wi.gov). Identify the RFP number: ETC0051 and title: Strategic Partner for PAS RFP in the subject line of vendor’s email. The letter of intent does not obligate a vendor to submit a Proposal.

## No Obligation to Contract

The Board reserves the right to cancel this RFP for any reason prior to the issuance of a notice of intent to award a Contract. The Board does not guarantee to purchase any specific dollar amount. Proposals that stipulate that the Board will guarantee a specific quantity or dollar amount will be disqualified.

## Wisconsin Department of Administration eSupplier Registration

The Wisconsin Department of Administration’s eSupplier Portal is available to all businesses and organizations that want to do business with the State. The eSupplier Portal allows vendors to see details about pending invoices and payments, allows vendors to receive automatic, future official notices of bid opportunities, and, in some cases, allows vendors to respond to State solicitations. Note: the eSupplier Portal is not being used for this solicitation for Proposer responses. For more information on the eSupplier Portal, go to: <https://esupplier.wi.gov/psp/esupplier/SUPPLIER/ERP/h/?tab=WI_BIDDER>

## Retention of Rights

All Proposals become the property of the Department upon receipt. All rights, title and interest in all materials and ideas prepared by the Proposer for the Proposal, and provided to the Department, will be the exclusive property of the Department and may be used by the Department and the State at its discretion.

# Preparing and Submitting a Proposal

## General Instructions

The evaluation and selection of a Contractor will be based on the information received in the submitted Proposal plus the following optional review methods, at the Department’s discretion: reference checks, presentations, demonstrations, interviews, responses to requests for additional information or clarification, any on-site visits, and/or best and final offers (BAFOs), where requested. Such methods may be used to clarify and substantiate information in the Proposals. Failure to respond to each of the requirements in this RFP may be the basis for rejecting a Proposal. All Proposals must be in English.

## Incurring Costs

Neither the State, the Department, nor the Board are liable for any costs incurred by Proposers in replying to this RFP, making requested oral presentations, or demonstrations.

## Submitting the Proposal

### ****Proposal Due Date and Time****

**Proposals must be uploaded to the Box URL in Section 2.2.2 below.**

a. Proposers are solely responsible for ensuring that Proposals are received by the Department before the deadline stated in Section 1.8 Calendar of Events. It is recommended that Proposers begin the process of Proposal submission via Box and test their system well in advance of the due date and time listed.

b. The Department takes no responsibility for electronic responses that are captured, blocked, filtered, quarantined, or otherwise prevented from reaching the proper destination server by any anti-virus or other security software.

**c. Proposals received by the Department after the date and time specified in Section 1.8 Calendar of Events will not be accepted and will be disqualified. All required parts of the Proposal must be submitted by the specified due date and time; if any portion of the Proposal is submitted late, the entire Proposal will be disqualified. Proposers may request, via an email to the address listed in Section 1.0 Procuring and Contracting Agency, the time and date their Proposal was received.**

### Uploading Proposals to Box

**Proposals must be uploaded to the following Box URL:**

<https://etf.app.box.com/f/9ec585a96fcc495fabee81b3e651a843>

**Important Requirements:**

a. Do not upload zipped folders or files to this URL.

b. Do not upload folders to this URL.

c. Acceptable file types include PDF, DOCX, **or XLSX.**

**d. Do not lock or password protect any Proposal files.**

**e. Include the Proposer’s name and the RFP number in each file name.**

**f. Files must be free** of all malware, ransomware, viruses, spyware, worms, Trojans, or anything that is designed to perform malicious operations on a computer.

g. If you experience problems accessing Box to upload your Proposal documents, consult with your IT department; consider “whitelisting” Box or turning off your VPN to allow uploads.

h. If a document file includes confidential/proprietary information, include the word “confidential” in the file name and be sure to include the document name and details of the confidentiality, e.g., document name, page and/or section, in Form G – Designation of Confidential and Proprietary Information.

### Required files

Proposers must upload all required files/materials as specified in this RFP.

**a. Proposal submission must include all Proposer documents responsive to the RFP.**

**b. At a minimum, Proposer’s submission must include the following two (2) files:**

**1. Unredacted Proposal. The file name for this document should include Proposer’s name + “Proposal” + ETC0051. This file must contain all electronic, unredacted Proposal files in Microsoft Word/Microsoft Excel, and/or Adobe Acrobat 9.0 (or above) format. The Department requires that all files have optical character recognition (OCR) capability (not a scanned image). Do not include the Cost Proposal in this file.**

**2. Cost Proposal. The file name for this document should include Proposer’s name + “Cost Proposal” + ETC0051. This file must contain Proposer’s completed Form H** – **Cost Proposal. Costs provided in Proposer’s Cost Proposal must NOT be redacted for confidentiality.**

**c. Redacted Proposal. IF the Proposal includes confidential or proprietary information, include a file labeled Proposer’s name + “Redacted Proposal” + ETC0051. This file must contain all electronic Proposal files in Microsoft Word/Microsoft Excel, and/or Adobe Acrobat 9.0 (or above) format** **EXCLUDING or REDACTING all confidential and proprietary information/documents. Proposers should be aware that the Department may need to electronically send the redacted files to members of the public and other Proposers when responding appropriately to public records requests. Note that no matter what the method the Proposer uses to redact documents in this file, the Department is not responsible for checking that the redactions match the Proposer’s Form G – Designation of Confidential and Proprietary Information. The Department is not responsible for checking the redactions, when viewed on-screen via electronic file, cannot be thwarted. The Department is not responsible for responding to open records requests via printed hard copy, even if redactions are only effective on printed hard copy. The Department may post redacted Proposals on the Department’s public website in exactly the same file format the Proposer provides, and the Department is not responsible if the redacted file is copied and pasted, uploaded, emailed, or transferred via any electronic means, and somehow loses its redactions in that process. Do not include the Cost Proposal in this file. Cost Proposals cannot be redacted.**

* **Redact only material the Proposer authored. For example, do not redact the requirement or question the Proposer is responding to, only the answer.**
* **Do not redact page numbers. Page numbers should remain visible at all times, even if the whole page is being redacted.**
* **List a descriptor of the redacted items on Form G – Designation of Confidential and Proprietary Information; sign the form only once. Add as many lines/pages to Form G as necessary.**

**d. If the Proposer is unable to include all required forms, documents and requested materials in the Proposal documents listed above, the Proposer may upload other documents to the Box URL listed above.** All file names of uploaded documents must contain Proposer’s name as the first word in the file name, examples: “Proposer’s name + reports,” “Proposer’s name + forms,” “Proposer’s name + Assumptions and Exceptions.” All such files must be **in Microsoft Word/Microsoft Excel, or Adobe Acrobat 9.0 (or above) format.**

## Proposal Organization and Format

Proposers responding to this RFP must comply with the following requirements. The Department reserves the right to exclude any Proposals from consideration that do not follow these requirements.

