

**State of Connecticut**

**Department of Information Technology**

**Request for Proposals**

**For**

**Commercial Vehicle Information Systems and  
Networks (CVISN)**

**and**

**Performance and Registration Information Systems  
Management (PRISM)**

**Projects**

**Information Systems and Consultant Services**

**For The**

**For the Departments of Information Technology,**

**Motor Vehicles,**

**Public Safety,**

**Revenue Services,**

**Transportation**

**February 13, 2001**

**Commercial Vehicle Information Systems and Networks (CVISN)  
and  
Performance and Registration Information Systems Management (PRISM)  
Project  
Information Systems and Consultant Services**

For the Departments of Motor Vehicles,  
Revenue Services,  
Transportation,  
Public Safety  
and  
Information Technology

**Due Date for Proposals: No later than 2:00 P.M. (ET) on Thursday, April 26, 2001**

Procurement contact: Holly Miller-Sullivan, Department of Information Technology,  
Division of Contracts and Purchasing, for contact information see Section 3.1.4

**State Agency Presentations to Vendors: At the Department of Information  
Technology, 101 East River Drive, East Hartford, Connecticut, Room 1002A**

**Tuesday, February 27, 2001: 9:00 A.M. and 1:30 P.M. and  
Wednesday, February 28, 2001: 9:00 A.M. and 1:30 P.M. and  
Thursday, March 1, 2001: 9:00 A.M. and 1:30 P.M.**

**Vendor Conference: Friday, March 2, 2001 (9:00 A.M.) at the  
Department of Information Technology, 101 East River Drive, East Hartford,  
Connecticut, Room 1002A**

**Vendor proposals in response to this RFP 990-A-23-7055-C MUST be received  
by 2:00 P.M., on Thursday, April 26, 2001 at:**

**Department of Information Technology  
Division of Contracts and Purchasing  
101 East River Drive, Room 4088  
East Hartford, CT 06108**

THIS RFP IS ISSUED BY THE:  
Contracts and Purchasing Division  
Department of Information Technology  
101 East River Drive  
East Hartford, Connecticut 06108

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Donald Maloney, Director

**RFP 990-A-23-7055-C Attached Documents**

RFP 990-A-23-7055-C consists of six (6) documents. They are called:

- Primary CVISN RFP Doc with Links to Attached Documents.doc << This document.
- Sections 1 – 5.doc
- Sections 6\_0 & 6\_1.doc
- Section 6\_2.doc
- Section 6\_3.doc
- Sections 7 & 8..doc

It is the responsibility of the vendors to acquire all attachments related to this RFP: After viewing one of the below Linked documents, you need to use the “Back Button” to return to this “Primary...” document.

[Sections 1 - 5.doc](#)

**Vendors need to make note that there is an additional hyperlink in this document (Sections 1 – 5.doc, under Attachment 5.**

**The name of the hyperlink document is: Attachment 5 - CVISN RFP**

[Sections 6\\_0 & 6\\_1.doc](#)

**Vendors need to make note that there is an additional hyperlink in Section 6.0.8.**

**The name of the hyperlink document is: Section 6\_0 - PRISM Figure 6\_0\_8\_2.doc**

[Section 6\\_2.doc](#)

[Section 6\\_3.doc](#)

[Sections 7 & 8.doc](#)

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## FORWARD

### 1.1 Introduction

The Department of Information Technology (DOIT) is responsible for “The purchase and provision of supplies, materials, equipment and contractual services,” as defined in section 4a-50 of the Connecticut General Statutes (CGS). (See CGS Sec. 4d-8). Within DOIT, the Contracts and Purchasing Division (CPD) is responsible for processing and authorizing all procurement activities for Information Technology and micro-graphic hardware, equipment, software and contractual services.

The DOIT Vision is “That the State of Connecticut’s information technology is integrated, eliminating duplication and redundancy, while allowing for the sharing of information and the consolidation of reports throughout all the State agencies.” This vision is the umbrella under which all State purchases will be governed.

### 1.2 Objective

The Contracts and Purchasing Division of the Department of Information Technology (DOIT) is issuing this Request for Proposals (RFP) to procure information systems and consulting services in support of the State’s Commercial Vehicle Information Systems and Networks (CVISN) Project and the Performance and Registration Information Systems Management (PRISM) Project. These Projects, which relate to commercial vehicle operations, are joint federal-state initiatives involving the U. S. Department of Transportation’s Federal Motor Carrier Safety Administration and several State agencies. Both the CVISN and PRISM Projects seek to improve highway safety by rewarding safe motor carriers, penalizing unsafe carriers and removing unsafe commercial vehicles from the roadways.

The State agencies involved in the CVISN and PRISM Projects are the Departments of Motor Vehicles (DMV), Revenue Services (DRS), Transportation (DOT), Public Safety (DPS) and Information Technology (DOIT). Connecticut’s motor carrier industry is also a participant in the Projects through the Motor Transport Association of Connecticut, Inc. Because the CVISN and PRISM Projects are closely related, they are considered a single combined Project, the CVISN/PRISM Project, or “the Project.”

Based on the evaluation of the proposals received in response to this RFP, the State expects to make the following three Awards:

**Award 1: Project Management Services, Credentialing Interface /Commercial Vehicle Information Exchange Window (CI/CVIEW) System Development and Integration Services, Other Systems Modification and Integration Services, and Motor Carrier Prescreening Services**

**Award 2: Department of Motor Vehicles - International Registration Plan (IRP) Commercial Vehicle Registration System and Integration Services**

**Award 3: Department of Transportation - Oversize Overweight (OS/OW) Permits System and Integration Services**

Proposals are requested from vendors having CVISN/PRISM experience and/or experience with intelligent transportation systems related to commercial vehicle operations and/or experience with the information systems in the above state agencies. The required products and services for these awards are described in more detail in Attachment 6, CVISN/PRISM Project System Requirements.

Although the identified information systems are to be designed, developed, implemented and maintained as part of the CVISN/PRISM Project, their deployment is also part of a long-term goal to improve the quality of services in the State by providing state-of-the-art automated business processes. Like many enterprises, the State is moving toward the use of the World Wide Web and electronic commerce to support its business processes where these technologies are appropriate. These systems are to provide the foundation for additional electronic commerce applications in the future. The goal is to provide State clients with an integrated view of related business functions spanning multiple agencies.

Vendors may submit proposals for one or for more than one of the above-noted Awards. Vendors who are able to provide responses for more than one of the Awards are encouraged to offer additional proposals for combined Awards, including the associated cost advantages, for the State's consideration. Proposals submitted for combined awards must be based on individual proposals submitted for the individual awards included in the combined award.

For example, a Vendor who wished to submit proposals for Award 1 and Award 3, and, in addition, wished to submit a proposal for a single Award combining Award 1 and Award 3, would do so by submitting one (1) proposal for Award 1, one (1) proposal for Award 3, and one (1) proposal for Awards 1 and 3 combined.

Another example: Vendor A could submit a proposal for Award 1 and Vendor B could submit a proposal for Award 2, and in addition, Vendor A could submit a proposal as the prime vendor for a single award combining Awards 1 and 2. For the combined award proposal, Vendor B would be a subcontractor to Vendor A. Obviously, Vendor B would have to agree to this subcontracting arrangement.

As stated above, a proposal submitted for a combined award must be based on individual proposals submitted for the individual awards included in the combined award. For example a vendor submitting a proposal for Awards 2 and 3 combined, must also have submitted a proposal for Award 2 and a proposal for Award 3. In the above example involving Vendor A and Vendor B, note that the proposal from Vendor A for a single award combining Awards 1 and 2 is based on combining two individual proposals: one from Vendor A for Award 1 and one from Vendor B for Award 2.

Proposals submitted for a combined award without associated proposals for the single awards included in the combination will be rejected. For example, if a vendor submits two proposals: one proposal for Award 1 and a second proposal for an award combining Awards 1 and 2, the State

will consider only the proposal for Award 1. The State will reject the proposal for an award combining Awards 1 and 2 because there is no associated proposal for Award 2, only an associated proposal for Award 1.

Vendor(s) may propose alone or as a team; however, joint ventures are not acceptable: there must always be a prime contractor. The prime contractor may of course have subcontractors.

### **1.3 Evaluation**

Proposals will be evaluated by, but not limited to, the following criteria:

- 1) Understanding of the Request for Proposals and the likelihood that the proposed information systems and services will successfully address the State's business and technical needs;
- 2) Approach to providing the proposed systems and services; the appropriateness of: the Project Implementation (Work) Plan; the management approach; and the Quality Assurance Plan;
- 3) Conformance with State of Connecticut IT Architecture and integration with existing State systems and networks; conformance with US DOT CVISN/PRISM IT Architecture and integration with existing Federal systems and networks;
- 4) Commitment to working effectively and cooperatively with the other vendors receiving contract awards as a result of this RFP;
- 5) Experience (including working effectively, cooperatively and in a timely and responsive manner) with: CVISN and PRISM Programs; other intelligent transportation systems/commercial vehicle operations programs; information systems in the above state agencies; experience with similar systems and projects in Connecticut and other jurisdictions; the effectiveness of the proposed process for transferring relevant experience to the Connecticut CVISN/PRISM Project;
- 6) Experience and qualifications of the individuals assigned to the Connecticut effort and their experience working as a team;
- 7) Stability and financial viability; and
- 8) Life cycle cost including all design, development and implementation costs and maintenance costs for five years after system acceptance.

Proposals for individual awards will be evaluated and the winners of Awards 1, 2 and 3, will be selected before proposals for combined awards are considered. Only those proposals offering combinations of the proposals winning individual Awards 1, 2 and 3 will be considered for combined awards.

## **1.4 Implementation**

As a result of the evaluation process, if the proposal of a given vendor is found to be most advantageous, the State shall select that vendor's proposal for implementation.

## **2. ADMINISTRATIVE REQUIREMENTS**

### **2.1 Vendor Instructions**

#### **2.1.1 Conformity to Instructions**

Vendors must conform with all RFP instructions and conditions when responding to this RFP. The State, at its discretion, may reject any nonconforming proposal.

#### **2.1.2 Proposal Responses to this RFP**

Vendors desiring to participate in this RFP process must submit proposals with the format and content as outlined in Attachment 2. All proposal text must be specifically cross-referenced to the RFP Section and/or Attachment numbers to which a given part of the proposal applies.

#### **2.1.3 Vendors Not Submitting Proposals**

Vendors that have reviewed this RFP and that choose not to offer a proposal to the State are asked to submit a negative reply to the procurement contact listed in Section 3.1.4 of this RFP.

#### **2.1.4 Identifying RFP Communications**

All proposals and other communications with the State regarding this RFP must be submitted in writing in sealed envelopes or cartons clearly identifying:

1. The appropriate RFP reference key (i.e., RFP 990-A-23-7055-C)
2. The applicable proposal due date and time
3. The name and address of the originating vendor
4. An indication of the envelope contents (e.g., "BUSINESS AND TECHNICAL PROPOSAL," "COST PROPOSAL," "NEGATIVE RESPONSE," "QUESTIONS," OR "BENCHMARK").

Any material received that does not so indicate its RFP related contents will be opened as general mail, which may not ensure the vendor's intent.

### 2.1.5 Vendor Questions and State Replies

The DOIT Contracts and Purchasing Division will attempt to reply within ten (10) business days of receipt to any written vendor questions that it receives. DOIT will not respond to questions received after 3:00 P.M. on Friday, March 23, 2001.

Copies of pertinent questions and related replies will be distributed to all vendors originally issued a copy of the RFP. The State may, in its sole discretion, orally communicate responses to vendors if it is likely that written responses will not reach them prior to the proposal due date. The oral communication will be followed by a written confirmation, clarification, or correction. However, oral communications notwithstanding, the State shall be bound only by the written document which follows.

### 2.1.6 Acceptance of Administrative Requirements

Vendor proposals must include unequivocal statements accepting the administrative requirements of this RFP, and must reflect compliance with such requirements. Any failure to do so may result in the State's rejection of the proposal.

### 2.1.7 Deviating from RFP Specifications

The State will reject any proposal that deviates significantly from the specifications of this RFP. Vendors submitting proposals with any minor deviations must identify and fully justify such deviations for State consideration.

### 2.1.8 Exclusion of Taxes from Prices

The State of Connecticut is exempt from the payment of excise and sales taxes imposed by the Federal Government and/or the State. Vendors remain liable, however, for any other applicable taxes.

### 2.1.9 Vendor Contact(s)

The proposal must provide the name, title, address, and telephone number of the contact person(s) responsible for clarifying proposal content and for approving any agreement with the State.

### 2.1.10 Proposal Packaging and Copies

Each proposal submitted in response to this RFP must include two separate submission packages. The first package is to be labeled with the RFP number (RFP 990-A-23-7055-C) and marked "Business and Technical Proposal." This package is to include all of the vendor's Business and Technical Proposal materials submitted in response to the RFP, **minus the cost amounts**. While this package will have the cost summary sheets and the cost worksheets with all their detail, as described in RFP Attachments 2 and 3, the actual dollar amounts **must be blank**.

The second package is to be labeled with the RFP number (RFP 990-A-23-7055-C) and marked "Cost Proposal." This package is to include all the cost information as described in RFP Attachments 2 and 3, including all requested **cost figures**.

The submitted packages must be clearly identified as the Business and Technical Proposal or Cost Proposal with the RFP number displayed as part of the label. **An original and twenty-five (25) copies of all packages** are to be delivered to the State as described in this RFP. The vendor must include with their Proposal one (1) complete set of all applicable manuals (Procedure Manuals, User Guides, etc.), as described in RFP Attachment 2.

#### **2.1.11 Validation of Proposal Offerings**

The proposal shall be a binding commitment which the State may include, by reference or otherwise, into any agreement with a vendor. Therefore, each proposal copy must be validated by signature of a person having such authority to commit the vendor. The signer's authority in this regard must be authenticated by a signed statement to that effect by an appropriate high-level company official. A Vendor Proposal Validation and Authentication Statement, attached to this RFP as Attachment 4, must be used for this purpose.

#### **2.1.12 Proposal Completeness**

To be acceptable, proposals must contain all required information and statements in the form requested by this RFP. Vendor proposals must submit "none" or "not applicable" responses to any RFP question and information request, when such a response is the only appropriate response.

#### **2.1.13 Restrictions on Contacts with State Personnel**

From the date of release of this RFP until a contract is awarded as a result of this RFP, all contacts with personnel employed by or under contract to the State of Connecticut are restricted. During the same period, no prospective vendor shall approach personnel employed by or under contract to the State agencies participating in the evaluation of proposals or the Connecticut Motor Transport Association, on any related matters. An exception to the foregoing will be made for vendors who, in the normal course of work under a valid contract with the State, need to discuss legitimate business matters concerning their work.

Violation of these conditions may be considered sufficient cause by the State to reject a vendor's proposal, irrespective of any consideration.

### **2.2 Other Conditions**

#### **2.2.1 Amendment or Cancellation of RFP**

The State reserves the right to amend or cancel this RFP at any time if it deems it to be in the best interest of the State to do so.

### **2.2.2 Proposal Modifications**

No additions or changes to any vendor's proposal will be allowed after the proposal due date, unless such modification is specifically requested by the State.

### **2.2.3 Control of RFP Events and Timing**

Timing and sequence of events resulting from this RFP will be determined by the State.

### **2.2.4 Proposal Expenses**

The State of Connecticut assumes no liability for payment of any costs or expenses incurred by any vendor in responding to this RFP.

### **2.2.5 Acceptance or Rejection of Proposals**

The State reserves the right to accept or reject any or all proposals submitted for consideration in whole or in part; and to waive minor technical defects, irregularities, or omissions, if, in its judgment, the best interest of the State will be served.

### **2.2.6 Ownership of Proposals**

All proposals shall become the sole property of the State.

### **2.2.7 Oral Agreement or Arrangements**

Any alleged oral agreements or arrangements made by vendors with any State agency or employee will be disregarded in any State proposal evaluation or associated award.

### **2.2.8 Payment Holdback**

A twenty percent (20%) holdback will be held from each payment made to the contracted vendor for an approved deliverable or phase of the project completed and accepted by the State. Upon successful completion of the system evaluation and acceptance period, determined by the State and verified on Customer Form SDP-6, the State shall pay contracted vendor one-half of the holdback monies. Upon successful completion of the RFP Warranty Period the remaining one-half of the holdback monies will be paid to the contracted vendor.

### **2.2.9 Vendor Presentation of Supporting Evidence/Surety**

Vendors must be prepared to provide any evidence of experience, performance ability, and/or financial surety that the State deems to be necessary or appropriate to fully establish the performance capabilities represented in their proposals.

### **2.2.10 Vendor Demonstration of Proposed Products**

Vendors must be able to confirm their ability to provide all proposed products and services. Any required confirmation must be provided at a site approved by the State and without cost to the State.

### **2.2.11 Vendor Misrepresentation or Default**

The State will reject the proposal of any vendor and void any award resulting from this RFP to a vendor who materially misrepresents any product or defaults on any State contract.

### **2.2.12 State Fiscal and Product Performance Requirements**

Any product acquisition resulting from this RFP must be contingent upon contractual provisions for cancellation of such acquisition, without penalty, if the applicable funds are not available for required payment of product costs or if the product fails to meet minimum State criteria for acceptance and performance reliability.

### **2.2.13 Conformance of Awards with State Statutes**

Any award resulting from this RFP must be in full conformance with State of Connecticut statutory, regulatory and procedural requirements.

### **2.2.14 Erroneous Awards**

The State reserves the right to correct inaccurate awards, including canceling an award and contract, resulting from its clerical errors.

### **2.2.15 Registration with Connecticut Secretary of State**

Contract Awards are contingent upon the vendor's obtaining:

- Certificate of Authority, Certificate of Legal Existence or Certificate of Good Standing, as applicable, from the Connecticut Secretary of the State's Office, prior to the execution of the contract ;
- Tax clearance statement from the Department of Revenue Services within sixty (60) days of the execution of the contract and
- Statement from the Department of Labor regarding employee contributions within sixty (60) days of the execution of the contract.

### **2.2.16 Joint Ventures**

Proposals requesting joint ventures between vendors will not be accepted. The State will only enter into contracts with prime vendors who will be required to assume full responsibility for the delivery/installation of equipment, wiring, software and related services identified in this RFP

whether or not the equipment, products and/or services are manufactured, produced or provided by the prime vendor. The prime vendor may enter into written subcontract(s) for performance of certain of its functions under the contract only with written approval from the State prior to the effective date of any subcontract. The prime vendor shall be wholly responsible for the entire performance of the contract whether or not subcontractors are used.

### **2.2.17 Freedom of Information**

Due regard will be given for the protection of proprietary information contained in all proposals received; however, vendors must be aware that all materials associated with the procurement are subject to the terms of the Freedom of Information Act (FOIA) and all rules, regulations and interpretations resulting therefrom. It will not be sufficient for vendors to merely state generally that the proposal is proprietary in nature and not therefore subject to release to third parties. Those particular sentences, paragraphs, pages or sections which a vendor believes to be exempt from disclosure under the FOIA must be specifically identified as such. Convincing explanation and rationale sufficient to justify each exemption consistent with the FOIA Section 1-210 of the Connecticut General Statutes, must accompany the proposal. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the vendor that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the above cited statute.

ALL SUCH MATERIAL MUST BE SUBMITTED IN A SEPARATE SEALED ENVELOPE AND MARKED "CONFIDENTIAL".

### **2.2.18 Security Clearance**

A vendor receiving an award from this RFP must understand that all employees including subcontractor personnel shall be subject to applicable State security procedures.

### **2.2.19 Contractor Project Manager/Staff**

In submitting a proposal, the vendor must submit the names and credentials of the individual(s) being named as Contractor Project Manager and all staff to be assigned to the project. The vendor must further represent and warrant that all staff to be so assigned will not be removed from the project without the express written consent of DOIT. Such consent will not be unreasonably withheld.

### **2.2.20 Workers' Compensation**

A vendor receiving an award from this RFP must carry sufficient workers' compensation and liability insurance in a company, or companies, licensed to do business in Connecticut, and furnish certificates as may be required by DOIT.

### **2.2.21 System Non-Acceptance**

Failure of the System to be accepted by the State as proposed by the vendor may result in the State's retaining the Payment Holdback, as specified in RFP Section 2.2.8.

### **2.2.22 Warranty**

a. The vendor shall represent and warrant in the proposal that the System shall conform to the RFP requirements, vendor's written specifications and that it shall be free from defects in materials and workmanship for a minimum period of one year after acceptance of the System.

b. Vendor shall represent and warrant that the System proposed shall function according to published manufacturer specifications on the acceptance date for such System, and that the vendor shall modify, adjust, repair and/or replace said System as the State deems it to be necessary or appropriate to have it perform in full accordance with the terms and conditions of the RFP.

### **2.2.23 Ownership of System**

The vendor, upon acceptance by the State of any computer code developed as a result of this RFP, shall relinquish all interest, title, ownership, and proprietary rights (collectively, "Title") in and to the computer code and transfer said Title to the State.

### **2.2.24 Implementation**

As a result of the evaluation process, the State shall select the vendor whose proposal the State deems to be the most advantageous to the State.

### **2.2.25 Independent Price Determination**

In the proposals, vendors must warrant, represent, and certify that in connection with this RFP the following requirements have been met:

- a. The costs proposed have been arrived at independently, without consultation, communication, or agreement for the purpose of restricting competition as to any matter relating to such process with any other organization or with any competitor.
- b. Unless otherwise required by law, the costs quoted have not been knowingly disclosed by the vendor on a prior basis directly or indirectly to any other organization or to any competitor.
- c. No attempt has been made or will be made by the vendor to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.

### **2.2.26 Offer of Gratuities**

The vendor warrants, represents, and certifies that no elected or appointed official or employee of the State of Connecticut has or will benefit financially or materially from this procurement. Any contract and/or award arising from this RFP may be terminated by the State if it is determined that gratuities of any kind were either offered to or received by any of the aforementioned officials or employees from the vendor, the vendors agent(s), representative(s) or employee(s).

### **2.2.27 Readiness of Offered Products**

All System products (hardware, operating system, etc.) offered to the State in the proposal must be currently manufactured and available for general sales, lease, or licenses on the date the proposal is submitted.

### **2.2.28 Inspection of Work Performed**

During and after the installation of the products and Systems, the State, and its authorized representatives, shall be allowed access to inspect all Vendor materials, documents, work papers, equipment or products, deliverables, or any such other items which pertain to the scope of work for this RFP and contract. This requirement also applies to any subcontractors who may be engaged by the vendor.

### **2.2.29 Year 2000 Compliance**

The System provided in response to this RFP shall be Year 2000 (Y2K) compliant. The contractor warrants that each hardware, software, and firmware product ("product") or each developed, modified or remediated item of hardware, software, firmware ("item") or each service delivered under this contract shall be able to:

- (1) accurately assess, present or process date/time data (including, but not limited to, management, manipulation, processing, comparing, sequencing and other use of date data, including single and multi-century formulae and leap years) from, into, and between the twentieth and twenty-first centuries, and the years 1999 and 2000 and leap year calculations;
- (2) properly exchange date/time data when used in combination with other information technology;
- (3) perform as a system, if so stipulated in the contract, and the warranty shall apply to those items as a system.

Notwithstanding any provision to the contrary in any vendor warranty or warranties, the remedies available to the State under this Year 2000 warranty shall include repair or replacement of any listed product and/or item whose non-compliance with the Year 2000 warranty is discovered and made known to the contractor in writing. This warranty remains in effect through December 31, 2000 or 365 days following the termination of this agreement, whichever is later. Nothing in this warranty

shall be construed to limit any rights or remedies the State may otherwise have under this contract with respect to defects other than Year 2000 compliance.

In addition, the contractor warrants that products or items modified or remediated to achieve Year 2000 compliance will remain unaffected with respect to their functioning or performance except for processing and exchanging date/time data. The contractor warrants that products or items not being modified or remediated directly will remain unaffected with respect to their normal functioning or performance.

### **3. TYPICAL ACTIVITIES CONDUCTED AFTER RFP ISSUANCE**

#### **3.1 Vendor Communications**

##### **3.1.1 Procurement Schedule**

The following schedule has been established for this procurement, however, the ultimate timing and sequence of events resulting from this RFP will be determined by the State.

<b><u>DATE</u></b>	<b><u>EVENT (all times are Eastern Time)</u></b>
February 13, 2001	RFP Issued
February 27, 2001	State Agency Presentations to Vendors, 9:00 A.M. and 1:30 P.M.
February 28, 2001	State Agency Presentations to Vendors, 9:00 A.M. and 1:30 P.M.
March 1, 2001	State Agency Presentations to Vendors, 9:00 A.M. and 1:30 P.M.
March 2, 2001	Non-Mandatory Vendor Conference at 9:00 A.M.
March 23, 2001	Vendor Questions Due by 3:00 P.M. at DOIT
April 26, 2001	Proposals Due by 2:00 P.M. at DOIT
April 30 – July 13, 2001	Evaluation of Proposals by the State
April 30 – August 17, 2001	Contracts Negotiated with Winning Vendors
May 21 – June 1, 2001	Vendor Presentations
August 20, 2001	Awards Announced
September 4, 2001	Work Begins

### **3.1.2 State Agency Presentations to Vendors**

A series of presentations by State agencies and other organizations involved in the CVISN/PRISM Project has been scheduled as listed above and on the RFP Title Page. Attendance is optional. Vendors are encouraged to attend and ask questions. The schedule of presenters and presentation locations will be provided to all vendors requesting copies of the RFP. Vendors planning to attend are requested to contact Ruth Brault, via email at [Ruth.Brault@DMVCT.org](mailto:Ruth.Brault@DMVCT.org), or by fax at 860-263-5587 no later than two business days prior to the start of the presentations and provide a list of attendees so that adequate space can be arranged. If necessary, Mrs. Brault can be reached by telephone at 860-263-5480.

The purpose of the presentations is to provide an overview of each business process and system associated with the CVISN/PRISM Project. Walk-throughs of the agency business areas involved in the Project may be conducted. At a minimum, staff from each Business or Technical Entity will make a presentation of their respective areas of expertise and business. In addition, DOIT staff will present overviews of their standards and services that may affect the CVISN/PRISM Project. The Johns Hopkins University Applied Physics Lab will present an overview of national CVISN and PRISM Architectural Standards, and an overview of the CVIEW Software System offered by the Applied Physics Lab.

### **3.1.3 Vendor Conference**

A conference for vendors will be held as listed above and on the RFP Title page. Attendance is optional. Vendors planning to attend are requested to contact Ruth Brault at the email address or fax/phone numbers listed in Section 3.1.2 above no later than two business days prior to the conference and provide a list of attendees so that adequate space can be arranged. Oral questions raised at the Vendor Conference may be answered orally; however, such responses will not be official, and may not be relied upon, until a written reply is issued through the DOIT Contracts and Purchasing Division.

### **3.1.4 Vendor Questions**

The State intends to answer questions from any vendor that is considering a response to this RFP. Questions received by the Contracts and Purchasing Division by 3:00 P.M. on Friday, March 23, 2001 will be answered. Address inquiries to Holly Miller-Sullivan. Only written inquiries will be accepted. Inquiries are to be submitted by e-mail to [Holly.Miller-Sullivan@po.state.ct.us](mailto:Holly.Miller-Sullivan@po.state.ct.us), or by utilizing the US mail or a delivery service to Department of Information Technology, Division of Contracts and Purchasing, Attention Holly Miller-Sullivan, 101 East River Drive, Room 4088, East Hartford, CT 06108. If necessary, Ms. Miller-Sullivan can be reached by telephone at 860-622-2246.

### **3.1.5 Vendor Access to Project Library**

A Project Library has been established to provide vendors with access to documents related to the CVISN/PRISM Project. Library access is restricted to a single vendor at any one time. Access to a copier will be provided in order to copy documents of interest. For certain specific documents that

are proprietary in nature, vendors may be allowed to review these documents and take notes, but may not be allowed to make copies. There will be a charge for making copies. At no time will a vendor be allowed to remove any material from the Project Library. Vendors may sign up for library visits in two-hour time slots between 9 am and 4 p.m. during normal State workdays. To schedule a library visit please contact Ruth Brault at the email address or fax/phone number listed in Section 3.1.2 above.

### **3.2 Coordinate and Review RFP Responses**

The State will open only those proposals received by the date and time specified on the RFP Title Page. Proposals received after the due date and time will be returned unopened. Immediately upon opening, the State will review each proposal for vendor compliance with the instructions and conditions applicable to this RFP. The State, at its option, may seek vendor retraction and clarification of any discrepancy/contradiction found during its review of proposals. The State will evaluate only proposals complying with the administrative requirements of this RFP.

### **3.3 Evaluate Proposals**

#### **3.3.1 Evaluation Team**

A State evaluation team will be established to review vendor responses to this RFP. The submittal of proposals shall constitute, without any further act required of the vendors or the State, acceptance of the requirements, administrative stipulations and all of the terms and conditions of the RFP and all its attachments.

#### **3.3.2 Evaluation Process**

The State will evaluate requested proposal information (including that which is appended, attached, and/or enclosed) against all RFP requirements, using criteria and methodology pre-established in coordination with the planned users of a given system or service.

Vendors are requested to respond to all requirements in this document by properly cross-referencing the Attachment and appropriate Section Number.

Requirements that are stated as mandatory in this document use the words "must" and "will". The State evaluation team will review all documents for compliance with the stated mandatory requirements.

### **3.4 Establish and Conduct Applicable Vendor Benchmarks/Demonstrations**

The State will determine the nature and scope of any benchmarking and/or demonstrations that it may deem to be necessary or appropriate to the evaluation of vendor system proposals.

### **3.4.1 Benchmarking/Demonstration Purpose and Scope**

The State uses benchmarks and/or demonstrations to validate a vendor's proposal, to satisfy given operating requirements, and to ascertain the adequacy and timeliness of vendor responses to user requirements.

The State may employ two benchmark phases: (1) vendor conducted and documented tests which are not monitored by the State, and (2) actual demonstrations to the State of the vendor's ability to perform as required.

### **3.4.2 Unmonitored Vendor-Documented Benchmarks**

State benchmarks often require vendors to conduct and document, within set time frames, the actual operation of their proposed service and the operation of sample functional sequences using State supplied information.

### **3.4.3 Live Benchmarks/Demonstrations for State Representatives**

The State usually requires vendors to conduct benchmarks/demonstrations at a mutually agreed upon site and at no cost to the State. Such demonstrations may be conducted at the site where the vendor conducted the unmonitored tests described above, or at a more convenient operating site that meets minimum State demonstration requirements. Should the demonstration, inspection or benchmark site be beyond the regional area of Hartford, Connecticut then the vendor will be responsible for necessary travel, meals and lodging arrangements and expenses for a team of up to six (6) State representatives.

### **3.5 Implement Necessary Agreements**

The offered agreement(s) (See Attachment 5: Information Processing Systems Agreements) shall be the agreement(s) pertaining to this issued RFP. Since the State-offered agreement is viewed as being most reasonable to the vendor, the State will not accept any request by the vendor to modify a specific provision unless there are compelling reasons for doing so, and that without the provision being modified the vendor will not consider contract approval. In any such case, the vendor must state the rationale for the specific provision's unacceptability (define the deficiency); provide recommended verbiage (consistent with verbiage used throughout the agreement) for the State's consideration; and state how such recommended verbiage corrects the claimed deficiency and maintains fairness to both parties. IT IS NOT ACCEPTABLE to simply replace a State provision with a vendor's "preferred" provision.

If for some reason the Contracts and Purchasing Division (CPD) cannot reach consensus with the vendor within a reasonable time, CPD shall offer the agreement to the next best proposal and so on until either the agreement is executed or the State decides to start the RFP process again.

### **3.6 Notification of Awards**

The State will notify vendors who submit proposals as to any award issued by the State as a result of this RFP.

## **4. PROPOSAL REQUIREMENTS**

### **4.1 Proposals**

The following Attachments to this RFP provide vendors with the specific guidance required to correctly respond to this RFP. Take special care to ascertain that any proposal response fully complies with all of the response requirements specified in these attachments.

Attachment 1 - Applicable Definitions

Attachment 2 - Vendor Proposal Format and Content Requirements

Attachment 3 - Vendor Cost Table Worksheets

Attachment 4 - Vendor Proposal Validation and Authentication Statement

Attachment 5 - Information Processing Systems Agreement(s)

Attachment 6 - Commercial Vehicle Information Systems and Networks (CVISN) and  
Performance and Registration Information Systems Management (PRISM)  
Project - Requirements for Systems and Services

Attachment 7 – CVISN Operational and Architectural Compatibility Handbook (COACH)

Attachment 8 – Performance and Registration Information Systems Management (PRISM)

### **4.2 Proposal Submission**

Vendor proposals in response to this RFP 990-A-23-7055-C MUST be received at the address indicated on the RFP Title Page by the due date and time listed on the RFP Title Page.

Postmark dates will not be considered as the basis for meeting any submission deadline. Therefore, any vendor proposal received after the deadline will not be accepted. If delivery of proposals is not made by courier or in person, the use of certified or registered mail is suggested.

All RFP communications must be addressed as described in Section 3.1.4, Vendor Questions.

Proposals will not be publicly opened on the due date. On the date and time proposals are due the Department of Information Technology will announce only that a particular vendor has submitted either a proposal or no proposal.

**ATTACHMENT 1  
APPLICABLE DEFINITIONS**

This Attachment contains one section for procurement-related items and another for CVISN/PRISM-related items.

**Procurement-Related Definitions**

Alternative Proposal:	A vendor proposal which purports to satisfy State requirements while exhibiting either a disregard for, or a contradiction of, applicable RFP specifications.
CPD:	Contracts and Purchasing Division of DOIT
DOIT	The Connecticut Department of Information Technology
Local Area	The geographic United States within an approximate Fifty (50) mile radius of Hartford, CT
MTBF	For any given product, the average number of hours of operation between occurrence of an operational failure (i.e. Mean Time Between Failures)
PPM	The Principal Period of Maintenance (or First (1st) Shift) during which a supplier is contractually obligated to maintain installed products according to established specifications. PPM for products proposed herein shall be the period from 8:00 A.M. to 5:00 P.M., Monday through Friday, except holidays.
Second (2nd) Shift	The period from 5:00 P.M. to 12:00 Midnight
Third (3rd) Shift	The period from 12:00 Midnight to 8:00 A.M.
Weekend Shift(s)	The period from 12:00 Midnight Friday to 8:00 A.M. Monday.
Holiday	Official non-workdays as designated by the Governor of Connecticut.
Procurement Process	The procurement process is the process of issuing this RFP, evaluating bidders' proposals submitted pursuant to this RFP, the evaluation of such proposals and the awarding of a contract
Proposal	A vendor response to an RFP and/or any of its appendices which offers to supply the State with specific data processing resources according to State prescribed terms and conditions.
Regional Area	The geographic United States within an approximate One Hundred

(100) mile radius of Hartford, CT

Resulting Contract	The resulting contract is the contract awarded under this RFP that is signed with the vendor
RFP	A Request For Proposal (such as this document or any appendix thereto) which solicits vendor proposals to satisfy State functional requirements by supplying data processing product and/or service resources according to specific terms and conditions
Software License	A State computer program product acquisition from a supplier under an agreement whereby the State acquires the right to the use of the product on a designated computer system located at a designated site and under which the State does NOT acquire the licensor's: (1) title to the product nor, (2) liability for payment of any personal property tax levied upon the product, nor (3) liability for payment of any liability/casualty premium for the product
State	The State of Connecticut, and its Departments, Institutions and Agencies or any combination thereof.
Supplier	A vendor receiving a State award to supply specific data processing resources under an agreement with the State.
Systems Warranty Period	That period during which the quoting vendor will provide hardware/software product support and/or maintenance to the State at no charge. The State requires that any vendor system warranty cover products of "third party" origin to the same extent as the vendor warranty may apply to vendor fabricated products.
Tax Calculation	The method(s) used by a taxing authority to determine the actual amount of tax payment to be made by a product title holder as a result of a tax assessment and levy upon the product
Tax Liability	The obligation for payment of any personal property tax levied on a supplier product by an appropriate taxing authority. Such tax payment obligation must be satisfied by a supplier promptly after receipt of an official taxing authority notice of taxes due. Any supplier failure to do so will constitute a breach of the vendor's agreement with the State applicable to product acquisitions. The State will not assume any liability either for the basic tax or arising from any supplier's late payment or nonpayment of taxes due.
Training	Provide instruction in specified areas (Management overview, Operations, Maintenance and Use) on the installed systems and software

Vendor The vendor as used in this RFP means the organization or individual submitting a proposal in response to this RFP, and, once the contract is awarded, the contractor resulting from this procurement process.

### CVISN/PRISM Project-Specific Definitions

The following listing includes some important CVISN/PRISM Project-specific definitions. For additional information, the State recommends that vendors access [www.jhuapl.edu/cvisn](http://www.jhuapl.edu/cvisn), the website maintained by the Johns Hopkins University Applied Physics Laboratory on behalf of the US DOT.

AAMVA American Association of Motor Vehicle Administrators - An association of the commissioners of the departments of motor vehicles of the states and provinces.

AAMVAnet A national electronic telecommunications network that connects the National Driver Register (NDR), the national Commercial Driver's License Information System (CDLIS), the states and other users.

AAMVANET, Inc A nonprofit organization created by AAMVA to deliver cost-effective information system solutions.

ASPIN Software application that is part of the US DOT suite of inspection systems used to pre-process and forward commercial vehicle inspection data from the roadside to the US DOT Safety And Fitness Electronic Record (SAFER) System.

AVI (Automated Vehicle Identification): Identifies vehicles using light, microwave or radio frequencies. Combines roadside receivers with on-board transponders to automatically identify vehicles.

CATER The Center for Administrative Technology Resources (CATER) in the Connecticut Department of Information Technology (DOIT), also known as "the State Data Center," supports computer operations. CATER operates on an enterprise basis and must recover all costs by billing its users.

CDLIS (Commercial Driver's License Information System): A software system established according to Section 12007 of the Federal Commercial Motor Vehicle Act of 1986 that serves as a pointer to the complete commercial driver's license record kept by the state issuing the license. The system is intended to provide states with the ability to check nationwide for possible duplicates or for a suspended license before issuing a commercial driver's license to an applicant.

CI	(Credentialing Interface): System used to route properly formatted client credential transactions to designated legacy systems for processing and pass the result back to the client from the legacy system.
COACH	( <i>CVISN Operational and Architectural Compatibility Handbook</i> ): A document providing CVISN state agencies, motor carriers and developers of CVISN systems with a comprehensive checklist of what is required to comply with US DOT CVISN operational concepts and architecture.
COLLECT	(Connecticut On Line Law Enforcement Communications Teleprocessing): A Connecticut system that is used by criminal justice agencies to access various information, including DMV registration information contained in a “shadow file” that contains a subset of the DMV Registration Master File. COLLECT is a CICS application that runs at CATER and is used to access Federal files through the National Criminal Information Center System. COLLECT information can only be accessed by law enforcement personnel with the proper authorization and training.
Connecticut MCSIP Motor Carrier (Proposed Application Abstract)	A proposed application which will extract motor carrier information for carriers in MCSIP from the SAFETYNET Motor Carrier Census File and will create the Connecticut Motor Carrier Census File. Reference should be made to Figure 6.0.8.2.
Connecticut MCSIP Motor Vehicle (Proposed Application Abstract)	A proposed application which will extract motor vehicle information from the Connecticut DMV IRP System for vehicle assigned to carriers identified with the Connecticut MCSIP Motor Carrier Census File and will create the Connecticut IRP Vehicle File for Daily Uploads. Reference should be made to Figure 6.0.8.2.
Connecticut MCSIP IRP Vehicle File	A file, which is expected to contain the registration records for each vehicle in the Connecticut DMV IRP system that is identified with the motor carriers in the Connecticut MCSIP Motor Carrier Census File. This file will be created and uploaded on a daily basis for integration in the SAFER MCSIP Target Database Vehicle File. Reference should be made to Figure 6.0.8.2.
Connecticut MCSIP Motor <u>Carrier</u> Census File	A file, which is expected to contain a subset of all MCSIP Carrier specific information, contained within the SAFETYNET 2000 Motor Carrier Census File. Reference should be made to Figure 6.0.8.2.
Connecticut MCSIP <u>Vehicle</u> File	A file, which is expected to contain a copy of the SAFER MCSIP Target Database Vehicle File, which needs to be downloaded on daily basis. This file will contain all vehicles associated with carriers in the SAFER

MCSIP Target Database Carrier File.

- CR (Compliance Review): An on-site examination of motor carrier operations, such as driver's hours of service, maintenance and inspection records, driver qualifications, commercial driver's license requirements, financial responsibility, accidents, hazardous materials and other safety and transportation records to determine whether a motor carrier meets the safety fitness standard.
- CVIEW (Commercial Vehicle Information Exchange Window): A state-based electronic data exchange system that provides carrier, vehicle and driver safety and credential information to roadside inspection stations, state agencies and other third party users.
- CVISN (Commercial Vehicle Information Systems and Networks): The collection of state, federal and private sector information systems and networks that support commercial vehicle operations. Initiatives are currently underway to develop new systems and upgrade existing systems to add new capabilities and to allow for the electronic exchange of information using open data communications and processing interface standards. These improvements will enable the delivery of new electronic services to states and carriers in the areas of safety, credentials and electronic screening/clearance. Examples of services include providing timely safety and credentials information to inspectors at the roadside, allowing states to exchange registration and fuel tax information electronically, providing operating credentials to motor carriers electronically and electronically screening commercial vehicles at fixed and mobile inspection sites while vehicles travel at highway speeds. CVISN components apply emerging technologies to improve the effectiveness and efficiency of state and private commercial vehicle operations stakeholders in the three broad functional areas of safety, credentials and electronic screening.
- CVO (Commercial Vehicle Operations): Includes all the operations associated with moving goods and passengers via commercial vehicles over the North American highway system and the activities necessary to regulate these operations.
- Day Day of the month. Indicates calendar day. (Not business day)
- DRIP (**D**elinquent tax, **R**egistration privilege suspension, **I**nsurance compliance and **P**arking ticket violations): Connecticut DMV electronic file for identifying organizations and individuals with outstanding problems in one or more of the areas listed in the name. Acronym may eventually be changed to DRIPE, where the E represents Emission Violators. The DMV is currently working on the Emissions Project,

which may build this additional data store of Emissions Violators.

DSRC	(Dedicated Short Range Communications): A method to exchange specifically ordered data wirelessly.
EDI	(Electronic Data Interchange): The exchange of routine business transactions in a format that can be processed by a computer, covering such traditional applications as inquiries, planning, purchasing, acknowledgements, pricing, order status, scheduling, test results, shipping and receiving, invoices, payments and financial reporting.
EFT	(Electronic Funds Transfer): Any transfer of funds, other than a transaction originated by check draft, or other similar paper instrument, that is initiated through a computer terminal, telephone instrument, computer or magnetic tape to order, instruct or authorize a financial institution to debit or credit an account.
Electronic Clearance	The process that allows commercial vehicles, whether operating intrastate or interstate, to pass a check point (e.g., weigh station) at mainline speeds without stopping to be checked for proper credentials, weight and safety status.
GCWR	(Gross Combined Weight Rating): The value specified by the vehicle manufacturer as the loaded weight of a combined (articulated) vehicle. In the absence of a value specified by the manufacturer, GCWR is determined by adding the GVWR of the power unit and the total weight of the towed unit and any load thereon.
GVW	(Gross Vehicle Weight): The maximum allowable fully laden weight of the vehicle and its payload. The most common classification scheme used by manufacturers and by states, often for both trucks and tractors.
Haul-for-Hire Carrier	Carrier that transports property belonging to another for a fee (as opposed to private carriers who transport their own property).
GVWR	(Gross Vehicle Weight Rating): A value specified by the manufacturer for a single-unit truck, truck tractor or trailer, or gross combined weight rating the sum of such values for the units which make up a truck combination. In the absence of a GVWR, an estimate of the gross weight of a fully loaded unit may be substituted for such a rating. The GVWR of a truck combination may be called the gross combination weight rating.
HVUT	(Heavy Vehicle Use Tax): A federal tax assessed by the Internal Revenue Service for all vehicles over 55,000 pounds gross weight or combined gross weight. Proof of payment is required for vehicle

registration, except new vehicles registered within 60 days.