### Document and Format Requirements

Include the following documents in the Proposal in the following order:

**a. Proposal Cover Page: Include at a minimum the following information:**

* **Proposer's company name**
* **Proposal for RFP ETC0051 Strategic Partner for PAS**
* Date the Proposal response is authored

**b. Table of Contents: Include a table of contents in the Proposal for the major sections of the Proposal. At a minimum include the items listed below within the table of contents.**

c. **Transmittal Letter:** A signed transmittal letter must accompany the Proposal. The transmittal letter must be written on the Proposer’s official business stationery and signed by an official that is authorized to legally bind the Proposer. Include in the letter:

* Name and address of company/Proposer
* Name, title, signature, telephone number and email address of Proposer’s authorized representative
* Name, title, telephone number and email address of representative(s) who may be contacted by the Department if questions arise regarding the Proposal
* **The RFP number and name: ETC0051 Strategic Partner for PAS**
* Executive summary

d. **Completed Forms:** complete and include the following forms in the Proposal

* Form A – Proposal Checklist
* Form B – Mandatory Requirements and Qualifications
* Form C – Subcontractor Information
* Form D – Request for Proposal Signature Page
* Form E – Vendor Information
* Form F – Vendor References
* Form G – Designation of Confidential and Proprietary Information
* Form H – Cost Proposal
* Current Form W-9 Request for Taxpayer Identification Number and Certification (get the latest form from the Department of the Treasury, Internal Revenue Service: <https://www.irs.gov/pub/irs-pdf/fw9.pdf>)

**Form Requirements:**

**Form F – Vendor References.** Proposers must provide at least four (4) references in Form F – References. References may be contacted to determine the quality of work performed and personnel assigned to the project, etc. The results of any reference checks will be used for scoring Proposals. Other reference requirements are stated in Form F. **The Department** reserves the right to contact other states, agencies, and individuals, about the Proposer even if not listed as references by the Proposer.

**Form G – Designation of Confidential and Proprietary Information.** All Proposers have a continuing obligation to submit an updated Form G **up to the date the Department’s Notice of Intent to Award a Contract is issued if the Department requests additional information that the Proposer claims is confidential or proprietary. Merely designating submitted information “confidential” or “proprietary” on the submitted document is insufficient.**

**Form H – Cost Proposal** must be submitted as noted in Section 2.2.3 above. Also see RFP Section 8, Cost Proposal.

e. **Responses to Section 6 General Questionnaire**

f. **Responses to Section 7 Technical Questionnaires**

g. **Assumptions and Exceptions:** If the Proposer has no assumptions or exceptions to any RFP term, condition, Department Terms and Conditions (DTCs 6.1.2022), specification, or Form, the Proposer must provide a statement to that effect in the Proposal.

**If the Proposer has assumptions and/or exceptions, the Proposer must follow the instructions in Section 2.3.2 below for submitting assumptions and exceptions.**

**h. Promotional Materials: Only provide promotional materials if they are relevant to a specific requirement or request specified in this RFP. If provided, all materials must be included with the response to the relevant requirement and clearly identified as “promotional materials.” Electronic access to such materials is preferred, which includes web links.**

### Instructions for Submitting Assumptions and Exceptions

a. Regardless of any proposed assumption or exception, the Proposal as presented must include all Services requested.

b. If the Proposer cannot agree to a term or condition as written in this RFP and its attachments, the Proposer must make its specific requested revision to the language of the provision by striking out words or inserting language to the text of the provision. Any new text and/or deletions of original text must be clearly color coded or highlighted. Proposers must avoid complete deletion and substitution of entire provisions, unless the deleted provision is rejected in its entirety and substituted with substantively changed provisions. Wholesale substitutions of provisions must not be made in lieu of strategic edits required to reflect Proposer modifications. See Section 2.3.3 below regarding assumptions and exceptions to the Department Terms and Conditions.

c. Immediately after a proposed revision, the Proposer must add a concise explanation concerning the reason or rationale for the revision. Such explanations must be separate and distinct from the marked-up text and shall be bracketed, formatted in *italics,* and preceded with the term “[*Explanation: ….*].”

d. Submission of any standard Proposer contracts as a substitute for language in the terms and conditions is not a sufficient response to this requirement and may result in rejection of the Proposal. An objection to terms or conditions without including proposed alternative language will be deemed to be an acceptance of the language as applicable.

e. If the Proposer has any assumptions or exceptions to information in Form H – Cost Proposal or RFP Section 8 Cost Proposal, provide those where indicated in Form H.

f. All provisions on which no changes are noted will be assumed to be accepted by the Proposer as written and will not be subject to further negotiation or change of any kind unless otherwise proposed by the Department.

g. The Department reserves the right to negotiate contractual terms and conditions when it is in the best interest of the State to do so.

h. Exceptions to any RFP terms and conditions may be considered by the Department during Contract negotiations if it is beneficial to the Department.

i. The Department may or may not consider any of the Proposer’s suggested revisions. The Department reserves the right to reject any proposed assumptions or exceptions.

j. Clearly label each assumption and exception with one of the following labels, as applicable:

* + Department Terms and Conditions Assumptions and Exceptions
  + RFP (excluding RFP Section 8 Cost Proposal and Form H – Cost Proposal) Assumptions and Exceptions

Section 8 Cost Proposal and Form H – Cost Proposal assumptions and exceptions must be included where indicated in Form H.

### IMPORTANT: Supplemental Information – Department Terms and Conditions

The Department may not allow any assumptions or exceptions by the Proposer to any of the sections of the Department Terms and Conditions that are listed in Table 4 below. Any Proposal with an assumption or exception to language in the sections listed in Table 4 may be rejected unless the Proposer, upon the Department’s request, recants each such assumption or exception in writing.

If, during contract negotiations, there are minor issues that need to be addressed due to the Proposer’s inability to meet specific provisions in the sections of the Department Terms and Conditions listed in Table 4 below, the Department may choose to negotiate these issues with the Proposer as the Department sees fit.

If there is a difference in interpretation of the Department Terms and Conditions between the Proposer and the Department, the Department may be willing to address those matters during contract negotiations and make clarifications.

Please be advised that the Department is unlikely to agree to make substantial changes to sections in the Department Terms and Conditions that are listed in Table 4 below.

***Table 4. No Assumptions or Exceptions Allowed***

**Department Terms and Conditions**

|  |
| --- |
| **Section** |
| 3.0 Legal Relations |
| 12.0 Discount for Late Delivery |
| 13.0 Contract Dispute Resolution |
| 14.0 Controlling Law |
| 16.0 Termination of the Contract |
| 17.0 Termination for Cause |
| 17.1 Breach by Pattern or Practice |
| 18.0 Remedies of the Department |
| 23.0 – 23.5 Indemnification |
| 28.0 Information Security Agreement |
| 39.0 Assignment |

## Multiple Proposals

Multiple Proposals from a Proposer for a single RFP will not be accepted.