IFTA	(International Fuel Tax Agreement): An agreement among states and provinces for collecting and distributing fuel use tax.
IFTA Clearinghouse	An informational repository among jurisdictions which contains carrier demographic data and transmittal data between jurisdictions. The IFTA Clearinghouse is to serve as the primary location of all IFTA jurisdictional carrier information including name, account number, address and account status. Also stored in the IFTA Clearinghouse will be jurisdictional transmittal information and monthly financial reports listing billing or credit amounts between jurisdictions.
IRP	(International Registration Plan): An agreement that provides for vehicle registration reciprocity among member jurisdictions.
IRP Clearinghouse	A central clearinghouse (database) whereby each state transmits vehicle registration information and fees to the Clearinghouse, which periodically summarizes new registrations and computes net fees due for each jurisdiction, and distributes the information and fees. Under the Clearinghouse, each state sends and receives registration-related messages only to the clearinghouse, rather than to every other state.
ITAS Project	(Integrated Tax Administration System): The Project that covers the reengineering of all of the Connecticut Department of Revenue Services' primary business processes and all of the information technology, databases, applications, hardware and networks required to support those processes.
ITS	(Intelligent Transportation Systems): Information technologies, including computers, electronics, communications and safety systems, applied to the transportation network.
JHU/APL	The Johns Hopkins University Applied Physics Laboratory
MBDB	The Connecticut Department of Revenue Services Master Business Data Base System. A 23-year old system that uses sequential and VSAM files and mainframe technology to process and support the major business taxes collected by the Department.
MCMIS	(Motor Carrier Management Information System): A central federal repository of comprehensive safety data on interstate motor carriers, including all U.S. DOT number assignment data.
MCMIS Census File	A federal data repository of commercial motor carriers and hazardous material carriers information. This file contains data on approximately

375,000 carriers. Contained within this file is information about the safety fitness of each carrier, demographic data, US DOT Number assignments, and other pertinent information. This data is maintained by the Motor Carrier Management Information System.

MCSIP Target Database	A database that contains Carrier records for every carrier in MCSIP and a Vehicle records for each vehicle assigned to a MCSIP Carrier. This file also includes historical records. This data is maintained by the US DOT FMCSA at the John A. Volpe Transportation Center in Cambridge, MA.
MCSAP	(Motor Carrier Safety Assistance Program): A program to get potentially unsafe drivers and imminently hazardous vehicles off the road by increasing the level of safety enforcement activity.
NDR	(National Driver Register): A national repository of state-submitted data about adverse actions applied to a driver's record; updated information is returned to the states.
NLETS	(National Law Enforcement Telecommunication System): A store and forward computer-controlled message switching system which links together state, local and federal law enforcement and criminal justice agencies for the purposes of information exchange.
OS/OW Permits	(Oversize/Overweight Permits): Connecticut DOT-issued permits for vehicles operating outside the statutory limits set for size and weight
RPC	The Regional Processing Center, administered by the New York State Department of Taxation and Finance on behalf of fifteen states and two provinces, performs tax return processing, accounting and distribution of IFTA fuel use tax liabilities for more than 90,000 commercial fleets.
Recap	Provides information from IRP applications and supplements including name, address, identifiers, miles registered by the carrier for each jurisdiction, vehicle and registration-specific information, weight registered and fee collected for each vehicle for each jurisdiction.
Remittance Netting	For the IRP Clearinghouse, each month, the Clearinghouse summarizes the recaps submitted to determine fees collected on behalf of one jurisdiction for another. The remittance netting report, prepared for each member jurisdiction, indicates to which jurisdictions the member owes fees and from which other jurisdictions the member is owed fees.
Report	A report that provides the same kind of information as in a snapshot, but at a more detailed level (e.g., specific inspection data, accident records, events, etc.)

SAFER	(Safety And Fitness Electronic Record): Federal, on-line system to provide standardized carrier, vehicle and driver datasets (snapshots and reports) containing limited safety and credentials information to authorized users. SAFER is available to users over a nationwide data network and will return an interstate carrier, vehicle, driver snapshot and/or previous inspection data to the requester within a few seconds. The design goal for a query response for a single record is ten seconds or less 90% of the time.
SAFETYNET 2000	A distributed system for managing safety data on both interstate and intrastate motor carriers and for the federal and state offices to electronically exchange data on interstate carriers with the Motor Carrier Management Information System. In Connecticut SAFETYNET 2000 has access to a local copy of the MCMIS Census File.
Screening	The process of using historical and sensor information to determine whether to allow a vehicle to continue down the road.
Snapshot	A collection of safety and summary level information pertaining to who a carrier is, where the carrier is based, the basic type of operation, and the carrier's safety rating and safety record.
SQA	Software Quality Assurance - (Concept and Definition): A planned and systematic approach to evaluation of the quality of and adherence to software product standards, processes, and procedures. SQA includes the process of assuring that standards and procedures are established and followed throughout the software development life-cycle, Compliance with agreed-upon monitoring, product evaluation, and audits. Software development and control processes must include QA approval points, where a SQA evaluation of the software may be done in relation to the applicable standards.
SSRS	(Single State Registration System): A system used by states whereby interstate haul-for-hire carriers apply to their base state to obtain a credential allowing interstate operation of carrier vehicles in all SSRS jurisdictions listed on the credential. By providing such a credential for interstate haul-for-hire operation, which is renewed annually, the base jurisdiction verifies that proper USDOT operating authority is in effect, as well as mandatory insurance coverage as required by USDOT.
Temporary Trip Permit	Temporary travel permits, valid for two to ten days, allowing a vehicle to travel in a jurisdiction where a carrier does not have a permanent registration permit.
Transponder	An electronic tag carried by a motor vehicle that has electronically

stored information that can be retrieved by a roadside reader.

- VISTA/RS (Vehicle Information System for Tax Apportionment/Registration System): The Lockheed Martin IMS system used by Connecticut to obtain services, in compliance with the IRP, for registering interstate commercial vehicles.
- WIM (Weigh-In-Motion): Measurement of dynamic axle weight at highway or slower speeds by various technologies that enable vehicle weights to be determined without the need for a vehicle to physically stop on a scale.

**ATTACHMENT 2  
VENDOR PROPOSAL FORMAT AND CONTENT REQUIREMENTS**

As described in Section 1, this RFP will result in awards in the following three areas:

Award 1. Project Management Services, Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) System Development and Integration Services, Other Systems Modification and Integration Services, and Motor Carrier Prescreening Services

Award 2. Department of Motor Vehicles – International Registration Plan (IRP) Commercial Vehicle Registration System and Integration Services

Award 3. Department of Transportation – Oversize/Overweight (OS/OW) Permits System and Integration Services

Vendors must submit separate proposals for each of the above awards that are being pursued. Each proposal must be submitted in two separate parts under separate cover labeled as follows: "Business and Technical Proposal" and "Cost Proposal." Each proposal must contain, at a minimum, the sections as listed below and must be organized in the sequence indicated. All sections are to be included. The Business and Technical Proposal is to include Sections 1 – 7 and 9. The Cost Proposal consists of Section 8.

In addition to the submission of separate proposals for each of awards 1 – 3 that are being pursued, vendors are encouraged to submit proposals for combined awards. Combined award proposals must combine two or three of the individual proposals for awards 1, 2 and 3. Vendors that submit proposals that combine two (Award 1 and Award 2; Award 1 and Award 3; Award 2 and Award 3) or all (Award 1 and Award 2 and Award 3) of the awards must submit a separate proposal for each multiple award combination. See RFP Section 1.2 for more information and examples relating to the submission of proposals for combined awards.

Proposals for combined awards must focus on the advantages to the State of making such an award. It is not necessary to repeat the information that has been submitted in the associated separate proposals for Awards 1, 2 or 3. Information from the separate proposals that is unchanged in the proposal for a combined award may be incorporated by reference. However, each combined award proposal must include Items 1 – 4 and 8 as listed below. Items 5, 6 and 7 need only reflect any changes that result from combining the individual award proposals.

1. Transmittal Letter
2. Table of Contents
3. Executive Summary
4. Vendor Proposal Validation and Authentication Statement
5. Business and Technical Approach
6. Response to Mandatory Requirements
7. Qualifications

**8. Cost Information (As noted above, this Cost Information Section is to be submitted under separate cover labeled as “Cost Proposal”)**

Vendors shall submit one (1) signed original (clearly identified as such) and twenty-five (25) identical copies of each proposal.

Vendor proposals must be printed on standard 8 1/2 x 11 paper (larger paper is permissible for charts, spreadsheets, etc.) using 12 point or larger type font and placed in a binder with tabs delineating each section.

Instructions regarding the proposal format and preparation are provided below.

**1. TRANSMITTAL LETTER**

Proposals must include a Transmittal Letter addressed to the Director, Contract and Purchasing Division, DOIT, which must be in the form of a standard business letter, signed by an individual authorized to legally bind the vendor. The letter shall include the name, title, address, telephone number, fax number and email address for the person that the State is to contact to resolve questions or issues regarding the submitted proposal. The transmittal letter must contain specific statements, cross-referenced to the State administrative requirements stipulated in Section 2 of this RFP, to establish the vendor's full acceptance of all such requirements.

**2. TABLE OF CONTENTS**

Proposals must include a Table of Contents that includes sections and subsections with page numbers.

**3. EXECUTIVE SUMMARY**

Briefly summarize the most salient aspects of the proposal in terms of satisfying the requirements presented in this RFP. The Executive Summary must provide a high-level overview of the vendor's proposal in such a way as to demonstrate a broad understanding of the RFP requirements. The vendor must summarize their understanding of the objectives of the State in issuing this RFP, the intended results of the Project, the scope of work and any issues which the vendor believes needs to be addressed in this Project. The Executive Summary may not mention the dollar amount proposed for the Project.

**4. VENDOR PROPOSAL VALIDATION AND AUTHENTICATION STATEMENT**

Attach a completed Vendor Proposal Validation and Authentication Statement (Attachment 4) to each proposal.

**5. BUSINESS AND TECHNICAL APPROACH**

The Business and Technical Approach must contain the following sections:

5.1 Proposed Approach

- 5.1.1 The vendor must restate the problem being addressed, and describe the proposed business and technical approach to providing a solution. If existing software is to be utilized, identify the software and describe how it will be enhanced/modified to meet Connecticut requirements. Describe and quantify the resources that will be devoted to the Project. Identify all subcontractors and their respective role(s). Refer to the proposed Project Implementation Plan. Provide a staffing plan, with names of the staff members and indicate the amount of time, in hours, that they will devote to the Project. Provide the name and experience of the proposed Contractor Project Manager.
- 5.1.2 Describe the project management methodology to be utilized, including a description of any supporting software.
- 5.1.3 Describe the responsibilities that the vendor expects to assume and the responsibilities that the State is expected to assume.
- 5.1.4 Describe the risks associated with the Award area, the actions expected to be taken to address and mitigate the risks and the role the State is expected to play in mitigating the risks.
- 5.1.5 Describe the quality assurance process to be utilized, including QA for the project tasks, schedule, deliverables and software testing, for ensuring that work related to the production of acceptable deliverables is on track and expectations are met or exceeded. The QA process is expected to be proactive to ensure that not only is the schedule met, but that product and service quality is maintained. Refer to the Proposed Quality Assurance Plan (Section 5.3 below) as appropriate.

5.2 Proposed Project Implementation Plan

Provide a detailed proposed implementation (work) plan describing tasks, milestones, dates, deliverables, etc. Include Gantt charts showing the time lines and the relationships among the tasks. In addition to the hard copies required, a single copy of the Project Implementation Plan must be submitted on a 3½” diskette or CD, using Microsoft Project 98. Assume that the Work Begins Date identified in Section 3.1.1, Procurement Schedule, is the start date for the Project Implementation Plan. The Plan must extend through September 30, 2005.

5.3 Proposed Quality Assurance (QA) Plan

Provide a proposed QA Plan listing appropriate milestones, task completion points, deliverables, etc., where checkpoints are to be taken to assure the State that the Project is proceeding according to schedule. This plan is to be a relatively high level plan that can be used in discussions with State executives and officials, such as Commissioners. The vendor is expected to have a more detailed QA process (as described in Section 5.1.5 above) to ensure that the project remains on track. In addition to the hard copies

required, a single copy of the QA Plan must be submitted on a 3½" diskette or CD, using Microsoft Project 98. Assume that the Work Begins Date identified in Section 3.1.1, Procurement Schedule, is the start date for the QA Plan. The Plan must extend through September 30, 2005.

5.4 Product Schedule (without Costs)

The Product Schedule (Cost Section 8.4) establishes a list of all the products and services the vendor wishes to make available to the State. This includes software with all its licensing options, system maintenance and support services, design and development services, training, equipment and associated maintenance, etc. In the Cost Proposal vendors are asked to include this product list with associated costs. Submit the same Product Schedule here, but **do not include the costs**.

5.5 Project Implementation Summary (without Costs)

In the Cost Proposal (Section 8 below) vendors are to provide deliverable-based pricing. Part of this cost information is provided in a Project Implementation Summary (Cost Section 8.5). Provide the same Project Implementation Summary as described in Cost Section 8.5 below, but **do not include the costs here**. All proposed deliverables included in this Summary must be identified in the Proposed Project Implementation Plan.

5.6 Project Implementation Schedule (without Costs)

In the Cost Proposal vendors are to provide deliverable-based pricing. Part of this cost information is provided in a Project Implementation Schedule (Cost Section 8.6). Provide the same Project Implementation Schedule as described in Cost Section 8.6 below, but **do not include the costs here**. All proposed deliverables included in this Schedule must be identified in the Proposed Project Implementation Plan.

5.7 Supporting Materials

This includes manuals and other materials specifically requested in the RFP but too bulky to include elsewhere as part of the Business and Technical Approach.

5.8 Supplemental Supporting Materials (Optional)

Vendors may submit additional materials to supplement their responses. This may include brochures, articles, etc., which may be helpful. These materials will not qualify as substitutes for direct responses to the RFP requirements. Specifically requested materials, such as financial statements and reference manuals, are to be provided in the Section where the request is made, or in Section 5.7.

While the vendor proposal may make reference to supplemental materials, responses must be stated in such a way that it is not necessary to refer to the supplemental materials to evaluate the responses.

## 6. RESPONSE TO MANDATORY REQUIREMENTS

Mandatory requirements are explicitly stated in Attachment 6 for the Project and for each award area. Vendors must respond affirmatively to these mandatory requirements, indicating how their system or service meets or exceeds the stated requirements. Vendors are requested to state the requirement and then present their response. Vendors are strongly encouraged to make reference to requirements contained within Attachments that are applicable to specific Award mandatory requirements, noting especially that applicable PRISM requirements must be met within individual Award areas.

Vendors who can **not** respond affirmatively to all Mandatory Requirements items in Attachment 6 related to the award of interest should not submit a proposal for that award to the State in response to this RFP.

## 7. QUALIFICATIONS

Vendors must provide the following descriptive information concerning the qualifications of the proposing firm and, if applicable, each subcontractor.

### 7.1 Firm Description

#### 7.1.1 Organization and Business Direction

7.1.1.1 The name and address of the legal entity submitting the proposal and the names and titles of the principal officers.

7.1.1.2 An organization chart of the company indicating all divisions/units to be involved in the Project. A brief summary of recent (past two years) organizational changes, if any.

7.1.1.3 If the company is a subsidiary of another company, the corporate organizational chart, along with the address of each subsidiary.

7.1.1.4 If applicable, a description, with diagram(s), addressing the business relationship between the vendor and each subcontractor.

7.1.1.5 Description of the company business goals and strategic direction.

7.1.1.6 An explanation of how the vendor proposal is consistent with the company business goals and strategic direction.

#### 7.1.2 Financial Status

- 7.1.2.1 Most recent audited financial statement
- 7.1.2.2 Sales in dollars for the three most recent years, including breakout of sales attributable to the proposed system/services.
- 7.1.2.3 Name, title, address and telephone number of a financial reference contact in the company's principal financing or banking organization.
- 7.1.2.4 A credit rating and the name of the rating service.
- 7.1.2.5 Disclosure of all judgments, pending or expected litigation, liquidated damages, or other real or potential financial reversals, or warrant that no such conditions are known to exist.
- 7.1.2.6 Disclosure of any and all instances in which the vendor has had contracts terminated for default during the past three years; or warrant that no such instances are known to exist. Termination for default is defined as notice to stop performance due to the vendor's nonperformance or poor performance and the issue was either not litigated or litigated and such litigation determined that the vendor was in default. Full details for all such terminations for default must be submitted, including the vendor's perspective on the matter and the other party's name, address and telephone number.
- 7.2 Experience and Qualifications
  - 7.2.1 Describe current Intelligent Transportation Systems/Commercial Vehicle Operations (ITS/CVO)-related activities, including the number and type of staff assigned.
  - 7.2.2 Describe experience: with CVISN and PRISM programs and systems; experience with systems related to commercial vehicle operations; experience with the information systems in the above state agencies; experience with similar (in scope, responsibility and technologies involved, preferably with a state as the client) systems and projects.
  - 7.2.3 Describe the organization's experience and qualifications relating specifically to this Project. Describe how this experience will be transferred to this project.
  - 7.2.4 Describe any Software Engineering Institute (SEI) and/or International Standards Organization (ISO) certification the vendor has received.
  - 7.2.5 List all the installations of the proposed system(s). Include company name, address, system(s) installed.
  - 7.2.6 Resumes of the professional staff members proposed for assignment to the Project, indicating their experience and qualifications.
- 7.3 Customer References, System Demonstrations and Proposed Site Visits

- 7.3.1 Vendors must provide, for each installation listed in Item 7.2.5 (under Section 7.2 Experience and Qualifications), the name, title, address and phone number of a contact person.
- 7.3.2 At its option the State may request a demonstration of the proposed system to verify functionality and response time. The State may provide the data to be used in this demonstration. If the vendor plans to conduct the demonstration in a State of Connecticut facility, describe any facility requirements; e.g., telecommunications services. If the demonstration is to be conducted at a vendor-provided site, give the location (address) of the proposed demonstration site.
- 7.3.3 At its option the State may wish to observe the live operation of the proposed system in one or more user (production) environments. The State reserves the right to select the user site(s) to be visited for this purpose. The State will select from the list of installations provided in Item 7.2.5. The vendor is encouraged to recommend two sites for the State's consideration for the user visits.
- 7.3.4 Vendors must provide three (3) customer references from organizations of similar size and function to the State of Connecticut user organizations that have acquired products and services equivalent or similar to those included in the vendor's proposal. For each reference, the vendor must provide the following information:
- Company Name and Address
  - Descriptions of products and services provided
  - The dates that the products and services were provided
  - Name, Title, Address and Phone Number of User Contact
- 7.4 Customer Support Organization and Services
- 7.4.1 Overview - For the proposed application system(s), provide an overview of customer support services and of customer support organization.
- 7.4.2 Provide the numbers of staff, location and appropriate functional breakdowns, such as by technical development, user support, sales, etc. for the customer support organization.
- 7.4.3 Describe in detail, the support and maintenance service options offered for the proposed system(s).
- 7.4.4 Describe how customer issues and problems are to be addressed and resolved. Assert specifically the duration being offered to correct or fix any problems. Describe a typical sequence of events, starting with the initial call to customer support, and describing the escalation process. Describe recourse provided when a customer is not satisfied with the support being received. State what information you will require from the customer to provide when the initial call is made to customer support. Provide real-life examples of how this process has worked for you in other states or contracts that you may have. Provide at least two customer contacts for each example given.

7.4.5 Describe specifically the training programs and documentation that you will provide for the application system. Provide copies of training documents and user documentation. Provide at least two customer names (state staff preferred if possible) who have received training from your company.

7.4.6 Describe the existing user group(s), if any. Describe the organization of the user group(s), support provided, meeting schedule, relationship to vendor, etc.

7.4.7 Define exactly when your company asserts the warranty period is to start, and what will be covered under the warranty.

7.4.8 Make a definitive statement of the process your company requires for customers to request changes not included in original contract, including how system enhancements are paid for, how and level of testing which is performed and by whom. Describe also, during the warranty period, the policies and procedures you will require of customers who wish to make their own enhancements to systems that are covered under your company's warranty, without adversely impacting the warranty.

## 8. COST INFORMATION

### **All Cost Information must be submitted under separate cover, labeled "Cost Proposal"**

Vendors must include in the Cost Proposal all costs to the State for the proposed systems and services. The cost information must be based on all products and services to be received by the State as a result of the vendor's proposal. Vendors must include all necessary equipment, software, and maintenance to implement fully functional systems.

Costs are to include all the products and services needed to execute the Proposed Project Implementation Plan. Vendors must offer firm fixed prices for all proposed products and services. Firm fixed prices are to be based on the deliverables identified in the vendor's Proposed Project Implementation Plan and in the Project Implementation Summary and Project Implementation Schedule described below.

The Department of Information Technology is expected to provide all network services. Proposals need not include any costs for network services or for hardware associated with the network infrastructure, such as hubs, routers or DSU/CSU's.

The Project schedule provided in Attachment 6 of this RFP is the State's best estimate at the time of RFP release. The use of a common schedule is necessary for valid vendor-to-vendor cost comparisons. Once contracts are awarded, the *Project Implementation Plan*, with schedule, will be finalized in discussions between the State and the winning vendor(s). The Award 1 winner is expected to drive the process of developing the final integrated work plan/schedule acceptable to the State.

Vendors must include details of unit prices by product component being proposed, quantity, and extended prices by product component, subtotals and any applicable discounts. One time costs such as freight charges and installation charges must be included by product, as appropriate.

Vendors must indicate that the proposal is good for at least one (1) year and prices will be effective for at least thirty-six (36) months from the date of contract approval. A responding vendor further agrees that any across the board price decreases announced by the vendor or manufacturer for any products offered under the proposal will be passed on to the State.

Any costs not included in this proposal necessary to implement a vendor's proposed solution, which was "forgotten" will be the responsibility of the vendor, such that the vendor, if selected, must comply with the delivery requirements of this RFP without charging the State for the "forgotten" amount(s).

All cost proposals must be typewritten on standard 8 1/2 x 11 paper (larger paper is permissible for charts, spreadsheets, etc.) and placed in a binder with tabs delineating each section.

Cost proposals must contain, at a minimum, the worksheets listed below, organized in the sequence shown:

8.1 Summary of Proposed "Not-to-Exceed" Costs

8.2 Five Year Life Cycle Cost Summary

8.3 Individual Cost Table Worksheets

8.3.1 Requirements Definition and Application Software Design Costs

8.3.2 Software Development/Customization Costs

8.3.3 Application and Support Software License Costs

8.3.4 Hardware and Operating Software Costs

8.3.5 Installation and Implementation Costs

8.3.6 Conversion Costs

8.3.7 Training Costs

8.3.8 Documentation Costs

8.3.9 Maintenance and Support Costs - Application and Support Software

8.3.10 Maintenance and Support Costs - Hardware and Operating Software

8.3.11 Warranty Costs

8.3.12 Project Management Costs

8.3.13 Other Costs

8.4 Product Schedule

8.5 Project Implementation Summary

8.6 Project Implementation Schedule

Complete the sections as described below:

### 8.1 Summary of Proposed “Not-to-Exceed” Costs

Vendors are to use the Total Not To Exceed Costs Table Worksheet 8.1 to provide a “total not to exceed” cost summary that indicates the total proposed cost for each of some thirteen items required to complete the Project. Vendors are to complete the detailed cost worksheets in 8.3 before entering totals on the 8.1 Summary Worksheet.

### 8.2 Six Year Life Cycle Costs Summary

Use the Six Year Life Cycle Costs Summary Worksheet Form 8.2 to provide the distribution of the “total not to exceed” costs summary over the five year period.

The six-year life cycle cost is the total cost of designing, developing and/or acquiring, modifying and implementing each proposed application software system in the State, including all associated product and service costs to reach the point where the system is formally accepted by the State and continuing for the five year period beginning on the date the system is accepted for production. All of the costs involved in reaching the point where the system is accepted for production should be included in Year 1.

The cost of all application software, hardware and operating software is to include a one year warranty period at no additional charge. Any costs associated with the one year warranty period must be included in Year 1. Maintenance costs must commence in Year 2 and continue for the five year period ending with Year 6.

All ongoing costs such as maintenance are to be escalated at the maximum rate the vendor proposes for its contract with the State. For example, if the vendor agrees to increase maintenance costs no more than 5% per year, then the maintenance costs must be increased 5% per year in completing the six year life cycle cost table.

The life cycle cost is needed for two principal reasons: the first is to provide a mechanism for making a fair “apples-to-apples” comparison of the cost of implementing different proposals. The second reason is to gain planning information about the total cost of implementing, and then operating, each system on a year-by-year basis. As the vendors seek to minimize the life cycle cost in order to win the contract award, the State hopes to reap the benefit of the vendors’ work by achieving the lowest possible cost for the implementation and operation of the selected system.

### 8.3 Individual Cost Table Worksheets

For each of the annual totals provided in the Life Cycle Cost Summary Worksheet, vendors are to provide Individual Cost Table Worksheet(s) itemizing the products and services included in the associated total. These Individual Cost Table Worksheets are to include costs for all CVISN/PRISM related products and services including, at a minimum, itemized costs for the items listed below. Vendors must provide specific detailed information for all one-time and all recurring costs. Vendors are to describe any price protection applicable to maintenance and support costs or any other recurring costs during the periods cited in the cost worksheets.

Vendors must provide, by unit and extended costs for the proposed software, the purchase price (including design and customization as required), license fee(s) and State license type(s) (lump-sum, perpetual or periodic payment license) and ongoing license, use, support, and/or maintenance fees commencing after the warranty period (specify the warranty period for all applicable products).

Vendors are to indicate all applicable discounts (e.g., government, educational, multiple system installations) that are to be available to the State and are to specify the basis (type) and extent (percentage) of these applicable product discounts. Vendors are to also specify the basis (type) and extent (percentage) of any additional product discounts that may be available to the State but are not reflected in the cost figure(s) indicated. The State reserves the right to make additions or reductions in awards as a result of this RFP. Vendors are to indicate their agreement to maintain the same discount rate(s) as proposed.

Vendors are to list all hardware, operating and support software, the costs of these items, their maintenance costs, and all other associated costs to support the proposed application software. However, the State reserves the right to acquire hardware, operating and support software through its normal procurement channels for these items.

### 8.3.1 Requirements Definition and Application Software Design Costs

Vendors are to include all costs associated with software design from project initiation through design completion and acceptance. This includes interviewing users, documenting the interviews, defining and documenting requirements, developing and documenting the logical design, review of architectural options, developing and documenting the physical design, etc.

### 8.3.2 Software Development/Customization Costs

Vendors are to include all software development and/or customization costs starting after design acceptance and continuing through acceptance testing and software acceptance. This includes the development of the application software and/or modifications to existing software order to meet State requirements, unit testing, systems and integration testing, functionality acceptance testing, production acceptance testing, etc.

### 8.3.3 Application and Support Software License Fees

Vendors are to include all license fees including, at least, the initial purchase price for perpetual license, annual license fee (year-to-year license) and annual maintenance fee. Vendors are to describe licensing options available, such as unlimited use statewide license, site license, license by CPU, license for limited numbers of concurrent active users, etc. and are to include costs for all licenses needed for application software, as well as support software. Support software includes the database management system, application development software, runtime software, data dictionary, query language, report writer, high level 4GL language, etc. Vendors must propose the most cost-

effective licensing approach, assuming that the application and its supporting products will be installed for ten years.

#### 8.3.4 Hardware and Operating Software Costs

Vendors are to include the cost of the hardware and associated operating software required to build and run the application. Operating software includes the operating system and associated software such as middleware, etc. Vendors must recommend the most cost effective software licensing arrangements for the State environment, assuming a ten year life cycle.

#### 8.3.5 Installation/Implementation Costs

Vendors are to include all installation and implementation costs associated with implementation and rollout of the application to the users.

#### 8.3.6 Conversion Costs

Vendors are to include all costs, if any, for conversion from existing applications to the new application including data conversion and cleanup, initial load of the database, etc.

#### 8.3.7 Training Costs

Vendors are to include all training costs including, at least, the most cost-effective mix of on-site training classes and off-site training classes at vendor-provided locations for technical personnel and business users. Vendors must also propose training for the State or another vendor to assume the responsibility for maintenance in the future.

#### 8.3.8 Documentation Costs

Vendors are to include all costs associated with producing acceptable user, technical and operations documentation.

#### 8.3.9 Maintenance and Support Costs - Application and Support Software

Vendors are to include all maintenance and support costs for all application and support software included in the proposal. These costs must address both technical support and end user support, including descriptions of the options that are offered in these areas, including first shift coverage, extended hours coverage, etc. Describe Help Desk support options; for example Level 1 Help Desk Support where end users can call the help desk directly, Level 2 Help Desk Support where calls are restricted to specified State staff and the State provides Level 1 Support, etc. Vendors are to describe any price protection applicable to maintenance and support costs during the periods cited in the cost worksheets.

#### 8.3.10 Maintenance and Support Costs - Hardware and Operating Software

Vendors are to describe available maintenance and support costs for all hardware and operating software included in the proposal. Describe options available. Vendors are to describe any price protection applicable to maintenance and support costs during the periods cited in the cost worksheets.

#### 8.3.11 Warranty Costs

Vendors are to include all required warranty costs that are not included in the initial cost of delivered products. Please note that the costs quoted for application and support software are to include one year of warranty coverage at no additional cost. The warranty period begins when the production acceptance test is passed. During this warranty period, the system shall perform according to the RFP requirements, the vendor's proposal, and the design specifications. Vendors shall modify, adjust, repair and/or replace such system components as necessary, at no charge to the State, to maintain the required system functionality. Hardware and operating software costs are also to include a one year warranty period commencing with acceptance of the products by the State.

#### 8.3.12 Project Management Costs

Vendors are to include all costs associated with management of the project as described in the proposal. Project Management costs are to be firm fixed prices based upon delivery and acceptance of status reports, meeting summaries, updates to the Project Plan and other similar deliverables.

#### 8.3.13 Other Costs

Vendors are to include all other costs associated with their proposal and the systems life cycle that do not "fit" in one of the above categories.

### 8.4 Product Schedule

The Product Schedule establishes a comprehensive list of the products, licensing options, system maintenance and support, training, other services and their associated pricing available to the State.

The Product Schedule is to include consulting services costs including the hourly costs for the classifications of vendor staff proposed for the Project, with job titles, and description of duties. This same information must also be provided for additional classifications the vendor may wish to utilize for system enhancements or related work, should the state wish to contract for additional services in the future.

Standard price schedules, such as GSA or State Government price schedules, may be submitted as the Product Schedule or to supplement the Product Schedule.

The Product Schedule will become part of Attachment 5: Information Processing Systems Agreement(s) between the State and the vendor. Vendors may supplement the Product Schedule

at any time to make additional Products/Services and their related terms/pricing available to the State. Vendors may update any Product Schedule's pricing by amending the Product Schedule according to the provisions of the associated Information Processing Systems Agreement and this request for proposals.

The Product Schedule is to be completed based on the items included in the previous Cost Table Worksheets. A SAMPLE Product Schedule is included as an example of the format required by the State. Vendors are to modify the content of the SAMPLE Product Schedule Worksheet to include the items included in the vendor's proposal.

### 8.5 Project Implementation Summary

The Project Implementation Summary is to summarize the cost information provided in the Project Implementation Schedule defined in Section 8.6 below. The Summary is to list major milestones and the total cost of achieving these milestones. These milestones must be described in the Proposed Project Implementation Plan and the costs must be based on the costs listed in the previous Cost Table Worksheets.

The Project Implementation Summary will become part of Attachment 5: Information Processing Systems Agreement(s) between the State and the vendor.

A SAMPLE Project Implementation Summary is included as an example of the format required by the State. Vendors are to modify the content of the SAMPLE Project Implementation Summary Worksheet to include costs associated the appropriate major milestones from the Proposed Project Implementation Plan.

### 8.6 Project Implementation Schedule

The Project Implementation Schedule provides a list of deliverables from the Proposed Project Implementation Plan and their associated costs. The deliverables must be grouped by major milestone so that this Schedule is a more detailed version of the Project Implementation Summary described above. The costs must be based on the costs listed in the previous Cost Table Worksheets. This Schedule may be recognized by the State for the purpose of payments to the vendor.

The Project Implementation Schedule will become part of Attachment 5: Information Processing Systems Agreement(s) between the State and the vendor.

A SAMPLE Project Implementation Schedule is included as an example of the format required by the State. Vendors are to modify the content of the SAMPLE Project Implementation Schedule Worksheet to include the costs associated the appropriate deliverables from the Proposed Project Implementation Plan.

**ATTACHMENT 3  
COST TABLE WORKSHEETS**

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COST TABLE WORKSHEET

8.1 SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS TABLE WORKSHEET

TOTAL NOT TO EXCEED COSTS

8.1.1 Requirements Definition and Application Software Design Costs	
8.1.2 Software Development/Customization Costs	
8.1.3 Application and Support Software License Fees	
8.1.4 Hardware and Operating Software Costs	
8.1.5 Installation and Implementation Costs	
8.1.6 Conversion Costs	
8.1.7 Training Costs	
8.1.8 Documentation Costs	
8.1.9 Maintenance and Support Costs - Application and Support Software	
8.1.10 Maintenance and Support Costs - Hardware and Operating Software	
8.1.11 Warranty Costs	
8.1.12 Project Management Costs	
8.1.13 Other Costs	
<b>TOTAL NOT TO EXCEED COST</b>	

COST TABLE WORKSHEET

**8.2 SIX-YEAR LIFE CYCLE COSTS SUMMARY COST TABLE WORKSHEET**

<b>COST ITEM</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Year 6</b>	<b>Total</b>
8.2.1 Requirements Definition and Application Software Design Costs							
8.2.2 Software Development/ Customization Costs							
8.2.3 Application and Support Software License Fees							
8.2.4 Hardware and Operating Software Costs							
8.2.5 Installation and Implementation Costs							
8.2.6 Conversion Costs							
8.2.7 Training Costs							
8.2.8 Documentation Costs							
8.2.9 Maintenance and Support Costs - Application and Support Software							
8.2.10 Maintenance and Support Costs - Hardware and Operating Software							
8.2.11 Warranty Costs							
8.2.12 Project Management Costs							
8.2.13 Other Costs							
Total Not To Exceed Costs							

**COST TABLE WORKSHEET  
8.3 INDIVIDUAL COST TABLE WORKSHEETS**

**THE FOLLOWING WORKSHEETS WILL BE INCORPORATED IN THE PROPOSAL**

- 8.3.1 Requirements Definition and Application Software Design Costs Table Worksheet
- 8.3.2 Software Development/Customization Costs Table Worksheet
- 8.3.3 Application and Support Software License Fees Cost Table Worksheet
- 8.3.4 Hardware and Operating Software Costs Table Worksheet
- 8.3.5 Installation/Implementation Costs Table Worksheet
- 8.3.6 Conversion Costs Table Worksheet
- 8.3.7 Training Costs Table Worksheet
- 8.3.8 Documentation Costs Table Worksheet
- 8.3.9 Maintenance and Support Costs - Application and Support Software Table Worksheet
- 8.3.10 Maintenance and Support Costs - Hardware and Operating Software Table Worksheet
- 8.3.11 Warranty Costs Table Worksheet
- 8.3.12 Project Management Costs Table Worksheet
- 8.3.13 Other Costs Table Worksheet





























COST TABLE WORKSHEET  
8.4 PRODUCT SCHEDULE COST TABLE WORKSHEET

**Vendors are to modify the content of this  
SAMPLE Product Schedule Cost Table Worksheet  
to define the vendor's proposal.**

Development Billable Rates:

<u>Labor Category</u>	<u>Hourly Rate</u>
Project Manager . . . . .	
Business Analyst. . . . .	
Workflow Analyst. . . . .	
Systems Analyst . . . . .	
Team Leader . . . . .	
Data Modeler . . . . .	
Programmer/Analysts Sr. . . . .	
Programmer/Analysts Jr. . . . .	
Technical Support . . . . .	
Trainer . . . . .	
Training Analyst . . . . .	
Conversion Personnel. . . . .	
Documentation Specialist . . . . .	

Maintenance Billable Rates:

<u>Labor Category</u>	<u>Hourly Rate</u>
Project Manager . . . . .	
Technical Team Leader . . . . .	
Documentation Specialist . . . . .	
Application Team Leader . . . . .	
Programmer Analyst Sr. . . . .	
Programmer Analyst Jr. . . . .	
Technical Programmer . . . . .	
Database administrator. . . . .	
Training Analyst . . . . .	

COST TABLE WORKSHEET

8.4 PRODUCT SCHEDULE COST TABLE WORKSHEET (CONTINUED)

**Vendors are to modify the content of this SAMPLE Product Schedule Cost Table Worksheet to define the vendor's proposal.**

<u>License Software</u>	<u>Quantity</u>	<u>Lump Sum Perpetual License Charge</u>	<u>Annual Maintenance &amp; Support Charge</u>
Case Management Software – User Licenses	X	\$XX,XXX.00	\$X,XXX.00
Welfare to Work Modules – User Licenses	X	\$XX,XXX.00	\$X,XXX.00
Database – User Licenses	X	\$XX,XXX.00	\$X,XXX.00
Tools, database and Development – User Licenses	X	\$XX,XXX.00	\$X,XXX.00

	<u>Not-to-Exceed Charges</u>
<u>Application Software Development</u> One Site Maximum of X hours @ \$XXX.00 per/hour	\$XX,XXX.00
Interface Modules to Existing Systems Maximum of X hours @ \$XXX.00 per/hour	\$XX,XXX.00
<u>Installation</u> At State site, Maximum of X hours @ \$XXX.00 per/hour	\$XX,XXX.00
<u>Training</u> At State site, Maximum of X hours @ \$XXX.00 per/hour	\$XX,XXX.00
<u>Conversion</u> At State site, Maximum of X hours @ \$XXX.00 per/hour	\$XX,XXX.00

<u>Documentation</u>	<u>Quantity</u>	<u>Unit Cost</u>	<u>Annual Update Cost</u>
User Manuals	X	\$X,XXX.00	\$X,XXX.00
Quick Reference Cards	X	\$X,XXX.00	\$X,XXX.00
Operations Documentation	X	\$X,XXX.00	\$X,XXX.00
System Documentation	X	\$X,XXX.00	\$X,XXX.00

COST TABLE WORKSHEET

8.5 PROJECT IMPLEMENTATION SUMMARY COST TABLE WORKSHEET

**Vendors are to modify the content of this  
SAMPLE Project Implementation Summary Cost Table Worksheet  
to define the vendor's proposal.**

<b>Task Description</b>	<b>Total Days to Complete</b>	<b>Approximate Start Date</b>	<b>Approximate Finish Date</b>	<b>Total Not to Exceed Cost</b>
1. Project Initiation/Management	xxx days	xx/xx/xx	xx/xx/xx	\$xxx,xxx
2. Business Requirements	xxx days	xx/xx/xx	xx/xx/xx	\$xxx,xxx
3. System Development	xxx days	xx/xx/xx	xx/xx/xx	\$xxx,xxx
4. Training	xxx days	xx/xx/xx	xx/xx/xx	\$xxx,xxx
5. Data Conversion	xxx days	xx/xx/xx	xx/xx/xx	\$xxx,xxx
6. Documentation	xxx days	xx/xx/xx	xx/xx/xx	\$xxx,xxx
7. Transition	xxx days	xx/xx/xx	xx/xx/xx	\$xxx,xxx
8. System Acceptance Evaluation	xxx days	xx/xx/xx	xx/xx/xx	N/C
9. RFP Warranty Support	xxx days	xx/xx/xx	xx/xx/xx	N/C
10. System Enhancements & Support	xxx days	xx/xx/xx	xx/xx/xx	\$xxx,xxx
Totals	xxx days	xx/xx/xx	xx/xx/xx	\$xxx,xxx

COST TABLE WORKSHEET

8.6 PROJECT IMPLEMENTATION SCHEDULE COST TABLE WORKSHEET

**Vendors are to modify the content of this  
SAMPLE Project Implementation Schedule Cost Table Worksheet  
to define the vendor's proposal.**

Date	Deliverable Number	Deliverable Description	Cost
		<b>Phase 1 - Project Initiation/Management</b>	
	1	Define Project Objectives	\$ xx,xxx
	2	Finalize Workplan	\$ xxx,xxx
	3	Conduct Kick-off Meeting	\$ xx,xxx
		<b>Total Phase 1</b>	<b>\$ xxx,xxx</b>
		<b>Phase 2 – Business Requirements</b>	
	4	Requirements Specification Document	\$ xx,xxx
	5	Detailed Design Document	\$ xx,xxx
	6	Workflow and Procedural Specification Doc	\$ xx,xxx
	7	System Test Plan	\$ xx,xxx
	8	Technical Architecture Capacity Document	\$ xx,xxx
	9	Database Design Document	\$ xx,xxx
		<b>Total Phase 2</b>	<b>\$ xxx,xxx</b>
		<b>Phase 3 - System Development</b>	
	10	Module Design and build	\$ xxx,xxx
	11	Unit Test Results Document	\$ xx,xxx
	12	System Test Results Document	\$ xx,xxx
	13	Product Rollout Certification	\$ xx,xxx
		<b>Total Phase 3</b>	<b>\$ xxx,xxx</b>
		<b>Phase 4 - Training</b>	
	14	Training Plan	\$ xx,xxx
	15	User Training Material	\$ xx,xxx
	16	Technical Training Material	\$ x,xxx
		<b>Total Phase 4</b>	<b>\$ xx,xxx</b>
		<b>Phase 5 – Data Conversion</b>	
	17	Migrate, Convert and Test Legacy Data	\$ xxx,xxx
		<b>Total Phase 5</b>	<b>\$ xxx,xxx</b>

COST TABLE WORKSHEET

8.6 PROJECT IMPLEMENTATION SCHEDULE COST TABLE WORKSHEET (cont)

**Vendors are to modify the content of this SAMPLE Project Implementation Schedule Cost Table Worksheet to define the vendor's proposal.**

Date	Deliverable Number	Deliverable Description	Cost
		<b>Phase 6 --Documentation</b>	
	18	User Manual	\$ xx,xxx
	19	Quick Reference Card	\$ x,xxx
	20	Operations Documentation	\$ x,xxx
	21	System Documentation	\$ x,xxx
	22	System Transition Plan	\$ xxx,xxx
		<b>Total Phase 6</b>	<b>\$ xx,xxx</b>
		<b>Phase 7 – Transition (Vendor System Testing)</b>	
	23	Certification that Production Environment is Ready	\$ xx,xxx
	24	Certification that the product rollout is complete	\$ xx,xxx
	25	Certification of System Turnover	\$ xx,xxx
	26	Certification of System Modification Implemented	\$ xx,xxx
		<b>Total Phase 7</b>	<b>\$ xx,xxx</b>
		<b>Phase 8 – System Acceptance Evaluation</b>	
	27	365 Days in Production, Error Free	N/C
		<b>Total Phase 8</b>	<b>N/C</b>
		<b>Holdback Released for Phases 1-8</b>	
		<b>Phase 9 - RFP Warranty Support</b>	
	28	Warranty Period (No Charge)	N/C
		<b>Total Phase 9</b>	<b>N/C</b>
		<b>Phase 10 – System Enhancements and Support</b>	
	29	Post Warranty Enhancements – Year 1	\$ xxx,xxx
	30	Post Warranty Enhancements – Year 2	\$ xxx,xxx
	31	Post Warranty Enhancements – Year 3	\$ xxx,xxx
	32	Post Warranty Enhancements – Year 4	\$ xxx,xxx
	33	Post Warranty Enhancements – Year 5?	\$ xxx,xxx
		<b>Total Phase 10</b>	<b>\$ xxx,xxx</b>
		<b>Totals</b>	<b>\$xxx,xxx</b>

**ATTACHMENT 4**  
**VENDOR PROPOSAL VALIDATION AND AUTHENTICATION STATEMENT**

Vendor Organization: \_\_\_\_\_

The person responsible for the validation of your proposal must fully complete and sign this statement where indicated and attach it to your company's response to the RFP. By doing so, the signer attests that the given proposal represents:

1. Full and unconditional acceptance of all stipulated administrative requirements of RFP 990-A-23-7055-C
2. Complete and valid information as of the proposal due date
3. Product, price and term offerings that are valid until such date as the State is specifically notified otherwise, but not less than Ninety (90) days from the proposal due date.
4. A "best effort" by the company to comply with all State requirements regarding proposal contents and formats.
5. The State's Agreements, (RFP 990-A-23-7055-C Attachments) are acceptable to your company.

Validating Official: \_\_\_\_\_  
Signature Printed Name and Title

By countersigning this proposal, I confirm that this proposal constitutes a complete, authentic and bona-fide offer to the State of Connecticut which \_\_\_\_\_  
(name of entity)

is fully prepared to implement as described. The company official who validated this proposal was authorized to represent the company in that capacity on the date of his/her signature.

Authenticating  
Official: \_\_\_\_\_  
Signature Printed Name and Title

**NOTE: Any modifications to this form will subject the vendor's proposal to the risk of being deemed a "contingent" proposal, thus subject to rejection by the State.**

**ATTACHMENT 5  
INFORMATION PROCESSING SYSTEMS AGREEMENT(S)**

[Attachment 5 - CVISN RFP.doc](#)

This Information Processing Systems Agreement, entered into this \_\_\_\_\_ day of \_\_\_\_\_, 2001, in East Hartford, Connecticut, hereinafter referred to as the "Agreement" or "contract" is made by and between the State of Connecticut, acting by its Department of Information Technology/Contracts & Purchasing Division, hereinafter referred to as the "Customer," located at 101 East River Drive, East Hartford, CT 06108, and \_\_\_\_\_, hereinafter referred to as the "Supplier" or "contractor," having its principal place of business at \_\_\_\_\_.

Where contracting agency is referred to in this Agreement, it is understood to be the Department of Information Technology.

The terms and conditions of this Agreement are contained in the following sections:

<u>SECTION</u>	<u>TITLE</u>	<u>PAGE</u>
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2.	DEFINITIONS .....	2
3.	ACQUIRING PRODUCTS .....	3
4.	RFP PROJECT ADMINISTRATOR .....	4
5.	CHANGE ORDERS .....	5
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8.	PAYMENTS & CREDITS .....	7
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13.	PATENT, COPYRIGHT, LICENSE & PROPRIETARY RIGHTS .....	12
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The parties hereto do hereby agree as follows:

## 1. TERM OF AGREEMENT

a. This Agreement shall become effective in accordance with the provisions of Section 32. APPROVAL OF AGREEMENT and shall continue until terminated by either party upon ninety (90) days' prior written notification to the other party, except that such termination may not be effected so long as this Agreement applies to any Attachment (described in Section 3. ACQUIRING PRODUCTS).

b. If notification of termination is received from Supplier, Customer agrees to no longer issue Letter Order(s) (defined in Section 2. DEFINITIONS) for any additional Products (defined in Section 2. DEFINITIONS) or associated services under the terms and conditions of this Agreement.

## 2. DEFINITIONS

a. "Alterations" as used herein, shall mean modifications made by Customer or Department to any installed Product thereby making such Product not in conformance with Supplier design and/or operation specifications.

b. "Department" as used herein, shall mean the Department of \_\_\_\_\_.

c. "Improvements" as used herein, shall mean Supplier changes made to Products from time to time either to provide additional functions for Department use or to correct errors and other performance deficiencies noted by a Department and reported to Supplier.

d. "RFP" as used herein, shall mean the Request For Proposal No.990-A-23-7055C issued by the Department of Information Technology on February 9, 2001, concerning the CVISN and PRISM Projects, Information Systems and Consultant Services.

e. "Letter Order" as used herein, shall mean a document issued by the Customer's Contracts & Purchasing Division on behalf of a Department for one or more Products in accordance with the terms and conditions of this Agreement. Any such Letter Order must be accompanied by a Department Purchase Order or Purchase Order Amendment, as applicable, and be accepted by the Supplier.

f. "Product" as used herein, shall mean any Supplier furnished operating firmware, Software license, custom developed or enhanced computer software configured and interconnected as a System capable of being operated to process information in accordance with the RFP. Product shall further mean any associated maintenance, training, other associated services, along with all related materials, documentation, and information received by Department from Supplier that is specified in any Customer Letter Order.

g. "System" as used herein, shall mean Supplier furnished license software and other computer program(s) that resides on and instructs or controls the Department's processing unit (PU), or multiple interconnected processing units, to produce reports, other outputs, and provides the Department meaningful use of the System in accordance with the RFP.

h. "Designated PU" as used herein, shall mean any processing unit (PU) or attached processor (AP) complex, including associated peripheral units, specified in the Attachment. The Attachment may designate more than one PU for either different Sites or Site(s) with multiple interconnected PU's.

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i. "Product Schedule" as used herein, which is attached to this Agreement, shall mean that document which establishes the Products, licensing period(s), System maintenance and support, training, other services and associated pricing then available to Department under the provisions of this Agreement.

j. "Project Implementation Summary" as used herein, which is attached to this Agreement, shall mean that document which itemizes milestone periods, tasks, and deliverables where checkpoints are to be taken to assure the Department that the development, implementation, and maintenance of \_\_\_\_\_ is proceeding according to schedule.

k. "Project Implementation Schedule" as used herein, which is attached to this Agreement, shall mean that document which further defines the tasks and associated deliverables of the Project Implementation Summary and may be recognized for the purpose of payment to the Supplier.

l. "Site" as used herein, shall mean a location of a computer system or systems consisting of one processing unit (PU) or multiple interconnected processing units.

m. "Specifications" as used herein, shall mean the Supplier's published technical and nontechnical detailed descriptions of a Product's capabilities and/or intended use.

n. "PPM" (Prime Period Maintenance) as used herein, shall mean maintenance services and/or technical support performed between 8:00 AM and 5:00 PM Monday through Friday, exclusive of published Customer holidays. Maintenance services and/or technical support performed during any other time is hereinafter referred to as "Non-PPM" (Non-Prime Period Maintenance).

n. "RFP Warranty Period" as used herein, shall mean the twelve (12) months following acceptance of the System by the Department.

3. ACQUIRING PRODUCTS

a. Subject to the terms and conditions of this Agreement Supplier shall sell, transfer, convey and/or license to the Department any Product and to furnish to Department any associated service or Product then available in the Product Schedule that are listed in the Letter Orders, issued by the Contracts & Purchasing Division.

b. Any Letter Order that has been accepted by the Supplier shall be immediately attached to this Agreement and shall remain attached until such time as any and all Products, licenses and associated services listed in the Letter Order have been terminated. During the period of attachment, the Letter Order shall be known as an "Attachment" and shall hereinafter be referred to as such.

c. Supplier may supplement the Product Schedule at any time to make additional Products, services and related terms available to the Customer, provided that the effective date of each supplement is stated thereon. Any supplement must be transmitted to the Customer with a cover letter, documenting formal approval of the supplement by a Supplier representative then legally empowered to so act.

d. Upon Customer receipt of ninety (90) calendar days' prior written notice, Supplier may update any Product Schedule pricing by amending the Product Schedule effective July 1 of any State of Connecticut fiscal year, provided: (1) the Product Schedule amendment is transmitted and approved in the same manner as described for supplements in Subsection 3.c., (2) no Product license, or related service, rate is increased within the first year of the Product license or service, and (3) any such resultant price increase shall not exceed five percent (5%) in any State of Connecticut fiscal year. In no case shall any such increase exceed Supplier's published prices then applicable to local governments and other states. Customer shall provide Supplier written acknowledgement, for Supplier's records, of such received amendment.

e. Products ordered prior to the effective date of any Product Schedule pricing increase shall enjoy protection from rate increase during their initial terms.

f. Supplier shall provide Customer with a discount on any Product Schedule pricing according to Supplier's discount policy in effect when a Letter Order is placed or according to the discount shown on the Product Schedule, whichever is greater.

g. The Department is authorized to use any license software Product to develop and/or enhance said Department's systems, only in the pursuit of its own business interests, on any designated PU specified in a Letter Order and for no other purpose. Any such license shall be nonexclusive and nontransferable. The Department agrees that it shall use its best efforts to prohibit any Product license use in a manner, whether directly or indirectly, which would enable the Department's users to use the Product on any other PU.

h. Notwithstanding the foregoing restrictions on use, the Department may use the license software Product on another PU or Site in the following circumstances:

- 1) If the Department determines that a designated PU or Site cannot be used because of equipment or software inoperability, or initiation of a disaster recovery test or a disaster recovery event.
- 2) If the Department designated PU is replaced by a Department, said Department may designate a successor PU and use the Product on that PU. Prior to such other use, Department shall give Supplier written notice of such intended use and such other use shall be subject to Supplier's written consent. Such consent shall not be unreasonably withheld or delayed.
- 3) If the Department designated PU is removed to another location, a Department may move any license software Product and supporting materials to that location which physically replaces the original location. Prior to moving of such Product and supporting materials, said Department shall give Supplier written notice of such intended movement and such movement shall be subject to Supplier's written consent. Such consent shall not be unreasonably withheld or delayed.

i. Department may make a maximum of five (5) copies of each license software Product and a maximum of five (5) copies of the user manuals/documentation and supporting materials for each such license software Product. The Department shall maintain an accurate record of the location of such copies at all time and such record shall be available to Supplier. All such copies shall be subject to the terms and conditions of this Agreement.

#### 4. RFP PROJECT ADMINISTRATOR

a. The Commissioner of the Department of \_\_\_\_\_, hereinafter "Commissioner," hereby designates \_\_\_\_\_ as the RFP Project Administrator, who shall be replaced at the sole discretion of the Commissioner. The RFP Project Administrator shall be the sole authority to act for the Department under this Agreement, solely for any Product(s) initially acquired/installed from Request For Proposal No. \_\_\_\_\_ and such sole authority shall continue to be in effect until successful completion of the RFP Warranty Period. Whenever the Department is required, by terms of this Agreement to provide written notice to the Supplier, such notice must be signed by the RFP Project Administrator or, in that individual's absence or inability to act, such notice shall be signed by the Commissioner.

b. The milestones and deliverables that are defined in the Project Implementation Schedule will be recognized for the purposes of RFP payment to the Supplier. For each of these milestones and all associated deliverables, the Supplier will submit a standard State invoice, CO-17 "INVOICE – VOUCHER FOR GOODS OR SERVICES RENDERED TO THE STATE OF CONNECTICUT", along with a copy of the Department's "Notice of Acceptance" letter for that milestone and all associated deliverables to the RFP Project Administrator.

c. Any additions to or reductions in the deliverables and prices for work completed in the performance of the Project Implementation Schedule must be executed according to the provisions of Section 5. CHANGE ORDERS.

#### 5. CHANGE ORDERS

a. The Department may at any time, with written notice to Supplier, request changes within the general scope of the Project Implementation Schedule. Such changes shall not be unreasonably denied or delayed by Supplier. Such changes may include modification in the functional requirements and processing procedures. Other changes might involve the correction of system deficiencies after the operations phase has begun, or other changes specifically required by new or amended State laws and regulations. Any corrections, changes, modification or other alterations of or to the Product(s) shall be made by Supplier, without charge to the Department or Customer prior to successful completion of the RFP Warranty Period, due to System deficiencies or if the System does not fully perform in accordance with this Agreement and the RFP. Any investigation necessary to determine the source of the problem requiring the change shall be done by Supplier at Supplier's sole cost and expense.

b. The written change order request shall be issued by the Department. As soon as possible after Supplier receives a written change order request, but in no event later than fifteen (15) calendar days thereafter, the Supplier shall provide the Department with a written statement that the change has no price impact on the Supplier or that there is a price impact, in which case the statement shall include a description of the price increase or decrease involved in implementing the change. The cost or credit to the Department resulting in a change in the work shall specify the total cost by the number of staff-hours (Labor Category) times the applicable hourly rate as specified within the Product Schedule.

c. No change order shall become effective nor shall there be any change in the Project Implementation Schedule until Supplier's receipt of an applicable Letter Order with an accompanying Purchase Order (CO-94) or Purchase Order Change Notice (CO-95). No employee, officer, or representative of the Department, including the Department RFP Project Administrator, or the Supplier

shall circumvent the intent of this section.

#### 6. DELIVERY, INSTALLATION & DEINSTALLATION

a. Department shall undertake at its own expense to prepare and make available any PU for installation of any Product in accordance with Supplier-furnished Specifications.

b. Supplier represents and warrants that it shall complete installation of the System in accordance with the Project Implementation Summary and Product Implementation Schedule.

c. Department ordered deinstallation, relocation and reinstallation of any Product previously installed at a Department site or the Department's designated site shall be at Department's expense according to Supplier's prices then in effect for such services

#### 7. PRODUCT EVALUATION & ACCEPTANCE

a. Except as may be stipulated within Section 4. RFP PROJECT ADMINISTRATOR, any Product furnished by Supplier under the terms of this Agreement shall be subject to an evaluation and acceptance period at the Department installation site. For a Product installed by Supplier, said period shall commence on the Department work day next following written Supplier notification to the Department that the Product is installed and ready to undergo evaluation and acceptance testing, defined as follows:

1) For the release of a Product that has not previously undergone evaluation and acceptance testing, the evaluation and acceptance period shall be thirty (30) contiguous days.

2) For the release of a Product which has previously undergone Product evaluation and acceptance testing as required in 7.a.1) above, the evaluation and acceptance period shall be five (5) consecutive Customer business days.

The applicable evaluation and test period of Product performance and Supplier service must satisfy Customer criteria specified in Section 9. MAINTENANCE & SUPPORT and Section 12. WARRANTIES. For a Product installed by a Department, said period shall commence on the Department work day next following receipt of the Product by said Department.

b. One thirty (30) day or five (5) day, as applicable, evaluation and acceptance period need not expire before another thirty (30) day or five (5) day, as applicable, evaluation and acceptance period begins. Should any Product or associated service fail to be satisfactory as specified in Subsection 7.a., the evaluation and acceptance period then shall be immediately reinitiated.

c. Successful completion of the Product evaluation and acceptance period shall be determined by Department and verified on Customer Form SDP-6 "Data Processing Installation/Removal." The license shall be effective commencing on the Customer's SDP-6 "Acceptance Date" which shall be considered to be the first day of the successful Product evaluation and acceptance period. If the Department fails to notify the Supplier within five (5) days after the completion of a successful evaluation and test period, the Supplier may consider that the Product undergoing evaluation and testing has been accepted by said Department. The Department agrees to complete any required Supplier acceptance certificate.

d. If the Department does not accept any Product within sixty (60) days of installation, due to the Product or associated service failure to be satisfactory as specified in Subsection 7.a., department may

then release the Product to Supplier and be relieved of all financial obligations therefor.

e. Notwithstanding Subsection 7.c., any Product acquired from an RFP, the "Acceptance Date" shall mean the first day of the successful System evaluation and acceptance period.

## 8. PAYMENTS & CREDITS

a. The Department shall pay any Product, Product license or associated service charges shown in each Attachment promptly after receipt of the Supplier invoice applicable to the calendar month or other period during which Supplier has the obligation to provide the Product or service to the Department (hereinafter referred to as the "Due Date"). Any such charges for a partial month or period shall be prorated. Charges for licenses shall apply starting with the relevant Acceptance Date; charges for associated services shall apply starting with the relevant dates specified in the pertinent Attachments.

b. Payment of said Supplier charges for any such license term shall entitle the Department to use the license Product, free of any usage charges, at the Department's convenience at any time during said term, excluding the time required for maintenance and support.

c. Supplier may assign any license payments (but not any associated service payments), in whole or in part, upon prior written notice to the Department and compliance with the requirements of the State's Comptroller's Office concerning such assignments. Notwithstanding any such assignment, Supplier agrees that the Department shall quietly have and enjoy use of the license Product, free of any repossession or any claims by Supplier or its successors and assigns, subject to the terms and conditions of this Agreement, provided the Department is not in default hereunder. No Product assignment by Supplier shall relieve Supplier of any obligations under this Agreement without prior written Department consent in each such instance.

d. The Department shall be liable to Supplier for a charge for an item that is not listed on the Product Schedule only if the related order has been placed by an authorized representative of Customer. Any Supplier time and materials charge shall reflect only reasonable expenditures actually incurred by Supplier in rendering Department services at the Product installation site.

e. Supplier shall furnish separate invoices for each Letter Order; and each Product, license charge, maintenance and support charge or other charge shall be included as separate line items on such invoices.

f. When the license term specified in the Attachment is less than perpetual, all charges for maintenance and support are included in the periodic license fee.

g. Where the license term specified in the Attachment is perpetual, charges for maintenance and support are as follows:

1) If the license fee specified in the Attachment is payable in periodic payments, there shall be no additional charge for maintenance and support during the period for which such periodic payments are payable.

2) If the license fee specified in the Attachment is payable in one lump sum, there shall be no charge for maintenance and support during the twelve (12) months following the Product Acceptance Date, or during the RFP Warranty Period if applicable.

3) For the year after the period for which periodic payments are payable, or twelve (12) months after the Product Acceptance Date or immediately after the RFP Warranty Period if applicable, as the case may be, Supplier shall continue to provide the Department with maintenance and support services provided the Department elects to pay Supplier the applicable maintenance and support charges then in effect.

4) For each subsequent year, Supplier's obligation to provide maintenance and support services and Department's obligation to pay the maintenance and support charges then in effect shall be deemed to be automatically renewed unless cancelled in writing by Customer at least thirty (30) days prior to such renewal date.

h. It shall be the responsibility of the Department to pay any charges due hereunder within forty-five days after the acceptance of the applicable Software and Documentation or services being rendered, as applicable, after having received the Supplier invoice.

i. Failure by a Department to make payment within the forty-five (45) day period after which services have been rendered and an undisputed invoice provided shall not constitute a default or breach, but rather, shall entitle Supplier to receive interest on the undisputed amount outstanding after said forty-five (45) days in accordance with State of Connecticut statutes.

j. Notwithstanding this Section 8., whenever Product(s), Product license(s), or associated services specified in the applicable Attachment is resultant of an RFP, payments to Supplier shall be as follows:

- 1) The Department shall pay Supplier within forty-five (45) days after the period for which Project Implementation Schedule deliverables have been accepted by the Department and an applicable invoice received. In regard to the Product Schedule, charges for \_\_\_\_\_ shall be billable based upon their applicable lump sum charges. Charges for all other services shall be based upon actual billable time incurred for such deliverables, however, such charges shall not exceed the associated "not-to-exceed cost" in accordance with the Product Implementation Schedule.
- 2) There shall be a thirty percent (30%) holdback from the monies that are due for each such deliverable accepted by the Department.
- 3) Upon successful completion of the System evaluation and acceptance period, determined by the Department and verified on Customer Form SDP-6, Department shall pay Supplier one-half of the holdback monies.
- 4) Upon successful completion of the RFP Warranty Period the remaining one-half of the holdback monies will be paid to the Supplier.

## 9. MAINTENANCE & SUPPORT

a. After acceptance of any Product by the Department and subject to the terms, conditions, and charges set forth in this Agreement, Supplier represents and warrants that maintenance and support services for any Product shall be provided to the Department as follows:

- 1) Supplier shall provide such reasonable and competent assistance as necessary to cause the Product to perform in accordance with applicable portions of the Specifications; and

2) Supplier shall provide Improvements which may be available to Supplier to any Product; and

3) Supplier shall update any license Product, if and as required, to cause it to operate under new versions or releases of the operating system(s) specified in the Attachment.

b. Supplier shall provide maintenance and support services on an annual basis. Such maintenance and support services shall automatically renew for successive twelve (12) month periods unless thirty (30) days' prior written notice of termination is provided to the Supplier by the Department before the end of the initial term or any renewal term.

c. Supplier shall maintain sufficient and competent Product support services staff, replacement products and ancillary products to satisfy the Supplier obligations specified herein for any Product.

d. Supplier shall have full and free access to any Product to provide required services thereon.

e. If any license Product becomes not usable due to the computer manufacturer's release and the installation of (1) a new PU operating system or (2) an updated version of the present PU operating system or (3) a change to the present PU operating system and the Supplier is unable to provide changes to the Product to cause it to operate according to Specifications within thirty (30) days of written notification by the Department to Supplier of such failure to operate, any such Product so affected shall have its paid maintenance and support period, periodic-payment license period or limited term license period extended an additional period of time equal to the period of time the Product was not usable. If, after the expiration of thirty (30) days from the date of said notification, the Product remains not usable, then the applicable license may be terminated at the option of said Department without further obligation or liability.

f. Supplier shall typically respond to the Department's telephone requests for technical support relative to any installed Product within two (2) hours of such requests during Department weekday working hours (8:00 A.M. to 5:00 P.M. Eastern Time and any additional hours covered by this Agreement). Failure to provide reasonable and competent telephone assistance, the Customer's sole determination, within the two (2) hour period shall entitle said Department to either credit or reimbursement against the applicable Product invoice in regard to a nonperpetual license in the amount of ten percent (10%) of the Supplier's current license fee for each succeeding two (2) hour period that said reasonable and competent assistance is not provided by Supplier. For a perpetual license or other software Product, the amount shall be 1/6 times the related Product Schedule annual maintenance and support charge, or two (2) times the related Product Schedule monthly maintenance and support charge, as the case may be, whether payable or not by a Department, for each succeeding two (2) hour period that said reasonable and competent assistance is not provided by Supplier.

## 10. RELIABILITY

a. The reliability, at any point in time, of the System shall be determined by the System's operational capability for productive Department use as configured and installed within the Department's operating environment. Continued acceptability of such System performance reliability shall be based on the Department's experienced rate of recoverable and nonrecoverable System operating errors or failures that preclude productive Department use of said System according to the applicable RFP and Supplier operating specifications.

b. The required reliability (Computed % Reliability) for the System during any calendar month is ninety-nine percent (99%) uptime availability for aforesaid productive Department use, computed as follows:

$$\text{Computed \% Reliability} = \frac{(\text{Available-Time-per-Month}) - (\text{Downtime-per-Month})}{(\text{Available-Time-per-Month})}$$

with Available-Time-per-Month equated to one hundred eighty (180) hours, which shall be deemed to correspond to PPM during each calendar month (plus any additional hours of said System use by Department during said month wherein those hours are covered by this Agreement), and Downtime-per-Month equated to those hours of Available-Time-per-Month during which the Department or any specific site is precluded from aforesaid productive System use.

EXAMPLE:

Given: Available-Time-per-Month was 180 hours.  
Downtime-per-Month was 1.80 hours.

$$\frac{(180 - 1.80)}{180}$$

Then: Computed % Reliability for a specific site = 99%

c. A given instance of System downtime shall start after receipt by the Supplier of a bona fide Department service request to remedy any operational System deviation, error, or failure condition(s), and end with documented proof by Supplier to the Department that such System status has been fully restored to the applicable RFP and Supplier's operational specifications and made ready for productive Department use. However, the calculated time period of a given such instance of System downtime shall exclude the following periods: (1) any nonproductive System use time caused by the Department or the Department's authorized third party; (2) any non-productive System use time during Non-PPM, unless Department orders its maintenance during Non-PPM at the then applicable additional charges for such service; and (3) any time during which the Department fails to make the System available for Supplier's remedial service.

## 11. RFP SYSTEM WARRANTIES

a. Supplier represents and warrants that the Products and System shall conform to the terms and conditions of this Agreement, the issued RFP and Supplier's proposal, and be free from defects in material and workmanship upon acceptance of the System by the Department and for a minimum period of the RFP Warranty Period. During this RFP Warranty Period, all Products and the System shall function according to this Agreement, the RFP and Supplier's provided documentation. Supplier shall modify, adjust, repair and/or replace such Product(s) as necessary, at no charge to the Department, to maintain ongoing System and Product reliability according to Section 9. MAINTENANCE & SUPPORT and Section 10. RELIABILITY.

b. If the ongoing performance of Supplier maintenance and support of the System or if any Product of the System does not conform to Section 9. MAINTENANCE & SUPPORT and Section 10. RELIABILITY, the Department shall give Supplier written notice of performance deficiencies. Supplier shall then have not more than a thirty (30) calendar day period to correct the applicable Product or service deficiency and restore the functioning of the Product and System to a level of operation that meets or exceeds the terms of this Agreement, the RFP and Supplier's proposal specifications. If during this period such Product or System performance, or service level, continues to fail to meet these specifications, then the Supplier shall be in material default of this Agreement.

c. In addition to as may be otherwise provided in this Agreement, any material default by the Supplier during the RFP Warranty Period, the Customer may, by written notice to Supplier shall reimburse Department of all monies paid by Department to Supplier under this Agreement.

## 12. WARRANTIES

a. Supplier hereby warrants its ownership and/or marketing rights to the license software Products. Unless stated otherwise in an Attachment, Supplier hereby warrants that a Product installed by Supplier, or installed by the Department in accordance with Supplier's instructions, shall function according to the Specifications on the Acceptance Date for such Product and Supplier shall modify and/or replace such Product as necessary to maintain ongoing Product reliability according to Section 9. MAINTENANCE & SUPPORT. This latter warranty shall not apply to any Product deficiency caused by maintenance by a person other than the Supplier or its representative.

b. If the ongoing performance of a Product does not conform to the Section 9. MAINTENANCE & SUPPORT provisions of this Agreement, the Department shall give Supplier written notice of performance deficiencies. Supplier shall then have not more than a ten (10) calendar day cumulative cure period per twelve (12) month period to correct such deficiencies. If the cumulative number of days in a twelve (12) month period is exceeded, and said performance continues to be in nonconformance with said Section 9., the Supplier shall be in material default of this Agreement and the Customer at its option may thereupon:

- 1) in addition to the options listed below, if during the RFP Warranty Period, terminate this Agreement in accordance with Subsection 11.c.
- 2) request Supplier to replace said Product or service resource at Supplier's expense with a functional Product or competent service.
- 3) terminate the Product license or service without Department penalty, further obligation or financial liability. In the event of such Product license termination, the Department shall be entitled to a refund according to the following schedule:

Termination of a lump-sum payment perpetual license

Period license of terminated Product has been in effect starting with Acceptance Date:

1st - 12th month - 75% of license fee paid to be refunded

13th - 24th month - 50% of license fee paid to be refunded

25th - 36th month - 25% of license fee paid to be refunded

37th month and over - No refund

Termination of associated services or a periodic payment license or a lump-sum payment nonperpetual license

All fees paid by the Department applicable to the period following default shall be refunded to the Department.

c. The Supplier neither excludes nor modifies the implied warranties of merchantability and fitness for a particular purpose concerning the Products and services offered under the terms and conditions of this Agreement.

### 13. PATENT, COPYRIGHT, LICENSE & PROPRIETARY RIGHTS

a. Supplier hereby grants the Department, at no additional cost, rights to copy and modify and use any patented, copyrighted, licensed or proprietary software Product solely in the pursuit of its own business interests. The Department shall promptly affix to any such copy a reproduction of the patent, copyright, license or proprietary rights information notice affixed to the original Product. The Department shall maintain the confidentiality of any such license software Product consistent with its privileged nature, and shall not divulge the license software Product or make it available to any third party, except as may be noted elsewhere in this Agreement. This obligation survives termination of this Agreement.

b. Supplier agrees to indemnify, hold harmless and defend the Customer and any Department from and against any patent, copyright, license or proprietary rights infringement claim or proceeding pertaining to Department use of any Product, except where the Department modifies or adapts the license Product without Supplier consent. Supplier agrees to satisfy any final award arising from any said claim or proceeding. Customer or the Department agrees to give Supplier prompt written notice of any impending said claim or proceeding, and agrees to Supplier's right to conduct any defense thereof.

c. In the event any license software Product becomes the actual or prospective subject of any said claim or proceeding, Supplier may, at its discretion: (1) modify the Product or substitute another equally suitable Product (providing such alternative does not degrade the Department's Product dependent performance capability), or (2) obtain for said Department the right to continued Product use, or (3) if Product use is prevented by injunction, take back the Product and credit the Department for any charges unearned as a result of enjoined use as follows:

1) Where the license specified in the applicable Attachment is less than perpetual, Supplier shall promptly refund the Department the amount of the fees paid for the portion of the applicable term found to be infringing.

2) Where the license specified in the applicable Attachment is perpetual:

a) Periodic Payment License. Supplier shall promptly refund the Department the amount of the fees paid for the portion of the applicable term found to be infringing.

b) Lump-Sum Payment License. Supplier shall promptly refund the Department any Product maintenance and support charges paid by the Department applicable to the infringement period plus a sum computed as follows:

Period license of infringing Product has been in effect starting with Acceptance Date:

1st - 12th month – 100% of license fee paid

13th - 24th month - 75% of license fee paid

25th - 36th month - 50% of license fee paid

37th month and over- 25% of license fee paid

d. Supplier shall have no liability for any infringement claim or proceeding based on the Department's use of a license software Product for which it was neither designed nor intended and Supplier has provided written notification to said Department of such inappropriate use.

14. CONFIDENTIALITY; NONDISCLOSURE

a. The Department shall exercise at least the same degree of care to safeguard any license software Product as the Department does its own property of a similar nature and shall take reasonable steps to assure that neither the license software Product nor any part thereof received by Department under this Agreement shall be disclosed for other than its own business interests. Such prohibition on disclosures shall not apply to disclosures by the Department to its employees or its representatives, provided such disclosures are reasonably necessary to Department's use of the Product, and provided further that Department shall take all reasonable steps to insure that the Product is not disclosed by such parties in contravention of this Agreement.

b. The Department shall use any license software Product only in the pursuit of its own business interests. Customer shall not sell, lease, license or otherwise transfer with or without consideration, any such Product to any third party (other than those nondesignated third parties that have need to know and agree to abide by the terms of this Section 14.) or permit any third party to reproduce or copy or otherwise use such Product. Customer will not create derivative works, translate, reverse engineer or decompile the software Product, in whole or in part, nor create or attempt to create, by reverse engineering or disassembling of the design, algorithms or other proprietary trade secrets of the license software Product.

c. Supplier hereby agrees that:

1) All Department information exposed or made available to Supplier or its representatives is to be considered confidential and handled as such.

2) Any such Department information is not to be removed, altered, or disclosed to others in whole or in part by Supplier and its representatives.

3) Department security procedures shall be adhered to.

It is expressly understood and agreed that the obligations of this Section 14. shall survive the termination of this Agreement.

#### 15. PRODUCT REPLACEMENTS & UPGRADES

a. Customer may order replacement of any license software Product with any other license software Product then available to Customer. Supplier shall provide Customer with a discount or credit according to Supplier's policy then in effect or according to the credit shown below, whichever is greater:

1) Replacement Product that was provided under a lump sum payment perpetual license

Period license of replaced Product has been in effect starting with Acceptance Date:

1st - 12th month - 75% of license fee paid shall be credited toward fee for Replacement Product

13th - 24th month - 50% of license fee paid shall be credited toward fee for Replacement Product

25th - 36th month - 25% of license fee paid shall be credited toward fee for Replacement Product

37th month and over - No credit toward fee for Replacement Product

2) Replaced Product that was provided under a periodic payment license

License fee payments for a replaced Product shall terminate on the Acceptance Date of the replacement Product.

3) Replaced Product that was provided under a lump-sum payment nonperpetual license

There shall be a prorata adjustment of the license fee payment for a replaced Product as of the Acceptance Date of the replacement Product.

The license fee for any replacement Product applies commencing on the Acceptance Date of such Product.

b. Supplier shall keep current any installed license software Product throughout its license term by delivering, at no cost or expense to a Department, the most current release of said Product to the Department, provided that said Department has paid or will pay the most recent applicable annual maintenance charges.

## 16. RISK OF LOSS & INSURANCE

a. The Department shall not be liable to Supplier for any risk of Product loss or damage while Product is in transit to or from a Department installation site, or while in a Department's possession, except when such loss or damage is due directly to Department gross negligence.

b. In the event Supplier employees or agents enter premises occupied by or under control of Department in the performance of their responsibilities, Supplier shall indemnify and hold said Department harmless from and defend it against any loss, cost, damage, expense or liability by reason of tangible property damage or personal injury, of any nature or any kind, caused by the performance or act of commission or omission of said employees or agents. Without limiting the foregoing, Supplier shall maintain public liability and property damage insurance within reasonable limits covering the obligations contained herein, and shall maintain proper workers' compensation insurance in accordance with Section 31. WORKERS' COMPENSATION.

## 17. PRODUCT ALTERATIONS

a. Alterations of any license software Product may be made only with the prior written consent of Supplier. Such consent shall not be unreasonably withheld or delayed.

b. If any Product alteration interferes with the normal and satisfactory operation or maintenance and support of any Product, or increases substantially the costs of maintenance and support thereof, or creates a safety hazard, the Department, upon receipt of written notice from Supplier, shall promptly restore the Product to its prealtered condition.

c. Any Alteration of a Product by the Department without written consent of Supplier shall void the obligations of Supplier under Section 9. MAINTENANCE & SUPPORT for the Product. Supplier shall indicate in any written consent which parts of the Product being altered will continue to be subject to Section 9. MAINTENANCE & SUPPORT and which will not.

## 18. LIMITATION OF LIABILITY

In no event shall either party be liable for special, indirect or consequential damages except as may otherwise be provided for in this Agreement. Supplier shall indemnify, defend and hold harmless the Department and Customer from and against all: (1) actions, suits, claims, investigations or legal or administrative or arbitration proceedings pending or threatened, whether at law or in equity in any forum (collectively, "Claims") arising, directly or indirectly, in connection with this Agreement including, but not limited to, acts of commission or omission, (collectively, the "Acts") by the Supplier or any of its members, directors, officers, shareholders, representatives, agents, servants, consultants, employees or any other person or entity with whom the Supplier is in privity of oral or written contract (collectively, "Supplier Parties"); (2) liabilities arising, directly or indirectly, in connection with this Agreement, out of the Supplier's or Supplier Parties' Acts concerning its or their duties and obligations as set forth in this Agreement; and (3) damages, losses, costs and expenses, including but not limited to, attorneys' and other professionals' fees, that may arise out of such Claims and/or liabilities for bodily injury and/or property damage.

## 19. FORCE MAJEURE

Neither party shall be responsible for delays or failures in its obligations herein due to any cause beyond its reasonable control. Such causes shall include, but not be limited to, strikes, lockouts, riot, sabotage, rebellion, insurrection, acts of war or the public enemy, unavailable raw materials, telecommunication or power failure, fire, flood, earthquake, epidemics, natural disasters, and acts of God.

## 20. SOURCE CODE ESCROW

a. Supplier agrees to store during the term of this Agreement at a third party site a copy of the most current source code, and any documentation and written instructions required to interpret said source code, for all license software Products. Said third party site, source code, documentation and instructions will be affirmed to the Department in writing by Supplier within fourteen (14) days of a request of the Department. Supplier shall immediately arrange for the surrender of such source code, documentation and instructions to Department:

- 1) If Supplier becomes insolvent or commits any act of bankruptcy or makes a general assignment for the benefit of creditors;
- OR
- 2) If Supplier or its successors or assignees discontinues support of the Products for any reason

b. Supplier shall arrange so that the Department shall have the right at any time to contact the so identified third party and shall also arrange so the Department's audit personnel shall have full and free access to examine any such source code, documentation and written instructions, for the purposes of ascertaining the existence of the source code and related documentation and instructions and for the

verification of the continued validity of the instructions from the Supplier to the third party to release the source code, documentation and instructions to the Department under the circumstances specified in this section.

c. In no event shall a Department use the source code, documentation and written instructions for purposes other than satisfying Department needs. Title to any source code released to Customer in compliance with this Section 20. shall remain with Supplier and Customer shall continue to treat the released materials as valuable and proprietary trade secret information of Supplier in accordance with the terms of this Agreement, which terms shall expressly survive the termination or expiration of this Agreement. Customer agrees that any released source code shall be used solely for the business purposes of Department and shall not be disclosed to any third party pursuant to this Agreement.

## 21. TERMINATION OF AGREEMENT

This Section 21. TERMINATION OF AGREEMENT shall become effective upon approval of this Agreement and shall survive until successful completion of the RFP Warranty Period. During the time this Section 21. remains in force, this Agreement shall be subject to termination according to the following and as otherwise provided in this Agreement.

## a. Mutual Agreement

This Agreement may be terminated by mutual agreement, in writing, of the parties. The effective date of such termination and the responsibilities of the parties shall be set forth as a part of that Agreement.

## b. Default by the Supplier

The Customer may, by written notice to Supplier, signed by the RFP Project Administrator, terminate the Supplier's right to proceed under this Agreement if the Supplier:

1. Materially fails to perform the services within the time specified or any extension thereof; or
2. so fails to make progress as to materially endanger performance specified in this Agreement in accordance with its terms; or
3. otherwise fails to perform any other material provisions of this Agreement; provided, however, that in such event the Customer, through the RFP Project Administrator, shall give the Supplier at least thirty (30) days' prior written notice.

Termination for default at the option of the Customer shall be effective thirty (30) days after receipt of such notice, unless the Supplier corrected said failure(s) within thirty (30) days after receipt by the Supplier of such written notice. In the event of such Agreement termination, the Supplier shall reimburse Department of all monies paid by Department to Supplier under this Agreement and shall be liable to compensate the Department for any additional costs reasonably incurred by the Department in obtaining such services, provided that the failure to perform under this Agreement which results in termination pursuant to this Subsection 21.b. arises out of cause or causes other than those described in Section 19. FORCE MAJEURE.

## c. Termination by the RFP Project Administrator

The RFP Project Administrator, by thirty (30) days' prior written notice to the Supplier, may terminate performance of work under this Agreement, in whole or in part, when it is in the best interest of the Department to do so. In the event of such termination, the Department will compensate the Supplier for work performed prior to such termination date and for all reasonable costs to which the Supplier has, out of necessity, obligated itself as a result of this Agreement.

## 22. TERMINATION OF LETTER ORDERS

In addition to as otherwise may be provided in this Agreement, the Department may terminate early and without penalty, and without default on the part of the Supplier, any license or associated service on any Attachment by releasing Supplier from further responsibility to provide the Product or service, under the following conditions:

a. Termination in the Interest of Department

Upon thirty (30) days' prior written notice to Supplier, a Department may terminate any service and/or applicable Letter Order(s), in whole or in part, when it is in the best interest of the Department to do so. In the event such termination pertains to associated service, the Supplier will be compensated for all work performed prior to such termination date.

b. Lack of Continued Funding

Upon ninety (90) days' written notice to Supplier, a Department may terminate any Product license or associated service as of the first day of the period for which sufficient funds to meet its obligations under this Agreement are not appropriated or allocated. The Department shall pay any Product or service charges due prior to the nonfunded period. If the necessary funding becomes available within ninety (90) days of such termination, Department and Supplier agree to resume said license or associated service, upon such funding becoming available, under the terms applicable to such license or associated service just prior to termination, unless such resumption is mutually declined.

Upon the termination of any such Product license, the license and all other rights granted hereunder to the Department shall immediately cease, and said Department shall immediately upon receipt of written request from Supplier:

- 1) Return the Product to Supplier; and
- 2) Purge all copies of the Product or any portion thereof from all PU's and from any computer storage medium or device on which the Department has placed Product.

## 23. GENERAL PROVISIONS

a. Section headings and document titles used in this Agreement are included for convenience only and shall not be used in any substantive interpretation of this Agreement.

b. If any term or condition of this Agreement is decided by a proper authority to be invalid, the remaining provisions of the Agreement shall be unimpaired and the invalid provision shall be replaced by a provision which, being valid, comes closest to the intention underlying the invalid provision.

c. The terms of all Product and associated service offerings in this Agreement are equivalent to or better than those for comparable Supplier offerings to any other state or local government customer under like terms and conditions. If during the life of this Agreement Supplier provides more favorable terms for said offerings to another such customer, this Agreement shall thereupon be deemed amended to provide same to Customer.

d. The failure at any time by either party to this Agreement to require performance by the other party of any provision hereof shall not affect in any way the full right to require such performance at any time thereafter. The waiver by either party of a breach of any such provision shall not constitute a waiver of the provision itself, unless such a waiver is expressed in writing and signed by a duly authorized representative of the waiving party.

e. In any case where the consent or approval of either party is required to be obtained under this Agreement, such consent or approval shall not be unreasonably withheld or delayed. No such consent or approval shall be valid unless in writing and signed by a duly authorized representative of that party. Such consent or approval shall apply only to the given instance, and shall not be deemed to be a consent to, or approval of, any subsequent like act or inaction by either party.

f. This Agreement shall be deemed to have been made in the State of Connecticut and shall be governed in all respects by the laws of said State without giving effects to its conflicts of law provisions.

g. The Department agrees not to remove or destroy any proprietary markings or proprietary legends placed upon or contained within any license software Product.

h. Except as may be otherwise provided for in this Agreement, the Department shall not assign, mortgage, alter, relocate or give up possession of any license software Product without the prior written consent of Supplier.

i. If the Department desires to obtain a version of the license software Product that operates under an operating system not specified in the Attachment, Supplier shall provide Department with the appropriate version of the Product, if available, on a 60-day trial basis without additional charge, provided Department has paid all applicable maintenance and support charges then due. At the end of the 60-day trial period, a Department must elect one of the following three options:

1) Department may retain and continue to use the old version of the license Product and return the new version to Supplier and continue to pay the applicable license fee and maintenance and support charge for the old version;

OR

2) Department may retain and use the new version of the license Product and return the old version to Supplier, provided that any difference in the applicable license fee and maintenance and support charge for the new version and such fee and charge for the old version is paid or refunded to the appropriate party;

OR

3) Department may retain and use both versions of the license Product, provided Department pays Supplier the applicable license fees and maintenance and support charges for both versions of the Product.

j. Supplier covenants and agrees that it will not, without prior written consent from Customer, make any reference to Customer in any of Supplier's advertising or news releases.

k. Any product developed under this Agreement shall be the sole property of the Customer and the Customer shall have sole proprietary rights thereto.

l. Any forthcoming transactions against this Agreement shall be in accordance with applicable Connecticut statutes, if any, pertaining to the Department of Information Technology.

m. The following items are hereby incorporated into this Agreement by reference:

- 1) The RFP No.990-A-23-7055C issued on February 9, 2001
- 2) RFP Amendment #1, if issued during the procurement process
- 3) RFP Amendment #2, if issued during the procurement process
- 4) (name of vendor) Letter of Clarification, if requested during the procurement process
- 5) DOIT Letter of Request For Clarification to (vendor), if requested during the procurement process
- 6) Supplier proposal to said RFP dated April 26, 2001.