## Withdrawal of Proposals

Proposals will be irrevocable until the Contract is awarded unless the Proposal is withdrawn. Proposers may withdraw a Proposal in writing at any time up to the date and time listed above in the Calendar of Events, for the Proposal Due Date or upon expiration of three (3) Calendar Days after the Proposal Due Date and time, if received by the Department. To accomplish this, the written request must be signed by an authorized representative of the Proposer’s company and submitted to the contact listed in Section 1.0 Procuring and Contracting Agency. If a previously submitted Proposal is withdrawn before the Proposal Due Date, the Proposer may submit another Proposal at any time up to the Proposal Due Date and time.

# Proposal Selection and Award Process

## Preliminary Evaluation

Proposals will initially be reviewed to determine if Form B – Mandatory Requirements and Qualifications are met, to the extent the Department can make that determination, and if all required Proposal components are received. All components of the Proposal must be submitted prior to the deadline listed in Section 1.8 Calendar of Events. Failure on the part of the Proposer to:

* submit a complete Proposal on time and following the instructions for completing the Proposal specified in this RFP, or,
* provide a complete response to Form H – Cost Proposal or,
* be able to meet the specifications in this RFP and the appropriate appendices,

may result in rejection of the Proposal regardless of when the Department makes such discovery. In the event that all Proposers do not meet one or more of the RFP requirements, the Department reserves the right to continue the evaluation of Proposals and to select the Proposal(s) that most closely meet(s) the requirements specified in this RFP.

## Clarification Process

The Department may request Proposers to clarify ambiguities or answer questions related to information presented in their Proposal. Clarifications may occur throughout the Proposal evaluation process. Clarification requests will include appropriate references to this RFP and the Proposal. Responses must be submitted to the Department in writing in the manner and timeframe specified by the Department. Failure to provide responses as instructed may result in rejection of a Proposal.

## Evaluation Criteria

Proposals that pass the preliminary evaluation may be reviewed by an evaluation committee. The evaluation committee may review written Proposals, additional clarifications, oral presentations or demonstrations of the Proposer’s proposed products(s) and/or service(s) (top scoring Proposers only), site visits, and other information to score Proposals. The Department may request reports on a Proposer’s financial stability (this includes the Department’s request for Proposers to furnish audited financial statements), and if financial stability is not substantiated, may reject a Proposer’s Proposal. The Department may review results of past awards to the Proposer by the State.

The RFP evaluation committee may contact the references of selected Proposers to determine the quality of services provided and work performed by the Proposer, customer satisfaction, etc. Proposers should **use Form F – Vendor References to provide references.** The Department will act as its own reference (therefore do not list the Department as a reference). Reference checks may be used by evaluation committee members to clarify and substantiate information in the Proposals, learn about the Proposer’s past performance and ability to perform the Services, and may be considered when scoring Proposer responses to the general and technical questionnaires in this RFP.

A Proposer may not contact any member of the RFP evaluation committee about any issue related to this RFP.

The evaluation committee's scoring will be tabulated, and Proposals will be ranked based on the numerical scores received. The evaluation committee reserves the right to stop reviewing a Proposal at any point during the evaluation process and remove the Proposal from further consideration when the Proposal is not reasonably apt to receive an award.

## Proposal Scoring

Proposals submitted will be scored based upon the proven ability of the Proposer to satisfy the requirements specified herein in an efficient, cost-effective manner, taking into account quality of Services proposed. Proposals will be scored individually, using the following point system:

Table 5. Evaluation Criteria / Points

| **RFP Section** | **Description** | **Total Points** | **%** |
| --- | --- | --- | --- |
| 6 | General Questionnaire: The maximum total score for section 6 is 300. | 300 | 30% |
| 7 | Technical Questionnaire: The maximum total score for section 7 is 500. | 500 | 50% |
| Form H | Cost Proposal | 200 | 20% |
|  | **Proposal Total** | **1,000** | **100%** |
| **top proposers only** | **Description** | **Total Points** | **%** |
| - | Proposer Interviews | Not scored but used by the evaluation committee to clarify proposals | |

The points listed above are the maximum points awarded for each RFP section listed. Proposers whose Proposals are accepted for final consideration may be required to participate in Proposer interviews (see Table 3. Calendar of Events) as described below in Section 3.4 Proposer Presentations, Demonstrations, Site Visits.

## Proposer Presentations, Demonstrations, Site Visits

**This section is not scored. (0 points)**

**Any presentations, demonstrations or site visits will inform evaluation committee members’ scoring of the General and/or Technical Questionnaires.**

At the direction of the evaluation committee and the discretion of the Department, Proposers reasonably apt to receive an award (top scoring Proposers) based on the evaluation of their Proposal and the scores to their General and Technical Questionnaires (RFP Sections 6 and 7) may be required to participate in oral presentations or demonstrations, interviews and/or site visits to supplement the Proposals, if requested by the Department. This may include presentations to supplement or clarify information in the Proposal or demonstrations of Proposer’s key tools, web portal, and reporting capabilities, and interviews with key Department staff, evaluation committee members, and Board members. Proposer presentations and/or demonstrations may be used by evaluation committee members to validate or supplement Proposal information; committee members may change their scores to the Proposer’s responses to items in Sections 6 and 7 based on Proposer presentations/demonstrations.

The Department will reasonably attempt to schedule each Proposer presentation or demonstration at a time that is agreeable to the Proposer. Presentations will be held either virtually via MS Teams or in Madison, Wisconsin. Failure of a Proposer to provide a presentation or demonstration or permit a site visit on the date scheduled may result in rejection of the Proposer’s Proposal.

By submitting a Proposal in response to this RFP, the Proposer grants rights to the Department to contact or arrange a site visit with any or all of the Proposer’s clients, associates, Subcontractors, and/or references.

Proposers invited by the evaluation committee and Department to provide a presentation or demonstration will be given a list of agenda items/talking points the Proposer must address to ensure an objective comparison by the evaluation committee of Proposers’ proposed services.

If a presentation or demonstration is required, the Department prefers to have the designated primary contact, program managers, implementation managers, or other key assigned project staff participate in the presentation or demonstration and facilitate discussions. The Department’s objective is to ascertain the designated primary contact’s familiarity with the Department’s mission and expectations, and their ability to explain, communicate, converse, and interact with Department staff. While respecting the role of sales and marketing staff in the sales process, the Department is most interested in interacting with the staff the Department will be interacting with daily to manage the Contract, if the Proposer wins the award.

## Method to Score the Cost

The lowest Cost Proposal will receive the maximum number of points available for the cost category. Other Cost Proposals will receive prorated scores based on the proportion that the costs of the Proposals vary from the lowest Cost Proposal.

## Best and Final Offer (BAFO)

The Department reserves the right to solicit one or more BAFOs and conduct Proposer discussions, request more competitive pricing, clarify Proposals, and contact references of finalists, should it be advantageous for the Department to do so. The Department is the sole determinant of what is most advantageous.

If a BAFO is solicited, it will contain the specific information on what is being requested, as well as submission requirements, and a timeline with due date for submission. Any BAFO responses received by the Department after the stated due date may not be accepted. Proposers that are asked to submit a BAFO may refuse to do so by submitting a written response indicating their Cost Proposal remains as originally submitted. Refusing to submit a BAFO, if asked, will not disqualify the Proposer from further consideration.

## Contract Award

The evaluation committee may conduct Proposer discussions, clarify Proposals, contact the references of Proposers, and request a Best and Final Offer (BAFO) from Proposers. Information regarding the Proposals will be presented to the Board. One or more Proposals may be presented to the Board for award based on the results of the general, technical, cost evaluations, and references. If the evaluation committee conducted oral presentations or demonstrations, the award will be based on the results of the presentations or demonstrations, as well. The Board has the fiduciary responsibility and authority to make the final contract award decision. Under Wis. Stat. 40.03 (1) there is no requirement for the Board to award a contract to the Proposer who scored the most points or who offered the lowest cost. The Board reserves the right not to award a Contract.

## Right to Reject Proposals and Negotiate Contract Terms

This RFP does not commit the Board to awarding a Contract, or paying any cost incurred in the preparation of a Proposal in response to the RFP. The Board retains the right to accept or reject any or all Proposals or accept or reject any part of a Proposal deemed to be in the best interest of the Board. The Board will be the sole judge as to compliance with the instructions contained in this RFP.

The Department, on behalf of the Board, will negotiate the terms of the Contract, including the award amount and the Contract length, with the selected Proposer(s) prior to entering into a Contract. The Department reserves the right to add contract terms and conditions to the Contract during contract negotiations and subsequent renewals.

## Notification of Intent to Award

All Proposers who respond to this RFP will be notified in writing of the Board’s intent to award one or more contracts as a result of this RFP. All decisions and actions under this RFP are solely under the authority of the Board.

## Contract Award Appeals Process

Protests (appeals) of the Board’s intent to award a contract must be made in writing and according to the Board’s Policy for vendor Procurement Appeals located at: https://etf.wi.gov/boards/governance-manual/policies-procedures/download?inline=

A Proposer who wants to appeal the award must first email a written notice indicating that the Proposer intends to appeal the award decision to [ETFSMBProcurementAppeals@etf.wi.gov](mailto:ETFSMBProcurementAppeals@etf.wi.gov). The notice of intent to appeal the decision must be received no later than five (5) Business Days after the notice of intent to award the contract is issued.

Following the notice of intent to appeal, the Proposer’s formal written appeal must be emailed to [ETFSMBProcurementAppeals@etf.wi.gov](mailto:ETFSMBProcurementAppeals@etf.wi.gov), addressed to the Board, c/o the Secretary of the Department, within ten (10) Business Days after the notice of intent to award the contract is issued. Appeal rights are lost if no formal appeal is timely received. The formal appeal must state the RFP number, detailed factual grounds for the objection to the Contract award, and must identify any sections of the Wisconsin Statutes and Wisconsin Administrative Code that are alleged to have been violated. Proposers can appeal only once per award.

The subjective judgment of evaluation committee members is not appealable. Following Board action, a written decision will be sent to the appellant. The decision of the Board regarding any appeal is final.

# Proposer MANDATORY Requirements and Qualifications

**This section is not scored. (0 points)**

**Use Form B – Mandatory Requirements and Qualifications to respond.**

Failure of a Proposer to comply with one or more of the items listed in Form B – Mandatory Requirements and Qualifications may disqualify the Proposer. A response to each item in Form B is required.

If the Proposer cannot agree to each item listed in Form B, the Proposer must so specify and provide the reason for the disagreement in the Assumptions and Exceptions section of the Proposal (see instructions in Section 2.3.2 above).

Conditions of the RFP that have the word “must” or “shall” describe a Mandatory Requirement.

# scope of work - Requirements

**This section is not scored. (0 points)**

The scope of work, or requirements, contained in this RFP are the minimum requirements that the Contractor shall meet. If the Proposer cannot agree to the applicable specifications and requirements described below, the Proposer must so specify and provide the reason for the disagreement in the Assumptions and Exceptions section of Proposer’s response (see instructions in Section 2.3.2).

The Contractor shall provide two key services: 1) expert assistance in defining pension system requirements, RFP development and writing, assisting the PAS evaluation committee with proposal review and vendor selection activities including assistance with developing a Proof-of-Concept exercise. The Contractor shall also provide project oversight for the PAS implementation and provide change management support at ETF as needed and 2) executive level analysis and briefings relative to the likelihood of ETF achieving its targeted business outcomes through the PAS implementation and transformation efforts; and recommended course corrections if warranted. In addition, Contractor may be asked to complete independent verification and validations as needed, provide transfer of knowledge to ETF employees, and develop and support a formal budget request for the PAS.

The Contractor shall report directly to ETF’s Director of Office of Enterprise Initiatives (OEI Director) or, designee and may be assigned to one or more teams/programs/projects during the total services period. Periodic executive level and board briefings will be required either in concert with the OEI Director or independently based on independent verification and validation of services requested.

The Contractor is responsible for any travel costs that they may incur while providing the services identified in the Scope of Work. Work is generally expected to be performed remotely; however, some work may be required to be performed on-site at the ETF’s headquarters facility in Madison, WI as directed and approved by ETF’s management.

All deliverables and services will be provided in a diligent, professional, competent, and timely manner.

## Required Tasks

The tasks described below are requirements of this RFP. Performance of these required tasks are the basis for the Form H – Cost Proposal. As a reminder, all costs must be limited to the Form H – Cost Proposal and appear nowhere else in vendor’s proposal.

Task 1: System Requirements – Gather and define functional and non-functional requirements for a pension administration system (PAS) in conjunction with ETF’s staff (PMO, subject matter experts, and Information Technology staff).  Review and validate business rules, policies, statutes, roles, processes, and procedures and identify gaps and improvement opportunities.

Task 2: RFP Development/Writing – Develop a request for proposal for a pension administration system in collaboration with ETF staff around identified requirements to allow for PAS vendors to properly scope the needed implementation.  The PAS RFP should include the requirements, proposed team, timeline, where work is completed, data conversion expectations, system architecture, level of support during and after implementation, training details, and cost (one-time implementation and on-going/operational costs) and other items as appropriate based on guidance from the Contractor.