#### 24. ORDER OF PRECEDENCE

In the event of conflict of terms and conditions between or among the RFP, the Supplier proposal and this Agreement, the order of precedence is:

- 1) This Agreement (Reference No. B-00-010)
- 2) RFP Amendment #2, if issued during the procurement process
- 3) RFP Amendment #1, if issued during the procurement process
- 4) The RFP No. 990-A-23-7055C issued on February 9, 2001
- 5) (name of vendor) letter of Clarification, if requested during the procurement process
- 6) DOIT's Letter of Request For Clarification, if requested during the procurement process
- 7) Supplier proposal dated April 26, 2001 in response to the RFP No. 990-A-23-7055C

#### 25. YEAR 2000 COMPLIANCE

The contractor warrants that each hardware, software, and firmware product ("product") or each developed, modified or remediated item of hardware, software, firmware ("item") or each service delivered under this contract shall be able to:

- (1) accurately assess, present or process date/time data (including, but not limited to, management , manipulation, processing, comparing, sequencing and other use of date data, including single and multi-century formulae and leap years) from, into , and between the twentieth and twenty-first centuries, and the years 1999 and 2000 and leap year calculations;
- (2) properly exchange date/time data when used in combination with other information technology;
- (3) perform as a system, if so stipulated in the contract, and the warranty shall apply to those items as a system.

Notwithstanding any provision to the contrary in any vendor warranty or warranties, the remedies available to the State under this Year 2000 warranty shall include repair or replacement of any listed product and/or item whose non-compliance with the Year 2000 warranty is discovered and made known to the contractor in writing. This warranty remains in effect through December 31, 2000 or 365 days following the RFP Warranty Period, whichever is later.

Nothing in this warranty shall be construed to limit any rights or remedies the State may otherwise have under this contract with respect to defects other than Year 2000 compliance.

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In addition, the contractor warrants that products or items modified or remediated to achieve Year 2000 compliance will remain unaffected with respect to their functioning or performance except for processing and exchanging date/time data. The contractor warrants that products or items not being modified or remediated directly will remain unaffected with respect to their normal functioning or performance.

## 26. COMMUNICATIONS

Unless notified otherwise by the other party in writing:

Correspondence, notices, and coordination between the parties to this Agreement as to general business matters or the terms and conditions herein should be directed to:

Customer: Connecticut Department of Information Technology  
Contracts & Purchasing Division  
101 East River Drive  
East Hartford, CT 06108

Supplier: As stated in page one of this Agreement.

Details regarding Supplier invoices and all technical or day-to-day administrative matters pertaining to any Product and related service should be directed to:

Department: the RFP Project Administrator (name of individual)  
**The Agency Site Manager specified in the applicable Letter Order.**  
**(Agency Name)**  
**(Agency Address line 1)**  
**(Agency Address line 2)**

Supplier - As stated on page one of this Agreement.

Notices sent by United States mail with postage prepaid shall become effective when mailed.

## 27. NONDISCRIMINATION AND AFFIRMATIVE ACTION PROVISIONS

This section is inserted in this contract in connection with Subsection (a) of Section 4a-60 of the General Statutes of Connecticut, as revised.

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a. For the purposes of this section, "minority business enterprise" means any small contractor or supplier of materials fifty-one per cent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) Who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise and (3) who are members of a minority, as such term is defined in Subsection (a) of Conn. Gen. Stat. Section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements.

For the purposes of this section, "commission" means the commission on human rights and opportunities.

For the purposes of this section, "public works contract" means any agreement between any individual, firm or corporation and the state or any political subdivision of the state other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the state, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

b. (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut. The contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved; (2) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission; (3) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the contractor agrees to comply with each provision of this section and Conn. Gen. Stat. Sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to Conn. Gen. Stat. Sections 46a-56, 46a-68e and 46a-68f; (5) the contractor agrees to provide the commission on human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor as relate to the provisions of this section and Conn. Gen. Stat. Section 46a-56. If the contract is a public works contract, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project.

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c. Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: The contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

d. The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

e. The contractor shall include the provisions of Subsection b of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Conn. Gen. Stat. Section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

f. The contractor agrees to comply with the regulations referred to in this section as they exist on the date of this contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.

28. NONDISCRIMINATION PROVISIONS REGARDING SEXUAL ORIENTATION

This section is inserted in this contract in connection with Subsection (a) Section 4a-60a of the General Statutes of Connecticut, as revised.

a. (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the state of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission on human rights and opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56 of the general statutes; (4) the contractor agrees to provide the commission on human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor which relate to the provisions of this section and section 46a-56 of the general statutes.

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b. The contractor shall include the provisions of Subsection a of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56 of the general statutes; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

c. The contractor agrees to comply with the regulations referred to in this section as they exist on the date of this contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.

29. EXECUTIVE ORDER NO. THREE

This contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill promulgated June 16, 1971 and, as such, this contract may be cancelled, terminated or suspended by the state labor commissioner for violation of or noncompliance with said Executive Order No. Three, or any state or federal law concerning nondiscrimination, notwithstanding that the labor commissioner is not a party to this contract. The parties to this contract, as part of the consideration hereof, agree that said Executive Order No. Three is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the state labor commissioner shall have continuing jurisdiction in respect to contract performance in regard to nondiscrimination, until the contract is completed or terminated prior to completion.

The contractor agrees, as part consideration hereof, that this contract is subject to the Guidelines and Rules issued by the state labor commissioner to implement Executive Order No. Three, and that he will not discriminate in his employment practices or policies, will file all reports as required, and will fully cooperate with the State of Connecticut and the state labor commissioner.

30. EXECUTIVE ORDER NO. SEVENTEEN

This contract is subject to the provisions of Executive Order No. Seventeen of Governor Thomas J. Meskill promulgated February 15, 1973, and, as such, this contract may be cancelled, terminated or suspended by the contracting agency or the State Labor Commissioner for violation of or noncompliance with said Executive Order No. Seventeen, notwithstanding that the Labor Commissioner may not be a party to this contract. The parties to this contract, as part of the consideration hereof, agree that Executive Order No. Seventeen is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the contracting agency and the State Labor Commissioner shall have joint and several continuing jurisdiction in respect to contract performance in regard to listing all employment openings with the Connecticut State Employment Service.

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31. WORKERS' COMPENSATION

Supplier agrees to carry sufficient workers' compensation and liability insurance in a company, or companies, licensed to do business in Connecticut, and furnish certificates if required.

32. APPROVAL OF AGREEMENT

This Agreement shall become effective upon its approval as to form by the Office of the Attorney General of the State of Connecticut.

33. ENTIRETY OF AGREEMENT

This Agreement includes the SIGNATURE PAGE OF AGREEMENT. To the extent the provisions of the previously mentioned Product Schedule, the Project Implementation Summary, the Project Implementation Schedule and any aforementioned Attachment do not contradict the provisions of Sections 1 through 33 of this Agreement, said documents are incorporated herein by reference and made a part hereof as though fully set forth herein. This Agreement, as thus constituted, contains the complete and exclusive statement of the terms and conditions agreed to by the parties hereto and shall not be altered, amended, or modified except in writing executed by an authorized representative of each party.

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SIGNATURE PAGE OF AGREEMENT

This Agreement is entered into by authority of Sections 4d-2, 4d-5 and 4d-8 of the General Statutes.

STATE OF CONNECTICUT

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

APPROVED:

BY: \_\_\_\_\_

BY: \_\_\_\_\_

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

Donald J. Maloney, Director  
Department of Information Technology  
Contracts & Purchasing Division

TITLE: \_\_\_\_\_

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

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

SEAL

BY: \_\_\_\_\_

Gregg P. Regan  
Chief Information Officer  
Department of Information  
Technology, duly authorized

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

APPROVED AS TO FORM:

\_\_\_\_\_  
Attorney General of the  
State of Connecticut

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

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**ATTACHMENT 6.0  
OVERVIEW AND GENERAL REQUIREMENTS**

6.0 OVERVIEW AND GENERAL REQUIREMENTS

6.0.1 Awards

The awards to be made as a result of this Request for Proposals were listed in Section 1, Forward. The present section expands on that list to provide an overview of each Award. Additional detail on the awards and their associated products and services is provided in subsequent sections of this Attachment 6.

**Award 1: Project Management Services, Credentialing Interface /Commercial Vehicle Information Exchange Window (CI/CVIEW) System Development and Integration Services, Other Systems Modification and Integration Services, and Prescreening Services**

This Award includes nine modules. These nine modules and their associated tasks are described below:

**Award 1 Module 1: Project Management Services**

Provide the services of a qualified individual to serve as the Contractor Project Manager.

Manage the Project from a systems development life cycle perspective. Provide direction and oversight of the technical activities of the contractors winning Awards 2 and 3.

Develop, with State staff and the contractors winning Awards 2 and 3, an acceptable *CVISN/PRISM Project Implementation Plan*. Update and maintain the *Plan*, report on progress as required.

Develop, with State staff and the contractors winning Awards 2 and 3, an acceptable *CVISN/PRISM Project Quality Assurance Plan* linked to the *CVISN/PRISM Project Implementation Plan*. Update and maintain the *CVISN/PRISM Project Quality Assurance Plan*.

Develop, with State staff and the contractors winning Awards 2 and Award 3, acceptable acceptance test plans for all software systems to be delivered as a result of this RFP.

**Award 1 Module 2: Credentialing Interface / Commercial Vehicle Information Exchange Window (CI/CVIEW) System – Systems Development and Integration Services**

Design, develop, integrate, implement and maintain a Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) System that meets all relevant State, CVISN and PRISM requirements.

Work with State of Connecticut staff involved in commercial vehicle credentialing and with selected motor carriers to document the requirements and develop the logical design for the Credentialing Interface, the credentialing functionality, and the exchange of credentials information to be included in the CI/CVIEW System.

Work with State of Connecticut staff involved in commercial vehicle safety and enforcement to document the requirements and develop the logical design for the exchange of credentials and safety information to be included in the CI/CVIEW System.

**Award 1 Module 3: Department of Motor Vehicles - Systems Development, Modification and Integration Services**

Work with DMV, the DMV IT organization and the winner of Award 2 to integrate the selected International Registration Plan (IRP) Commercial Vehicle Registration System with the CI/CVIEW System so that all relevant State of Connecticut, CVISN and PRISM business and technical requirements are met;

Work with the State of Illinois Commerce Commission to modify (if necessary) and integrate the Illinois-provided Single State Registration System (SRSS) with the CI/CVIEW System to meet all relevant State, CVISN and PRISM business and technical requirements; and

Work with the DMV IT organization to interface to the existing Delinquent tax, Registration privilege, Insurance cancellation and Parking ticket violations (DRIP) System with the CI/CVIEW System so that it meets all relevant State, CVISN and PRISM business and technical requirements.

**Award 1 Module 4: Department of Revenue Services - Systems Development and Integration Services**

Work with DRS, the DRS IT organization and the New York State Regional Processing Center IT organization to modify (if necessary) and integrate the following systems with the CI/CVIEW System so that all relevant State of Connecticut, CVISN and PRISM business and technical requirements are met:

- The International Fuel Tax Agreement (IFTA) System for interstate license credentials;

- The IFTA quarterly tax payments system;
- The intrastate motor carrier road tax credentials system for intrastate license credentials; and waiver affidavits processing

**Award 1 Module 5: Department of Transportation – Systems Development and Integration Services**

Work with the Award 3 vendor to integrate the System selected for Award 3 with the CI/CVIEW System in such a way that all relevant State of Connecticut, CVISN and PRISM business and technical requirements are met.

**Award 1 Module 6: Screening and Clearance System – Systems Development and Integration Services**

Work with the University of Kentucky Transportation Center to integrate the State of Kentucky’s Mainline Automated Clearance System (known as “ModelMACS”---the software application that Connecticut plans to use for its mainline electronic Screening and Clearance System) with the CI/CVIEW System so that it meets all relevant State, CVISN and PRISM business and technical requirements. ModelMACS supports CVISN/PRISM electronic screening and real time clearance processing, communication with transponders in vehicles, and interfaces with the Weigh-in-Motion (WIM), Automated Vehicle Identification (AVI), and vehicle classifier systems planned for installation by the State.

**Award 1 Module 7: Mobile Data Terminal Server – Systems Development and Integration Services**

Work with the Software Corporation of America (SCA) Division of Motorola to design and implement an interface between the CI/CVIEW System and the Mobile Data Terminal Server.

**Award 1 Module 8: Federal Systems – Systems Development and Integration Services**

Design, develop, implement and maintain an interface between the CI/CVIEW System and US DOT maintained systems, including the Safety and Fitness Electronic Record (SAFER) System and other Federal systems, as required.

**Award 1 Module 9: Motor Carrier Prescreening System – Systems Development and Integration Services**

Work with the CVISN/PRISM Team to develop and market Connecticut’s Electronic Clearance Program to selected motor carriers and transponder administrators, provide transponders to selected carriers and work with

selected carriers and transponder administrators to ensure that the State has the necessary data for screening and clearing the commercial vehicles of the participating carriers.

Work with selected motor carriers and transponder administrators to develop the system requirements for the electronic submission of transponder identification numbers and associated data to CI/CVIEW. Work with the same selected participants to develop the system requirements for reporting transponder-based vehicle activity data to carriers and transponder administrators.

**Award 2: Department of Motor Vehicles - International Registration Plan (IRP) Commercial Vehicle Registration System and Integration Services**

Provide an International Registration Plan (IRP) Commercial Vehicle Registration System that meets all relevant State, CVISN and PRISM business and technical requirements;

As part of the IRP system, clients of the IRP System to must be able to register intrastate commercial vehicles.

The IRP System must support the exchange of safety and credentials data with the CI/CVIEW System. The winner of Award 2 must develop, in conjunction with the Systems Integrator (Award 1), a detailed design for the interface and protocol standards for this data exchange. The Award 2 winner is responsible for the development, implementation and maintenance of the IRP System side of the interface, with the Systems Integrator providing oversight and direction. The Systems Integrator is responsible for developing, implementing, and maintaining the CI/CVIEW side of the interface.

**Award 3: Department of Transportation – Oversize/Overweight Permitting System with Bridge Rating and Automatic Routing Functionality, and Integration Services.**

Provide an Oversize/Overweight (OS/OW) Permits System with Bridge Rating and Automatic Routing Functionality that meets all relevant State, CVISN and PRISM business and technical requirements.

The OS/OW System must support the exchange of safety and credentials data with the CI/CVIEW System. The winner of Award 3 must develop, in conjunction with the Systems Integrator (Award 1), a detailed design for the interface and protocol standards for this data exchange. The Award 3 winner is responsible for the development, implementation and maintenance of the OS/OW System side of the interface, with the Systems Integrator providing oversight and direction. The Systems Integrator is responsible for developing, implementing, and maintaining the CI/CVIEW side of the interface.

The OS/OW Permits System must allow an automatic selection of a route for an OS/OW Permit application and check all bridges on that route for acceptable clearance and weight ratings. The DOT plans to implement the OS/OW Permits functionality in the short term as part of the CVISN/PRISM Project, and to implement the Bridge Rating and Automatic Routing functionality on a longer term phased approach. This longer term effort will involve a number of DOT units in establishing and maintaining the data bases required to support the Bridge Rating and Automatic Routing functionality.

Vendors may propose the rewrite and enhancement of the State's present OS/OW Permits System using a nonproprietary language with an Oracle DBMS. Or vendors may propose the modification of another existing system to meet Connecticut's requirements.

#### 6.0.2 Project Purpose and Objectives

The purpose of the Connecticut CVISN/PRISM Project is "To establish (and maintain) an electronic Connecticut Credentials and Safety Data Exchange Network for allowing commercial motor carriers to apply for and receive operating credentials and for targeting high-risk carriers." The purpose of the PRISM component of the combined Project is to tie the safety fitness of commercial motor carriers to the ability to register vehicles.

Some of the specific objectives of the Project are listed below:

- To achieve CVISN Level 1 compliance by September 30, 2003
- To implement a Credentialing Interface / Commercial Vehicle Information Exchange Window (CI/CVIEW) System to provide information sharing and exchange functionality and interfaces to all of the systems, both State and national, that are required to provide CVISN and PRISM related information
- To install an IRP System to meet DMV and CVISN/PRISM needs
- To interface/modify DMV SSRS and DRIP Systems to meet CVISN/PRISM needs
- To interface/modify DRS IFTA and MBDB Systems to meet CVISN/PRISM needs
- To rewrite or replace the DOT OS/OW System
- To install a mainline electronic screening and clearance system at the Union Weigh Station so that a number of carriers can utilize the system to get "green lights"
- To implement electronic credentialing support for carriers, both Web-based and EDI. XML and XML/EDI solutions are encouraged.
- To implement systems that meet the design and development objectives stated below
- To follow the project management principles stated below

### 6.0.3 System Design and Development Requirements

Contractors and vendors must support the following objectives in their design and development processes. Vendor proposals must include statements describing how they will support these objectives.

- Implement systems that work, and meet user needs
- Intuitive, human engineered user interfaces
- Response times acceptable to the user
- Systems that run in a production environment, without the need for technical staff intervention to operate
- User ability to generate ad hoc reports
- Systems that offer flexibility in responding to information requests from State Agencies, other states, Federal Agencies, the legislature, the public, the media, etc., as well as Freedom of Information (FOI) requests
- Table driven, so the users can make changes in rates, etc., without technical assistance
- Secure systems with provisions to protect stored information and limit access to authorized users
- Flexibility to accommodate future changes
- Systems that have low ongoing maintenance cost
- Systems that can be easily maintained
- Written in standard languages such as C, C++, VB or Cobol
- Use Oracle or DB2/UDB data base management systems
- Use ANSI Standard SQL calls to the data base
- Meet CVISN, PRISM and State of Connecticut architecture standards
- Systems that comply with State of Connecticut Freedom of Information (FOI) Guidelines for Systems Design and Development
- Use n-tier architecture where appropriate, as defined by the State
- Where possible use "off the shelf" systems that have:
  - a community of users, so maintenance cost can be shared
  - an existing established user organization that convenes regular meetings
  - a defined and documented process for developing and requesting system enhancements
- Across all Awards and all new systems, identify, document and apply coding and system design standards, including but not limited to:
  - Well documented code
  - Minimum use of Nested statements for ease in maintenance
  - Indented code to aid in readability and understanding
  - System and business design documents that clearly outline in test and graphically the needs of the business users, and which provide for comments and acceptance.

- Well documented system, data, process flows (also may include ERD's) and walkthrough diagrams using an "off-the-shelf" package acceptable by the State.

#### 6.0.4 Project Management Requirements

The State's Project Team has adopted the following project management principles for the Project. Contractors and vendors must support these principles in their activities. Vendor proposals must include statements describing how they will support these principles.

##### Management Principles:

- Involve all stakeholders in meetings, sessions, reports distributions
- Inform all participants about project plans and status on a regular basis
- Keep expectations realistic
- Adopt proven approaches from other states, other projects
- Adopt an incremental approach - no "big bangs"
- Establish a partnership approach between the State and its contractors

#### 6.0.5 Quality Assurance Requirements

The State's Project Team has adopted the following project quality assurance principles for the Project. Contractors and vendors must support these principles in their activities. Vendor proposals must include statements describing how they will support these principles.

- Assure that measurable business benefits are identified and used to assess the success of the Project
- Quantify project costs as early as possible and manage them throughout the Project
- Develop a Quality Assurance Plan, reflecting issues and risks, and provide an early warning system
- Establish an independent quality assurance team which represents the interests of the stakeholders for the duration of the Project
- Use existing quality assurance processes, documents and quality management activities as much as possible to eliminate duplication of effort
- Identify gaps between expectations and project status, and realign them

##### 6.0.5.1 Software Quality Assurance (SQA) Requirements

The State's Project Team has adopted the following SQA principles and methods, which need to be addressed in all proposals. Contractors and vendors must support these principles in their activities. Vendor proposals must include statements describing how they will support these principles:

- Software assurance is the planned and systematic set of activities that ensures that software processes and products conform to requirements, standards, and procedures. "Processes" include all of the activities involved in designing, developing, enhancing, and maintaining software; "products" include the software, associated data, its documentation, and all supporting and reporting paperwork. The three mutually supportive activities involved in the software life cycle are management, engineering, and assurance. Software management is the set of activities involved in planning, controlling, and directing the software project. Software engineering is the set of activities that analyzes requirements, develops designs, writes code, and structures databases. Software assurance makes sure the management and engineering efforts put forth result in a product that meets all of its requirements.
- Explicitly defined coding and testing standards have to be defined and adhered to. Specific requirements for each language type have not been defined, but it is critical that maintainability and the ability to easily enhance code is to be considered.
- It is crucial to the Project that a Problem Reporting Process be included and strictly adhered to during development, testing, implementation, and follow-up.
- Being that this project is requiring new technologies to be introduced, it is the responsibility of the vendors to include proposed tools for system design, coding, and testing.
- Audits are to be employed to ensure compliance with standards. Audits must be applied to design, coding, testing, and implementation. Audit process may include walkthroughs, peer reviews, sampling, etc...
- Software verification and validation activities are to be employed to monitor technical reviews, inspections, and walkthroughs. Formal software reviews must be performed at the end of each phase of the life cycle to identify problems and determine whether the interim product meets all applicable requirements.
- Testing needs to be performed per pre-built and accepted guidelines. Tests must be monitored and documented. The test documentation may include test plans, test specifications, test procedures, and test reports. All testing is to be verifiable, and the test results need to be retained for the life of the project. Baseline test data needs to be established and maintained in a "vanilla" state.

#### 6.0.6 CVISN Level 1 Requirements

Please refer to Attachment 7.

#### 6.0.7 PRISM Requirements

Please refer to Attachment 8.

#### 6.0.8 CVISN/PRISM Related Systems

The principal information systems related to the CVISN/PRISM Project are shown in Figure 6.0.8.1 and Figure 6.0.8.2. The diagrams include both existing and planned systems and show the required connectivity between the systems. For existing systems, the "owner of record" organization is indicated. This is the organization that is responsible for defining the business functionality that the system is to provide and is responsible for system administration.

The CI/CVIEW System shown in the middle of Figure 6.0.8.1 is the major application that will be developed under the CVISN/PRISM Project. It will support Electronic Data Interchange (EDI) and web-enabled credentialing transactions with the motor carriers and will provide front-end integration of the commercial vehicle data maintained in the State's legacy systems. The CI/CVIEW System will interface to the appropriate Federal systems, to the mainline screening and clearance systems at the weigh and inspection stations, and to the server that supports the mobile data terminal laptop computers used by safety inspectors at the roadside.

The systems shown in the three blocks labeled DMV, DRS and DOT on the right side of Figure 6.0.8.1 are State legacy systems that maintain data related to commercial vehicle operations. CVISN and PRISM implementation will require access to the data maintained in these systems, since in most cases these systems are the authoritative sources for the required data. The CI/CVIEW System is expected to present an integrated view of this data to authorized users. How this data will be made available will be determined on a system by system basis during the design process. If the legacy system supports online access to its database, then the data may be available "on demand." However, if the legacy system is a batch system, it may be necessary to maintain a copy of the data in the CI/CVIEW System.

The screening and clearance system shown in the lower right corner of Figure 6.0.8.1 will be responsible for handling the real time interactions with commercial vehicles that pass a weigh and inspection station. This system is not currently installed. Initially, as part of the CVISN/PRISM Project, the Union, Connecticut weigh and inspection station will be equipped with electronic screening and clearance equipment and software. Later, this functionality will be implemented at the Greenwich, Connecticut weigh and inspection station, and may be implemented at the Danbury and Middletown weigh and inspection stations. As stated above, Connecticut plans to use the State of Kentucky's Mainline Automated Clearance System ("ModelMACS") for electronic screening and clearance.

The mobile data terminal server at the center bottom of Figure 6.0.8.1 is currently operational at the DMV. It provides commercial vehicle safety inspectors with access to carrier safety and vehicle registration information. The inspectors have laptops that have radio data links using cellular digital packet data (CDPD) technology to connect wirelessly to the server. The application software running on the server is a turnkey package provided by Motorola, so any changes required would have to be made by Motorola.

The Safety and Fitness Electronic Record (SAFER) system shown in the box in the lower left corner of Figure 6.0.8.1 is a U.S. DOT system that stores standardized commercial motor carrier safety information that is available on-line to authorized users nationwide. This system is maintained by the U.S. DOT at the John A. Volpe National Transportation Center in Cambridge, MA.

The SAFER System was developed by the Johns Hopkins University Applied Physics Laboratory (JHU/APL) under contract to the US DOT. In addition to maintaining safety data, SAFER acts as the front end to a number of Federal systems. For example, SAFER interfaces to the Motor Carrier Management Information System (MCMIS) maintained by the US DOT. MCMIS stores data from compliance reviews of motor carriers, accident reports and safety inspections. A related system, the SAFER Data Mailbox, stores commercial vehicle inspection reports that contain both vehicle and driver information. Inspection "snapshots" of data in the SAFER Data Mailbox are accessible by law enforcement personnel nationally.

The JHU/APL group also developed a Commercial Vehicle Information Exchange Window (CVIEW) System designed to act like a state-level SAFER System by providing safety information and supporting interfaces to a state's legacy systems. The SAFER System and the CVIEW System have the necessary code to interface effectively in order to share data. In building its CI/CVIEW System, Connecticut expects that the portion of the JHU/APL CVIEW System that provides the interface to SAFER may be used. The use of the JHU/APL CVIEW is one option in meeting Connecticut's CVISN/PRISM requirements. Once all of the viable options have been explored, the most cost-effective approach will be adopted.

The legacy systems related to CVISN and PRISM, as indicted in Figure 6.0.8.1, are described below. The changes that will be required are briefly outlined.

The present DMV International Registration Plan (IRP) Commercial Vehicle Registration System is the VISTA/RS System, a centralized turnkey IRP service provided by Lockheed Martin IMS. The customer data, as well as the software is maintained at Lockheed's data center in Tarrytown, NY. VISTA/RS runs in an IBM environment and supports TCP/IP access and IBM terminal emulation. VISTA/RS is used by 19 states including Connecticut.

As part of the CVISN/PRISM procurement process DMV will select an IRP system. In addition to the registration of interstate vehicles, the IRP system must support the

registration of intrastate commercial vehicles. This intrastate registration functionality could be achieved by offering motor carriers the ability to register multiple fleets of vehicles, including one or more intrastate fleets.

The DMV Single State Registration System (SSRS) is a clipper-based application that runs on a networked PC. The State of Illinois developed this system and provides the code and updates to interested jurisdictions at no cost. Twenty-eight states use the current version of the Illinois software.

The DMV SSRS System will require an interface to the planned CI/CVIEW System. It is Connecticut's understanding that an interface module has been developed by a vendor to support external access to the SSRS System, and that the code is available from Illinois. We expect that this module can be modified and utilized to meet Connecticut's CVISN/PRISM needs.

The DMV Delinquent municipal motor vehicle property tax, Registration privilege suspension, Insurance compliance and Parking ticket violations Systems are all COBOL/CICS applications developed to maintain the names of organizations and individuals that have not paid taxes or have violated the law in one or more of these areas. These systems all provide data to a consolidated file, the DRIP file. A COBOL/CICS application was developed in-house by DMV IT staff to provide access to the DRIP file. These applications all run on a mainframe at the Department of Information Technology. It is expected that an interface to the DRIP file application will be needed to support the CVISN and PRISM requirements.

The DRS International Fuel Tax Agreement (IFTA) System is a shared system maintained by the State of New York Regional Processing Center (RPC) on hardware located in Albany, New York. Fifteen states and two provinces use the RPC IFTA System. The RPC System is coupled (electronic file exchange) with the DRS Master Business Data Base (MBDB) System maintained by DRS IT staff.

The DRS Intrastate Fuel Tax is one of twenty-six taxes that are supported by the DRS Master Business Data Base (MBDB) System. The MBDB application runs on a mainframe at the Department of Information Technology.

To meet CVISN and PRISM needs the DRS and RPC systems will be interfaced to the CI/CVIEW System. Changes to these systems are to be avoided, if possible. If modifications to the RPC Systems are needed, they must be undertaken through the internal IT group at the RPC. Any required modifications to the DRS MBDB System must be undertaken under the close supervision of the DRS IT Group.

The DOT Oversize/Overweight (OS/OW) System was developed in FoxPro by co-op students working in the DOT Research Division. Rather than trying to modify the existing system to meet CVISN/PRISM requirements, the DOT would like to either rewrite and enhance the system using a nonproprietary language with Oracle as the DBMS, or replace the system with an off-the-shelf application modified to meet

Connecticut's requirements. In either case, the new system would meet current DOT requirements and provide the needed CVISN/PRISM functionality.

Figure 6.0.8.1  
CVISN/PRISM Related Systems

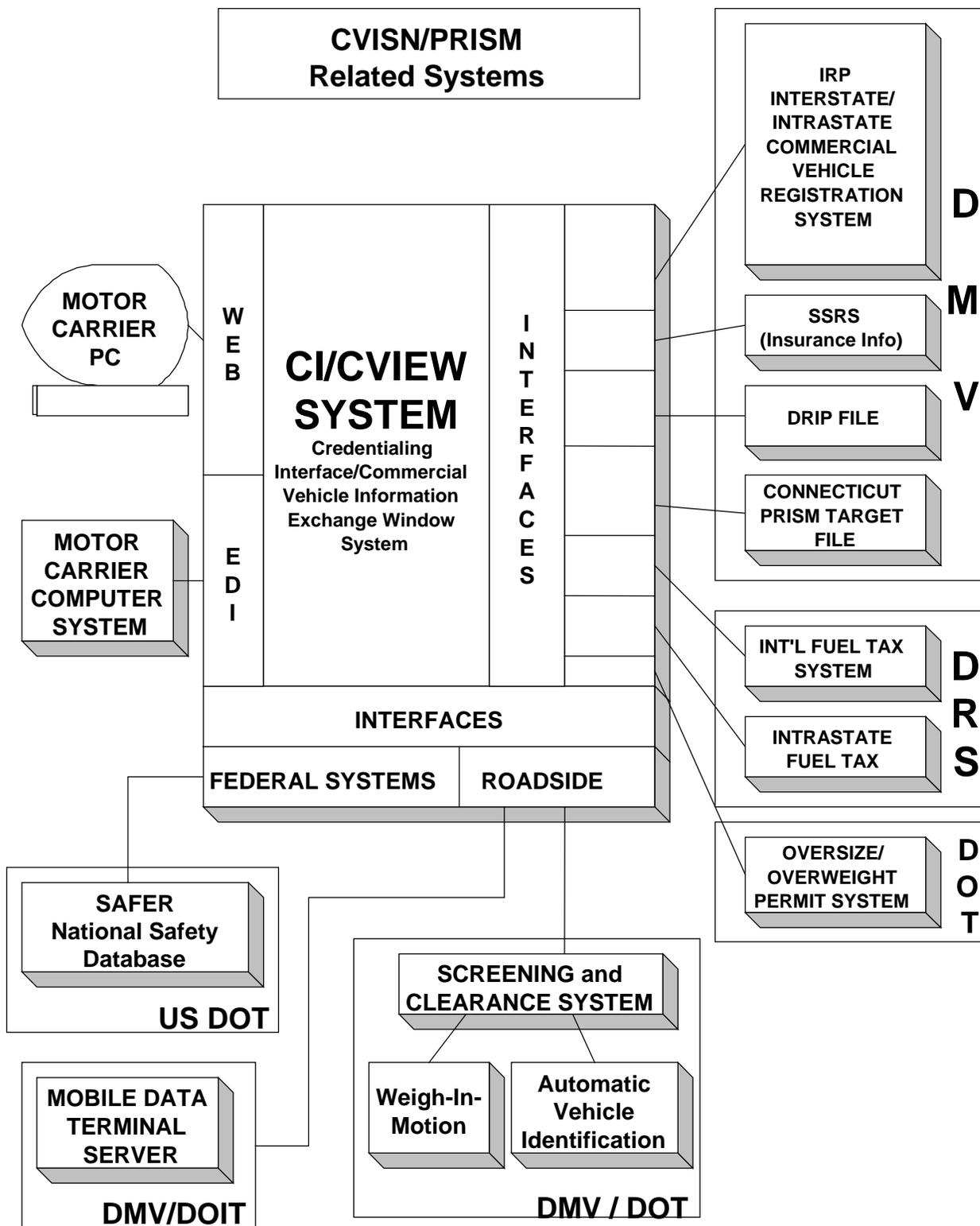


Figure 6.0.8.2  
CVISN/PRISM Related Systems

[Section 6 0 - PRISM Figure 6 0 8 2.doc](#)

6.0.9 Project Plan and Schedule

The CVISN Team has generally been following the Connecticut CVISN Project Plan which was approved by the FHWA on October 31, 1997. The CVISN Project Plan document of October 31, 1997 is available for review in the Project Library (See Section 3.1.5). The Project Plan includes thread diagrams indicating the sources of data for the required CVISN functionality. The Plan is also useful for general project direction, but it is not specific enough for the systems development life cycle process we are about to undertake as a result of this RFP.

Overall, the CVISN/PRISM Project can be divided into three phases, as described below:

1. Procurement Process:

- Request for Proposals issued February 2001
- Awards announced August 2001
- Work begins September 2001

2. Systems Development Life Cycle:

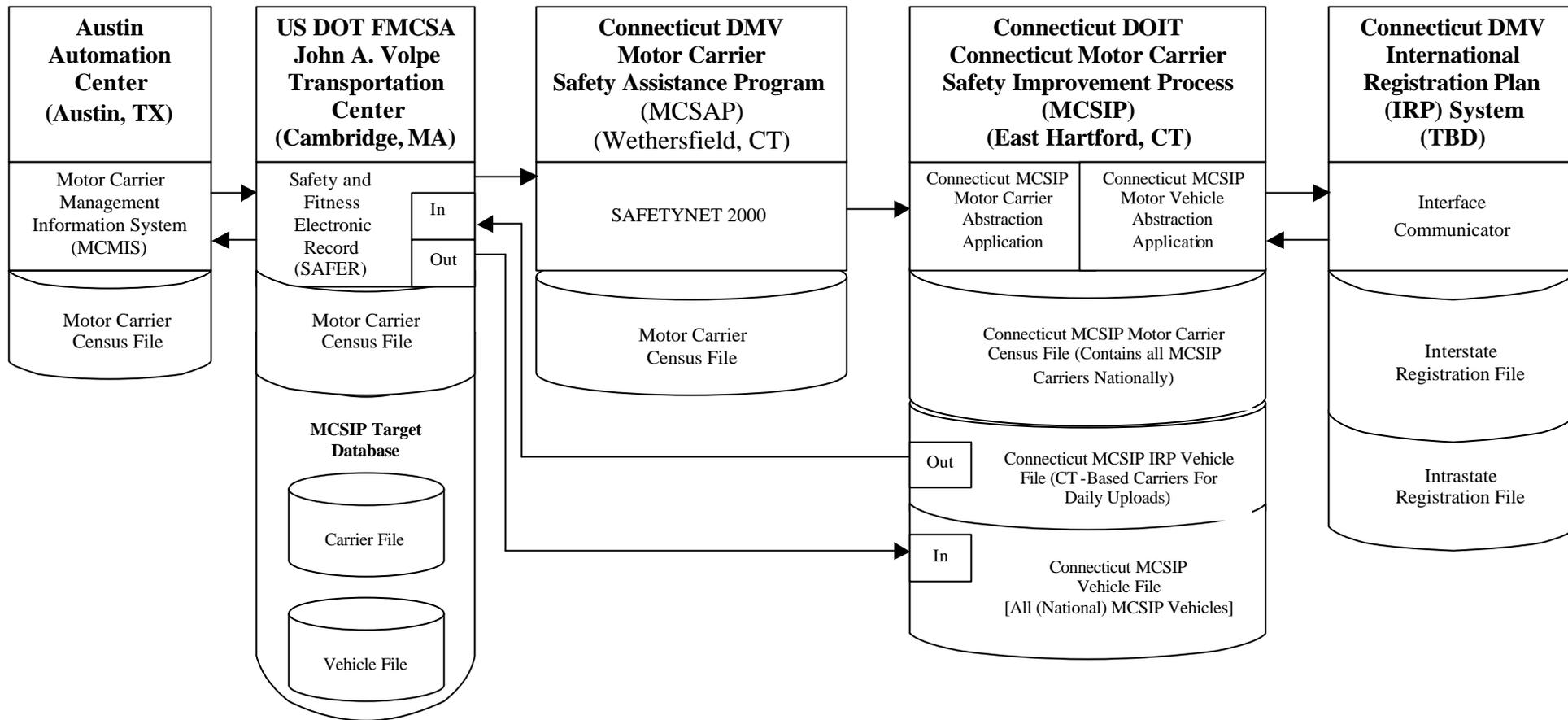
Award 1, CI/CVIEW System

- Business user blackout period of peak activity:  
DRS IFTA Unit: Last week of January through April 15  
Other users: Varied (there are many projected users)
- Requirements analysis and all design completed by 1/1/2002
- Develop by 7/1/2002
- Test and implement by 1/1/2003
- Train and rollout by 7/1/2003
- CVISN Level 1 and PRISM compliance by 9/1/2003

Award 2, IRP System

- Business user blackout period of peak activity:  
DMV IRP Unit: March 1 through first week of May
- Requirements analysis, design, system modification, test and implement for  
“stand alone” operation by 1/15/2002
- Parallel run with current system 1/15/2002 – 6/30/2002
- Develop interfaces for integrated operation by 7/1/2002
- Test and implement by 1/1/2003

Figure 6.0.8.2  
CVISN/PRISM Related Systems



- Train and rollout by 7/1/2003
- CVISN Level 1 and PRISM compliance by 9/1/2003

Award 3, OS/OW System

- Business user blackout period of peak activity  
DOT OS/OW Unit: Mid-March to Mid-May
- Requirements analysis, design, system modification, test and implement for  
“stand alone” operation by 1/15/2002
- Parallel run with current system 1/15/2002 – 6/30/2002
- Develop interfaces for integrated operation by 7/1/2002
- Test and implement by 1/1/2003
- Train and rollout by 7/1/2003
- CVISN Level 1 and PRISM compliance by 9/1/2003

3. Ongoing Program

- Business Direction: Motor Carrier Advisory Council (Proposed)
- System Owner: Motor Carrier Advisory Council (Proposed)
- Budget: Motor Carrier Advisory Council, assigned to the DMV for  
Administrative Purposes Only (Proposed)

The above dates for completion of tasks related to the systems development life cycle represent the State's best estimates at this time (February 2001). Although the dates are estimates, they have been developed so that the system deliverables integrate appropriately with the annual cycles associated with the business processes involved. The achievement of CVISN Level 1 and PRISM compliance by 9/1/2003 is a mandatory deadline date that will not change.

Through the procurement process the services of a Contractor Project Manager will be secured. This Contractor Project Manager will be required to work with the State and the other contractors and vendors to develop a detailed Project Work Plan. This plan, the *CVISN/PRISM Project Implementation Plan*, is to cover the period from contract approval through September 30, 2005. The above dates and milestones will be adjusted in the process of finalizing the Project Implementation Plan. The end date of the Plan has been selected, in part, to coincide with the end of the Federal fiscal year, which begins on October 1, 2004 and extends through September 30, 2005.

Although the systems development life cycle can proceed at least somewhat independently for each of the systems involved, they all do interface with the CI/CVIEW system. As a result of these interactions, the design for one is not really complete until the design is complete for all. For this reason, it is essential that the State and all the award winners work closely together to develop and execute the Project Implementation Plan.

The rate the Project Implementation Plan can move along depends on the step of the life cycle involved. Those phases that require the services of the State's business process experts will most likely be limited by the time these individuals can devote to the effort,

since they must, in addition to participating in the CVISN/PRISM Project, continue to perform their regular duties. This limitation will affect the requirements definition and logical design steps, as well as the testing process.

The systems development/customization process could be undertaken simultaneously for the various systems identified. This particular approach may or may not be possible, depending on the availability of resources, both from the contractors and from the State. It is more likely that development will proceed in phases, with parallel efforts taking place within each phase. Once sufficient information about the systems is collected through the design process, detailed decisions concerning which systems are to be included in the various phases will be worked out with the Contractor Project Manager (Award 1). A phased approach would initially also allow the State and the participating vendors to gain experience with the testing, implementation, training and roll out processes for a few systems and to apply the "lessons learned" in subsequent similar activities.

Since Microsoft Project is widely available both in the State and among contractors, it will be used in the CVISN Project for documenting project plans and for the exchange of planning information among the Project participants.

#### 6.0.10 Roles

The CVISN/PRISM Team, which currently includes representatives from DMV, DRS, DOT, DPS, DOIT and the Motor Transport Association of Connecticut, will continue to provide Project oversight and direction. The Team members representing the agencies will continue to coordinate CVISN/PRISM Project activities with staff in their individual agencies. The Team member representing the Motor Transport Association of Connecticut serves as the Industry CVISN/PRISM Project Manager and will continue to present the industry point of view in meetings and discussions.

The DMV, as the Lead Agency for the CVISN/PRISM Project, will continue to provide CVISN/PRISM staff services, including the Project Sponsor, the Project Manager, the Systems Architect and the Project Management Coordinator. In addition to these positions, a State Technical Project Manager has been hired to manage the project from an IT perspective and to act as the principal State contact on a day-to-day basis for all contractors and vendors. Also, a qualified individual may be hired to manage the Quality Assurance function for the Project.

Once awards are made, the CVISN Team members representing the various State agencies will provide oversight and direction for the contractors working in their respective agencies. Internal technical staff in the agencies will provide guidance to the selected consultants but will not be expected to perform CVISN/PRISM work themselves. The Team member from the Motor Transport Association will coordinate Project activities with the motor carrier industry.

This Team approach will carry the Project through the procurement and systems development life cycle phases and up to implementation of the systems. Once the systems are in production mode, the ongoing business direction for the multi-agency CVISN/PRISM software is expected to be provided through the Motor Carrier Advisory Council (MCAC). All agencies involved in the CVISN/ PRISM Project are members of the Council. The Council also includes industry representatives, so it is an ideal forum for addressing CVISN and PRISM issues. To provide the needed administrative support, including the submission of budget requests, the MCAC may be assigned to the Department of Motor Vehicles "for Administrative Purposes Only."

#### 6.0.11 Acquisition Strategy

The CVISN/PRISM Project Team has built, and expects to continue to build upon the experience of other states in designing and developing CVISN/PRISM systems. Virtually all of the systems needed in Connecticut have been implemented in other states. Solutions and approaches that have proven successful in other similar environments are to be adopted. Work done on successful Connecticut multi-agency projects, including the recent statewide Y2K Project will also be adopted.

This Request for Proposals process is being used to solicit proposals from vendors and contractors with experience in the CVISN/PRISM arena. The State hopes to profit from having this group of experts suggest how to best implement these systems in Connecticut.

To ensure that the potential providers of products and services are all addressing the same problem, the overall CVISN/PRISM Project has been broken down into well-defined groups of tasks or "chunks." These chunks were then grouped into three award areas so that consultants and vendors can bid on logical groupings of products and services. The State's goal is to secure the best Project Manager/Systems Integrator (Award 1) AND the best product/contractor for each functional area (Awards 2 and 3).

Another rationale for implementing this multiple award approach is that it allows DMV (Award 2) and DOT (Award 3) to each select the best product/service from its own point of view, relatively independent of other selections.

An overview of the award structure has been provided in Section 6.0.1 above.

It should be noted that the RFP awards focus on application software and related services. Vendors are also required to provide specifications and quotes for the hardware, operating and support software required to develop, test, and operate the proposed software applications. However, the State reserves the right to acquire the required hardware, operating and support software in the most cost effective manner. Thus, the State may use the normal State IT procurement process to acquire these items.

In those areas where there is only one source for a product or service, the CVISN/PRISM Team will pursue sole source awards. Sole Source Awards to the following organizations will be requested for the specific products and services listed:

1. Johns Hopkins University Applied Physics Laboratory (JHU/APL), Laurel, MD - Review proposed architecture and systems designs for compliance with CVISN and PRISM national standards, assist in design of the links from the CI/CVIEW System to US DOT systems, assist with ANSI adoption of CVISN EDI transaction sets for Connecticut, assist in requirements definition for transponder administration transactions, provide consultation assistance with respect to the use of XML for the Credentialing Interface, provide technical information and consulting assistance with regard to the JHU/APL CVIEW software product and provide access to the JHU/APL testing facility for conducting interoperability tests.
2. State of Illinois Commerce Commission, Springfield, IL - Provider of DMV SSRS System, expected to participate in design process for CVISN/PRISM interface to this system. If any changes are needed to the standard SSRS software, the State will request that the Commerce Commission make these changes, and charge the State accordingly.
3. Kentucky Transportation Center, University of Kentucky, Lexington, KY - Provider of the ModelMACS mainline automated clearance system. If any changes are needed to the standard ModelMACS software, the State will request that the Kentucky Transportation Center make these changes, and charge the State accordingly.
4. New York Regional Processing Center, Albany, NY - Provider of the DRS IFTA System. If any changes are needed to the standard RPC software, the State will request that the New York RPC make these changes, and charge the State accordingly.

The following awards for technical assistance services were made to Connecticut by the I-95 Corridor Coalition:

1. CVISN Software Prototype Test Assistance - To be provided by Cambridge Systematics, Inc. (\$50,000 in technical assistance services)

The following information was provided to the I-95 Corridor Coalition in requesting this technical assistance:

“Objective of this Technical Assistance Request: To secure technical assistance for developing a proof of concept demonstration for proposed technical architecture for CVISN, PRISM and other efforts.”

“Description of the Technical Assistance Service Requested: This assistance will help the CVISN team to plan, establish goals and define criteria for success of a proof of concept demonstration. This effort will assemble the framework of proposed software and hardware required for the

implementation of CVISN. This will involve installation of all of the commercial off-the-shelf software products proposed to support CVISN, including the products that support access to the various legacy systems that are part of the overall CVISN umbrella. A 'mock-up' computer program will be developed to show a few of the CVISN screens and to execute a few selected transactions. This will prove that data can be exchanged with the legacy systems and that all of the selected products can, *in fact*, work together. The mock-up will also provide an indication of expected response times. Once it has been proven that the products will all work together effectively, development of the specific application can proceed with a high level of confidence that CVISN, as planned, will work."

2. CVISN/PRISM Web Site Development - To be provided by Science Applications International Corporation (SAIC) (\$10,000 in technical assistance services)

The following information was provided to the I-95 Corridor Coalition in requesting this technical assistance:

"Objective of this Technical Assistance Request: To secure technical assistance for developing two websites --- internal for sharing information among CVISN/PRISM stakeholders and external for public access."

"Description of the Technical Assistance Service Requested: This assistance will help the CVISN team to plan, design and develop two websites. Both sites will be part of the State of Connecticut's official, award winning website 'ConneCT.' The websites will be developed such that site administration, changes and updates will take place from the central CVISN office... Information will be placed on the internal website for review by all stakeholders before being placed on the public website. In addition to ...CVISN information, the public site will have hot links from other agency sites such as the Departments of Information Technology, Public Safety, Revenue Services and Transportation. The contractor would work with the DMV Director of Corporate and Public Relations, Office of Policy and Management officials and Department of Information Technology (DOIT) and DOIT Connecticut Administrative Technology Center (CATER) staff to insure that State policies and guidelines are followed."

Under the I-95 Corridor Coalition award process for technical assistance services, Connecticut will receive no direct funding. The entities to provide the technical assistance services were selected through a process adopted by the Coalition. Connecticut's applications to the I-95 Corridor Coalition for these technical assistance awards are available for review in the Project Library (See Section 3.1.5).

The Department of Information Technology will provide all network services. Proposals will not include any costs for network services or for hardware associated with the network infrastructure, such as hubs, routers or DSU/CSU's.

#### 6.0.12 Facilities - Software Development, Operations, Network Support, Training

The consultants and vendors winning awards will need staff space and facilities to support CVISN/PRISM Project related task activities, including software development, systems testing and interoperability testing.

To insure that space will be available if it is needed, we require that the Project Manager/Systems Integrator (Award 1) offer the State the option of providing space in the Hartford area and passing the cost along to the State.

It is possible that developers in their own facilities could perform the CVISN/PRISM software development work. The products could then be physically delivered to the State on a regular schedule. Another possibility is to use a Virtual Private Network and have the work done on a server maintained at CATER while the developers remain at their own site(s).

A facility for software systems integration and acceptance testing should be provided in the Hartford area, so State staff can participate in this process. For interoperability testing, access must be provided to the State's legacy systems. If remote access to the State's legacy systems proves feasible for interoperability testing, the Johns Hopkins University Applied Physics Laboratory facility could be utilized.

Current plans call for all the CVISN/PRISM Systems that are used by multiple agencies to be physically housed in CATER, the State Data Center. This includes the CI/CVIEW System and the Mobile Data Terminal Server. The DMV systems are already housed at CATER, so any CVISN/PRISM Systems specific to DMV would also be located at CATER. This includes the DMV IRP System if an application is selected that is to run locally. The DRS Systems that are involved in the CVISN/PRISM Project either run at CATER or at the NY RPC, and any additions to these systems would operate in the same environments. The DOT OS/OW System currently runs on a server co-located with the DOT end users. A new system would probably be installed in the same location, at least initially. Once in production, the new system could be moved to the DOT Data Center, or to CATER, but this determination can be made later.

DOIT is expected to provide all network services and telecommunications facilities required by the CVISN/PRISM Project and the resulting ongoing programs.

#### 6.0.13 Technical Standards

All CVISN/PRISM-related system designs are to be compliant with the National CVISN and PRISM architectures as developed by JHU/APL under contract to the US DOT, as well as the *Connecticut PRISM Implementation Plan* to be developed, in conjunction

with the Federal Motor Carrier Safety Administration, by Connecticut. Vendors and contractors must review and use the CVISN Home Page for current CVISN planning and technical information available at the Johns Hopkins University Applied Physics Laboratory website: <http://www.jhuapl.edu/cvisn>. All capabilities deployment activities, such as hardware procurement, software and system development, infrastructure modifications, etc. must follow Federal Motor Carrier Safety Administration (FMCSA)-recommended standards (e.g., web-based, electronic data interchange and dedicated short range communications) for safety information exchange, credentials administration and electronic screening. As mandated by Congress in the Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21), this, and all Intelligent Transportation Systems projects funded from the highway trust fund must be consistent with the national architecture and available standards and shall promote the interoperability and efficiency to the extent practicable [as specified in Section 5206(e) of TEA-21].

FMCSA-approved interoperability tests to demonstrate conformance with the standards and interoperability must be successfully completed. Pairwise tests must be successfully completed to verify that interfaces between selected pairs of products/services meet the applicable standards. End-to-end tests must be successfully completed to verify dataflow and data usage among several products/systems. Participation in conformance assurance processes, in order to check for architecture conformance throughout the life of the project and to oversee interoperability testing, is required.

All designs must comply with all applicable State of Connecticut standards established by DOIT, including State of Connecticut Freedom of Information (FOI) design guideline requirements established by the FOI Commission and DOIT. Vendors must adhere to all State Enterprise Wide Technical Architecture (EWTA) standards and principles for all aspects of CVISN/PRISM design. **Any aspect of a vendor's Proposal that does not comply with the State standards and principles must be clearly identified and compelling reasons for such deviation must be included.** DOIT will present an overview of the standards and principles at the agency presentations. Vendors can access the EWTA standards at <http://www.doit.state.ct.us/policy/domain/reqarch.htm> . In addition to meeting the above standards, agency-specific systems must meet all agency standards.

The following sections contain a listing of the products currently installed in CATER, the State Data Center operated by DOIT. Vendors must plan to utilize these existing products where possible, because they are maintained and available, and also because the State has experience with them.

#### Mainframe Environment

Computers: IBM 9672-R64 (2), 240 MIPs 6-way 2 Gigabytes Memory

Disk Storage:

EMC 5700 Symetrix, 560 GB (3390 volumes)

IBM RVA, 510 GB (3390 volumes)

IBM RAMAC II, 180 GB (3390 volumes)

IBM RAMAC II, 180 GB (3390 volumes)

Tape:

IBM Tape Library System with VTS and Native 3590 Support  
32 VTS Drives and  
12 3590 Drives

IBM 3480 Tape Drives (12)

Connectivity: IBM 3745 Communications Controller

SNA Network: IBM 3172 Controller

TCP/IP

CISCO Routers

Internet/Intranet Environment

Computers and Operating Environment:

Dell Servers Dual and Quad processor with Windows NT SP 6

IBM RS6000 AIX 4.3.2

Sun SPARC with Solaris 2.6 or Red Hat Linux 6.1

Software Supported:

Commerce Server - Site Server 3.0

Web Server - IIS 4.0 with FrontPage 2000 Extensions

Middleware:

WebSphere

Java JDK 1.1

Host-on-Demand 2.0 Prod. 4.0 Test

DataBases:

IBM UDB 5.2

Oracle 8i (pending)

Web Search Engine: Infoseek 3.1 external only (Perl is not supported nor  
CGI processing)

Installed Products Supported by CATER

<b>Licensed System</b>	<b>Product Name</b>	<b>Licensed System</b>	<b>Product Name</b>
CICS / TSO	ABENDAID/CICS	CICS / TSO	EREP
CICS / TSO	ABENDAID/MVS	___ / TSO	IBM EXPEDITE BASE
CICS / TSO	ACF2	CICS / TSO	FDR/DSF
CICS / TSO	ADSM	CICS / TSO	FILEAID-DB2
___ / TSO	AFP FONT COLLECTION	CICS / TSO	FILEAID-IMS
CICS / ___	APTNET	CICS / TSO	FILEAID-MVS
CICS / TSO	ASSIST/GT	CICS / TSO	FILESAVE
CICS / TSO	AUTOMON/RDO	CICS / TSO	FOCUS
CICS / TSO	BMC DATAPACKER	___ / TSO	FORTRAN
___ / TSO	BMC IMAGECOPY/PLUS	___ / TSO	GDDM BASE
___ / TSO	BMC LOAD/PLUS	___ / TSO	GDDM/PGF
___ / TSO	BMC POINTER/CHECKER	CICS / TSO	HCD
___ / TSO	BMC PREFIX RESOLVE	___ / TSO	HCM
___ / ---	BMC SECONDARY INDEX	___ / TSO	HIGH-LEVEL ASSEMBLER
___ / TSO	BMC UNLOAD PLUS	CICS / TSO	HOURLASS 2000
CICS / ___	BMS/GT	___ / TSO	IBM COBOL
___ / TSO	BOOKMANAGER/READER	___ / TSO	ICKDSF
CICS / TSO	BTAM/SP	___ / TSO	ICFRU
___ / TSO	C/370 LIBRARY	___ / TSO	IMPACT
CICS / TSO	CA/DISK (DMS)	CICS / TSO	IMS/ESA V5
___ / TSO	CA-DISPATCH	CICS / TSO	IMS SYSTEM TOOLS
___ / TSO	CA-EARL	CICS / TSO	IOCP
___ / TSO	CA-PROSECURE	CICS / TSO	IOF
___ / TSO	CA-1	CICS / TSO	ISPF V4
___ / TSO	CA-11	___ / TSO	IXFP
___ / TSO	CA-7	CICS / TSO	JES2
___ / TSO	CA90S	___ / TSO	JOB/SCAN
___ / TSO	CCCA	CICS / TSO	KOMAND/PACE
CICS / TSO	CICS FOR MVS/ESA TS	CICS / TSO	L/E
___ / TSO	COBOLII COMPILER Library	CICS / TSO	LISTCAT-PLUS
CICS / TSO	CODE 1 PLUS	CICS / TSO	MIM
___ / TSO	CONNECT/DIRECT	___ / TSO	MQSERIES
CICS / TSO	DADS	___ / TSO	MVS/QUICKREF
CICS / ___	DATA DICTIONARY	CICS / TSO	MAILSTREAM PLUS
___ / TSO	DATAMATE	___ / ___	NCP
CICS / TSO	DB2 FOR OS/390 V5	CICS / ___	NETDA/2
CICS / TSO	DB2/DASD	CICS / TSO	NETMASTER
CICS / TSO	DB2/SMU	CICS / TSO	NETVIEW V2
CICS / TSO	DBA-EXPERT	CICS / TSO	NPM V2
___ / TSO	DCF	___ / TSO	OGL/370
CICS / TSO	DFSMS/MVS	CICS / TSO	OMEGAMON/MVS
___ / TSO	DITTO/ESA	___ / TSO	OMEGAVIEW
___ / TSO	DLF	CICS / TSO	OPS/MVS
CICS / ___	DMS/CICS/VS	CICS / TSO	OS/390
___ / TSO	DOCUTEXT	___ / TSO	PAN/ISPF
___ / TSO	DPR CAPTURE FOR MVS	___ / TSO	PANVALET
CICS / TSO	EASYTREV	___ / TSO	PI AND SPECIAL FONTS

<b>Licensed System</b>	<b>Product Name</b>	<b>Licensed System</b>	<b>Product Name</b>
CICS / TSO	EASYTREV/PLUS	___ / TSO	PL/I COMPILER/Library
___ / TSO	EDGE	CICS / TSO	POSTAL BAR CODES
___ / TSO	EP	___ / TSO	PPFA/370
___ / TSO	PSF/MVS		
CICS / TSO	QMF/MVS V3		
CICS / TSO	QUICKCONF		
CICS / TSO	QUICKINDEX		
CICS / TSO	RMF		
___ / TSO	RC/MVS		
CICS / TSO	SAS		
___ / TSO	SMP/E		
CICS / TSO	SMFUTIL		
___ / TSO	SNAPSHOT		
___ / TSO	SONORAN SANS SERIF FONTS		
___ / TSO	SONORAN SERIF FONTS		
___ / TSO	SPIFFY		
CICS / TSO	SSP FOR MVS V3		
CICS / TSO	SPACE RECOVERY System		
CICS / TSO	SYNCSORT		
CICS / TSO	TAO		
CICS / TSO	TCP/IP V3 FOR MVS		
___ / TSO	TELON		
CICS / TSO	TIVOLI NETVIEW		
CICS / TSO	TMON/CICS-ESA		
CICS / TSO	TOOLPAC3		
CICS / TSO	TRANSACCESS		
CICS / TSO	TSO DATA UTILITIES (OS)		
CICS / TSO	TSO/E		
___ / TSO	TSO/PC FILE XFER		
___ / TSO	USCCOPY		
___ / TSO	VIASOFT		
___ / TSO	VIASOFT-INSIGHT		
___ / TSO	VIASOFT-VIACEN		
___ / TSO	VISION		
___ / TSO	VPS		
___ / TSO	VS/COBOL		
___ / TSO	VSAM-ASSIST		
___ / TSO	VSA3270		
___ / TSO	VSUM		
CICS / TSO	VTAM FOR MVS V3		
CICS / TSO	XPEDITER/CICS		
CICS / TSO	XPEDITER/TSO		

#### 6.0.14 Major Risks, Risk Management

The CVISN/PRISM Project is subject to many of the same risks that are common to any IT project: tasks too large, attempting to use unproven technology, State fails to make needed decisions and/or fails to respond in a timely manner, finger-pointing between vendors, etc. Multi-agency projects like this one are typically subject to additional risks: agencies can't agree among themselves and there is no process for resolving issues, vendors unclear as to who is in charge, etc.

The Team has attempted to minimize and manage these risks by: making the groups of tasks ("chunks") reasonable in size; having our CVISN/PRISM colleagues in the other states, at JHU/APL and at the US DOT review the tasks; to the extent possible, adopting technology and approaches that have proven successful in other states; having a Project management structure and a Project Team that has worked together effectively for several years and is able to make timely decisions.

One of the major steps the State is taking in order to minimize risk is to require the development of a Quality Assurance Plan for the Project to support and implement the QA Principles listed in Section 6.0.5 above. Also, the State will implement an independent verification and validation (IV&V) function within the State to assist in finalization of the QA Plan and to oversee its execution.

The CVISN/PRISM Team includes agency managers that have worked successfully together for years, not just on this Project Team, but in resolving day to day as well as strategic issues related to Commercial Vehicle Operations. Although their information systems are not integrated, the managers of these units frequently communicate among themselves to share information and to resolve issues. The CVISN/PRISM Project builds on these existing long-term working relationships.

#### 6.0.15 National CVISN/PRISM Guiding Principles

Vendors and contractors are to review the CVISN/PRISM Guiding Principles available at the Johns Hopkins University Applied Physics Laboratory website: <http://www.jhuapl.edu/cvisn>. Only the information on standard identifiers is included here in the following section.

#### 6.0.16 Standard Identifiers for Major Entities

The envisioned system depends on reliably storing and retrieving information on drivers, vehicles, carriers, cargo, and trip via nationwide networks. In order for this to work efficiently, these entities need to be uniquely identified. Both interstate and intrastate operations should use the same standards. The proposed standards for unique identifiers are explained below. Unless otherwise stated, "characters" means any combination of characters and numbers.

Carrier ID (19 alphanumeric characters)

- 4 character jurisdiction code of issuing agency
- 11 characters for carrier unique ID (as assigned by the jurisdiction)
- 4 character carrier division (designated by the carrier)
  - Vehicle ID (17 alphanumeric characters)
- 17 character vehicle unique ID (Vehicle Identification Number; assigned by the manufacturer of origin)
- Driver ID (20 alphanumeric characters)
  - 4 character jurisdiction code of issuing agency
  - 16 characters for driver unique ID (assigned by the jurisdiction)
- Cargo ID (16 characters - all numbers)
  - Bill of lading number to uniquely identify the shipment (assigned by the carrier). For international border crossing, an additional identifier is required (as currently defined in on-going border-crossing projects):
- Trip ID (15 characters - all numbers)
  - 9 digit carrier DUNS number
  - 5 digit carrier assigned unique suffix
  - 1 digit check sum

These standard identifiers will need to be part of every data set that contains information about one of the entities. Universal utilization of the standard identifiers will permit cross-referencing of databases and on-vehicle data.

#### 6.0.17 Role of the Connecticut Department of Information Technology (DOIT)

On July 1, 1997 the Connecticut Department of Information Technology (DOIT) was created by combining the Office of Information and Technology, a Division of the Office of Policy and Management\* (OPM), and the Bureau of Technical Services, formerly in the Department of Administrative Services. DOIT is administered by a Chief Information Officer (CIO).

DOIT responsibilities include establishing policy and direction for the appropriate, effective use of information technology (IT), designing and acquiring the state's telecommunications infrastructure, planning and implementing telecommunication systems for state agencies and supporting the IT needs of state functions by working with agencies to develop appropriate technology solutions. Services include providing operations support through CATER, the State Data Center, telecommunications services and support, application development methodology support, assisting state agencies to meet business objectives by providing technology guidance and planning support.

\* The Office of Policy and Management (OPM) provides staff support to the Governor. OPM staff work closely with the Governor to provide information and analysis that the Governor uses to formulate public policy goals for the state. OPM also assists state agencies in implementing policy decisions, prepares the Governor's budget proposal and implements and monitors the execution of the budget adopted by the General Assembly and signed by the Governor. OPM works closely, under the Governor's direction, with the General Assembly, state agencies, municipalities and other organizations and groups.

The DOIT structure is based on a service towers concept, whereby the towers leverage the State's human resources through consolidation and standardization. The six service towers are the Administration Division, Enterprise Network Services, E-Government (Internal), E-Government (External), Management Oversight and Operations. The Administrative Division supports and enhances the work being done by the other DOIT divisions. Enterprise Network Services is responsible for developing and deploying a State network that integrates all State agencies and provides connectivity for other entities (such as educational facilities and municipal governments). E-Government (Internal) focuses on building, developing and applying internal resources to deliver Web-enabled services for State agencies. E-Government (External) focuses on building, developing and applying internal resources to deliver Web-enabled services for the public. Management Oversight provides the enterprise-wide approach to link and improve state agency service, technology planning and performance. Operations focuses on infrastructure implementation and support with an emphasis on common system management practices and consolidation.

The Administration Division units have a wide variety of responsibilities, all of which are designed to support the work being done by the other divisions within DOIT. The Division is committed to creating an infrastructure whereby DOIT can effectively change and develop to address current and future challenges. Units include Fiscal Services, IT Procurement, Personnel, IT Training, Affirmative Action, Legal Counsel, Internal Audit and Other Services.

Enterprise Network Services addresses the communication needs of today's advanced technologies by providing the State with a professionally-managed network environment to transfer high-density data transmissions, like graphics, images and video. By planning for the convergence of voice, video and data networks, Enterprise Network Services can better utilize network capacity, provisioning and management services, and provide access to new services.

E-Government (Internal) provides internal and enterprise application systems development and support. The major divisions include the Application Development and Support Units, the Enterprise Application Support Units and the Methodology and Testing Support Unit. The Application Development and Support Units are organized consistent with the Management Oversight Group agency liaison units. The Enterprise Application Support Units are organized around major systems that transcend the boundaries of the Application Development and Support Units. The Enterprise Resource Planning Project is one example of E-Government (Internal) efforts. The Methodology and Testing Support Unit focuses on common approaches to development and testing, define certification requirements and assist the Management Oversight Group to select testing quality assurance measurement tools.

E-Government (External) allows the general public, businesses and organizations that depend on and do business with the State to do so through state of the art Internet technology, with privacy, security and convenience. Divisions include Business Process Engineering, E-Forms, Internet solutions and Repository Management.

The five Management Oversight Group units include Liaison Management, Steering Team, Architecture and Planning, Performance Management, and Tools and Processes. Liaison Management includes requirements definition, project monitoring, customer relationships, service level creation, transition planning, agency business and IT planning. The Steering Team addresses strategic business and IT alignment, information policy, external coordination and reporting. Architecture and Planning includes IT planning, information architecture, standards and policy development. Performance Management includes services performance audits/benchmarking and monitoring activities. Tools and Processes includes business processing and embedded tools.

Data Center Operations interacts with all other DOIT towers, covering a range of support and services, including mainframe and midrange system technologies, local area networks, Internet and intranet, computer operations and related support functions, business recovery services and help desk assistance. In addition to basic infrastructure planning and support, Data Center Operations is to ensure that the DOIT Data Center is properly aligned with the next generation network developed by the Enterprise Network Services Group and is positioned to offer services across a statewide enterprise. Data Center Operations is to develop a plan to implement statewide consolidation and offer new statewide services and to play a key role in a statewide effort to drive more effective use of technology across State agencies.

In an effort to make more effective use of existing IT staff resources, the State moved all IT managers from the executive agencies into DOIT on July 1, 2000. These positions now have a solid line reporting relationship to DOIT and a dotted line relationship to the agencies. Since DOIT operates primarily on an enterprise (revolving) fund basis, the agencies are billed for the services of the IT managers. The State has plans to move all other IT staff from the executive agencies into DOIT on July 1, 2001. At this point all IT staff support to the executive agencies will be provided by DOIT on a charge back basis. This move of IT staff to DOIT has implications for the CVISN/PRISM Project. Access to IT personnel with knowledge of agency systems will now involve not only the approval of the agency, but the approval of DOIT as well.

DOIT has supported and continues to support the CVISN/PRISM Project. This support is in part due to the nature of the Project and its goal of providing the State's clients with an integrated view of functions that span multiple agencies. This approach makes more effective and efficient use of the state's IT resources and avoids the duplication of effort and systems required to perform essentially the same functions in each individual agency.

DOIT is expected to continue to support the CVISN/PRISM Project by continuing to provide technical guidance by serving on the project team. DOIT staff have gained knowledge of the CVISN architecture by attending technical workshops conducted by John Hopkins University Applied Physics Lab on behalf of the US DOT. DOIT issued this RFP and will negotiate the contracts with the winning contractors and vendors. All network services required by the CVISN/PRISM programs will be provided by DOIT and the shared systems will be installed in CATER, the State Data Center operated by DOIT.

The CVISN/PRISM systems must conform to architectural standards and FOI guidelines issued by DOIT.

#### 6.0.18 E-Commerce in Connecticut

The CVISN/PRISM Project parallels a larger initiative by the State to implement electronic government in Connecticut. This initiative is to provide individuals and businesses with greater ability to interact with and receive services from state agencies. One goal is to functionally consolidate similar services and provide single access points, supported by the ability to utilize different types of customer contact methods, such as action centers, call centers and the Internet.

DOIT is involved with the initial phase of this initiative, the High Efficiency Licensing Program (HELP). An initiative of the Connecticut Office of Policy and Management, HELP has focused on the licensing, permitting and registration requirements of state agencies. Informational and transactional consolidation of these services will facilitate one-stop customer access, bringing government services to the public, unconstrained by location or hours of operation. The HELP Project has created a Master Listing of all State licensing requirements for individuals and businesses. The listing has been placed on a searchable, online database. The web site is called the Connecticut Licensing Information Center (CLIC) (<http://www.ct-clic.com>). CLIC provides a statewide Internet-based system for information on licenses and permits administered by multiple State agencies, including the downloading of many application forms.

State of Connecticut agencies are continuing their work to implement the provisions of Public Act 99-155, *An Act Concerning Electronic Records and Signatures*, as amended by Public Act 00-134, *An Act Amending Statutes Related to the Department of Information Technology*. The Act, as amended, generally provides that electronically signed instruments cannot be denied legal effect because they are in electronic form. While the law does not require state agencies to use electronic records and signatures, they must adopt regulations if they decide to use them. On September 1, 2000, Marc S. Ryan, Secretary of the Office of Policy and Management, submitted the report *The Progress of State Agencies in Implementing Electronic Records and Signatures* to the General Assembly's Government Administration and Elections Committee. The report is available at <http://www.ct-clic.com/project/Ecomm/docs.htm>.

Whereas PA 99-155 permitted each state agency to adopt regulations governing electronic records and signatures, PA 00-134 authorizes the Connecticut Department of Information Technology, in consultation with the Office of Policy and Management, to adopt "statewide" regulations for all executive branch agencies. The law continues to allow individual state agencies to adopt their own regulations, if so desired, provided the agency's regulations are in accordance with those adopted by DOIT. When DOIT adopts such "statewide" regulations, DOIT's regulations will prevail over those adopted by any executive branch agency to the extent that the latter are inconsistent with the former.

Since passage of the law, DOIT has considered using the Uniform Electronic Transaction Act (UETA) for the specifics of the “statewide” regulations. UETA, as approved and recommended for enactment in all the states by the National Conference of Commissioners on Uniform State Laws, or variations of UETA are being used by more than thirty states as the standard for electronic records and signatures. In developing the “statewide” regulations for Connecticut, DOIT and OPM will continue to monitor the efforts of other states in order to benefit from implementation activities and “lessons learned” in these jurisdictions.

One project/initiative of the High Efficiency Licensing Program (HELP) is the CT Electronic Commerce Project. The purpose of this Project is to promote and support the use of electronic technology in the conduct of State government business. It includes, but is not limited to, implementation of PA 00-134 and Public Act 99-1, Summer Session, which permits agencies to use charge cards, credit cards and debit cards for on-line and off-line transactions. The principal objective of the CT Electronic Commerce Project is to develop a policy framework, including the consideration of technical issues, for electronic commerce in Connecticut State government. OPM staff are currently working with staff from the Office of the State Treasurer to discuss the Treasurer’s master credit card contract --- a critical issue for state agencies that wish to accept credit cards as payment for licensing fees --- and its associated fees.

As the statewide HELP effort moves forward, the CVISN/PRISM Team hopes to benefit from the work done by OPM and DOIT to advance these initiatives. For example, we hope these initiatives may lead to the establishment of standard procedures and processes for verifying electronic signatures and uniform methods for processing different types of electronic payments.

#### 6.0.19 Contractor Activities - All Awards

Once the award has been made in one of the three award areas and a contract is signed, the contractor will be authorized to begin work. The first task to be addressed is the finalization of the Project Implementation Plan (Work Plan) for the award area. The Plan the contractor has submitted in his Proposal will be used as the initial draft. The contractor will work with the State to modify the Plan so that it accurately reflects the needs of the parties involved.

The contractor will also work with the State to finalize a Quality Assurance Plan for the award area.

Another task to be completed early in the Project for each award area is stakeholder interviews. The purpose of these interviews is to document stakeholder expectations in order to confirm that the Project goals and objectives are consistent with these expectations. The goal of the Quality Assurance Plan and process will be to measure progress toward meeting these expectations. The interviews also provide an opportunity for correcting any misunderstanding about what the Project can reasonably be expected to achieve.

Once the Project Implementation Plan and Quality Assurance Plan are in place for a given area, then work can begin on the normal systems development life cycle activities.

**ATTACHMENT 6.1  
AWARD 1**

**6.1.1 AWARD 1 – MODULE 1: PROJECT MANAGEMENT SERVICES**

For Module 1, the Award 1 winner is to provide Project Management Services from a system development life cycle perspective for the CVISN/PRISM Project. This includes providing the services of a qualified individual to serve as the Contractor Project Manager, and providing direction and oversight of the technical activities of the contractors winning Awards 2 and 3.

The relationship between the Award 1 winner and the Award 2 and 3 winners is expected to be similar to that between a prime contractor and its subcontractors. The principal difference in this case is that all agreements are between the awardees and the State, not between the “prime” and the “subs.” All parties must agree to this arrangement to be considered for an award.

Proposals submitted for Award 1 must include the name and qualifications of the proposed Contractor Project Manager. From the time of proposal submission forward, the vendor may change the Contractor Project Manager only with the agreement of the State. The Contractor Project Manager is to be onsite for at least 50% of State workdays over the Design Phase of the Project. The State will provide workspace, a telephone and a personal computer with a network connection for the Contractor Project Manager.

The State’s Technical Project Manager will be responsible for oversight of all technical aspects of the CVISN/PRISM Project. The Contractor Project Manager will work closely with the State’s Technical Project Manager on a day-to-day basis. The Contractor Project Manager will oversee the activities of the contractors winning awards 2 and 3. The State Technical Project Manager will provide a similar oversight function for the State staff involved in the Project.

The Award 1 Contractor is to develop, with State staff and the contractors winning Awards 2 and 3, an acceptable *CVISN/PRISM Project Implementation Plan*. The initial draft of the *Implementation Plan* will be developed from the Implementation Plans submitted as part of the winning proposals. The goal is to develop a single integrated plan which incorporates the plans from all Project Award areas. This single *Implementation Plan* may be at a higher level than the plans for the individual areas, so that the plans form a hierarchical structure in terms of amount of detail. The Award 1 Contractor is to update and maintain the *Plan*, report on progress on a monthly basis, and maintain a copy of the current *Plan* and the associated Progress Reports on the State’s CVISN Web Site.

The *CVISN/PRISM Project Implementation Plan* is to be consistent with the information provided in Section 6.0.8 Project Plan, Schedule, and with the roles identified in Section 6.0.9. The State expects an overall Phase 1 component of the Project in Award areas 2 and 3 will lead to the implementation of the IRP and OS/OW systems on a standalone basis as enhanced replacements for the existing systems. By standalone we mean not

integrated with the CI/CVIEW System, but providing all the required functionality to support the IRP and OS/OW business units in DMV and DOT, respectively. Phase 1 for the Award 1 CI/CVIEW System will include complete design and development of the functionality determined to be most critical by the State. For example the ability to download data to the ModelMACS screening and clearance system may be given a high priority, even though all of the data will not be available initially.

Phase 2 for Awards 2 and 3 will involve implementation of the interfaces between the CI/CVIEW System and the IRP and OS/OW Systems. Phase 2 for Award 1 will involve implementation of the IRP and OS/OW interfaces as well as additional functionality as specified in the *Implementation Plan*.

The Award 1 winner is to develop, with State staff and the contractors winning Awards 2 and 3, an acceptable *CVISN/PRISM Project Quality Assurance Plan* linked to the *CVISN/PRISM Project Implementation Plan*. The *Quality Assurance (QA) Plan* is to support the QA Principles for the Project as described in Section 6.0.5 above. The *QA Plan* is to be a high level plan suitable for use in presenting the QA information to agency managers and executives. It is also to provide all Project participants with a clear understanding of when major milestones will occur and deliverables are expected. Under the State's direction, the Award 1 winner is to update and maintain the *CVISN/PRISM Project Quality Assurance Plan*, and maintain a copy of the QA Plan on the CVISN Web Site.

The *QA Plan* is to include the following elements: Note: Some of these elements may also be included in the *Project Implementation Plan*.

- A brief statement of why the CVISN/PRISM Project is being undertaken and how the Project will address the State's business needs (more detail in *Project Implementation Plan*)
- Identify the quality assurance criteria and critical success factors for the project
- Identify measurable business benefits and use to assess the success of the Project
- Provide a brief but comprehensive view of the Project that reflects all related projects and the complete life cycle from planning to operations (more detail in *Project Implementation Plan*)
- Identify the activities, documents and measurements that will be used to monitor the Project
- Specify checkpoints for comparing the expectations of stakeholders and all participating organizations with the current state of the Project
- Require an assessment of the quality and frequency of communication among Project participants, including stakeholders
- Process for obtaining endorsement for the *QA Plan* from stakeholders and participating organizations (may also appear in *Project Implementation Plan*)

The Award 1 winner is to develop, with State staff and the contractors winning Awards 2 and Award 3, acceptable test plans for all software systems to be delivered as a result of this RFP. The test plans must address unit tests, integration tests, the role of the proof of concept demonstration, user acceptance tests and production acceptance tests. The test plan must also address response time requirements, and propose methods and tools for measuring response times from the user perspective.

It must be noted that the *QA Plan* and process is meant to supplement, rather than replace, the normal quality assurance process that each award winner is expected to utilize for its own award area(s). To avoid duplication of effort, the Project *QA Plan* must incorporate those elements of each vendors normal QA process that are appropriate to include in the overall Project QA process.

The Award 1 winner is to assist the State Team in developing a list of all Project executive level stakeholders (estimate: 10). Next, the Award 1 winner is to participate in interviews of the selected executive level Project stakeholders. The purpose of these interviews is to document stakeholder expectations in order to confirm that the Project goals and objectives are consistent with these expectations. The goal of the Quality Assurance Plan and process will be to measure progress toward meeting these expectations. The interviews also provide an opportunity for correcting any misunderstanding about what the Project can reasonably be expected to achieve. The Award 1 winner will draft a summary of each interview and submit the draft to the interviewee and to the State for review and comment. Based on this review the Award 1 winner will produce a final version of each interview summary document.

The Contractor winning Award 1 is responsible for ensuring that the contractors winning Awards 2 and 3 comply with the following:

- Project Objectives as stated in Section 6.0.2 Project Purpose and Objectives,
- Systems Design and Development Requirements as stated in Section 6.0.3,
- Project Management Requirements as stated in Section 6.0.4,
- Technical Standards stated in Section 6.0.13
- National CVISN/PRISM Guiding Principles referenced in Section 6.0.15

The Award 1 winner is responsible for ensuring that the Project meets those CVISN Level 1 Requirements and PRISM Requirements that are identified in Sections 6.0.6 and 6.0.7.

The Award 1 winner is to plan and execute a proof of concept test of the proposed software. This test is to demonstrate that all of the selected software including operating systems, middleware, the network and the application software will work together to properly process transactions and provide acceptable response times. The Award 1 winner is to work with the State team, the contractors winning Awards 2 and 3 and Cambridge Systematics on the successful completion of this task. For Cambridge Systematics' role, see Section 6.0.11, Acquisition Strategy.

The Award 1 winner is to work with the State team and SAIC to plan and develop the CVISN/PRISM Project web site. For SAIC's role and a brief description of the web site, see Section 6.0.11, Acquisition Strategy.

The Award 1 winner is to develop, with State staff and the contractors winning Awards 2 and Award 3, a CVISN/PRISM Data Dictionary listing all of the data elements required to provide the required CVISN/PRISM functionality and/or maintained by the CVISN/PRISM related systems. Vendors must propose a data dictionary tool, provide an overview of the functionality that it offers, and include a cost quote for the appropriate license.

The Data Dictionary must include definitions for each data element, the attributes/characteristics of each data element and which systems maintain the data element. In those cases where the same element is maintained in different systems, the attributes must be documented for each system. The Dictionary must offer the be able to compare the attributes of a data element that is maintained in more than one system. The Dictionary must also identify the authoritative source for each data element, and document the level of security/privacy required for a data element. For example, can it be released as the result of an FOI request?

The Award 1 winner is to develop, with State staff, a facilities requirements document addressing the Project's need for development and testing facilities including space for Project staff, both State and contractor. If the State is unable to provide the needed facilities, the Award 1 winner is to lease space in the Hartford Area that is acceptable to the State, and invoice the State for the cost of the space. For additional information, see Section 6.0.12, Facilities.

The Award 1 winner is to work with those organizations receiving sole source awards in order to plan their activities and to incorporate them into the *Project Implementation Plan*. The Award 1 winner will be required to provide some oversight of the work of these awardees in order to ensure their tasks are completed as planned. For a list of these awardees and a brief overview of their tasks, see Section 6.0.11, Acquisition Strategy.

The Award 1 winner is to assist with risk management for the Project by taking proactive steps to minimize risk. The proposed risk mitigation steps the contractor will take must be spelled out in the proposal. The State's contribution to risk mitigation is described in Section 6.0.13, Major Risks, Risk Management.

In addition to the above tasks, the Award 1 winner will be required to:

Chair and conduct regularly scheduled meetings Project status meetings with the State CVISN/PRISM Team, winners of the other Awards, other contractors, and Federal personnel, as needed. Meetings to address progress in executing the *CVISN/PRISM Project Implementation Plan*, to include updates as to completion of assigned tasks, assignment of tasks with expected completion dates, etc. Develop and distribute a written agenda to all invitees in advance of each meeting, and within two business

days after each meeting, submit a written meeting summary to the State for review and approval for distribution

Initiate and conduct meetings as needed to address specific Project-related topics. Participants to include appropriate staff from the State CVISN/PRISM Team, State Agencies, contractors for Awards 2 and 3, other contractors, the US DOT, and other organizations. Develop and distribute a written agenda to all invitees in advance of each meeting, and no more than two business days after each meeting, submit a written meeting summary to the State for review and approval for distribution

Upon request, assist in developing and participate in presentations about the Project for State agency executives and managers, the Legislature, US DOT staff, CVISN/PRISM National Meetings, other states, Motor Carriers, etc.

**6.1.2 AWARD 1 – MODULE 2: CREDENTIALING INTERFACE  
/COMMERCIAL VEHICLE INFORMATION EXCHANGE WINDOW  
(CI/CVIEW) SYSTEM; SYSTEMS DEVELOPMENT AND INTEGRATION  
SERVICES**

For Module 2, the Award 1 winner must design, develop (or modify an existing application), integrate, implement and maintain a Credential Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) System that meets all relevant State, CVISN and PRISM business and technical requirements.

Vendors must provide the name of the proposed manager for the CI/CVIEW System design and development effort. Due to the importance of the CI/CVIEW System and the work required to successfully develop it, the State strongly recommends that the proposed manager for this effort not be the same person proposed as the Award 1 Contractor Project Manager.

An overview of the CVISN/PRISM-related systems was provided in Section 6.0.8 and a diagram showing the relationships among the systems was shown in Figure 6.1. As described in Section 6.0.8, the CI/CVIEW System is the major application that will be developed under the CVISN/PRISM Project.

CI/CVIEW is the keystone application for the CVISN/PRISM Project. It must support Electronic Data Interchange (EDI), web-enabled credentialing using HTML, or XML (and derivations of same), and web-enabled payments processing transactions with the motor carriers and provide front-end integration of the commercial vehicle data maintained in the State's legacy systems. The CI/CVIEW System must interface to the appropriate Federal systems, to the mainline screening and clearance systems at the weigh and inspection stations, and to the server that supports the mobile data terminal laptop computers used by safety inspectors at the roadside. CI/CVIEW must support the exchange of both credentials-related data and safety-related data among authorized users. It is important that the Award 1 winner understands the Award 2 and Award 3 Required Deliverables, since those applications must be seamlessly integrated into the CI/CVIEW System and be fully functional within the CI/CVIEW environment. In the Required Deliverables for Award 2 and Award 3, there are many instances where the Award 2 winner and the Award 3 winner are required to work with the Award 1 winner. The Award 1 winner must understand Award 1 responsibilities, relative to the Award 2 winner and the Award 3 winner, and agree to these responsibilities.

The Award 1 Contractor must develop, with State staff and the contractors winning Awards 2 and 3, an acceptable CI/CVIEW System Project Implementation Plan for design, development, implementation and roll out. This Plan must be incorporated into the *CVISN/PRISM Project Implementation Plan*. The Award 1 winner must update and maintain the CI/CVIEW System Project Implementation Plan.

The Award 1 Contractor must develop, with State staff and the contractors winning Awards 2 and 3, an acceptable Quality Assurance Plan for the CI/CVIEW System design and development effort, to assure that the system, as delivered, meets all applicable requirements. The CI/CVIEW System QA Plan must be incorporated into the *CVISN/PRISM Project Quality Assurance Plan*. The Award 1 winner must update and maintain the CI/CVIEW System Quality Assurance Plan.

The Award 1 Contractor must develop, with State staff and the contractors winning Awards 2 and 3, an acceptable Test Plan for the CI/CVIEW System. This Test Plan is to address unit tests, system integration tests, testing procedure for all interfaces, user acceptance tests and production acceptance tests. The development and execution of a Proof of Concept Test, as described in Attachment 6.1 Section 6.1.1, must be addressed in the Test Plan.

The Award 1 winner must assist the State Team in developing a list of CI/CVIEW System stakeholders (estimate: 20). Next, the Award 1 winner must participate in interviews of selected stakeholders. The purpose of these interviews is to document stakeholder expectations in order to confirm that the CI/CVIEW System goals and objectives are consistent with these expectations. The Award 1 contractor must provide written summaries of the interviews for State review and acceptance.

The Award 1 winner must work with the State Team to develop a list of potential users of the CI/CVIEW System. The users will be identified as either principally involved in commercial vehicle credentialing activities, or in commercial vehicle safety and enforcement.

The Award 1 winner must work with the State Team and the identified credentialing-related users, including State of Connecticut staff involved in commercial vehicle credentialing, selected motor carriers and other parties as appropriate, to define the requirements and develop an acceptable logical design for the Credentialing Interface, the credentialing functionality, payments processing and the exchange of credentials information to be included in the CI/CVIEW System.

The Award 1 winner must work with the CVISN/PRISM Team and State of Connecticut staff involved in commercial vehicle safety and enforcement to document the requirements and develop the logical design for the exchange of credentials and safety information to be included in the CI/CVIEW System.

Once the CI/CVIEW business requirements have been documented and the State has agreed to the business requirements, the data required to support the requirement functionality can be identified. This will lead in turn to a list of the systems where this data can be found. In some cases, the required data may be maintained in more than one system. This information must be documented in the CVISN/PRISM Data Dictionary, as described in Section 6.1.1 above.