Task 3: Assist PAS evaluation committee with proposal review and vendor selection – After the issuance of the PAS RFP, assist with answering vendor questions, develop evaluation worksheet, educate ETF’s review committee on the evaluation criteria, and assist ETF with interpreting the responses submitted by the PAS vendor.  As part of the PAS vendor selection process, assist ETF staff with the development of a Proof of Concept (PoC) exercise including PoC evaluation criteria (a condensed, limited scope, mini-version of a full implementation project that will allow ETF to evaluate each PAS vendor’s solution, methodologies, processes, styles, and team) that one or more proposers reasonably apt to receive an award will be requested to conduct.

Task 4: Project Oversight – Work with ETF’s program manager and project managers to prepare them with a thorough level of detail so that they can actively manage the PAS implementation and project oversight. Ensure that activities are well thought out as the project progresses.  Provide a detailed report and analysis of risks and risk mitigation, progress to date, decisions made and to be made, and the plan going forward to the Director and other key stakeholders as determined by the Director.

Task 5: Change Management / Organizational Readiness – Work jointly with ETF’s Transition Managers to prepare them with a thorough level of detail so that they understand the needed preparedness in the areas of people, process, data, and technology across all stakeholder groups.  Assist with communication to members and employers in advance of the go-live focusing on elements that will affect these groups directly.  Support ETF’s Change Management team.

Task 6: Independent Verification & Validation – After the vendor is selected and as requested by Director, review project activities and deliverables from an independent, third-party point of view.  Specifically, is the PAS vendor meeting the requirements as specified in the PAS RFP? Is the solution working as intended to solve the purposes for which it was designed?

Task 7: Transfer of knowledge to appropriate ETF employees is required, along with any requested materials and content for transfer of knowledge.

Task 8: Work with ETF’s budget director to develop and support a formal budget request (biennial and/or [Wis. Stat. § 13.10)](https://docs.legis.wisconsin.gov/2001/statutes/statutes/13/i/10) for the pension administration system.

Task 9: In addition to the above Tasks 1-8, such other related tasks and services deemed appropriate and necessary by ETF to facilitate the selection and implementation of a pension system.

## Required Task Completion Criteria

Deliverables/tasks will include all work assignments identified to be completed. Deliverables/tasks are considered complete after ETF’s quality assurance process is completed and approval is granted by designated ETF reviewers. No payments are due until the deliverables/tasks have been accepted and approved by ETF. Performance and timeliness of all deliverables/tasks will be monitored by ETF via the submission of Contractor’s weekly status reports and through status meetings. Status and actual hours will be reported by Contractor on a weekly basis for the deliverables/tasks assigned. Each deliverable/task will be tracked via the appropriate program/project schedule and budget in order to monitor progress toward the completion of the deliverables/tasks and milestones.

# General Questionnaire

**This section is scored. (300 total points)**

The purpose of this section is to provide the Department and the Board with a basis for determining the Proposer’s capability to undertake the Contract. This Section 6 is worth a maximum of 300 points.

Proposers must provide point-by-point responses to each and every statement, request, and question in Section 6 by restating each question or statement in **bold** and providing a detailed written response (in non-bolded text).

The response must follow the same numbering system, use the same headings, and address each point or sub-point listed in those sections. Include the documents requested in Section 6 immediately after the request for the document(s).Label each document provided with the question it corresponds to (e.g., Response to 6.1.2).**The evaluation committee may stop reviewing a Proposal if the Proposal format does not follow these instructions or combines questions.** Do not combine questions. Provide one answer to one question at a time.

Responses should reflect the Proposer's understanding of the requirements herein, the procedures used to ensure the requirements will be met, and the Proposer's qualifications and experience in conducting the required tasks.

The Proposer must provide sufficient detail for the evaluation committee and the Department to understand how the Proposer will comply with each requirement. If the Proposer believes that the Proposer’s qualifications go beyond the minimum requirements or add value, the Proposer should indicate those capabilities in the appropriate section of the Proposal.

**Fees related to any services included in the Proposal must be noted in Form H – Cost Proposal only. Do not include cost/pricing information in any other section of the Proposal.**

**NOTE:** At the discretion of the Department, Proposers reasonably apt to receive an award after the initial review of Proposals may be required to provide the following:

a. A copy of their organization’s audited financial statements for the two (2) most recent fiscal years including the audit opinion, balance sheet, statement of operations and notes to the financial statements.

b. All information requested in Department Terms and Conditions, Section 28.0(f)2.

If a Proposer receives a request for the above documents from the Department, the Proposer must furnish such documents to the Department within five (5) Business Days of the Proposer’s receipt of the Department’s request. If such documents are confidential, the Proposer must submit a revised Form G – Designation of Confidential and Proprietary Information with the documents. The Department may reject a Proposal if the requested documentation is not provided or if the documentation provided does not assure the Department that the Proposer is able to provide the Services for the life of the Contract to the Department’s satisfaction.

## Organization Capabilities

6.1.1 Provide a description of your company, include:

* + - * 1. Legal name of the company
        2. Mailing address
        3. State in which the company is domiciled
        4. Primary line(s) of business
        5. Number of employees
        6. Address of the following company headquarters and Key Personnel
        7. Telephone and email addresses for Key Personnel and anyone performing Tasks in Section 5.
        8. Using Form C – Subcontractor Information, provide the same information above for any Subcontractors that will provide services as part of your Proposal. Provide the name and location of each Subcontractor and services for which they are (or will be) contracted. If no Subcontractors will be used, indicate that on Form C.

6.1.2 Provide information about your company’s corporate or other business entity structure, including company ownership information.

a. Attach an organizational chart showing principal officers, directors, managers, and staff members who will be associated with providing services related to this RFP.

b. Indicate the year in which your company was established.

c. Indicate if your company is a subsidiary or affiliate of another company, and if yes, list the names(s) of the affiliated companies or parent company.

d. Provide full disclosure of any direct or indirect ownership or control by any administrative service agency and/or financial institution and describe the relationship fully.

6.1.3 Describe any acquisitions and/or mergers or other material developments regarding your organization (e.g., changes in ownership, personnel, business, etc.) pending now or that occurred in the past five (5) years. Disclose any potential mergers or acquisitions that have been recently discussed by senior officials and could potentially take place within three (3) years after a Contract is executed. If this is confidential information, designate the information as such in Form G – Designation of Confidential and Proprietary Information.

6.1.4 Provide an organizational chart, showing reporting structure, for each of the Key Personnel who may be assigned any task described in any RFP Section 5. For each organizational chart, provide an organizational narrative describing the functional responsibilities, interaction, and reporting relationships.

6.1.5 Provide information about any accreditations, certifications or industry designations your company currently holds, and/or has been awarded in the past five (5) years.