The Award 1 winner must work with the CVISN/PRISM Team to develop the physical design for the CI/CVIEW System and all of its interfaces. As part of the physical design process, the Award 1 winner must describe the options available for providing any given component of functionality and recommend the most cost-effective option for implementation.

The Award 1 contractor must develop, in conjunction with the State Team and the Award 2 and Award 3 winners, detailed designs for the interfaces and protocol standards for the exchange of data between the CI/CVIEW System and the systems of the Award 2 and Award 3 winners. The Award 1 winner must develop, implement and maintain the CI/CVIEW System side of the interfaces with the Award 2 and Award 3 systems.

The Award 1 contractor must develop, in conjunction with the State Team and the Award 2 and Award 3 winners, a design for a security function within the CI/CVIEW System to provide access only to authorized users of CI/CVIEW System functionality and data. Unauthorized users are to be prevented from accessing the System or the data. The security system must also prevent unauthorized access to the systems which interface to CI/CVIEW. The Award 1 winner must develop, implement and maintain the security function as part of the CI/CVIEW System.

One of the principal areas where the Award 1 winner must present options involves the approaches for providing user access to the data required by the users to support agency business processes. The goal is to provide access to the authoritative source for each data element, but this must be tempered with the cost of developing this access. As stated in Section 6.0.8, how this data will be made available will be determined on a system-by-system basis during the design process. If the legacy system that is the authoritative source of the data supports online access to its data base, then the data may be available "on demand." However, if the legacy system is a batch system, it may be necessary to maintain a copy of the data in the CI/CVIEW System.

At the present time the CVISN Team expects it will be necessary to build a "data repository" within CI/CVIEW. This repository would include data from a number of legacy systems. Since most of the legacy systems are batch oriented, we would expect to receive data from a legacy system only after it has passed all the edits and validity checks built into the legacy system. Most of the data in the repository is expected to relate to vehicles, carriers, vehicle owners, and registrants. The principal sources for this data are the IRP system and the DMV Registration System. The data repository is expected to be based on the data available from these systems, supplemented with additional data from other sources, including data that may need to be keyed directly into the repository. A major task of the Award 1 winner will be to first verify that there is a need for this repository within CI/CVIEW, and, if the need is valid, to design and build it.

Although access to the data maintained in State of Connecticut or US DOT systems may be difficult, it is a relatively straightforward process. With these systems security and privacy may be a concern, and many of the legacy systems are batch systems with no provision for online access. Unfortunately, some of the data required for CVISN and

PRISM business processes is maintained in systems in other states. This presents a number of challenges. For the most part, the processes for sharing CVISN/PRISM data among states are yet to be developed. Once again, data security and privacy may be a concern. Most of the need to share this data is driven by the states attempting to implement CVISN and PRISM Programs, and because these programs are new, the prototype and pilot states are only now beginning to address these issues. Until some of these data sharing processes are developed, it may necessary to develop manual or ad hoc methods for acquiring the necessary data.

The need to share data with other states occurs with respect to IRP, SSRS and IFTA credentials. Although data on safety inspections of interstate commercial vehicles is available through SAFER, there is a recently recognized need to share data on safety inspections of intrastate vehicles. The IRP Clearinghouse and the IFTA Clearinghouse are viewed as possible data sharing mechanisms, but these clearinghouses are in the early stages of signing up states to participate. Another source of data is transponder administrators that provide transponders to carriers and assemble the necessary data to give green lights. There is some controversy among the states over incorporating data from transponder administrators into CVIEW databases.

Connecticut's goal is to maintain flexibility with respect to the processes for data sharing among states. Although the long term solution appears to be national systems for data sharing, similar to the SAFER model, it may be necessary for states like Connecticut to begin sharing data with bordering states in order to obtain at least some of the data needed to issue green lights, for example. Vendors are encouraged to propose solutions to data sharing that not only solve the short-term problem, but will remain viable in the future.

In developing the CI/CVIEW System, the State expects the Award 1 winner to utilize existing applications where possible. A number of states have implemented, or are in the process of implementing, CI/CVIEW systems, including CA, KY, MD, MN, VA and WA. Connecticut hopes to utilize code developed by these states where possible, and in any case, to benefit from "lessons learned" by these leaders. The CVIEW Systems used in these states are all adaptations the CVIEW System originally developed by the Johns Hopkins University Applied Physics Laboratory. This original CVIEW is based on a modification of SAFER. JHU/APL plans to release Version 3.0 of CVIEW in December 2000. CVIEW 3.0 is planned to be installed in MD, VA and KY in December 2000 and made available to the CVISN Pilot States during the first quarter of calendar year 2001. This is expected to be the final release of CVIEW. At this time it is our understanding that there is no provision for maintaining the JHU/APL CVIEW code beyond December 31, 2000.

Once the CVIEW requirements are developed for Connecticut, the Award 1 winner must investigate the options for utilization of existing modules from the JHU/APL CVIEW and from the applications developed in other states. These options must be presented to the State with a recommendation for CVIEW development in Connecticut.

With respect to the Credential Interface portion of the CI/CVIEW System, Connecticut expects to implement both web-based and EDI interfaces. The CVISN Prototype and Pilot states seem to be having greater success with the web-based approach than they are with EDI, though a combination of these technologies will be considered. On the web side, a number of states have developed application software for use by the carriers. These states are now rethinking this approach and adopting an approach that only requires the carrier to have a browser. Connecticut plans to take the latter approach. However, we are willing to limit the number and versions of browsers supported. This browser approach eliminates the need for the State or anyone to maintain application software that could potentially be installed on thousands of computers in carrier offices.

The EDI interface is targeted for utilization by motor carriers with many vehicles and existing in house systems that contain the data needed to apply for credentials. EDI interfaces have been implemented in KY, MD and VA. These interfaces support the ANSI X12 Standard Transaction Set 286 for Commercial Vehicle Credentials and other associated transactions sets. These states found that it was necessary to obtain state-specific extensions to the ANSI standard transaction sets. The Johns Hopkins University Applied Physics Laboratory assisted these states through the ANSI standards process. Connecticut hopes to implement EDI interfaces based on the work already done in other states and to minimize the need for additional effort. The Award 1 winner must offer a cost-effective approach to implementing this function. It has a lower priority than implementing the browser-based functionality.

One reason Connecticut wants to minimize the resources devoted to implementing an EDI interface is that it appears XML may offer an effective and less costly alternative to EDI. This issue has led to a debate among the CVISN Prototype and Pilot states over EDI vs. XML, and as a result the US DOT has asked the Johns Hopkins University Applied Physics Laboratory to investigate the viability of an XML approach. Connecticut would consider utilizing XML for the carrier and transponder administrator interface needed to support entering transponder id's and related data into the CI/CVIEW System. The transponder id's and related data is required for implementing electronic screening and clearance.

The use of XML is not meant to be restricted to addressing the EDI component of the CI. Although the web based interface side of the CI has typically been implemented using HTML, Connecticut is open to the consideration of other options such as XML. Connecticut will also consider XML-enhanced EDI systems.

Connecticut has passed a law legalizing digital signatures. The law itself does not address how to implement digital signatures. The development of acceptable processes and procedures for the use of digital signatures was left to the agencies. The Award 1 winner must work with the State Team, OPM, DOIT and the contractors winning Awards 2 and 3 to develop acceptable processes for the use of digital signatures. This might include processes for authentication, encryption, the use of public keys, etc. In addition to the Module 2 items identified above, the Award 1 winner must provide the following products and services:

All Award 1 deliverables will be reviewed in conjunction with quality assurance activities before the State will issue formal acceptance and a formal State acceptance is required before payments are authorized. The Award 1 winner (possibly in conjunction with the Award 2 & 3 winners at the option and agreement of both the Award 1 Contractor and the State Technical Project Manager) will provide at least the following deliverables and services:

1. Initiate, schedule and chair meetings regarding any CVISN/PRISM related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manager and Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries
2. Design a Work plan for the CI/CVIEW Systems design, development and implementation.
3. At a minimum, Weekly Progress reports
4. Statements of specifically who will be working on the project both onsite and off, including full resumes outlining experiences and other applicable qualifications.
5. System Development Plan
6. Quality Assurance Plan, developed in conjunction with quality assurance activities, to assure that the system(s), as delivered, meet State requirements
7. System Test Plan, developed in conjunction with quality assurance activities
8. System Implementation Plan
9. Updates to System Development, Quality Assurance, System Test and System Implementation Plans
10. Document identifying stakeholders, and summarization of stakeholder interviews.
11. Statement of vendor's understanding of business functionality. This must include any assumptions being made by vendor, results of user interviews, research and analysis results, etc....
12. System Requirements document. This must include high-level and detail-level system flowcharts of all systems, sub-systems and interfaces; data flow diagrams; entity relationship diagrams; data models; etc....
13. Statement of code generators being used, language environment, database (datastore) definition tools, coding standards, etc....
14. Logical (general) system design document
15. Identification of required (or recommended) hardware, networking needs, etc... to efficiently use vendor's software solution. Remember that seamless integration with CI/CVIEW is required.
16. Physical (detail) system design document(s)
17. Software (code) installation in test environment
18. System Unit Test requirements. This will include at minimum, test scripts identifying all test conditions with expected results, actual results, reasons for difference between expected and actual, corrective measures taken, testing dates (including retests), and assigned staff.
19. System functionality acceptance and interoperability tests. This must outline methods to be employed to perform integration testing, whether simulated, actual, or something else. Similar documentation will be expected as noted for System Unit Test.

20. System Technical Documentation. This must include operations and technical documentation, in a clear and concise manner, with easy-to-use indexes, table of contents, etc....
21. System User Documentation. This must include at minimum, full user instructions, all field values, information explaining relationship of fields, color screen prints with samples of data, etc...
22. Data Dictionary reports
23. Software (code) installation in production environment
24. System production acceptance test
25. System overview suitable for describing (marketing?) system to other states
26. System Integration Services
  - “Back-end” support for electronic credentials and payments processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) System;
  - The development, in conjunction with the Award 2 & 3 winners, of detailed designs for the interfaces and protocol standards for the exchange of data between the Award 2 & 3 winner’s Systems and the CI/CVIEW System;
  - Provide direction and oversight to the Award 2 & 3 winners with regards to the development, implementation and maintenance of their systems as they relate to the CI/CVIEW System; and
  - The development, implementation and maintenance of the CI/CVIEW System.

**6.1.3 AWARD 1 - MODULE 3: DEPARTMENT OF MOTOR VEHICLES -  
SYSTEMS DEVELOPMENT, MODIFICATION AND INTEGRATION  
SERVICES**

**6.1.3.1 Background and Requirements Overview**

**6.1.3.2 CI/CVIEW Interface to the IRP System**

**6.1.3.3 CI/CVIEW Interface to the DMV Vehicle Registration System**

**6.1.3.4 Single State Registration System (SSRS) Enhancement and Interface to  
CI/CVIEW System**

- 6.1.3.4.1 Current Business Processes**
- 6.1.3.4.2 Current Technical Environment**
- 6.1.3.4.3 Desired System**
- 6.1.3.4.4 Business Process Requirements**
- 6.1.3.4.5 Technical Requirements**

**6.1.3.5 CI/CVIEW Interface to the DMV Cashiering System**

**6.1.3.6 CI/CVIEW Interface to the DMV DRIP File System**

- 6.1.3.6.1 Current Business Processes**
- 6.1.3.6.2 Current technical Requirements**

**6.1.3.7 Design and Develop Connecticut PRISM Target File System**

**6.1.3.8 Deliverables**

### 6.1.3.1 Background and Requirements Overview

Under this Module 3, the Award 1 Contractor is to provide the following products and services:

Work with the CVISN Team and Award 2 winner to design, develop and implement an interface between CI/CVIEW and the selected IRP System to support electronic credentialing and payment by carriers for vehicles registered through the IRP System, and to support access to IRP related information by authorized users.

Work with the CVISN Team and others as appropriate, to design, develop and implement an interface between CI/CVIEW and the DMV Vehicle Registration System to obtain the data to populate a data repository in order to provide access to non-IRP vehicle registration information by authorized users. The data repository would include a super set of the DMV Registration information, as it would be expected to include items such as the US DOT number that is not contained in the DMV Registration System.

Work with the CVISN Team and others as appropriate, to design, develop and implement an interface between CI/CVIEW and the DMV SSRS System to support electronic credentialing and payment by carriers for SSRS credentials, and to support access to SSRS related information by authorized users. Enhance the SSRS System as needed to support this functionality.

Work with the CVISN Team and others as appropriate, to provide an interface between CI/CVIEW and the DMV Accounting System to enable data on electronic payments by DMV clients to be transferred to the Accounting System without the need for human intervention.

Work with the CVISN Team and others as appropriate, to design, develop and implement an interface between CI/CVIEW and the DMV **Delinquent Tax, Registration Privilege Suspended, Insurance Compliance and Parking Ticket Violations (DRIP) File** to support access to DRIP related information by authorized users.

Work with the CVISN Team and others as appropriate, to design, develop and implement a Connecticut PRISM Target File System that is integrated with the US DOT PRISM Target File and its associated processes. The goal is to enable authorized users to establish and maintain a list of Motor Carriers with poor safety records as defined by the US DOT and the Connecticut DMV. A second equally important goal is to provide authorized users with access to the PRISM Target File information, with the system design process determining if this is to be a local file or the national Target File.

Develop and document project implementation plans, quality assurance plans, user requirements, logical design, physical design, test plan, etc., information for these Award 1 Module 3 interfaces and system enhancements. The required items are the same as those required for the CI/CVIEW System. Integrate these documents into the appropriate CI/CVIEW System documents.

All of the above systems (IRP, Vehicle Registration, SSRS, DRIP, and PRISM Target File) are to support Connecticut Department of Motor Vehicles (DMV) business processes and well as CVISN/PRISM business processes associated with multiple agencies. These processes are briefly described below, with additional detail provided in subsequent sections.

The DMV is responsible for the administration of all Connecticut commercial vehicle registrations. These registrations include International Registration Plan (IRP) apportioned registrations as well as non-IRP commercial registrations. Connecticut is a member of the International Registration Plan, a registration reciprocity agreement among jurisdictions (states and provinces), that collects and disburses registration fee payments according to the percentage of apportioned fleet miles operated in the various jurisdictions. Generally, interstate commercial vehicles in excess of 26,000 pounds gross weight require an IRP registration. Additional information about the Department of Motor Vehicles and its IRP program can be found in Attachment 6.2.

The Department of Motor Vehicles also administers the Single State Registration System (SSRS) program, which issues the appropriate credentials for verifying the operating authority for interstate haul-for-hire carriers.

The DMV IRP/SSRS Section, located in Wethersfield, Connecticut, is responsible for the administration of the IRP and the SSRS Programs in Connecticut. Only the IRP/SSRS Section Office processes apportioned (IRP) registrations and SSRS credentials.

The DMV has about 1,900 IRP carrier accounts, about 12,000 commercial vehicles with active IRP apportioned registrations, and approximately 700 SSRS accounts.

Registrations for non-IRP commercial vehicles are processed by DMV Branch Operations personnel in twelve full-service offices located throughout Connecticut. Non-IRP commercial vehicle registrations include registrations for intrastate operation, as well as for interstate operation when the vehicle is below the weight/axle threshold for an IRP apportioned registration. The DMV has approximately 16,000 non-IRP registered commercial vehicles. Of these, about 8,900 have gross weights in excess of 18,000 pounds.

Before any Connecticut vehicle registration is issued, DMV staff must verify that the registrant does not owe property tax, has not had his or her registration privileges revoked, has not had his insurance cancelled and does not have outstanding parking tickets. This verification is performed by making sure the registrant is not listed in the **Delinquent Tax, Registration Privilege Suspended, Insurance Compliance and Parking Ticket Violations (DRIP) File System**. If the registrant's name appears in the DRIP File,

then he or she is directed to correct the situation with the appropriate authority before the registration can be processed.

The State of Connecticut, as a PRISM Program State, requires links between vehicle registrations and the safety performance of carriers/vehicles. The plan is to list motor carriers that have a poor safety record, and have not been able to improve it, in a file called the PRISM Target File. Carriers listed in the PRISM Target File will not be permitted to process commercial vehicle registrations. This file is to be used in a similar manner to the Connecticut DRIP file as described above.

The DMV is planning to initiate an Emissions/Registration Project in early 2001. The initial goal of this Project is to build an Emissions System using a DB2/UDB relational database. The Emissions System is projected to go live in late 2002. This System will establish a new flexible and modern IT infrastructure that will support DMV efforts to replace a number of its legacy systems in the future. The next system to be replaced will be the Vehicle Registration System, targeted for 3 –4 years later. Once the Registration System is converted to a relational database, it should be possible to implement an interactive interface between the CI/CVIEW System and the new Registration System. It could also be linked to the IRP System.

The establishment of these new DMV systems must lead to improvements in the CVISN and PRISM business processes because the supporting systems can exchange data much more effectively. Vendors must consider DMV's plan and suggest how the CI/CVIEW design might address the possibility of the future implementation of an interactive link to the DMV Vehicle Registration System. Also, vendors must offer suggestions on how lessons learned during the CI/CVIEW development process might be transferred to the DMV IT Group to help assure the success of the Emissions/Registration Project.

#### **6.1.3.2 CI/CVIEW Interface to the IRP System**

Work with the CVISN Team, DMV Staff and the Award 2 winner to design, develop and implement an interface between CI/CVIEW and the selected IRP System to support electronic credentialing and payment by carriers for vehicles registered through the IRP System, and to support access to IRP related information by authorized users.

At the present time, only the DMV IRP Section has electronic access to the IRP System. Users outside of the IRP Section can only access a subset of the IRP data that is included in the DMV Vehicle Registration System and in a "shadow" file that is a copy of the Vehicle Registration file. Unfortunately, the US DOT number, which is a critical element in the CVISN and PRISM Programs, is one of the data elements that cannot be accommodated in the Registration System.

The IRP data in the Registration System is updated on a weekly basis from the IRP System, and the "shadow" file is updated daily from the Registration System. As a result, the user may be viewing an electronic record that is more than a week old. In fact, the paper credential located in a vehicle may be more up to date than the electronic record.

Access to the up-to-date IRP registration information is required for all authorized users of this data, not just those in the DMV IRP Section. As the IRP System selected under Award 2 is also to support intrastate fleets, the need for access to up-to-date data will be even greater.

Additional information on the IRP System and its required functionality is included in Attachment 6.2. The credentialing functionality described in Attachment 6.2 is to be made available to the carriers through the CI/CVIEW System and its interface to the IRP System.

### **6.1.3.3 CI/CVIEW Interface to the DMV Vehicle Registration System**

Work with the CVISN Team and others as appropriate, to design, develop and implement an interface between CI/CVIEW and the DMV Vehicle Registration System to obtain the data to populate a data repository in order to provide access to non-IRP vehicle registration information by authorized users. The data repository would include a super set of the DMV Registration information, as it would be expected to include items such as the US DOT number that is not contained in the DMV Registration System.

Currently, only DMV staff have access to the DMV Vehicle Registration System. Although this is a batch system, a limited number of online transactions are implemented, principally for use from the DMV branch offices. Providing this same access to CVISN/PRISM users might be helpful in some situations, but without the US DOT number and without the ability to tie together all the vehicles in a motor carrier's fleet, the usefulness is limited.

Access to vehicle registration information by authorized users outside DMV is currently provided through the Department of Public Safety COLLECT System. COLLECT provides access to a "shadow file" containing vehicle registration information maintained by DMV primarily for access by law enforcement personnel nationwide. National access to this file is provided through NLETS, which is a system that connects to the vehicle registration file in each State. NLETS, which is maintained by the FBI, does not maintain any data locally; it simply points to the state systems where the data is maintained.

For CVISN and PRISM purposes, access to the non-IRP registration data maintained in the DMV vehicle registration system is required. However, this does not imply the need to give online access to the file itself. We expect this data requirement will be met by building a data repository as described above in Section 6.1.2. The determination of how to provide access to this data will be made as a result of the requirements definition process for CI/CVIEW. The Award 1 winner will work with the CVISN Team and DMV staff to decide the most cost effective approach to meeting these requirements.

A technical overview of the DMV Vehicle Registration System and its file as well as the associated shadow file is provided as follows:

The Connecticut Vehicle Registration System is installed at the Connecticut Administrative Technology Center (CATER). CATER is the State Data Center

maintained by the Department of Information Technology (DOIT) in Hartford. The System operates in an IBM MVS environment, is written in COBOL and contains both batch and on-line (CICS) updates. The files are VSAM KSDS. The Vehicle Registration System contains an electronic record of all vehicle registrations.

Access to the DMV Vehicle Registration System is provided through the statewide network maintained by DOIT. The network supports both 3270 based SNA access and TCP/IP TN3270 access to the Registration System.

Authoritative Information Source: Nicholas Demetriades, DMV Information Systems Technologies Division (IST), DOIT

Functional Overview: The Registration System is the registration system for all in-state vehicles. Processes all new, transfers, changes and cancellations of vehicle registration and credential information. Includes commercial vehicles, both in-state and IRP registrations.

System Owner of Record: DMV Branch Operations Division

Technical Support: The DMV Information Systems Technologies (IST) Division

System Development: The System was developed in-house by the DMV IST Division

Initial Install Date: Late 1970's, with updates

Installed Version: Major overhaul in 1983-1984; converted from DOS/VSE/SP to MVS in 1999 as part of the Y2K Project

Run location: DOIT CATER in Hartford

OS/TP Environment: IBM MVS/OS 390 VTAM/CICS

Technical Architecture: IBM Mainframe, VTAM, TCP/IP and SNA to Wethersfield, SNA to Branch Offices, Ethernet and Token Ring

File/Data Base: VSAM KSDS, sequential files

Size Information: 2,700,000 active records, 3,500,000 total; 500 bytes/record

Language: IBM Cobol, COBOL/CICS, VISION Results (formerly Dylakor), Assembler

Lines of Code: COBOL: 332,202      VISION: 6,894      ASM: 4,618      Total: 343,714

Programs:      COBOL: 406      VISION: 56      ASM: 25      Total: 487

User Interface: 3270/CICS Inquiry and access, data entry 3270/CICS to batch

Y2K Status: The System is compliant, using Windowing logic based upon the Year 2000.

CVISN Relationship: In-state registrations for commercial vehicles also contains IRP information

#### **6.1.3.4 Single State Registration System (SSRS) Enhancement and Interface to CI/CVIEW System**

##### 6.1.3.4.1 Current Business Processes

In the SSRS Program, interstate haul-for-hire carriers (who transport property belonging to another for a fee, as opposed to private carriers who transport their own property) apply to their base state to obtain a credential allowing interstate operation of carrier vehicles in all SSRS jurisdictions listed on the credential. By providing such a credential for interstate haul-for-hire operation, which is renewed annually, the base jurisdiction verifies that proper USDOT operating authority is in effect, as well as mandatory insurance coverage as required by USDOT.

The level of required insurance coverage varies, depending upon whether the carrier is a carrier of freight or passengers: if freight, whether the carrier is a carrier of hazardous commodities or non-hazardous commodities, or exempt commodities; if passengers, whether the vehicle has a seating capacity of 16 or more. The Certificate of Insurance is maintained on file in the carrier's base jurisdiction. Such interstate haul-for-hire carriers must also pay, based upon the size of the fleet operating in each jurisdiction, a statutory fee for each SSRS jurisdiction traveled in. The base state collects the jurisdictional fees from the carriers in a single payment, and disburses payments to each of the other SSRS jurisdictions traveled in. Therefore, the program is called "Single State" because the carrier only contacts the base jurisdiction to provide a single payment and obtain a single credential that is valid in the other SSRS jurisdictions listed on the credential.

The SSRS Program credential is not vehicle-specific, but rather is specific only to the carrier for a given calendar year. The credential specifies the maximum number of vehicles that may be operated in each state at any given time.

Connecticut has approximately 700 SSRS accounts administered by the SSRS Section of the Connecticut DMV IRP/SSRS Unit. Connecticut maintains an electronic record of the SSRS accounts on an in-house PC running the Illinois provided SSRS application. This same application is used by approximately 28 of the 37 SSRS jurisdictions.

The SSRS Section currently has access to the Word Wide Web and routinely verifies applicant and insurance information through the Safety And Fitness Electronic Records (SAFER) System.

##### 6.1.3.4.2 Current SSRS Technical Environment

DMV recently upgraded to the current version of the Illinois provided SSRS System. This system was developed by the Illinois Commerce Commission using Clipper. The code, which is owned and maintained by Illinois, is available at no charge to any jurisdiction that wants to use it. Information on the SSRS application, including the code itself, is available on the web at [www.ICC.State.IL.US/insurance/SSRS](http://www.ICC.State.IL.US/insurance/SSRS).

#### 6.1.3.4.3 System Requirements

The Award 1 winner is to work with the CVISN Team, the DMV IRP/SSRS Section staff and the Illinois to design, develop and implement enhancements to the SSRS System (if required) and an interface between CI/CVIEW and the DMV SSRS System, to support all relevant State of Connecticut SSRS business and technical requirements, including the following:

1. Motor carrier applications for SSRS credentials (for all types: new, renewal and additional application requests) are to be filed electronically from motor carrier facilities.
2. Produce payment vouchers electronically so that payments may be made electronically, by check through the US Mail, or by submitting cash or a check directly to the DMV IRP/SSRS Section Office in person. If fees are paid electronically, the payment data is to be transmitted electronically to the DMV accounting system.
3. Connecticut business processes concerning SSRS credentials, including the electronic evaluation and processing of the applications, responses to the client, including verification of payment are to be supported through the electronic exchange of SSRS related data with the client.
4. The paperless vehicle concept; i.e., electronic credentials and supporting electronic documentation are to be accepted in lieu of paper versions and become primary, while paper records become secondary, is to be supported to the extent allowed by Connecticut statutes and regulations.
5. Access to Connecticut-held SSRS credentials data, is to be provided to authorized users.
6. Unique, standard identifiers will be adopted for each SSRS-registered carrier.

#### 6.1.3.4 CI/CVIEW Interface to the DMV Accounting System

Work with the CVISN Team and others as appropriate, to provide an interface between CI/CVIEW and the DMV Accounting System to enable data on electronic payments by DMV clients to be transferred to the Accounting System without the need for human intervention. It is the CVISN Team's understanding that the DMV uses the DOIT

BOSS/SAAAS Accounting System and that an interface exists that could be utilized for CVISN purposes.

### **6.1.3.5 CI/CVIEW Interface to the DMV DRIP File**

The vendor must work with the CVISN Team and others as appropriate, to design, develop and implement an interface between CI/CVIEW and the DMV Delinquent Tax, Registration Privilege Suspended, Insurance Compliance and Parking Ticket Violations (DRIP) File to support access to DRIP related information by authorized users.

#### **6.1.3.6.1 Current Business Processes**

The DRIP System is checked in the DMV IRP Section, and in all areas of the DMV that issue registrations, prior to the issuance or renewal of any registration credential. This file lists, by alpha name of registrant, names of persons and companies that cannot obtain registrations for a variety of reasons, the most common being that motor vehicle property taxes are owed to one of Connecticut's 169 municipalities or to one of its boroughs or fire districts.

Currently, the DRIP file is not integrated with the IRP System or the DMV Vehicle Registration System. Checking the DRIP System requires a visual inspection of a file listing, either on a computer screen or on a hardcopy list. Furthermore, records in the DRIP System do not currently contain USDOT numbers, which are anticipated critical indicators for CVISN and PRISM.

#### **6.1.3.6.2 Current Technical Environment**

The following DMV Delinquent Tax, Registration Privilege Suspended, Insurance Compliance and Parking Ticket Violations (DRIP) File overview information is provided:

Authoritative Information Sources: Nicholas Demetriades, DMV Information Systems Technologies Division (IST), DOIT

Functional Overview: The DRIP File System lists clients who are in violation of relevant regulations or statutes; updated weekly

System Owner of Record: DMV Branch Operations Division

Technical Support: The DMV Information Systems Technologies (IST) Division

System Development: The System was developed in-house by the DMV IST Division

Initial Install Date: Late 1970's

Installed Version: Initially had only delinquent tax functionality, parking ticket violations

were added in 1991 and insurance compliance was added 1993

Run location: DOIT CATER in Hartford

OS/TP Environment: IBM MVS/OS 390 VTAM/CICS

Technical Architecture: IBM Mainframe, VTAM, TCP/IP and SNA to Wethersfield,  
SNA to Branch Offices, Ethernet and Token Ring

File/Data Base: Sequential and VSAM KSDS

Size Information: 1,900,000 records

Language: IBM Cobol, COBOL/CICS, VISION Results (formerly Dylakor), Assembler

Lines of Code:

Delinquent Tax: COBOL: 4,057 VISION: 567 ASM: 6,133 Total: 10,757

Insurance Compliance: COBOL: 144,126 VISION: 3,253 ASM: 0 Total: 147,379

Parking Tickets: COBOL: 8,235 VISION: 0 ASM: 0 Total: 8,235

Tax Town Inquiry: COBOL: 5,849 VISION: 0 ASM: 0 Total: 5,849

Programs:

Delinquent Tax: COBOL: 3 VISION: 4 ASM: 6 Total: 13

Insurance Compliance: COBOL: 131 VISION: 23 ASM: 0 Total: 154

Parking Tickets: COBOL: 9 VISION: 0 ASM: 0 Total: 9

Tax Town Inquiry: COBOL: 13 VISION: 0 ASM: 0 Total: 13

User Interface: Internal 3270/CICS, External users include town tax officials, Sheriff  
Departments, mostly inquiry, COBOL/CICS

Y2K Status: The System is compliant

CVISN Relationship: This file is checked before in-state and IRP vehicle registration  
credentials are issued

### **6.1.3.7 Design, Develop, Implement and Maintain Connecticut PRISM-Related Systems**

The Award 1 winner is to work with the CVISN/PRISM Team and others as appropriate, to design, develop, implement and maintain Connecticut's PRISM-related Motor Carrier Safety Improvement Process (MCSIP) systems that are integrated with US DOT PRISM-related MCSIP systems and associated processes.

At one time it was planned that Connecticut's PRISM-related systems would be incorporated in the Connecticut DMV Delinquent Tax, Registration Privilege Suspended, Insurance Compliance and Parking Ticket Violations (DRIP) File. The CVISN/PRISM Team now believes separate Connecticut PRISM-related MCSIP systems files are necessary because the DRIP file does not accommodate US DOT Numbers and because the DRIP file is accessed by name. There is no universal identification number associated with the file entries. Making a determination that the name of an individual or a company is, or is not, in the file requires a certain amount of skill on the part of the user. There are duplicate records and the names may be entered in different ways. Given these issues, it would be difficult, if not impossible, to automate the process for determining with a reasonable level of confidence that a carrier is, or is not, in the DRIP file.

Connecticut plans to use the US DOT Safety And Fitness Electronic Record (SAFER) MCSIP Target Database to populate a Connecticut MCSIP Vehicle File that contains all (national) MCSIP vehicles on a daily basis. Because Connecticut plans to operate an instate program using processes similar to the national PRISM program, the Connecticut MCSIP Vehicle File is expected to contain data on Connecticut-based carriers [data on both interstate (IRP) and intrastate vehicles and carriers] for daily uploads to the US DOT SAFER MCSIP Target Database. All vehicles in the Connecticut MCSIP Vehicle File will have associated US DOT numbers.

Connecticut has been issuing US DOT numbers to intrastate carriers for more than five years. These US DOT numbers are assigned using the same process that is used to assign numbers to interstate carriers. As a result, the numbers are unique. The only difference is that a "CT" suffix is added to the number when it is given to the carrier. This suffix does not appear in the US DOT systems.

Currently, MCSIP data exchange functions are performed by the SAFER System at the US DOT John A. Volpe National Transportation Center. SAFER stores vehicle information about carriers enrolled in MCSIP (i.e., those having poor safety performance) and makes that data available to roadside inspection sites to ensure that the vehicles of MCSIP carriers are targeted for inspections. Completion of the initial batch and interactive data exchange capabilities to support PRISM operations were expected in late 2000.

Connecticut's understanding is that the US DOT plans to utilize the following processes for exchanging and acting upon PRISM-related data:

- The US DOT SAFER MCSIP Target Database is to be built from scratch on a daily basis from information provided daily from Connecticut and other PRISM States;
- The US DOT SAFER MCSIP Target Database Vehicle File will be provided daily to Connecticut, and other states, through a file transfer process;
- Connecticut will maintain a Connecticut MCSIP Motor Carrier Census File (a subset of the SAFETYNET Motor Carrier Census File) that will contain all MCSIP carriers identified in the SAFETYNET Motor Carrier Census File [Initially, the Connecticut MCSIP Motor Carrier Census File is expected to be built by downloading a copy of the Motor Carrier Management Information System (MCMIS) Motor Carrier Census File (that is maintained at SAFER) from SAFETYNET. Subsequently, the Connecticut MCSIP Motor Carrier Census File is expected to be updated weekly with transactions from SAFER/SAFETYNET];
- On a daily basis Connecticut (and each of the other PRISM States) will build a Connecticut MCSIP Vehicle File that contains information for all of the carriers in the local Connecticut MCSIP Motor Carrier Census File;
- A local Connecticut MCSIP Vehicle File (for daily uploads to the MCSIP Target Database) will be built daily from registration data obtained from the Connecticut IRP system by extracting the information on all the vehicles registered to the carriers listed in the Connecticut MCSIP Motor Carrier Census File;
- A Connecticut MCSIP Vehicle File (and MCSIP Vehicle Files from the other PRISM states) will be forwarded to SAFER on a daily basis; and
- SAFER will use the Connecticut MCSIP Vehicle File (and the MCSIP Vehicle Files from the other PRISM States) that is forwarded on a daily basis to build a new US DOT SAFER MCSIP Target Database, thus completing the daily cycle of file exchange and file processing between the US DOT and PRISM States.

Connecticut's PRISM-related systems, including the planned Connecticut MCSIP Motor Carrier Census File, the Connecticut MCSIP Vehicle File (for daily uploads to the SAFER MCSIP Target Database) and the Connecticut MCSIP Vehicle File [for all (national) MCSIP vehicles] are to include the files, file transfers and state-level

functionality required by the US DOT. While the above description is Connecticut's current understanding of US DOT plans, these plans may change during the Federal implementation process. The Connecticut PRISM functionality, when implemented, must integrate with the US DOT systems.

#### **6.1.3.8 Deliverables**

The Award 1 winner is to develop and document a project implementation plan, quality assurance plan, user requirements, logical design, physical design, test plan, etc., for this Award 1 Module 3 systems development, modification and integration services. The required items are the same as those required for the CI/CVIEW System. These documents are to be integrated into the appropriate CI/CVIEW System documents.

## **AWARD 1 - MODULE 4: DEPARTMENT OF REVENUE SERVICES - SYSTEMS DEVELOPMENT AND INTEGRATION SERVICES**

### **6.1.4.1 Background**

The mission of the Connecticut Department of Revenue Services is to administer the tax laws of the State of Connecticut and collect the tax revenues in the most cost effective manner; achieve the highest level of voluntary compliance through accurate, efficient and courteous customer services; and perform in a manner which instills public confidence in the integrity and fairness of the State's tax programs.

There are approximately 850 DRS employees in an organizational structure that includes nine Divisions: Administration, Appellate, Audit, Collections and Enforcement, Information Services, Inheritance, Legal, Operations and Taxpayer Services. The Central DRS Office is located in Hartford at 25 Sigourney Street. The four basic operational programs supported by the Divisions are:

Management Services – Sets Departmental policy and direction; allocates and manages resources; provides support services and legal and taxpayer assistance.

Operations – Processes and deposits all State tax revenues which finance the operations of the State, and strengthens the ability of Agency programs to secure additional tax revenues by supplying vital information through a Management Information System.

Audit – Determines, through a comprehensive office and nationwide field audit program of selected accounts, the accuracy of tax reporting in order to maximize tax revenue and induce compliance among the entire taxpaying population.

Collection and Enforcement – Ensures the collection of overdue State taxes and enforces compliance by those who do not voluntarily pay taxes through a highly visible, vigorous and well-defined collection and enforcement program.

The DRS Fuel Use Tax Program relates to commercial motor carrier operations. This Program is administered by the DRS Operations Division. Three sections within the Operations Division and the Information Services Division have responsibility for various aspects of the management and operation of the Fuel Use Tax Program. Staffing in the three sections of the Operations Division includes one Supervisor and two Technicians in the Registration Section, one Supervisor and two Technicians in the Corrections Section and two Supervisors and one Technician in the Accounts Receivable Section. One systems person in the Information Services Division has primary responsibility for the maintenance of the DRS systems used to support the Fuel Tax Program.

The Fuel Use Tax Program includes two taxes: the International Fuel Tax as defined by the International Fuel Tax Agreement (IFTA) and the Connecticut Motor Carrier Road

Tax, which is an intrastate fuel use tax. Although the latter is called a Road Tax, it is a fuel use tax and not a road use or "weight-distance" tax.

Connecticut is a participant in the International Fuel Tax Agreement and maintains approximately 2,900 IFTA fuel tax accounts. The DRS issues about 19,000 IFTA decal sets (two decals per vehicle) annually.

DRS maintains about 3,600 intrastate motor carrier fuel tax accounts, and issues approximately 12,000 Connecticut decal sets (two decals per vehicle) annually.

The Department of Revenue Services has five major systems groups: the Master Business Data Base (MBDB), a system that uses sequential and VSAM files and mainframe technology to process and support major DRS business taxes; the Income Tax Processing System (ITRP); the Computer Automated Collections System (CACS); a group of Wang-based, primarily financial applications; and a group of PC-based, business tax processing systems. Although some applications within these groups could be considered integrated, especially within the MBDB, these major system groups run separately and independently. The restricted capabilities of these systems dictate almost all of DRS operating decisions. Neither the MBDB nor the ITRP can support processes requiring a true database to manage large complex data files and support modern workflow and case management tools.

The DRS has completed Year 2000 enhancements and all systems are compliant.

### **Integrated Tax Administration System (ITAS)**

The Department of Revenues Services has received approvals to replace its aging information systems with an integrated system called the Integrated Tax Administration System (ITAS). On October 13, 2000, the Connecticut Department of Information Technology, on behalf of the DRS, released a *Request for Proposals for an Integrated Tax Administration System*. The purpose of the ITAS is to modernize and improve the way DRS operates by replacing its aging data processing systems (especially the 23-year old MBDB system that processes the vast majority of business taxes) with a database-enabled family of integrated applications that provide information technology support for all DRS tax administration activities. The DRS focus is to first replace the systems that support Registration, Return Processing, Taxpayer Accounting and Revenue Accounting - - - the primary business processes that make up the DRS core function of Processing. This will allow DRS to replace the aging MBDB and ITRP tax processing systems, and the Wang-based financial systems, and to the degree it is beneficial, the existing PC-based business tax processing systems.

In general, the vendor selected under the ITAS RFP will: develop the detailed system requirements consistent with those contained in the DRS *Business Systems Plan* (the *Plan* includes detailed descriptions of the recommended process improvements, the associated information technology infrastructure and the requirements for the computer applications to be developed); develop and implement all of the ITAS applications; update the DRS

*Business Systems Plan* defined equipment and infrastructure requirements as necessary; install, or oversee the installation of, all equipment needed to implement ITAS; and be responsible for training DOIT and DRS staff to use and support the new technologies.

The selected ITAS vendor is to develop and implement a single, taxpayer case-based tax administration system that is integrated and can achieve the following objectives:

- A flexible, user-friendly system, requiring minimal maintenance, that will allow programming changes that are simple and made with ease;
- Secure “anytime, anywhere” access to DRS data, documents and other information by authorized individuals and organizations;
- Smooth flow and ready availability of information that strengthens DRS operations, reduces duplication of work and enables better management of the agency’s information, staff and financial resources;
- Streamlined business processes that improve agency productivity; and
- An environment in which IT resources are invested in line with the DRS agency-wide priorities and managed to meet or exceed industry best practices.

Given the size of the ITAS Project and its impact upon all facets of DRS business, ITAS is to be implemented in the following four phases:

#### ITAS Phase 1

This Phase includes developing and implementing applications and databases to support the DRS primary business processes of:

- Registration, for all taxes, *except* the personal income tax;
- Return Processing, for all taxes, *except* the personal income tax;
- Taxpayer Accounting, for all taxes, *except* the personal income tax; and
- Revenue Accounting, for all taxes, including the personal income tax.

Phase 1 also includes data conversion and building a data warehouse. The factors that are driving the focus and priorities of the first phase include current funding limitations, the age of the MBDB system and the need to protect the State’s \$9 billion annual tax revenue stream.

#### ITAS Phase 2

This Phase focuses on developing and implementing systems to support the DRS primary business processes of Registration, Taxpayer Accounting and Return Processing as they relate to the personal income tax. Phase 2 also includes converting data from the existing ITRP system to ITAS.

#### ITAS Phases 3 and 4

Phases 3 and 4 focus on developing and implementing the applications and data bases to support the remainder of the DRS primary business processes. Phases 3 and 4 also will

focus on enhancing the filing and data capture elements, the tax revenue identification and collection elements, and the customer service elements of ITAS.

Each phase of ITAS, when implemented, must include all of the interfaces to existing legacy systems. Additionally, each phase of the project must show and sustain benefits irrespective of whether the later phases are implemented.

The major components of ITAS include new applications, new infrastructure, input/output, interfaces, operational database and data warehouse. Under *new applications*, all of the DRS primary business processes must be supported by new applications employing the latest technology, which must be accessed through intelligent desktop workstations. These applications will have case management and workflow directing and monitoring capability. Applications will include a state-of-the-art financial management system. The *new infrastructure* will feature access to one relational database for operational data and another for the data warehouse, network connections to mainframes, servers and other devices, and e-mail, voice-mail and fax support for advanced telephony and other technologies. Under the *input/output* component, major improvements will be made to the DRS capability for receiving and sending tax information, including enhanced interactive voice response (IVR) capability, document/data capture capability and Internet and intranet services. The *interfaces* component of the ITAS includes the remaining systems and existing sources of tax information (including certain other State and Federal agencies) will interface with ITAS and such interfaces will be improved or replaced as required. All data required to support ITAS will be stored in a centralized *operational database* repository. This operational database will support all ITAS applications and provide the central point of integration for all system functionality. The database will be based upon the use of relational database technology and support multiple data types, including images. The ITAS will include a *data warehouse*, which will collect data from a variety of internal and external sources to help compliance, enhance DRS legislative research and reporting efforts and provide sophisticated general management reports.

Current DRS initiatives include the completion of a preliminary phase of ITAS, which consists of enhancing the electronic components of its front-end systems for filing tax returns and capturing tax return data. DRS is developing an Internet filing system to accommodate the filing of Sales and Use Tax Returns and Withholding Tax Returns, an enhancement that may facilitate using the Internet to file other types of tax returns. It is essential that this Internet filing system, and all other system enhancements, integrate with the ITAS.

#### **6.1.4.2 Current Business Processes - International Fuel Tax Agreement (IFTA)**

##### **6.1.4.2.1 Interstate Licenses**

Initial applications for IFTA licenses are received on paper, by mail or in-person. Information from the paper applications is manually entered into the DRS Master Business Data Base/Registration System (MBDB/RS). Renewal applications are mailed

annually from DRS to carriers around October 31 and are returned prior to January 1 by mail or in-person. OCR scan line are printed on all renewal applications and bills. Fee payments for licenses are accepted by check or by cash. Fee payments that are made by check are entered into the MBDB through the Remittance Processing System using OCR scan lines. New account information and updates to existing accounts are provided from the MBDB to the New York Regional Processing Center (NYRPC) via File Transfer Protocol (FTP).

DRS issues one IFTA license to each qualified carrier and two decals per vehicle that are valid from January 1 through December 31 of each year. Issued credentials are sent to carriers by mail. A copy of the carrier's IFTA license must be kept in each IFTA-decaled vehicle and one decal must be displayed on the lower rear exterior of each side of each cab.

Temporary IFTA trip permits are issued, through one of three service bureaus, to those carriers that elect to satisfy their motor fuels tax obligations on a trip-by-trip basis. These permits are valid for ten days from the date of issuance.

In order to receive IFTA decals, carriers must first meet all "Base Jurisdiction and Qualified Motor Vehicle" requirements, submit a completed application and pay \$10.00 per decal set to the DRS. A qualified motor vehicle is defined as having:

- two axles and gross vehicle weight or registered gross vehicle weight over 26,000 pounds or
- three or more axles regardless of weight, or
- a combined gross weight, when used in combination, over 26,000 pounds.

#### **6.1.4.2.2 Interstate Quarterly Fuel Use Tax Returns**

The DRS uses the New York Regional Processing Center (RPC) to process the quarterly fuel use tax returns (fuel purchased, miles traveled, etc.) that IFTA motor carriers are required to file. Preprinted returns are created by the RPC and mailed to Connecticut-based IFTA motor carriers. Motor carriers complete and mail the paper returns, with the appropriate calculated tax payment, to a Fleet Bank lock-box in Albany, NY. The filing information is manually entered by Fleet staff into the RPC tax return processing system. After the data is entered and the paper returns are forwarded to the DRS, the RPC generates electronic and paper exception reports (erroneous information, miscalculated fees, etc.). DRS personnel make returns corrections using RPC on-line correction features. IFTA quarterly tax filing accounts receivable records created on the RPC system are downloaded to the DRS Master Business Data Base/Accounts Receivable System (MBDB/ARS). Based on this information, the DRS prints and mails tax bills. The DRS is responsible for all subsequent collection efforts for liabilities posted on the Accounts Receivable files.

Through the use of the RPC transmittal and funding feature, and in keeping with IFTA requirements, Connecticut disburses monthly payments to other jurisdictions. On a monthly basis, the RPC provides Connecticut with an aggregate liability amount total

needed to settle all current liabilities with other jurisdictions. This total monthly amount is comprised of liabilities from returns filed by Connecticut carriers and from transmittals received from returns filed by non-Connecticut carriers. This total monthly amount is then wired to the RPC bank. The RPC, on behalf of all 17 RPC states, then issues checks or electronic payments to all jurisdictions.

### **6.1.4.3 Current Business Processes - Intrastate Motor Carrier Road Tax**

#### **6.1.4.3.1 Intrastate Motor Carrier Road Tax Registrations**

Initial applications for intrastate Motor Carrier Road Tax registrations are received on paper, by mail or in-person. Information from the paper applications is manually entered into the DRS Master Business Data Base System/Registration Sub-System (MBDB/RS). Renewal applications are mailed annually to carriers and are returned by mail. OCR scan line are printed on all renewal applications and bills. Fee payments for registrations are accepted by check or by cash. Fee payments that are made by check are entered into the MBDB through the Remittance Processing System using OCR scan lines. Updates on accounts are manually entered into the MBDB/RS located at the Department of Information Technology Connecticut Administrative Technology Center (CATER).

DRS issues to each qualified carrier two decals per vehicle that are valid from January 1 through December 31 of each year. Decals are issued to carriers by mail. One decal must be displayed on the lower rear exterior of each side of each cab.

Temporary trip permits, using one of three service bureaus, are issued to carriers that elect to satisfy their motor fuels tax obligations on a trip-by-trip basis. These permits are valid for ten days from the date of issuance.

Carriers, to qualify as a Connecticut Motor Carrier Road Tax licensee, must first meet all "Base Jurisdiction and Qualified Motor Vehicle" requirements, submit a completed application and pay \$10.00 per decal set to the DRS. A qualified motor vehicle is defined as a Connecticut-plated vehicle that is designed to transport persons or property exclusively in Connecticut and having:

- two axles and gross vehicle weight or registered gross vehicle weight over 26,000 pounds or
- three or more axles regardless of weight, or
- a combined gross weight, when used in combination, over 26,000 pounds.

#### **6.1.4.3.2 Intrastate Quarterly Motor Carrier Road Tax Returns**

The DRS processes the quarterly Motor Carrier Road Tax returns (fuel purchased, miles traveled, etc.) that intrastate motor carriers are required to file. Motor carriers mail the paper returns, with the appropriate tax amount payments, to the DRS. The filing information is manually entered into the Master Business Data Base System/Tax Return Sub-System (MBDB/TRS). The MBDB generates paper exception reports (erroneous information, miscalculated fees, etc.) which the DRS manually corrects and enters the

data corrections manually. Once all corrections have been completed and a clean return is posted onto MBDB/TRS, billing or credit records are created on the Master Business Data Base/Accounts Receivable Sub-System (MBDB/ARS) and DRS billing or refunds are issued using the U.S. Mail.

While fuel tax payments are nearly always paid for by check, DRS does allow intrastate fuel use tax motor carriers to make payments using electronic funds transfers. Carriers that have fuel tax liabilities greater than \$300,000 are required to file tax payments electronically. To date, no electronic payments have been made for the Motor Carrier Fuel Use Tax.

#### **6.1.4.3 Intrastate Motor Carrier Road Tax Connecticut-Only Waiver Affidavits**

In lieu of filing quarterly fuel tax returns, carriers may file an affidavit that certifies that the carrier vehicles travel exclusively within the borders of Connecticut and that the carrier only purchases fuel “at the pump” for which the appropriate taxes have been paid to the State of Connecticut. Most qualified carriers buy fuel at the pump and consequently file affidavits. The affidavits are renewable annually prior to January 1 of each year. Very few carriers are required to file intrastate fuel use tax returns. Motor Carriers that qualify to file waivers but fail to file them on time are required to submit quarterly tax returns with zero’s for tax due.

#### **6.1.4.4 Current Technical Environment**

The DRS Master Business Data Base (MBDB) System is installed in the Department of Information Technology (DOIT) Connecticut Administrative Technology Center (CATER – the State Data Center). This system communicates through electronic file exchange with the New York Regional Processing Center in Albany, NY. Terminals and systems installed in DRS facilities communicate with both CATER and the NY RPC data centers.

Additional information will be made available in the CVISN/PRISM library concerning the operation of these systems and the interactions between them.

The DRS Master Business Data Base/Registration System (MBDB/RS) is connected to CATER through a bi-directional Sonet fiber ring. All communications are through this ring using two DS-3, 45-megabyte, high-speed links. Communications between the DRS MBDB and the NYRPC are through a 56kb frame relay circuit covered under a service agreement between the DRS and the Intermedia Communications Corporation.

The following DRS MBDB system overview information is provided:

Name of System: Master Business Data Base (MBDB) System

Authoritative Information Sources: Robin McGloin, Shirley Bailey and John Waskiewicz, DRS Information Systems Division

Functional Overview: The MBDB System Registers business tax payers, processes tax returns and accesses financial data

System Owner of Record: Operations Division has primary responsibility

Technical Support: The DRS Information Systems Division, Systems Development Unit

System Development: The System was developed by an outside vendor and has been maintained internally since 1978

Initial Install Date: 1975

Installed Version: Continually updated since 1975 to address legislatively-required changes

Run location: DOIT CATER in Hartford

OS/TP Environment: MVS; mostly batch (returns and accounts receivable), some online CICS updates for registrations and accounts receivable

Technical Architecture: COBOL 74 and CICS (latest), with 3 subsystems: Registration, Accounts Receivable and Returns Processing

File/Data Base: VSAM

Size Information: Data records on 200,000 active and 400,000 total taxpayers exist, with tax returns records maintained for 5 years---26 different taxes are processed by the System

Language: Cobol and CICS

Lines of Code/Modules: 840 Modules, 1.7 Million lines of code

User Interfaces: Personal computers with TN 3270 via network, some SNA---in-house and outside data entry services are utilized

Y2K Status: The System is compliant. Though the system has a century indicator, DOIT Y2K rules state that all dates being sent outside and received from the outside are to correctly represent the full four-digit year. A DRS interface will be built to ensure total compliance.

CVISN Relationship: IFTA taxpayer files are maintained by the NY RPC and Connecticut maintains delinquency files. Connecticut is responsible for taxpayer billing on the Accounts Receivable subsection of MBDB. There are both batch and interactive links between DRS/CATER and the NY RPC. DRS maintains

intrastate motor carrier road tax registration taxpayer files and delinquency files. DRS is responsible for taxpayer billings on the Accounts Receivable subsection of the MBDB.

#### **6.1.4.5 System Requirements**

Work with the State Team, DRS staff and New York State Department of Tax and Finance Regional Processing Center staff to design the CI/CVIEW System and its interfaces to the DRS MBDB and NYRPC Systems so that all relevant State of Connecticut, CVISN and PRISM business and technical requirements are met, including:

Enable motor carriers to:

1. Electronically register and pay for IFTA and intrastate credentials including new registrations, supplements and renewals;
2. Electronically file and pay for IFTA quarterly tax returns; and
3. Electronically file Connecticut-only waiver affidavits for intrastate motor carrier road tax.

Note: There is no requirement to automate the filing and payment of quarterly intrastate motor carrier road tax as part of this RFP.

Utilize the Internet-based IFTA tax filing application currently being developed by the New York RPC as appropriate to meet or partially meet requirements 1 and 2 above.

Provide access to the IFTA Clearinghouse for interstate tax information. The RPC will populate the IFTA Clearinghouse with Connecticut data.

Support the paperless vehicle concept (i.e. electronic credential and supporting electronic documentation are to be accepted in lieu of paper versions and become primary, while paper records become secondary) is to be supported as allowed by Connecticut statutes and regulations.

Provide authorized users with access to Connecticut-held IFTA tax data and intrastate fuel use credentials data

Unique, standard identifiers will be adopted for each IFTA and intrastate carrier.

Produce payment vouchers electronically (so that payments may be made electronically, in cash, or by check) and provide, as the preferred method of payment, electronic funds transfer capabilities.

Allow the submission of one or more fuel use tax renewal or supplement credential applications in a single transaction.

Develop detailed designs for the interfaces and protocol standards for the exchange of data between the New York Regional Processing Center IFTA System, the DRS MBDB and the CI/CVIEW.

#### **6.1.4.6 Deliverables**

The Award 1 winner is to develop and document a project implementation plan, quality assurance plan, user requirements, logical design, physical design, test plan, etc., for this Award 1 Module 4 systems integration services. The required items are the same as those required for the CI/CVIEW System. These documents are to be integrated into the appropriate CI/CVIEW System documents.

**6.1.5 AWARD 1 - MODULE 5: DEPARTMENT OF TRANSPORTATION –  
SYSTEMS DEVELOPMENT AND INTEGRATION SERVICES**

The Award 1 winner is to work with the CVISN Team, DOT staff and the Award 3 winner to design an interface between the CI/CVIEW System and the DOT OS/OW Permits System. This interface is required to support the sharing of credential and safety data among the users of the Connecticut CI/CVIEW System. Work with the CVISN Team to develop, implement and maintain the CI/CVIEW side of this interface. The Award 3 contractor is responsible for developing, implementing and maintaining the OS/OW side of the interface. The Award 1 contractor is to oversee the Award 3 contractor in the performance of these tasks.

The Award 1 winner is to develop and document a project implementation plan, quality assurance plan, user requirements, logical design, physical design, test plan, etc., for this Award 1 Module 5 interface. The required items are the same as those required for the CI/CVIEW System. These documents are to be integrated into the appropriate CI/CVIEW System documents.

#### **6.1.6 AWARD 1 – MODULE 6: SCREENING AND CLEARANCE SYSTEM – SYSTEMS DEVELOPMENT AND INTEGRATION SERVICES**

Under Module 6, the Award 1 winner is to design, in conjunction with State of Kentucky personnel, the CI/CVIEW interface with the Kentucky Mainline Automated Clearance System (Model MACS), the software application that the State of Connecticut will use for mainline electronic screening and clearance. The CI/CVIEW interface with Model MACS must be designed and developed so that all relevant State, CVISN and PRISM business and technical requirements are met.

The Model MACS software accepts data from Weigh-in-Motion (WIM) and Automated Vehicle Identification (AVI) Systems and uses this data, along with carrier and vehicle credential and safety information stored in its Enrolled Vehicle File, to perform electronic screening and clearance. Model Macs is expected to run locally on computers installed in each weigh and inspection station.

The Award 1 winner is to provide the functionality within CI/CVIEW to generate the data file with the safety and credential information required by Model MACS and the State of Connecticut. The data file is to be downloaded to the Enrolled Vehicle File in all the computers running Model MACS locally in the weigh and inspection stations. This download would occur on a daily or other regular basis, as determined by the CVISN/PRISM Team. The data file is to be built with data from the systems linked to CI/CVIEW and any other data that may need to be manually entered. The credentials data for Connecticut-based carriers is resident in the various Connecticut legacy systems and most of the required safety data is expected to be available from the US DOT SAFER System. The Award 1 winner is responsible for developing, implementing and maintaining the interface between CI/CVIEW and Model MACS.

The initial installation of Model MACS will occur at the Union Weigh and Inspection facility located on I-84 Westbound in Union, Connecticut. Subsequent installations of Model MACS may include the Greenwich Weigh and Inspection facility on Eastbound I-95 in Greenwich, CT.

The State of Connecticut, Department of Transportation has initiated a Construction Change Order to install the WIM, vehicle classifier and AVI systems at the Union location. The Change Order, DOT Project No. 145-92, includes the installation of the WIM system, using bending plate technology manufactured by PAT America Inc. of Chambersburg, PA, vehicle classifiers, also from PAT America, Inc. and Raytheon Systems-manufactured AVI readers is expected to be completed in April, 2001.

Initially, as part of this pilot effort that is not part of this RFP, Connecticut will manually load credentials and safety data into Model MACS to clear the vehicles of a small group of carriers that agree to participate in the pilot implementation effort. The goal is to begin issuing “green light” clearances for at least some vehicles soon after the WIM and AVI Systems are operational.

Equipment will be installed in three locations (sites) near the Union weigh station. Two sites, the WIM/Advance AVI Site and the In Cab Notification Site, are located “upstream” of the weigh station. The Compliance AVI Site is located in front of the weigh station scale house, but downstream of the entrance ramp to the weigh station.

The WIM/Advance AVI Site includes WIM and vehicle loop detectors (vehicle classifiers) in each of the two right-most lanes, and a single AVI antenna to cover the two right most lanes. The In-Cab Notification Site has a single AVI antenna to cover the two right-most lanes. The Compliance Site has vehicle loop detectors and piezoelectric sensors in all three lanes, and a single AVI antenna to cover the two right most lanes.

Each of the three sites will have roadside equipment cabinets associated with it, and all of the cabinets will be tied to the scale house with fiber optic cable. All of the WIM, AVI and classifier systems will be installed and made operational under the DOT Change Order.

The AVI and WIM systems are expected to independently send data through the computers in the roadside cabinets to the Model MACS computer in the scale house. Connecticut, in conjunction with the Transportation Center at the University of Kentucky, plans to upgrade Model MACS to address at least two, and perhaps more than two, lanes. Model MACS is to use the data from the WIM and AVI systems in the two right most lanes to determine which vehicles should be cleared, and be capable of recording the (illegal) presence of a truck in the third lane and notifying scale house staff of this event.

The Award 1 winner is to develop and document a project implementation plan, quality assurance plan, user requirements, logical design, physical design, test plan, etc., for this Award 1 Module 6 interface. The required items are the same as those required for the CI/CVIEW System. These documents are to be integrated into the appropriate CI/CVIEW System documents.

#### **6.1.6 AWARD 1 – MODULE 7: MOBILE DATA TERMINAL SERVER – SYSTEMS DEVELOPMENT AND INTEGRATION SERVICES**

The Award 1 winner is to work with Motorola and the State Team to design, develop and implement an interface between the CI/CVIEW System and the Mobile Data Terminal (MDT) Server. The Motorola software applications that run on the MDT Server communicate with a Motorola client application installed on laptop computers used for commercial vehicle safety inspections. The laptops utilize TCP/IP over a CDPD network to communicate wirelessly with the MDT Server.

The laptops are used by DMV Commercial Vehicle Safety Inspectors and State Police Troopers assigned to commercial vehicle enforcement activities to access vehicle registration information through NLETS and carrier and vehicle safety information in SAFER. The laptops are also used to complete inspection reports which are wirelessly uploaded to a server located in the Connecticut Motor Carrier Safety Assistance Program (MCSAP) Office at DMV. The inspection reports are then forwarded to the SAFER Data Mailbox where they can be accessed by enforcement personnel from all jurisdictions.

In addition to the issuance of commercial vehicle registrations, the Connecticut DMV is charged with the enforcement of the Federal MCSAP regulations. Thirty-four inspectors in the Commercial Vehicle Safety Division (CVSD) perform approximately 15,000 MCSAP inspections (14,000 interstate and 1,000 intrastate carrier/driver/vehicle inspections) annually that result in the issuance of approximately 10,000 vehicle and 2,500 driver out-of-service orders. The State Police perform approximately 5,000 commercial vehicle inspections each year.

The MDT Server is to interface with CI/CVIEW in order to provide the inspectors with access to up-to-date credentials and safety information. This information could include IRP registration and OS/OW Permits data, IFTA status, etc.

The Award 1 winner is to develop and document a project implementation plan, quality assurance plan, user requirements, logical design, physical design, test plan, etc., for this Award 1 Module 7 interface. The required items are the same as those required for the CI/CVIEW System. These documents are to be integrated into the appropriate CI/CVIEW System documents.

### **6.1.7 AWARD 1 – MODULE 8: FEDERAL SYSTEMS – SYSTEMS DEVELOPMENT AND INTEGRATION SERVICES**

The Award 1 winner is to work with the CVISN Team, US DOT contractors and staff and the Johns Hopkins University Applied Physics Applied Physics Lab staff to design an interface between the CI/CVIEW System and the Federal systems related to commercial vehicle operations. This includes the SAFER and MCMIS Systems, as well as the associated PRISM Census and Target Files. This interface is required to access data that is needed by the users of the Connecticut CI/CVIEW System. Work with the CVISN Team to develop, implement and maintain this interface.

The Award 1 winner is to work with the Award 2 winner, in the production of the MCS 150 forms during the IRP Renewal Process. These MCS 150 forms need to be pre-filled with currently known information using the US DOT NUMBER as the primary identifier. In addition to the normally required data elements needed on the MCS-150, additional data elements may be needed like the Account Number which may form the tie between the IRP record and the local MCMIS record. This local record may be used to build the MCS-150 form. It is envisioned that the Award 1 vendor will be responsible to create the process which will create and print the MCS-150 forms during the IRP Registration Renewal process, and which will need to be combined with the IRP Renewal Documents printed by the IRP system. The goal is to send the IRP Renewal forms and MCS-150 in the same mailing to the carrier, requiring the carrier to return both documents as part of the IRP Renewal Process.

The Award 1 vendor is also encouraged to submit information concerning the possibilities of creating an electronic MCS-150 form which would be sent to and received from the carriers electronically.

The Award 1 winner is to develop and document a project implementation plan, quality assurance plan, user requirements, logical design, physical design, test plan, etc., for this Award 1 Module 8 interface. The required items are the same as those required for the CI/CVIEW System. These documents are to be integrated into the appropriate CI/CVIEW System documents.

### **6.1.8 AWARD 1 – MODULE 9: MOTOR CARRIER PRESCREENING SYSTEM -- SYSTEMS DEVELOPMENT AND INTEGRATION SERVICES**

Under Module 9, the Award 1 winner must:

- Establish, in conjunction with the State, the processes and system functionality needed to support the following principles that the State of Connecticut has adopted with respect to transponder administration and the mainline electronic screening and clearance of commercial vehicles:
  - Connecticut will own the screening and clearance infrastructure;
  - Connecticut will issue “green lights” based on its own policies, automated systems, carrier safety fitness algorithm and up-to-date safety information; and
  - Motor carriers wanting to obtain “green lights” can submit and maintain their own transponder-related data, authorize a transponder administrator, or utilize some other acceptable method to provide the data to the State.
  
- Develop, in conjunction with the State and selected motor carriers, the business process requirements for:
  - Collecting all necessary data for screening and clearing the commercial vehicles of the participating motor carriers;
  - The electronic submission of transponder identification numbers and associated data to CI/CVIEW; and
  - The electronic provision of transponder-based transactions data to carriers, transponder administrators and other entities.
  
- Market Connecticut’s Electronic Clearance Program (ECP) and provide transponders to selected motor carriers.

The CI/CVIEW System, as designed and developed by the Award 1 winner, is to support the electronic submission of transponder identification numbers and associated data, such as U. S. DOT numbers and vehicle identification numbers, to the State by carriers, transponder administrators (for their clients’ vehicles) and other entities. This includes vehicle data for both Connecticut-based and non-Connecticut-based carriers. The data provided will be used to link the vehicle with the carriers’ safety and credentials information. This “linkage” will allow the State to assess whether (or not) the specific vehicles of a carrier favorably conform to State of Connecticut-specified electronic screening and clearance criteria for bypassing weigh and inspection stations.

The Award 1 winner will develop the standard State interfaces for utilization by carriers, transponder administrators and other entities for electronically providing and maintaining transponder identification numbers and the associated data and for accessing data associated with transponder “reads.” The interfaces are to include an interactive web-based interface (probably using HTML or XML) and a computer-to-computer interface

(using an EDI transaction set or an XML approach). After these interfaces are defined and implemented with approved selected motor carriers, transponder administrators and/or other entities, they will be offered to other carriers, transponder administrators and other entities.

Individual motor carriers that elect to have their commercial vehicles electronically screened and cleared in Connecticut are to be able to independently select, from their individual perspectives, the best source of transponders for their vehicles. Under this scenario, carriers could utilize transponders that are: 1) provided by a transponder administrator, 2) acquired from sources that offer these devices, such as manufacturers, suppliers, retail outlets or dealers, or 3) factory installed by new vehicle manufacturers. In all instances, such devices would be required to satisfy all applicable dedicated short range communications (DSRC) transmission standards and to be compatible with the Hughes/Raytheon TDMA Protocol (ASTM Draft 6) or any other protocol standard accepted at the time of registration.

In instances where a carrier elects to use a transponder administrator, the goals of the State are to: 1) provide the opportunity for each carrier to independently select the best transponder administrator from its individual perspective and 2) encourage transponder administrators to add value to the transponder administration services they provide, thus fostering active competition to benefit carriers. For example, under this approach, transponder administration services could be offered as a “value add” to another product or service offering.

The State will offer carriers, authorized transponder administrators and other entities access to data concerning transponder “reads” that occur in Connecticut. Carriers will only be able to access data associated with their transponders. If a carrier elects to use the services of a transponder administrator, then the carrier may authorize the State to provide the administrator with access to the carrier’s “reads” data. A carrier and its authorized administrator will be able to access a “reads” data base and report on, or download, the data related to that specific carrier’s transponders. Transponder administrators could use the “reads” data for statistical information, for reporting to clients, to bill clients for “green lights” or for other purposes. All users that are authorized to access the “reads” information will be required to establish a State Data Center account and will be billed for Data Center resources used in accessing, reporting on and downloading the data. The award 1 winner is to design, develop, implement and maintain this functionality within CI/CVIEW.

The Award 1 winner is to develop and document a project implementation plan, quality assurance plan, user requirements, logical design, physical design, test plan, etc., for this Award 1 Module 9 functionality and related support services, as appropriate. The required items are the same as those required for the CI/CVIEW System. These documents are to be integrated into the appropriate CI/CVIEW System documents.

**ATTACHMENT 6.2  
AWARD 2  
DEPARTMENT OF MOTOR VEHICLES**

**INTERNATIONAL REGISTRATION PLAN (IRP)  
COMMERCIAL VEHICLE REGISTRATION SYSTEM  
AND  
INTEGRATION SERVICES**

**6.2.1 Background**

**6.2.2 International Registration Plan (IRP) System**

**6.2.2.1 Current Business Processes**

**6.2.2.1.1 Interstate Commercial Vehicle Registrations**

**6.2.2.1.2 Intrastate Commercial Vehicle Registrations**

**6.2.2.2 Current Technical Environment**

**6.2.2.3 Required System**

**6.2.2.4 Mandatory Business Process Requirements**

**6.2.2.5 Mandatory Technical Requirements**

**6.2.2.6 Other System Features**

**6.2.2.7 Required Deliverables**

**6.2.1 Background**

The mission of the Department of Motor Vehicles is to deliver high quality, innovative services to customers and to promote highway safety for the public. The Department's vision is a continuously improving DMV, without walls, without lines and within budget.

There are approximately 800 DMV employees in an organizational structure that includes three Bureaus. Two Deputy Commissioners and a Chief Administrative Officer, who report directly to the Commissioner, administer the Bureaus. The DMV Central Headquarters Office is located at the John G. Rowland Government Center in Waterbury, Connecticut.

The DMV is responsible for the administration of all Connecticut commercial vehicle registrations. These registrations include International Registration Plan (IRP) apportioned registrations as well as non-IRP commercial registrations. Connecticut is a member of the International Registration Plan, a registration reciprocity agreement among jurisdictions (states and provinces), that collects and disburses registration fee payments according to the percentage of apportioned fleet miles operated in the various jurisdictions. Generally, interstate commercial vehicles in excess of 26,000 pounds gross weight require an IRP registration.

The Department of Motor Vehicles also administers the Single State Registration System (SSRS) program, which issues the appropriate credentials for verifying the operating authority for interstate haul-for-hire carriers.

The DMV IRP/SSRS Section, located in Wethersfield, Connecticut, is responsible for the administration of the IRP and the SSRS Programs in Connecticut. Only the IRP/SSRS Section Office processes apportioned (IRP) registrations and SSRS credentials.

The DMV has about 1,900 IRP carrier accounts, about 12,000 commercial vehicles with active IRP apportioned registrations, and approximately 700 SSRS accounts.

Registrations for non-IRP commercial vehicles are processed by DMV Branch Operations personnel in twelve full-service offices located throughout Connecticut. Non-IRP commercial vehicle registrations include registrations for intrastate operation, as well as for interstate operation when the vehicle is below the weight/axle threshold for an IRP apportioned registration. The DMV has approximately 16,000 non-IRP registered commercial vehicles. Of these, about 8,900 have gross weights in excess of 18,000 pounds.

The International Registration Plan (IRP) is a registration reciprocity agreement among various jurisdictions (currently the lower 48 contiguous states, the District of Columbia and three western Canadian provinces, with other Canadian provinces about to enter) providing for the payment of registration fees on the basis of the percentage of total fleet miles operated in the various jurisdictions during a specific reporting period (the last completed fiscal year beginning on July 1 and ending on June 30). Reported miles per jurisdiction traveled in (or to be traveled in) are either ACTUAL miles or, if no ACTUAL mileage figures are available, ESTIMATED miles. Each registrant pays the percentage of the total commercial vehicle fee for each jurisdiction which corresponds to the percentage of total miles operated in that jurisdiction.

The jurisdiction where the registrant is based (i.e. the "base jurisdiction") collects from the registrant all registration fees due to each other jurisdiction the registrant travels through (and therefore must "prorate" with) and the base jurisdiction also collects the fees due to the base jurisdiction which include registration fees and certain administrative fees. The base jurisdiction is the jurisdiction where the registrant has an "established place of business," and the Connecticut IRP Section requires the registrant to provide a Connecticut street address (not a Post Office Box) as a BUSINESS ADDRESS. The base jurisdiction calculates the registration fees due to each jurisdiction and distributes the fees to each jurisdiction. Currently the calculation of registration fees due to each jurisdiction is determined by the VISTA/Registration System (RS). Connecticut distributes the fees to each jurisdiction on a monthly basis. The VISTA/RS, in addition to the determination of fees due to each jurisdiction, generates the invoice for payment, produces the "CabCard" (which serves as the registration credential), maintains a record of the registrant and the vehicles and allows for the production of paperwork (recaps/transmittals) sent to the various jurisdictions justifying the total fee amount collected on their behalf. Currently, a check issued by the Office of the Comptroller accompanies this paperwork sent to each jurisdiction.

Connecticut issues a set of two APPORTIONED permanent metal plates for each vehicle registered under the IRP, for the front and the rear of vehicle. For trailers, only one rear plate is issued. A single plate sticker is issued for the rear plate. The registration credential is the CabCard that lists all jurisdictions where the vehicle will be traveling and the weight limit of the vehicle in each jurisdiction. The CabCard is the legal registration credential for operation of the vehicle in all jurisdictions listed on the CabCard, up to the weight limit listed for each jurisdiction on the CabCard. The CabCard and sticker designate a specific registration year, currently from May 1 to April 30, during which the vehicle may be legally operated. At renewal time a new CabCard and sticker are issued to the registrant for each vehicle to cover the next registration year and the registrant continues to use the original plates issued, unless the plates have been lost or stolen (in which case new plates are provided for a \$5.00 plate fee).

A vehicle involved in interstate commerce registers in the IRP program with APPORTIONED plates if it is either (1) used for the transportation of persons-for-hire (i.e., is a transit bus as opposed to a charter bus) or (2) is designed, used or maintained primarily for the transportation of property (i.e., a vehicle that carries a load), AND is:

- A power unit having two axles and gross weight or registered gross vehicle weight in excess of 26,000 pounds gross weight; or
- A power unit having three or more axles regardless of weight; or
- Used in combination, when the weight of such combination exceeds 26,000 pounds combined gross weight.

Full trailers, semi-trailers and converter gear are registered as apportioned trailers in the IRP only if the registrant is apportioning in CALIFORNIA as a jurisdiction. The IRP jurisdictions have voted to eliminate apportioned trailer plates in 2001.

A fleet, for IRP purposes, is one or more vehicles that can be apportioned which operate in the same set of jurisdictions. The base jurisdiction collects the appropriate apportioned registration fees and distributes the fees to the other jurisdictions in which the carrier requested apportioned registration. Registrants are issued one CabCard (registration) and one set of registration plates for each vehicle in the fleet and pay registration fees determined by the:

- Percentage of miles traveled in each member jurisdiction,
- Registered gross weight of each vehicle and
- Number of vehicles in the fleet.

In some jurisdictions other factors are used to determine fees, such as purchase price and year of the vehicle. The main advantage of the International Registration Plan is convenience to the registrants who are commercial interstate carriers.

IRP registration fees are calculated based on the registration fee for each jurisdiction, rather than on a "flat" fee that applies to all jurisdictions. For example, if a Connecticut-

based vehicle is registered under the IRP to operate in both Connecticut and Massachusetts at a weight of 80,000 pounds in each of the two jurisdictions, and 50 percent of the total fleet miles is traveled in each state, the IRP registration fee would be calculated as follows:

The Connecticut annual fee for a vehicle at 80,000 pounds	\$ 1,520
Full year fee X 50%	\$ 760
The Massachusetts annual fee for a vehicle at 80,000 pounds	\$ 1,200
Full year fee X 50%	\$ 600

Connecticut would collect the total Full Year registration fee for both states of \$ 1,360 and send Massachusetts its proportional share of \$600. The \$600 would be part of the monthly transmittal sent to Massachusetts and the particular carrier would be listed in the monthly recap.

If a carrier operated in all IRP jurisdictions with 1,000 vehicles and the total fleet miles was 10,000,000, the same process would be used for the fee calculation and the fee schedule for each jurisdiction would be used to calculate its proportionate share of registration fees, based on the percentage of miles traveled in each jurisdiction.

To qualify for an IRP registration, a vehicle must meet the following qualifications

- Traveling in two or more IRP jurisdictions (including Connecticut)
- Transporting persons or property, having a registered gross vehicle weight in excess of 26,000 pounds
- Having a power unit with three (3) or more axles regardless of weight, including buses
- Is used in combination and the actual weight or combination exceeds 26,000 pounds.

Vehicles that operate in interstate commerce that do not qualify to be apportioned under the Plan are extended reciprocity under other reciprocal agreements. At the option of the registrant vehicles that have two (2) axles and the actual or registered gross weight is 26,000 pounds or less may be registered APPORTIONED, if and only if the vehicles are intended for operation in two or more IRP jurisdictions. Connecticut also has a Dual Plate Program and offers secondary apportioned registrations to certain vehicles registered with another plate (e. g., wreckers and certain construction vehicles with Connecticut WRECKER or COMMERCIAL plates). The purpose of the Dual Plate Program is to ensure acceptability of registration credentials in out-of-state jurisdictions, even when such vehicles are engaged in commercial hauling operations not otherwise permitted by the primary registration, or when the primary registration is not viewed as a restrictive registration (exempt for IRP) by foreign jurisdictions.

#### 6.2.1.1 Registration Period and Fee Calculation

The Connecticut APPORTIONED registration period is May 1 to April 30 of each year. All registrations expire on April 30. Registrations issued for 6 months or less (on or after November 1) are charged one half the annual fee.

Connecticut is considering migration to a “staggered” expiration date system. The proposed IRP system must support staggered renewals. Vendors must recommend a transition process for moving to a staggered renewal approach.

The IRP year for mileage reporting is July 1 through June 30 of the previous year. A carrier reports miles per jurisdiction that are either “A” for actual or “E” for estimated. Connecticut has an empirically-based estimated mileage schedule, and each jurisdiction has a specific default “E” value assigned to it that must be system generated when “E” is selected for that jurisdiction unless another specific estimated mileage value is entered. If “E” is selected for second or subsequent year, and in the previous year the carrier had more than 2 (two) months of operation in the IRP program within the mileage reporting period, then the “E” mileage is calculated over the total 100%.

In other words, the fee apportionment for jurisdictions with actual mileage, or first year estimated miles, is determined as a percentage of the subtotal for the base jurisdiction (excluding second and subsequent year mileage), and the fee apportionment for jurisdictions with second and subsequent year estimated mileage is determined as a percentage of the grand total mileage. The system must automatically determine whether “E” miles is to be calculated within, or over, the total 100% by referencing the mileage record of the previous year, if any.

The fee for all cases of adding a jurisdiction on a supplement (rather than at renewal) must be calculated as over the 100%. The fee for adding a jurisdiction at renewal is calculated within the 100%. The fee for the second year estimate is calculated over the 100% except if the carrier operated for less than two months of the reporting period (that is, if the carrier entered the IRP Program after the most recent May 1).

#### 6.2.1.2 Base Jurisdiction of Carrier

The base jurisdiction is where the registrant/carrier has an established place of business, where mileage is accrued by the fleet, and where operational records of that fleet are maintained or can be made available. The established place of business is a physical structure owned, leased or rented by a fleet registrant/carrier, with a street number or road designation, one or more telephones, publicly listed in the name of the fleet registrant/carrier, and one or more persons physically at the site. Less stringent requirements of “established place of business” are in effect for owner/operators.

To list Connecticut as a base jurisdiction, the State requires that carriers provide a BUSINESS ADDRESS, which cannot be a P.O. Box listing, that is in Connecticut. In addition to a business address, registrants may indicate a MAILING ADDRESS that is outside of Connecticut or a P.O. Box. If a registrant uses a service bureau, the service bureau would be listed as the MAILING ADDRESS in the carrier account.

Connecticut’s May 1, 1999-April 30, 2000 Registration Year for 1999  
Total IRP Accounts: 1,985

IRP Accounts Renewed:	1,923		
Power Units:	12,300		
Trailers:	631		
Buses:	0		
First Time Registrants:	62	Number of Audits:	69

## **6.2.2 International Registration Plan (IRP) System**

### 6.2.2.1 Current Business Processes

#### 6.2.2.1.1 Interstate Commercial Vehicle Registrations

Connecticut is a member of the International Registration Plan (IRP) Program---a method of registering commercial vehicles beyond a certain weight/axle threshold that are engaged in interstate operations. Vehicles that are registered under IRP are registered for operation in all IRP jurisdictions that appear on the vehicle's IRP CabCard issued by the base jurisdiction.

A commercial vehicle must either be registered under IRP, or operate with intrastate commercial credentials and IRP Trip Permits, if the vehicle travels in Connecticut and any other IRP jurisdiction and the vehicle is used for the transportation of persons for hire or is designated, used, or maintained primarily for the transportation of property and is:

- A power unit having two axles and a gross vehicle weight or registered gross vehicle weight in excess of 26,000 pounds; or
- A power unit having three or more axles regardless of weight; or
- Used in combination when the weight of such exceeds 26,000 pounds gross vehicle weight.

The IRP Trip Permits usually must be obtained prior to entry into a "foreign" jurisdiction. Vehicles, or combinations thereof, having a gross vehicle weight of 26,000 pounds or less, two-axle vehicles and buses used in the transportation of chartered parties may be proportionally registered at the option of the registrant, provided the vehicles are intended for use in two or more jurisdictions.

Non-IRP vehicles may obtain Connecticut "seasonal" registrations good for six months. Seasonal registrations would violate the IRP agreement; consequently, they are not available for IRP-registered vehicles.

To obtain an IRP registration applicants must complete Connecticut IRP Schedules A/E and B (form no. IRP-2 and IRP-1, respectively). Schedule A/E requires information on each vehicle, while the Schedule B requires a mileage figure (actual or estimated) for each jurisdiction traveled in. (Note: The IRP Section provides new registrants with a chart of estimated mileage figures for each jurisdiction, based on empirical averages of actual miles of Connecticut-based carriers. New registrants are instructed to use these averages unless they can provide cogent reasons for alternative estimates.) Completed

Schedule A/E and Schedule B provide the data which are entered into the VISTA/RS to generate the bill (invoice).

After the forms are processed, the DMV sends a bill (invoice) to the applicant. The bill for new accounts must be paid in guaranteed funds: certified check, bank check or money order. After the bill has been paid, the applicant receives two, apportioned, metal marker plates (for display in the front and rear of the vehicle), an expiration sticker for the rear plate and a CabCard. The CabCard identifies the vehicle and the registrant, and it specifies the registered weight in each jurisdiction where the vehicle is authorized to travel. For IRP account renewals, the same plates are maintained and the applicant receives a new expiration plate sticker and a CabCard for the next registration year.

To obtain a new IRP apportioned registration for a vehicle which is not brand new and not previously registered in Connecticut (i.e., any vehicle to be registered in Connecticut with an out-of-state title as ownership documentation), evidence must be provided that the vehicle passed a Vehicle Identification Number (VIN) verification inspection administered by the DMV or by an authority recognized by DMV to perform such inspection (courtesy inspection). The inspection requires payment to DMV of \$10 per inspection, charged at the time of registration. To obtain an interstate commercial registration for a vehicle that is 10-years-old or older and changing ownership, the registrant must provide evidence of having passed a 10-year-old vehicle safety inspection administered by the DMV.

Also, to obtain a new IRP apportioned registration, the registrant must show proof of having mandatory liability insurance as required by Connecticut law. A Connecticut insurance card listing the vehicle is usually required but, if the policy covers five or more vehicles, the specific vehicles do not have to be listed on the insurance card. The IRP Section verifies that the insurance coverage is issued “pursuant to Connecticut law.” In the case of owner-operators leased on to a carrier, the IRP Section verifies that the registrant has coverage when traveling empty (bobtail coverage), as well as when carrying a load on behalf of the motor carrier.

When requesting a Connecticut title (brand new vehicle or ownership change), DMV form no. H-13 and all supporting documents are provided to the DMV IRP Office in Wethersfield. The IRP Section creates the electronic registration record in the VISTA/RS. An electronic title record is created by the DMV Data Entry Section in the Wethersfield satellite office, and the title application and ownership documents (which had received a preliminary review in the IRP Office) are subject to final approval by the DMV Title Section in Wethersfield. The fee for a Connecticut title is \$25 plus \$10 for recording a security interest (lien). Vehicles of model year 1980 or older are exempt from the title requirement, as are cases of “special mobile equipment.”

A registrant processes a SUPPLEMENTAL application to ADD A VEHICLE to an existing IRP account. The IRP Section will process up to three (3) ADDS over-the-counter while the customer waits for the permanent credentials. IRP Section personnel perform the necessary data entry to add the vehicle (i.e., entering make, model, VIN, etc.) and produce the invoice for the added vehicle. If the registrant is prepared to pay the

invoice at that point, CabCard credentials of the vehicle are presented to the registrant, as well as APPORTIONED plates and an expiration sticker. If the ADD is associated with a DELETE, then the registrant may use, for the ADDED vehicle, the plates and sticker of the vehicle being DELETED. In addition to cash, personal and business checks are acceptable for payment of any SUPPLEMENTAL application.

VISTA/RS will automatically apply any registration fee "credit" to the ADDED vehicle from any DELETED vehicle according to the credit policy of each jurisdiction. In the case of Connecticut, "credit" from a DELETED vehicle may be applied to an ADD as long as the DELETE occurred in the same fleet of the same account during the current registration year (May 1 to April 30). Registrants are also afforded credit toward the Connecticut portion of the apportioned registration if the registrant is converting from an intrastate non-IRP commercial to an IRP apportioned registration. This type of credit is not system-generated, but is calculated by the examiner and applied to the Connecticut portion as a manual adjustment to the bill.

If the registrant wishes to add more than three (3) vehicles to an existing IRP account, then the paperwork for the SUPPLEMENTAL application must be dropped off or mailed, and may not be processed over-the-counter (because of the large amount of data entry required). If the registrant needs to have the vehicles on the road immediately, and cannot wait until the permanent credentials of the vehicles can be produced, then the registrant may obtain TEMPORARY AUTHORITY for each vehicle. A TEMPORARY AUTHORITY is a valid 45-day temporary registration issued to IRP registrants in good standing at a cost of \$15.00. An additional \$2 would be charged for electronic issuance. At the present time, electronic issuance means faxing the document. A TEMPORARY AUTHORITY credential is created from the application form when numbered, validated, and approved by the IRP Section.

By statute, renewal applications must be mailed to registrants at least 45 days before expiration. IRP renewal applications requesting mileage data of the previously completed fiscal year (July 1 to June 30) are mailed more than three months before expiration, usually in December. These applications are renewal versions of Schedule A/E and Schedule B. The registrants are informed that all renewals must be processed through the mail. If a registrant appears in person, the registrant is requested to deposit the application in a drop-box for later processing, with return to the registrant by mail. The cost of the renewal is the registration fee plus a \$4 Clean Air Act fee for each power unit. Invoices for renewals of all vehicles in the account are mailed in early March in conformance with the statutory 45-day requirement since all apportioned registrations expire on April 30.

One renewal application is produced for each IRP interstate commercial fleet listed under a "master carrier account" structure. The unique identifier on the electronic record is the combined Account Number-Fleet Number, so that such registrant receives a single renewal invoice listing all vehicles in the fleet and the totaled fee due for that fleet. The registrant may have multiple fleets in an account. Each fleet is billed separately (separate invoices).

The account is unique at the level of REGISTRANT NAME and SSN/FEIN (Social Security Number/Federal Employer ID Number). All fleets in the account must list the same REGISTRANT NAME and SSN/FEIN. Other data (e.g., mailing address, set of jurisdictions, contact person, etc.) may vary among the fleets. The SSN/FEIN must be unique to the account. Two accounts may not list the same SSN/FEIN.