6.1.6 Identify the days of effort anticipated to be expended each month by Key Personnel to fulfill the tasks in RFP Section 5.

6.1.7 Describe each Key Personnel’s location plan, including the company’s approach for creating a presence at ETF (if required) and the location of Key Personnel when working virtually or off-site from ETF.

6.1.8 Describe metrics used to assess availability and accountability of Key Personnel who will be working on the tasks in RFP Section 5 remotely, either part-time or full-time. Provide assurance that any Key Personnel not physically located in Madison, Wisconsin, will be available to ensure that the project schedule will be met.

6.1.9 Describe the company’s method of monitoring the quality of deliverables required in RFP Section 5 submitted to ETF by Key Personnel on behalf of the company.

6.1.10 Provide a list of all multi-employer public pension fund clients; include the size of the fund, a description of the multi-employer aspect of the fund, the length of service provided, the type of service provided, and total time spent by company’s staff on projects for those clients.

6.1.11 Provide information about your company’s contract performance over the prior five (5) years. Describe any performance guarantees and associated penalties that your company has been held to for performance of projects similar to those listed in RFP Section 5. If any of the following are applicable to your company, explain the circumstances: and the resolution, if one has occurred:

a. Withheld or disputed payments on any consulting services contracts;

* + - 1. Defaults on consulting services contracts;
      2. Litigation regarding consulting services contracts;
      3. Canceled or non-renewed contracts due to alleged fault on the part of your company; and

e. Sanctions or enforcement actions related to privacy compliance.

6.1.12 Describe your company’s expertise and experience in conducting the tasks described in Section 5. Highlight previous pension administration system (PAS) requirements gathering, PAS RFP drafting, PAS vendor selection, PAS software implementation oversight. Note the overall size and complexity of these prior projects relative to your understanding of ETF’s size and complexity.

6.1.13 Describe the levels of coverage for errors and omissions insurance and any other fiduciary or professional liability insurance the company carries. List the insurance carriers supplying the coverage.

6.1.14 Provide a copy of your organization’s auditing policy. Describe how and when audits are conducted and by whom.

## Key Personnel Qualifications

Key Personnel include, but are not limited to Primary Consultant, Project Manager, others to be identified by Proposer. If using any Subcontractor(s) in Key Personnel or other positions clearly identify them as such when providing resumes. See *italicized* items below for desired Key Personal Technical Qualifications.

*It is* ***desirable*** *for the proposed project Key Personnel to have the following listed experience, knowledge, skills, and abilities in addition to the required experience as evidenced by Proposed Project Person resume.*

*Experience within the last ten (10) years providing the following:*

*1. Extensive enterprise change management services for large-scale enterprise-wide business transformation projects including developing and implementing employee and customer readiness plans.*

*2. Business process alignment and design/re-engineering, organizational impact analyses, work design (e.g., job/task analysis, role definitions, job descriptions), as well as developing performance measures and performance management processes/systems for multiple lines of business across a public retirement organization.*

*3. Supporting communications and efficiently managing the “people side” of organizational changes on projects with diverse labor pools, competing priorities with respect to maintaining existing operations while preparing to utilize a new system and processes, including union and non-union personnel, and other factors.*

*4. Documenting transitional business practices and supporting clients envisioning to-be models for doing business and the support, maintenance and logging of business practices impacted by a pension technology transformation project.*

*5. Working knowledge of public retirement processes, roles, business rules, and impact of pension business operations enhanced customer experience.*

*6. Experience with pension industry COTS products and business area needs required for transformation project success.*

6.2.1 Provide resumes for all Key Personnel assigned to perform any task in RFP Section 5. Key Personnel resumes should describe the individual’s personal responsibilities for clients for whom they have done similar work as the tasks listed in RFP Section 5. Include the prior project’s location and duration. All tasks in Section 5 should be addressed at least once among the resumes submitted for Key Personnel.

6.2.2 Were the prior projects listed on resumes functional within the original schedule? Explain the reasons for any delayed projects, whether Key Personnel contributed to any delay, and whether any project never became functional.

6.2.3 What best practices and lessons learned from your prior experiences do you carry with you that might apply to accomplishing the tasks in RFP Section 5?

6.2.4 Provide names, positions, titles, e-mail address and current phone numbers of a minimum of three references, who can provide information on your prior experience and competence to perform projects similar to those described in RFP Section 5, generally projects involving procuring and providing implementation oversight for a pension administration system. Do not list employees of the company proposing, ETF employees, or contractors working for ETF. ETF reserves the right to contact other references even if not listed in the proposal.

6.2.5 How long has each Key Personnel been employed with the company responding to this RFP?

6.2.6 How many clients do each Key Personnel currently serve? Provide the names of these clients and how many hours per week you are working on their projects. If hired by ETF for the tasks in RFP Section 5, indicate if you will not be working for other clients or on other projects.

6.2.7 Each Key Personnel to provide a 1-page writing sample where you communicate to a technical audience.

6.2.8 Each Key Personnel to provide a 1-page writing sample where you communicate to a non-technical audience.

6.2.9 Each Key Personnel to provide a 1-page writing sample where you communicate to ETF executives and/or the Board.

6.2.10 Provide names of the tools you will use to perform the tasks in RFP Section 5. For example, MS Project, VISIO, project management tools, etc. List the years of experience you have working with these tools.

6.2.11 Describe Key Personnel’s approach and specific responsibilities in prior engagements similar to those described in RFP Section 5. Include the number and complexity of COTS PAS previously worked on and the current status of those projects. In your response highlight the similarities and differences in your approach and reporting between the two services under this agreement: Project Management and Executive Level Analysis and Briefings and the type and level of each Key Personnel responsible for each scope area.

6.2.12 Provide a concise but thorough management summary explaining relevant experience supporting your company’s capability for undertaking a project of this size. Address all the tasks in RFP Section 5 and include all assumptions or constraints in developing the management plan.

6.2.13 What is your company’s succession plan to replace Key Personnel that may leave employment with your company during the course of this engagement?

6.2.14 How does your company evaluate the quality of its consulting services? Describe any benchmarks the company has developed to evaluate its Key Personnel performance overall and the quality of its deliverables.

# Technical Questionnaire

The purpose of this section is to provide the Department and the Board with a basis for determining the Proposer’s capability to undertake the Contract.

Proposers must provide point-by-point responses to each statement, request, and question by restating the heading of each subsection being responded to and each question or statement in the section in bold and providing a detailed written response (in non-bolded text). Do not combine questions or responses. Provide only one answer to one question at a time.

The response must follow the same numbering system and address each point or sub-point listed in those sections. Include the documents requested in this Section immediately after the request for the document(s).Label each document provided with the question it corresponds to (e.g., Response to 7.1.3).**The evaluation committee may stop reviewing a Proposal if the Proposal format doesn’t follow these instructions or combines questions and/or answers.**

Responses should reflect the Proposer's understanding of the requirements and specifications herein, the procedures used to ensure the requirements will be met, and the Proposer's qualifications and experience in providing the required Services.

The Proposer must provide sufficient detail for the evaluation committee and the Department to understand how the Proposer will comply with each requirement. If the Proposer believes that the Proposer’s qualifications go beyond the minimum requirements or add value, the Proposer should indicate those capabilities in the appropriate section of the Proposal.

**Fees related to the services described in the Proposal must be noted in Form H – Cost Proposal only. Do not include cost/pricing information in any other section of the Proposal.**

**All Proposers must complete subsections 7.1 – 7.5**

## Experience with procuring Pension Administration Systems

For each of the questions below describe your methodology, processes, experience, risk management approach, and other pertinent information to perform the tasks listed in RFP Section 5. Provide specific examples from comparable engagements you have participated in.

7.1.1 Describe how your company would provide a consistent and continuous strategic partner presence at ETF for the life of the engagement.

7.1.2 Describe how much time and what resources your company’s Key Personnel would need in order to learn enough about ETF’s legacy systems and desired future state to be able to complete requirements gathering for a pension administration system (PAS).

7.1.3 Describe your company’s overall strategy for identifying requirements and developing a PAS RFP that will position your client in the best place for a successful implementation of a COTS PAS.

7.1.4 Describe how your company has developed detailed requirements documentation as the primary input for a PAS RFP. Include a description of how you use current state process, procedure, and role information to assist in the development of requirements.

7.1.5 Describe your company’s experience performing a gap analysis and when it should occur.

7.1.6 Provide a time estimate on the development of the PAS RFP.

7.1.7 Provide examples of 5 performance guarantees that have worked well for prior clients in their PAS contracts.

7.1.8 In your company’s experience, what has been a typical state government contract term for a PAS contract?

7.1.9 Provide two examples of benchmarking for technical questions you would include in a PAS RFP to assist the PAS evaluation committee in scoring PAS proposals.

7.1.10 What questions or scenarios would you recommend vendors present on in the event the PAS evaluation committee would like to see vendor software demonstrations?

7.1.11 Provide an example of a cost proposal workbook for PAS that includes all elements of a pension administration system that should be included in cost (for example, implementation costs, software cost, maintenance costs).

7.1.12 Do you recommend scoring only implementation costs, implementation plus x number of years of operational costs, or total cost of implementation plus total cost of operations over the term of the PAS contract?

7.1.13 Using information on ETF’s website and information provided in this RFP, what do you estimate the cost of a COTS PAS system for an entity similar in size and complexity to ETF? Provide a cost range. Identify the assumptions upon which the cost estimate is based.

7.1.14 Describe your experience with a proof-of-concept exercise for a PAS.

7.1.15 How long do you expect a proof-of-concept exercise for PAS to take with 2 vendors? Do you recommend performing consecutive or parallel proof-of-concept exercises?

7.1.16 What would you recommend testing in a proof-of-concept exercise for a pension administration system?

7.1.17 How would you score/evaluate the recommended proof-of-concept exercise?

7.1.18 Provide an example of COTS PAS proof-of-concept script. Summarize what you have learned in previous POCs to most benefit your clients in a PAS vendor selection decision.

## 7.2 Experience Providing Project Oversight for a commercial-off-the-shelf Pension Administration System Implementation

7.2.1 Describe in detail, your role in project oversight for a PAS implementation. Include project management, phasing/staging of the PAS implementation in context of transitioning away from ETF’s existing applications and application functionality, PAS vendor oversight, process improvements, training, configuration and customization.

7.2.2 Recommend a deployment approach based on your company’s prior experience with PAS implementations. (e.g, phased, single deployment, a unique or hybrid approach).

7.2.3 Assume a phased approach to implementing a commercial-off-the-shelf (COTS) PAS, provide two (2) examples of how you have staged those phases with other clients, what those phases were, and how long did each phase take.

7.2.4 Provide a detailed PAS project plan for a client similar to ETF in size and scope, include any deviations for the original project plan including budget variations.

7.2.5 Describe your company’s strategies for assessing completeness and minimizing risk and comparison to documented best practices and industry trends regarding successfully implementing a PAS.

7.2.6 Describe your company’s strategy for developing an appropriate technical infrastructure to support the selected PAS vendor’s solution under both on-premise and cloud based delivery models.

7.2.7 Recommend an ETF-appropriate implementation schedule for a COTS PAS that accounts for approximately 665,000 individual WRS participants from at least 5 major employer groups: Retirees/Annuitants, approximately 1500 Local Employers, University of Wisconsin System, University of Wisconsin Hospitals and Clinics, and the Department of Administration.

7.2.8 Identify major milestones in a PAS implementation including the acceptance criteria for each deliverable within each milestone of a PAS implementation.

7.2.9 Describe your method for monitoring and documenting standards for all deliverables and reporting, including quality assurance and quality management.

7.2.10 Provide an example requirement traceability matrix used with prior clients implementing a COTS PAS.

7.2.11 Describe your recommended testing standards, procedures and templates for the selected PAS vendor and ETF users.

7.2.12 Explain your company’s process and methods for issue identification and resolution.

7.2.13 Provide an example of an Independent Verification and Validation analysis. Include how your company would provide project monitoring assistance to ETF to ensure the PAS vendor is completing tasks and adhering to project timelines in an appropriate and timely manner.

7.2.14 Describe your company’s experience conducting an Independent Verification & Validation (IV&V) audit for a multi-million dollar software procurement. Did your company also provide oversight on that software implementation?

7.2.15 Provide an example of your company’s Project Status reports.

7.2.16 Describe your experience with the expected mix of customization (vs. configuration) that should be expected implementing a COTS pension administration system under both on-premise and cloud based delivery models.

7.2.17 What key vendor management activities should ETF be performing during the implementation of the PAS? Describe your experience performing vendor management with a PAS vendor.

7.2.18 Provide any lessons learned specific to delays encountered with overseeing implementation of other pension administration systems.

## 7.3 Change Management and Transfer of Knowledge

7.3.1 Describe your approach to change management for a client like ETF embarking on a project of this size implementing a pension administration system.

7.3.2 Provide an example of a failed change management project. Why did it fail?

7.3.3 What would you say are the three most important activities to conduct when managing change in an organization like ETF?

7.3.4 Describe your approach to knowledge transfer for ETF staff using the pension administration system.

7.3.5 Describe your approach to communicating and training ETF employers and members who will be using the pension administration system.

7.3.6 Describe your experience developing and supporting a formal budget request for a PAS.

7.3.7 Explain in detail, your approach to assess PAS solution capabilities, ETF’s business requirements, including those required by Wisconsin statutes, and how that information will be used to plan the procurement and implementation.

7.3.8 Describe experience Performing Executive Level Analysis and Briefings to align with the 2 scope areas proposed under this engagement.

## 7.4 Information Technology and Security

7.4.1 Provide your organization’s policies or other documentation that demonstrate compliance with the storage of data.

7.4.2 Provide your organization’s published policy that indicates employees’ and subcontractors’ access to customer data is the “minimum necessary” level.

7.4.3 Provide an overview of your organization’s Incident Response Plan (IRP).

7.4.4 Describe your organization’s annual risk assessment performed in accordance with accepted principles. If annual risk assessment is not performed, explain why.

7.4.5 Provide your organization’s policies/guidelines related to security/privacy (e.g., annual training, confidentiality agreement, privacy policy).

7.4.6 Describe your organization’s policy for preventing data loss in the collection, use, storage and disclosure of customer data.

7.4.7 Describe your organization’s information security approach including any information security policies and processes as it relates to the management of customer data.

7.4.8 What measures has your organization taken to ensure that client information is never comingled?

7.4.9 Explain your experience evaluating applications and systems to various security standards and control frameworks (NIST, ISO, FedRAMP, PCI, etc).

7.4.10 Describe your security assessment process and reporting of deliverables.

7.4.11 Could work be performed from an ETF issued laptop? Describe any additional software that would be needed for the work performed. Include security scans, code analysis, VPN software, etc.

## Data Privacy

7.5.1 Provide confirmation that your organization conducts annual risk assessments and a brief description.

7.5.2 Has your organization had, or has your organization been involved with a business partner who has had, a privacy breach or investigation in the last three (3) years? If so, provide a brief description.

7.5.3 Provide a copy of your organization’s policy related to responding to unauthorized disclosure of personal data.

7.5.4 Provide the number of unauthorized disclosures of personal information your organization has experienced and/or reported to the Office for Civil Rights (OCR) in the last two (2) years.

# Cost proposal

**This section is scored. (200 total points)**

Form H – Cost Proposal must be submitted as instructed in Section 2.3 Submitting the Proposal. The maximum cost score is 200 points for each Proposal submitted. If discounted pricing is provided, cost scores will be calculated using the discounted prices.

**The listing of any dollar amounts related to any service or fee is not allowed within the Proposer’s written Proposal. All dollar amounts for any service or fee proposed by the Proposer are required to be listed only on Form H – Cost Proposal.**

## Submission of Form H – Cost Proposal

The file included with this RFP as Form H – Cost Proposal is the required Cost Proposal document all Proposers must submit. Instructions on how to complete the Cost Proposal are provided in Form H. Instructions on how to submit Form H are provided in Section 2.3 above.

Do not change the format of the Cost Proposal unless instructed to in Form H. The Cost Proposal must be returned to the Department in its original format. Proposers cannot modify any part of the cost proposal. If a portion of the Cost Proposal is changed the Proposal may not be considered. Proposer assumptions/exceptions to the Cost Proposal should be included in Form H as instructed.

The Department reserves the right to clarify any pricing discrepancies related to assumptions on the part of the Proposers. Such clarifications will be used to provide consistent assumptions from which an accurate cost comparison can be achieved for scoring. Cost scores will be calculated using the Total Deliverable Cost for Tasks 1 – 8 as defined in Form H- Cost Proposal (i.e., the yellow highlighted cell).

Costs provided in the Contractor’s final Form H – Cost Proposal or BAFO must remain company for the Initial Term of the Contract (see Section 1.9 Contract Term).

All costs listed must reflect the level of customization and features represented in the Proposer’s response to this RFP.

## Travel Expenses

The Contractor’s and any Subcontractors’ travel expenses (e.g., airfare, lodging, meals, other transportation costs, and insurance) and other miscellaneous expenses related to the provision of Services must be included in the Proposer’s Form H – Cost Proposal and must not be an additional charge to the Department.

# Contract Terms and Conditions

**This section is NOT scored. (0 points)**

## Final Contract

The Department may execute a Contract with the awarded Contractor(s). A Sample Contract cover page is included as an example. The Contract and any subsequent renewal(s) will incorporate all terms and conditions included in this RFP, including all forms, appendices, etc., made a part of this RFP, and Contractor’s Proposal. The Department will draft the Contract.

By entering a Contract with the Department, the Contractor guarantees it has the resources to provide and perform the Services per the terms of the Contract. After the date the Contract is executed, if the Contractor requires additional resources to fulfill the terms of the Contract, the Contractor will bear all costs for such additional resources.

## Contractor Performance

The Contractor is responsible for the performance of any obligations that may result from the Contract and will not be relieved by the non-performance of any Subcontractor. Proposals must identify all proposed Subcontractors and describe the contractual relationship between the Proposer and each Subcontractor (use Form C – Subcontractor Information).

## Payment Terms

a. If Contractor is not already set up in the State’s payment system, Contractor must complete the State’s banking and payment forms to facilitate the Department’s payments to the Contractor.

b. The Department will make payments to the Contractor via ACH.

c. Contractor will provide the Department with invoices at an interval agreed upon by the Department and the Contractor. The Contractor must submit invoices timely to the Department, but in no case more than six (6) months after completion/delivery of Services.

d. The Department will make payments to the Contractor no later than (30) Calendar Days after the Department’s receipt of Contractor’s properly completed, Department-approved invoice. Notwithstanding the foregoing, should the Department reasonably dispute the Contractor’s invoice, the original due date for payment shall be delayed until the dispute is resolved at no penalty to the Department. See the State’s [Prompt Payment Law](https://docs.legis.wisconsin.gov/statutes/statutes/16/III/528).

e. The Contractor must perform the Services and all obligations under the Contract. The total cost to the Board for the Contractor’s performance of the Services must not exceed the limitation set forth in the Contract (if a limit is set). The Board is not obligated to reimburse the Contractor for billing in excess of the limits set forth in the Contract, and the Contractor will not be obligated to continue performance of work under the Contract or to incur costs for additional requirements identified by the Board that are not specified in the Contract, unless and until an amendment to the Contract is approved by the Board and signed by the Contractor and the Board.

f. Other payment terms and conditions are listed in the Department Terms and Conditions.

g. Final payment arrangements, if different than stated herein, will be finalized during Contract negotiations.

## Cooperative Purchasing Clause

Other institutions, such as state, local and public agencies, occasionally express interest in participating in Department contracts. The Department would like the Contractor to extend the terms, conditions and prices of the Contract that results from this RFP to any such entity. Any institution that would contract with the Contractor for the Services provided under the Contract will finalize their own contract with the Contractor and issue their own purchasing documents. The Contractor agrees that the Department bears no responsibility or liability for any agreement between the Contractor and the other entity that desires to exercise this option. Note your agreement or disagreement with this clause on Form E – Vendor Information.