All IRP accounts have a US DOT number on file, both hardcopy and in the electronic record of VISTA-RS. The IRP Section requires that all new IRP applicants provide the US DOT NUMBER they operate under. The US DOT number is either in the registrant's name, or in the name of the motor carrier company the registrant is under contract with. The US DOT NUMBER provided is then listed on the generated renewal documents, and the registrant is asked to verify the number at the time of renewal. The same US DOT NUMBER may be listed on multiple accounts since multiple owner/operators are often under contract with the same motor carrier.

Each IRP registration application (new or renewal) is subject to a check against the Delinquent municipal motor vehicle property tax, Registration privilege suspension, Insurance compliance, Parking violation (DRIP) system(s). If the registrant has been reported as delinquent in tax payment, or has had his registration privileges suspended, or has been determined non-compliant in mandatory insurance requirements or has been reported as delinquent in the payment of municipal parking tickets, the invoice is manually stamped with a message that such registration will not be renewed until the problem(s) is (are) resolved. A special flyer, with full instructions, is matched with the invoice and the two are mailed together with a courtesy return envelope. Of these four scenarios, by far the most common is delinquent property taxes owed to a Connecticut municipality. The invoice specifically indicates that the registration will not be renewed until proof of tax payment is provided. Such proof is in the form of either a stamp on the invoice by the municipality, or a separate tax receipt form provided by the municipality at the time of tax payment.

In the renewal process, all apportioned interstate commercial vehicles registered at 55,000 pounds gross weight and over are verified for the required proof of Heavy Vehicle Use Tax (HVUT) payment to the IRS. Proof of payment of HVUT takes the form of a copy of the IRS form no. 2290 receipted for payment by the IRS. Also acceptable as proof is a photocopy (front and back) of the cancelled check payable to "IRS" or "US TREASURY." If for any such vehicle proof is not provided, the invoice is stamped with a message that the vehicle will not be renewed until proof is provided. A special flyer, with full instructions, is matched with the invoice and the two are mailed together with a courtesy return envelope.

Connecticut IRP has in effect a MEMORANDUM OF UNDERSTANDING (MOU) with the IRS, allowing IRP to accept the HVUT payment check and the completed 2290, for mailing to IRS by IRP, as proof of HVUT payment for the purpose of registration.

No oversize/overweight legend appears on IRP registrations, even when vehicles are clearly registered beyond statutory limits (e.g., registered over 80,000 pounds) and therefore require OS/OW permits for legal operation in Connecticut. Registrants registering beyond statutory

limits are informed that an OS/OW permit is required for legal operation and that such OS/OW permit is obtained by contacting the State of Connecticut Department of Transportation, Bureau of Engineering and Highway Operations, Motor Transport Services, Heavy and Specialized Hauling Permits. In the case of triaxle dump trucks, registration beyond 73,000 lbs. gross weight is not allowed without proof of OS/OW application (issued up to 76,500 lbs. gross weight). Section 14-270 (b) of the Connecticut General Statutes requires that the weight allowed by the OS/OW permit be limited to the registered weight that is listed on the CabCard. There is therefore no maximum allowable weight on a CabCard for Connecticut. In this respect, Connecticut is unlike certain other jurisdictions that limit the registered weight of the CabCard, but is similar in this respect to certain other jurisdictions such as Massachusetts. In Connecticut the maximum weight statutorily allowed without an OS/OW permit is:

- Two axle single unit – 36,000 lbs (40,000 lbs for certain construction vehicles)
- Three axle single unit – 53,800 lbs
- Three axle combination – 58,400 lbs
- Four axle units (single or combination) – 73,000 lbs (67,400 lbs if not construction vehicle and wheel base less than 28 feet)
- Five axle combination – 80,000 lbs
- Weight axle requirements for tractor/trailer combination are based on number of axles of total configuration, tractor plus trailer(s)

Any IRP registration not renewed within five (5) calendar days of expiration is subject to a \$10.00 late fee per vehicle. Any IRP registration issued or renewed on or after November 1 is charged ½ the Connecticut apportioned fee. The “proration” of apportioned fees of each jurisdiction is determined by the policy of the jurisdiction.

#### General Work Flow Process at the Wethersfield IRP Office

- Work is received from the DMV Mail Room, from customers over-the-counter or in the drop-box (located on the outside door of the IRP Section).
  - Supplements are usually processed over-the-counter while the customer waits.
- Original applications for new accounts usually require extensive data entry and cannot always be processed to the point of invoice generation while the customer waits, although invoice payments are processed over-the-counter. To open a new account, the registrant must provide a \$25 deposit fee for the first vehicle, plus \$10 for each additional vehicle. When the invoice for permanent registration is created, the carrier is credited for the deposit in the Connecticut portion of the Apportioned fee.
- Renewals are processed through the mail since the batch processing of renewals is accomplished more efficiently than renewal processing of individual applications.
- Work is date-stamped and is separated into work batches in date order, by type.

- Work is processed by an Examiner according to type (original, renewal or supplement) and applications are examined for COMPLETENESS (all required fields are filled in, form signed by registrant, etc.), CORRECTNESS (e.g., contiguous jurisdictions) and for miscellaneous DOCUMENTS which may be required, such as inspection reports or liability insurance cards. Applications may be rejected and returned to registrant if not complete, correct or if documents are missing.
- Before an IRP account is created or renewed, the examiner checks the DMV DRIP (Delinquent Municipal MV Property Tax, Registration Privilege Suspension, Insurance Compliance and Parking Violation System) file. The IRP Section is provided with a printout of all such listings for registrants with APPORTIONED plates. If there is a match by registrant name, the registrant is informed that the problem must be resolved and proof of the resolution must be provided.
- For cases of adding a vehicle, the DMV must examine supporting ownership documents. If the vehicle is currently titled, a photocopy of the active title is required. If the vehicle is currently titled out-of-state and not previously titled in Connecticut, evidence of passing VIN verification is required. (Evidence of passing such an inspection is a completed DMV inspection form no. B-269, form no. R-301 or "courtesy inspection" form no. R-83 performed by an acceptable out-of-state authority. A fee of \$10 is required in all cases.) If applying for a Connecticut title, the registrant includes an application for certificate of title (form H-13) plus \$25 title fee and \$10 for recording a security interest (lien). All cases of adding brand new vehicles (with accompanying MANUFACTURER'S CERTIFICATE OF ORIGIN) include such application for Connecticut title, form no. H-13. If registering a newly purchased 10-year-old or older vehicle to be titled in Connecticut, evidence of passing a Connecticut safety inspection is required. Proof of payment of HVUT (receipted IRS form 2290) is required when adding or renewing vehicles 55,000 pounds gross weight and over, except for vehicles being registered within 60 days of purchase. For vehicles registered as APPORTIONED, the registrant and the vehicle owner need not be the same. If different, the owner must authorize registration by sign-off on the back of form IRP-2 (Schedule A/E).
- Proof of mandatory Connecticut liability insurance is required for each vehicle added to the account. Individual insurance is not required if general fleet coverage is on file for an existing account. For renewal, only insurance information (no documentation) is required on Renewal Schedule B: NAME OF INSURANCE COMPANY, POLICY NUMBER, EFFECTIVE DATE and AGENT (if any).
- When an application examination is completed, the transaction is processed using the VISTA/RS. If the application is for a new account or renewal, mileage data for each jurisdiction of the carrier route, that may be ACTUAL or ESTIMATED, must be entered. If the mileage is ESTIMATED, the VISTA/RS determines whether the mileage is estimated within or over the 100% of other declared mileage figures.

Invoices are printed from the VISTA/RS on the GENICOM impact printer. Each invoice is a 3-part carbon-less document.

- If a title was applied for by submission of form no. H-13, the title/lien fees are validated on the H-13. The second (yellow) copy of the validated form is returned to applicant. The top (white) copy, together with the ownership documents, is forwarded to other sections of DMV for micro-filming, data entry of title record, title examination and eventual title mailing (to owner, or to lienholder if security interest is recorded). The third (pink) copy is put in “daily work” for audit purposes.
- The top invoice is attached to the work received and filed according to the account number in the carrier folder; the other two copies of the invoice are provided to the applicant (by mail or, in some cases, over-the-counter). The registrant with the appropriate payment must return one copy, and may keep the other copy for his records. The copy in file and the copy returned by the customer with the payment are put together and validated together in the cashiering system. Of the two copies validated, one copy remains in the registrant folder and the other copy is put in the “daily work” file.
- Invoices must be paid in GUARANTEED FUNDS (certified check, bank check or money order) for new accounts or account renewals. Inspection and title fees, as well as deposit fees, may be paid by personal or company check. Supplemental applications may be paid by personal or company check. Invoices returned with payment may be rejected and returned to registrant for a variety of reasons. Reasons include: (1) payment is not guaranteed funds, (2) payment is short (e.g., a LATE FEE of \$10 per vehicle could be due in the case of a renewal), (3) proof of HVUT payment requested was not provided with the invoice and payment, (4) proof of municipal property tax payment requested was not provided with the invoice and payment and (5) the registrant must first pay an outstanding billing, such as an audit billing.
- If acceptable, invoice and payment are processed as a part of the daily work for daily deposit. The original invoice in the carrier account folder is matched with the invoice copy returned by the registrant and the invoice is validated using the DMV PC-based cashiering system. One copy of the validated invoice remains in the carrier file, while the other copy is placed in the “daily work” file that is maintained as a separate file containing copies of all documents validated by the cashiering system.
- CabCard(s) are produced using the IBM 4230 dot matrix printer and are provided to the carrier with plates and plate sticker. Plates may not be needed if the registration is a renewal or transfer. CabCards are prenumbered. Voided CabCards are recorded in an inventory logbook, where beginning and ending CabCard numbers are recorded each day. CabCard use is monitored monthly using the logbook, data from the cashiering system and a CabCard monthly billing from AAMVA that identifies CabCard usage for the month.

- Financial transactions are “posted” in the VISTA/RS for the type of payment and the amount and date paid.
- At the end of each day, all financial transactions in the DMV PC-based cashiering system are uploaded to the DMV server where the cashiering system consolidates the data from all the PC’s used as point of sale terminals throughout the DMV and its branch offices.. An end-of-day processing function is also performed in the VISTA/RS and is required to effect the transfer of the registration work performed that day to the VISTA/RS data base.
- Lockheed Martin provides a weekly electronic update to Connecticut via telephone lines that contains the work processed using the VISTA/RS during the week. This electronic record is used to update the DMV Vehicle Registration System to ensure that an accurate record of all APPORTIONED plates (processed using VISTA/RS) exists in the DMV mainframe registration file, since a subset of this file, and not the VISTA/RS system, is accessed by law enforcement authorities.
- Examiners use the DMV PC-based cashiering system during the course of each business day to properly account for revenues received from foreign jurisdictions that are associated with foreign recaps/transmittals. Reports from the DMV cashiering system are used for tracking foreign transmittals.
- Monthly recaps/transmittals covering the last completed month for each of the other 51 IRP jurisdictions are generated using the VISTA/RS and are printed using one of the IBM 4230 printers. IRP personnel manually match the total foreign fees according to the VISTA/RS against the total foreign fees according to the DMV PC-based cashiering system; any discrepancy must be resolved. The IRP Section submits a monthly request for checks for each IRP jurisdiction to DMV Fiscal Services. DMV Fiscal Services then requests checks from the State of Connecticut Office of the Comptroller. After receipt, the checks, plus the associated recaps/transmittals, are mailed to the jurisdictions.

Currently, our DMV PC-based cashiering system is independent of the VISTA/RS. The invoice is validated using the DMV cashiering system and posted manually using the VISTA/RS. Connecticut is interested in some level of integration between the DMV PC-based cashing system and an IRP registration system, principally to eliminate the need for double entry of some financial information.

Currently work processed in the VISTA/RS is uploaded weekly to the DMV Vehicle Registration System and the subset file used for data inquiry access by law enforcement. The weekly period is Friday to Thursday. This schedule is performed to provide an extended processing window for the registration data, before the production update process is executed, which normally occurs every Tuesday and Thursday.

- Vehicle Identification Number (VIN) Verification Report or Courtesy Inspection (by an acceptable “foreign” jurisdiction) is required when registering a vehicle, other than a brand new vehicle, that had not been previously registered in Connecticut. An Insurance Card is required for each vehicle added unless a record of fleet coverage is on file in an existing IRP account.
  - Heavy Vehicle Use Tax (HVUT) Federal form 2290 and Schedule I (as applicable) provide proof at the time a vehicle is registered, or re-registered, of payment of the Federal tax paid to the Internal Revenue Service, for power units registered at 55,000 pounds gross weight or more. Proof is not required when a vehicle is registered within 60 days of the purchase.
- There are also Renewal Schedule B and Renewal Schedule A/E that are system-generated versions of forms IRP-1 and IRP-2, respectively, with printed carrier account information, including both carrier and vehicle information.

In addition to weight considerations, some vehicles are “Exempt” from IRP Registration including:

- Vehicles owned by governments
- Trailers, semi-trailers and converter gear, except when operating in California until 2002
- Charter buses (only interstate transit buses, when passengers pay to ride, require IRP)
- Vehicles displaying restricted plates such as “dealer” or “wrecker” plates
- Recreational vehicles not used in connection with a business, such as motor homes
- Motorcycles and passenger cars

#### 6.2.2.1.2 Intrastate Commercial Vehicle Registrations

An intrastate commercial vehicle registration is defined as a non-IRP commercial registration that is issued for a commercial (truck-like) type vehicle (i.e., a vehicle designed to carry a load) engaged in commercial operations only within the borders of Connecticut or, if the vehicle does operate interstate, such vehicle is below the weight/axle threshold which would require an IRP apportioned registration. There are approximately 68,000 such registrations (designated "class code 02" in the DMV Vehicle Registration File), of which approximately 16,000 have a registered gross vehicle weight of over 18,000 pounds and are subject to certain commercial vehicle regulation including the issuance of US DOT Number.

The Customized Services Section in the DMV Wethersfield Office administer the renewal processes for non-IRP commercial registrations and all other vehicle registration classes. This area oversees remittance-processing operations that are performed under a contract with a Lockbox service. Commercial vehicle registrants receive a courtesy return envelope with their renewal application, which directs remittance of application for renewal and check payment to the Bridgeport, Connecticut location of the Lockbox. The Lockbox utilizes the Optical Character Recognition (OCR) line printed by the DMV on all such registration renewal applications. This OCR line includes the fee due as well as the unique registration marker number for the vehicle. Through electronic data provided by the

Lockbox via telephone lines, an electronic file of Lockbox-processed vehicle registration information is provided to the DMV that allows for update of the DMV financial system, printing of registration certificates, and update of the mainframe DMV Vehicle Registration System.

Error corrections and special handling cases of Lockbox-processed renewals are handled by DMV personnel, referencing either the paper registration renewal applications (which are returned to DMV by the Lockbox) or by daily CD-ROM access of applications/check images provided to the DMV by the Lockbox. Certain registrations (e.g., vehicles subject to Heavy Vehicle Use Tax) require the examination of associated paperwork by DMV personnel before clearance for printing of the registration certificate and the system update.

All applications and checks that cannot be processed by the Lockbox for whatever reason are returned to the DMV for manual processing. Since no "master account structure" exists for these commercial registrations, the Lockbox rejections are for each individual vehicle registration application. DMV personnel must manually update the DMV Registration File registration record for each individual vehicle.

Commercial registrations are issued or renewed for a one-year period ending in April of each year. Unlike APPORTIONED registrations, commercial registrations do not necessarily expire on April 30, but may expire on a different date in April. But like APPORTIONED registrations, any commercial registration not renewed within five (5) calendar days of the expiration is assessed a late fee of \$10.00 and any commercial registration issued or renewed on or after November 1 of each year is charged a "prorated" fee of 1/2 the annual fee.

Upon the request of the registrant, a "SEASONAL" commercial registration is issued for any consecutive six-month period during the registration year from May to April. Such consecutive six-month seasonal registration may not overlap two commercial registration years, but rather must be entirely contained in one commercial registration year. The fee is 1/2 the full annual commercial registration fee.

Commercial fees are calculated by Gross Vehicle Weight (weight of vehicle empty plus weight of the heaviest load to be carried by the vehicle). Tractors in tractor/trailer combinations are registered for the combined gross vehicle weight of tractor, trailer and heaviest load. The fee is determined as follows:

Minimum fee	\$39.00
Up to 20,000 lbs. gross weight	\$1.15 per 100 lbs.
20,001 to 30,000 lbs. gross weight	\$1.40 per 100 lbs.
30,001 to 73,000 lbs. gross weight	\$1.75 per 100 lbs.
73,001 lbs. and over	\$1.90 per 100 lbs.

These rates apply not only per 100 lbs., but also to any fraction above (rounded up to the next 100-lb. increment). For example, a vehicle registered at 32,001 lbs. is charged \$561.75 (321 x \$1.75).

All intrastate commercial registrations are processed using the DMV Vehicle Registration System. New registrations are processed in any DMV branch office, and require the completion of DMV form no. H-13 (OFFICIAL REGISTRATION OF A MOTOR VEHICLE AND APPLICATION FOR CERTIFICATE OF TITLE) plus supporting ownership documentation (previous title, bill of sale, etc.).

Upon the examination and approval of paperwork by personnel at the DMV branch office, the registrant is provided with a validated copy of the application (which serves as the registration certificate) and an expiration plate sticker for a rear marker plate. The registrant may either obtain new marker plates for a \$5 plate fee charge, or may transfer plates previously issued in the name of the registrant for a different vehicle, provided the registrant pays a vehicle transfer fee of \$11. In the case of a transfer, a change in the name of record would require the additional payment of a \$12 record transfer fee.

For an intrastate commercial registration, the registrant must be the owner of the vehicle per Section 14-12(a) of the *Connecticut General Statutes*. All applications for Connecticut commercial registrations are processed together with applications for title, on the same form (Connecticut DMV form no. H-13: *Official Registration of a Motor Vehicle and Application for Certificate of Title*), unless the vehicle already has a Connecticut title in the name of the registrant.

To obtain an intrastate commercial registration for a vehicle which is not brand new and not previously registered in Connecticut (i.e., a vehicle to be registered in Connecticut with an out-of-state title as ownership documentation), the registrant must provide evidence that the vehicle passed a VIN verification administered by the DMV or by an authority recognized by DMV to perform such inspection (courtesy inspection). The inspection requires payment to the DMV of a \$10 fee.

To obtain an intrastate commercial registration for a vehicle that is 10-years-old or older, the registrant must provide evidence of having passed a 10-year-old safety inspection administered by the DMV or by an authority recognized by the DMV.

To obtain a commercial intrastate registration, the registrant must show proof of having mandatory liability insurance required by Connecticut law. A Connecticut insurance card listing the vehicle is usually required although, if the policy covers five or more vehicles, the specific vehicles do not have to be listed on the insurance card.

A copy of the H-13 and all supporting documents are forwarded to the DMV Office in Wethersfield, where the electronic registration record of the vehicle is created. Although the DMV is currently reviewing the possibility of electronic record creation on-line at point-of-transaction in the branch office, such point-of-transaction data entry does not appear likely in the immediate future. An electronic title record is also created at the Wethersfield office by the DMV Data Entry Section. The DMV Title Section in Wethersfield subjects ownership documents (which had received a preliminary review in the branch office) to a final review and approval. The registrant must apply for title to such vehicle (unless it is

model year 1980 or older and is therefore exempt from the title requirement) and is assessed a \$25 fee plus \$10 for recording a security interest (lien).

By statute, renewal applications must be mailed to registrants at least 45 days before expiration. As is the case for all registration types, registrants are informed that all renewals must be processed through the mail. However, if a registrant does appear at a branch office for renewal, the registration is renewed in-person at that office. The cost of the renewal is the registration fee (as identified earlier) plus a \$4 Clean Air Act fee for each power unit (unless powered by electricity). No proof of insurance is required at the time of renewal for intrastate commercial registrations.

One renewal application is produced for each commercial registration. There is no "master account structure" for intrastate commercial registrations. Since there is no present mechanism or unique identifier on the electronic record of each vehicle registered to link these records to the one registrant, such registrant cannot presently receive a single renewal invoice listing all vehicles and the totaled fee due. The renewal of each intrastate commercial registration therefore is a separate application, although a registrant will provide a single check for the total fee of all these separate applications. It is therefore the responsibility of the registrant to decide which vehicles he wishes to renew, total the registration fees for those vehicles he wishes to renew, and then return those applications with a check for the total of all fees. Personal and company checks are acceptable for intrastate registrations.

Each registration application is subject to a check against the **Delinquent** municipal motor vehicle property tax, **Registration** privilege suspension, **Insurance** compliance, **Parking** violation (DRIP) system(s). Access to the DRIP System is alpha--by the name of the registrant. Registrations are not issued if the registrant's name appears on this file. In the case of renewal, each registration record to be renewed is subject to a system check of the DRIP file prior to printing of the application. If the registrant has been reported as delinquent in tax payment, or has had his registration privileges suspended, or has been determined non-compliant in mandatory insurance requirements by our Insurance Cancellation System, or has been reported as delinquent in the payment of municipal parking tickets, the renewal application includes a message that such registration will not be renewed until the problem(s) is (are) resolved. Of these four scenarios, by far the most common is delinquent property taxes owed to a Connecticut municipality. The application specifically indicates that the registration will not be renewed until proof of tax payment is provided. Such proof takes the form of either a stamp on the back of the application by the municipality, or a separate tax receipt form provided by the municipality at the time of tax payment.

In the renewal process, all intrastate commercial vehicles registered at 55,000-lbs. gross weight and over are flagged for requiring proof of payment of Heavy Vehicle Use Tax (HVUT). A message to that effect is provided to the registrant on the application. Proof of payment of the HVUT takes the form of a copy of the IRS form no. 2290 receipted for payment by the IRS. Also acceptable as proof is a photocopy (front and back) of the cancelled check payable to the "IRS" or "US TREASURY."

An intrastate commercial registration may be flagged for any number of restriction "legends" which are printed on the face of the registration certificate. One such legend is "HEAVY DUTY HIGHWAY PERMIT REQUIRED" which, if the proper code is placed on the record, would appear on a registration certificate of a vehicle clearly beyond the statutory weight/axle limit provided in the Connecticut General Statutes. Such vehicle would require an Oversize/Overweight (OS/OW) permit from the Connecticut Department of Transportation for legal operation in Connecticut. Other legends include:

“LIMITED TO HEAVY DUTY TRAILER”

“HIGHWAY PERMIT REQUIRED WHEN GROSS WEIGHT EXCEEDS 53,800 LBS.”

“HIGHWAY PERMIT REQUIRED WHEN GROSS WEIGHT EXCEEDS 73,000 LBS.”

“67,400 LBS. GVW UNLESS IN COMPLIANCE WITH 14-267 or 14-269, C.G.S.”

At the time of renewal, non-IRP commercial vehicles are subject to a special weight/axle edit to determine if such vehicles are beyond statutory limits. If any registration is found which is not flagged for the "HEAVY DUTY HIGHWAY PERMIT REQUIRED" legend, but is apparently beyond the statutory weight/axle limit, such registration renewal application would be matched with a special letter informing the registrant of the legal requirements on weight/axle limits. In some cases the registrant may correct a weight or axle which may be in error on the DMV record.

In the case of a new commercial registration, the actual registration certificate to be carried in the vehicle is the second (yellow) copy of the registration application form (form no. H-13) when validated and approved by DMV. Otherwise (as in the case of renewals) the actual registration certificate is a laser-printed document listing the vehicle and registrant information on the DMV electronic file. While the laser document is letter size, the registration file information is restricted to the upper third of the document. This area of the document has an eraser-sensitive blue ink over which the registration file information is printed. For mailing purposes the mailing address is printed in the middle third area of the document. Batch mailings are accomplished through machine-folding and machine-insertion into window envelopes.

### Commercial Trailers

Commercial trailers are primarily processed in the general intrastate system. Trailers are not issued IRP apportioned registrations, except those operated by IRP carriers traveling through, and prorating with, the State of California---approximately 600 apportioned trailers at any one time. After 2001, no trailers will be issued apportioned plates.

Currently there are more than 22,000 non-apportioned commercial trailer registrations (DMV class code 10), of which approximately 9,000 are registered as the trailers for a commercial tractor/trailer combination. These trailer registrations, depending upon the

request of the registrant, are issued for one, two, three, four or five years, for \$35.00 per year. This type of trailer is registered at a fixed fee per year rather than by gross weight, since the tractor (power unit) used to pull the trailer is registered at the combined gross weight of the tractor, trailer and the heaviest load carried on the trailer---it is therefore the tractor registration that pays the fee by weight in accordance with the commercial fee rate schedule---not the trailer registration.

Commercial trailers, like regular commercial registrations and IRP APPORTIONED registrations, expire during the month of April.

### **6.2.2.2 Current Technical Environment**

#### **6.2.2.2.1 Interstate Commercial Vehicles**

The Connecticut DMV currently uses, through a contract with the American Association of Motor Vehicle Administrators (AAMVA), the proprietary Lockheed Martin Vehicle Information System for Tax Apportionment/Registration System (VISTA/RS). In Connecticut, the VISTA/RS is used solely by the DMV IRP Section located at the at the DMV Office in Wethersfield.

On a weekly basis (for the period Friday through Thursday) Lockheed Martin provides the DMV with an electronic record update of all apportioned registrations processed in the VISTA/RS to the point of CabCard issuance. These electronic records, transmitted over telephone lines, are coded with letters to designate the type of record change (e.g. vehicle information change, renewal, ownership change, etc.). This process allows for an update of mainframe DMV Vehicle Registration System records, which includes IRP apportioned registrations processed through VISTA/RS, as well as registration records processed through the general DMV Vehicle Registration System (such as intrastate commercial registrations). Electronic access to IRP records by areas other than the IRP Section is obtained through the general DMV Vehicle Registration System, since only the IRP Section accesses VISTA/RS.

The VISTA/RS is a proprietary product of Lockheed Martin IMS. It is used for International Registration Plan (IRP) processing in Connecticut. The VISTA-RS System runs on an IBM AS/400 system and is accessed through Advantis Network Services/IBM only at the IRP unit, located at the DMV office in Wethersfield, Connecticut. The Advantis Network Services/IBM Information Network is located at and administered by the Department of Information Technology (DOIT) Connecticut Administrative Technology Center (CATER) in Hartford.

The VISTA/RS system is presently accessed as a 3270-type host. Print is received as a 3270 print stream, using SCS character strings. The AS/400 runs the SPLSS/400 software product from IBM to provide 3270 access. VISTA/RS consists of ten core modules, which are maintained as IRP-compliant by Lockheed Martin IMS. Those modules are listed below, with high-level descriptions following:

- ◆ Schedule Processing
- ◆ Financial Processing
- ◆ Credential Processing
- ◆ Temporary Authority Processing
- ◆ Inquiry Processing
- ◆ Report Processing
- ◆ Table Update Processing
- ◆ System Functions
- ◆ Audit Processing
- ◆ Transmittal Tracking

A high-level description of each of the above modules follows:

“**Schedule Processing**” is used for the entry of registrant information, mileage information, weight group information and vehicle information; it is used to add new registrants or new fleets of registrants, or renew registrants or fleets, to process fleet-to-fleet vehicle transfers, to process supplements, including the addition/deletions of jurisdictions or vehicles, or to make any corrections. In “Schedule Processing” mileage data is entered for each jurisdiction, for the generation of the invoice.

“**Financial Processing**” is used for the generation of invoices. It is also used where any adjustment to the generated fee would be made (e.g., adding late fees--- in some cases the auditor may require a registrant to pay the full Connecticut fee because of faulty mileage records). Connecticut issues DUAL plates in certain cases (an APPORTIONED IRP plate issued in conjunction with a specific kind of non-apportioned Connecticut plate such as a WRECKER plate) and, in certain cases, the IRP fee generated for an apportioned registration will be “zeroed out” for “Connecticut” because the specific registration fee for the other plate has been paid and this payment (rather than the generated apportioned fee payment) constitutes the fee due to the jurisdiction of “Connecticut.” “Financial Processing” is also where payments are “posted,” i.e., Examiners enter the date and manner of invoice payment for the IRP credentials into the VISTA/RS system, since the VISTA/RS system is not electronically integrated with the DMV PC-based cashing system.

“**Credential Processing**” is used for the production of the CabCard credentials.

The “**Temporary Authority Processing**” module is currently not utilized by Connecticut, but Connecticut does produce paper Temporary Authorizations (TA’s) and maintains a paper file of TA’s issued. Furthermore, the IRP Section enters TA’s into a special electronic “HOT SHEET” file listing all temporary registration credentials, and law enforcement has access to this electronic file for verification of any temporary registration credential. A TA is a 45-day temporary registration credential issued to IRP registrants in good standing in the program until a permanent IRP credential can be issued. Issuance of a TA obligates the registrant to complete the registration process for permanent apportioned plates.

**“Inquiry Processing”** is used for four methods of registrant inquiry: registration name, DBA name, ZIP code and FEIN/SSN. Besides registrant inquiry, an inquiry can be made by registration plate number and vehicle information, such as Vehicle Identification Number (VIN) or Owner Equipment Number. The module also allows for a listing of all vehicles in a fleet or in a supplement of a particular registration year.

**“Report Processing”** is that part of the VISTA/RS system where various special reports (e.g. registrant listing, recaps, transmittals, etc.) are queued for printing.

**“Table Update Processing”** is used for various “housekeeping” activities, such as adding new IRP jurisdictions to various weight groups.

**“System Functions”** is used for various miscellaneous functions, such as printing invoices held in a print queue and for certain end-of-day functions for data upload. This module also allows for specialized *ad hoc* reports, called IQ (Interactive Query). Connecticut uses the IQ report functionality to generate empirical mileage averages of its carriers; this data is used for Connecticut’s Estimated Mileage Schedule provided to registrants first entering the IRP program.

**“Audit Processing”**

Connecticut currently uses the “Audit Processing” module for certain data inquiry functions, but not for audit selection criteria, or for the calculation of fee corrections due to audit, or billing/refund letters. This module provides useful registrant vehicle listings for each registration, which indicate the date that vehicles were added to or deleted from the fleet. Audit Services is currently evaluating more comprehensive use of a module of this kind.

**“Transmittal Tracking”**

The IRP Section at one time used the “Transmittal Tracking” module to track Connecticut funds received from foreign jurisdictions. However, at this time the IRP Section uses a special report generated by the DMV cashiering system for the transmittal tracking function. Unlike the VISTA-RS Transmittal Tracking module, this cashiering report does not require any data entry by IRP personnel beyond the cashiering function. Connecticut IRP personnel contact foreign jurisdictions when transmittal payments are more than three months late, or when there is a missing payment period. The IRP requires payment disbursement to other jurisdictions 45 days after receipt of funds by the base jurisdiction. Recaps and transmittals received without payment are entered into a special logbook, awaiting the receipt of funds.

#### 6.2.2.2.2. Intrastate Commercial Vehicles

The Connecticut Vehicle Registration System operates at DOIT CATER on an IBM mainframe running under an MVS environment. The System is written in COBOL and contains both batch and on-line (CICS) updates. The files are VSAM KSDS. This Vehicle Registration System contains an electronic record of all vehicle registrations.

The DMV Vehicle Registration System is accessed through the Connecticut IBM SNA network that operates from the Department of Information Technology (DOIT) Connecticut Administrative Technology Center (CATER). CATER also maintains a TCP/IP network with TN3270 that accesses the Vehicle Registration System. The State WAN is a frame-relay network running IP. This is the same network that is expected to host the CVISN server(s).

The following DMV systems overview information is provided:

#### Vehicle Registration System

Authoritative Information Sources: Nicholas Demetriades, DMV Information Systems Technologies Division (IST), DOIT

Functional Overview: The Registration System is the registration system for all in-state vehicles. Processes all new, transfers, changes and cancellations of vehicle registration and credential information. Includes commercial vehicles, both in-state and IRP registrations.

System Owner of Record: DMV Branch Operations Division

Technical Support: The DMV Information Systems Technologies (IST) Division

System Development: The System was developed in-house by the DMV IST Division

Initial Install Date: Late 1970's, with updates

Installed Version: Major overhaul in 1983-1984; converted from DOS/VSE/SP to MVS in 1999 as part of the Y2K Project

Run location: DOIT CATER in Hartford

OS/TP Environment: IBM MVS/OS 390 VTAM/CICS

Technical Architecture: IBM Mainframe, VTAM, TCP/IP and SNA to Wethersfield, SNA to Branch Offices, Ethernet and Token Ring

File/Data Base: VSAM KSDS, sequential files

Size Information: 2,700,000 active records, 3,500,000 total; 500 bytes/record

Language: IBM Cobol, COBOL/CICS, VISION Results (formerly Dylakor),  
Assembler

Lines of Code:   COBOL: 332,202   VISION: 6,894    ASM: 4,618   Total:  
343,714

Programs:       COBOL: 406       VISION: 56       ASM: 25       Total:  
487

User Interface: 3270/CICS Inquiry and access, data entry 3270/CICS to batch

Y2K Status: The System is compliant, using windowing logic based upon year 20.

CVISN Relationship: In-state registrations for commercial vehicles also contains IRP  
information

### 6.2.2.3 Required System

It is the intent of this RFP to procure all necessary services to replace or modify the current IRP system to conform to the base state agreement of the International Registration Plan, to produce vehicle registration credentials for the interstate and intrastate vehicles of Connecticut-based IRP carriers as well as all required reports and applications, to obtain all IRP-related CVISN Level 1 Deployment functionalities, to meet all PRISM-related requirements and to provide the following capabilities:

- 6.2.2.3.1 IRP renewal applications, IRP supplemental applications and non-IRP renewal applications are to be filed electronically from motor carrier offices.
- 6.2.2.3.2 IRP and non-IRP registration credentials processes (electronic submission of applications, as well as electronic application evaluation, processing and offsite credential production) are to be supported through electronic exchange of IRP and non-IRP application data, safety records, carrier background data and other required records.
- 6.2.2.3.3. Fees are to be paid electronically.
- 6.2.2.3.4. The IRP base state agreement is to be supported electronically to the extent possible.
- 6.2.2.3.5. IRP carrier audits are to be accomplished with electronic support.
- 6.2.2.3.6. IRP credential and fees status information is to be made available electronically to authorized users.
- 6.2.2.3.7. The “paperless vehicle” concept (i.e. electronic credential and supporting electronic documentation are to be accepted in lieu of paper versions and become primary, while paper records become secondary) is to be supported as allowed by Connecticut statutes, regulations and architectural guidelines.
- 6.2.2.3.8. Access to Connecticut-held IRP and intrastate registration data, on a need-to-know basis, is to be restricted to authorized officials and monitored.
- 6.2.2.3.9 Unique, standard identifiers will be adopted for each IRP and intrastate carrier, vehicle and transponder.

## 6.2.2.4 Mandatory Business Process Requirements

### 6.2.2.4.1 Process Requirements

Specified below are the business process requirements to support, for Connecticut-based vehicles, electronic (A) IRP renewals and supplements for interstate vehicles and (B) commercial renewals for non-IRP vehicles, including the following:

6.2.2.4.1.1 Allow carrier transaction systems and the State of Connecticut DMV system(s) to communicate the electronic submission/receipt of applications, evaluation, processing (including the collection of fees) and application response so that motor carriers are to be able to electronically file and pay for:

6.2.2.4.1.1.1 IRP Supplemental Transactions, including:

6.2.2.4.1.1.1.1 Add Vehicle(s)

- Brand New with Manufacturer's Certificate of Origin (requiring creation of both title and registration records)
- Connecticut-Titled Vehicle (requiring Connecticut title verification, and new registration record based on previous Connecticut registration record)
- Out-of-State-titled Vehicle (requiring new registration record and may, or may not, require title record creation)

6.2.2.4.1.1.1.2 Add Jurisdiction(s)

6.2.2.4.1.1.1.3 Delete Vehicle(s)

6.2.2.4.1.1.1.4 Replacement Credential (form no. IRP-5)

- Lost CabCard (\$5)
- Lost marker plates (\$16)

6.2.2.4.1.1.1.5 Changes in Vehicle Weights in any or all jurisdictions

6.2.2.4.1.1.1.6 Miscellaneous Information Changes (e. g., change of contact person, change of telephone number, change of US DOT number a registrant operates under, change of registrant address)

6.2.2.4.1.1.2 IRP Renewal Transactions (may include adding/deleting vehicles and information changes)

6.2.2.4.1.1.3 IRP Renewal Transactions

After successful electronic submissions (including filings/payments) occur, controlled temporary credentials, for immediate use by the registrant, must be printed on-site at the commercial carrier facility. This temporary credential, which may or may not be identical to the Temporary

Authorization (TA) currently issued, will be replaced by a permanent credential once the DMV verifies that all requirements for permanent registration have been met. The permanent credential is the registration certificate (CabCard in the case of IRP) which may be produced off-site at the carrier's location in a controlled system environment.

6.2.2.4.1.2 Distribute, as authorized, registration credentials information about carriers and vehicles electronically to the CI/CVIEW System.

6.2.2.4.1.3 The means to accept and process fees electronically for vehicle registrations are to be provided.

6.2.2.4.1.4 Communicate with the IRP Clearinghouse for exchanging information and fees among IRP jurisdictions.

6.2.2.4.1.5 Allow for the submission of one or more vehicle registration renewal or supplement credential applications in a single transaction.

6.2.2.4.1.6 Create audit trails for reviewing/analyzing when and what IRP information was accessed and/or updated, by whom and from what location.

6.2.2.4.1.7 Provide data to the CI/CVIEW System to allow for, prior to issuing credentials, the review of credentials and safety performance data, including PRISM-related data, about Connecticut-based and non-Connecticut-based carriers and vehicles via the CI/CVIEW System.

6.2.2.4.1.8 Provide authorized users access to DMV IRP System registration credentials data.

6.2.2.4.2 Accounts Processing

The system must provide the creation of an original account and new fleets in an existing account, as well as process renewals, supplemental applications and corrections. A fleet is a set of one or more vehicles that can be apportioned, traveling through a specific set of jurisdictions. An account is the registrant (with unique SSN/FEIN) and that account may have one or more fleets of vehicles. The system must process registrant information, mileage information, weight information and vehicle information. The system must process supplemental applications and corrections by account number, fleet number and system-assigned supplement number. Supplemental transactions are:

- Change of address (or change of other account information) on an account.
- Replacement of lost, stolen or mutilated IRP plates; sub-registration from one IRP plate to another plate (same vehicle).

- Replacement of IRP CabCard.
- Adding or deleting vehicles from IRP fleets.
- Transfer of an IRP plate to a different vehicle.
- Adding or deleting IRP jurisdictions to/from an existing fleet.
- Increasing or decreasing registered weight.

The system must allow the user to correct registrant information, mileage information, weight information and vehicle information. Using the CVIEW interface, vehicle changes may need to be communicated to the DOT system as well. The Award 2 Vendor needs to be aware of system wide integration issues such as this, when working with the Award 1 Vendor.

The system must be able to process renewals that currently expire on April 30. The system must be able to process staggered (renewals expiring throughout the year) registrations should Connecticut migrate to a staggered registration system.

The system needs to perform account processing (applications and invoice), credentials issuance (CabCards) and electronic posting of financial transactions. The system needs to be to print credentials and all required reports on impact printers and on laser printers, at the option of the users..

The system must print the current pin-fed documents on an impact printer or utilize a cut-sheet laser printer, producing multiple copies. The vendor must submit printer hardware recommendations realizing that speed, quality of print and dependability are important.

The system must capture and use the following information for account processing:

6.2.2.4.2.1 Registrant Information

- A. Name of registrant
- B. DBA ("Doing Business As" name)
- C. Account Number
- D. Fleet Number
- E. Renewal month of credentials
- F. Expiration date of credentials (currently all April 30 expirations)
- G. Account status code (active, cancel, etc.)
- H. Business location/street address (system must require the user to enter a Connecticut address)
- I. Mailing Address (no state restriction)
- J. Contact information (including name, address, telephone number, fax number, etc.)
- K. Type of operation (HH: haul-for- hire; PC: private carrier; HG: household goods carrier; EX: exempt carrier; RC: rental carrier)
- L. Date of Operation (first date operated)
- M. Federal Employer Identification Number/Social Security Number

- N. U.S. Department of Transportation Number (US DOT #)
- O. Fuel Tax Registration Number
- P. Manufacturer Statement of Origin - Y or N (to support Utah reg. fee requirements) with default to "N"
- Q. Intrastate authority indicator for Wyoming registration fee requirements – Y or N with default to "N"
- R. Colorado 10,000 or less - Y or N with default to "N"
- S. Montana split weight (S split or C combined)
- T. Total number of active units in the account, broken down by power units, trailers and buses
- U. Carrier Name (US DOT # in Name of) with default to Registrant Name

At the account level there must be clear designation of Registration Year and Supplement Number. The original Supplement Number for renewal is to be 000. Each supplement after renewal is to be incremented by 1. Proper fee calculation shall also require the specification of the number of months for which the fee shall be calculated.

#### 6.2.2.4.2.2 Mileage Information

- A. Indicator of which jurisdictions the registrant wants to prorate in (must be contiguous states – an edit is required to check this)
- B. Indicator of whether the registrant has provided actual or estimated miles (A or E); an E designation automatically generates default estimated mileage figures for jurisdictions
- C. Miles by jurisdiction
- D. Apportioned % of miles for each jurisdiction (system must calculate)
- E. Total Mileage - User enters total; system verifies the addition of miles per jurisdiction to total miles entered
- F. System automatically determines whether the fee for estimated mileage by jurisdiction is calculated within or over the 100% of other mileage data, per the IRP requirements. A registrant who estimates for the second or subsequent year in the same jurisdictions will be assessed for the estimated jurisdictions above the 100% apportionment of the registrant's other jurisdictions. A registrant will not be assessed for a second year estimate if the registrant was in the IRP Program for less than two (2) months of the reporting period (last completed fiscal year July 1 to June 30); that is, if the registrant's date of operation is after the most recent May 1.

6.2.2.4.2.3 Weight Information

- A. Weight group # (designate same weight group for all jurisdictions without needing to type weight group for each individual vehicle; also a mechanism to allow different weights in various jurisdictions)
- B. Weight group type (i.e. power unit, bus, trailer: P, B, T)
- C. Jurisdiction weight (i.e. registered weight for each jurisdiction – which is the maximum weight for operation in each jurisdiction). This weight must be printed on the CabCard credential for each jurisdiction except for cases of “QUAL.”

6.2.2.4.2.4 Vehicle Information

- A. Owner equipment number (OEN) - edit for uniqueness in account
- B. Weight group number
- C. VIN number
- D. Year model
- E. Make
- F. Model
- G. Type of vehicle (truck, truck tractor, tractor, road tractor, semi-trailer, full trailer, bus, converter gear, double bottom)
- H. Number of axles/seats (same field used for trucks/tractors and buses depending on type of vehicle)
- I. Fuel type (diesel, gasoline, propane)
- J. Unladen weight
- K. Gross combined weight
- L. Purchase price
- M. Factory price
- N. Date of purchase
- O. Date leased
- P. Date vehicle added to fleet---if not entered, system generates current date
- Q. Owner name with default to registrant name
- R. Owned or leased (O or L).
- S. Title State
- T. Title number
- U. Apportioned plate number
- V. Previous plate number
- W. Heavy Vehicle Use Tax - HVUT (indicator to reflect whether or not the customer provided proof of HVUT payment for a vehicle)
- X. Colorado over 10,000 miles indicator (Y or N) which will support Colorado registration fee requirements
- Y. For Long Term Rental – Y or N (default to N)
- Z. DOT Number/Carrier Name – Automatic system default to DOT Number/Carrier Name listed for registrant, but with allowance to enter a different DOT Number/Carrier Name for specific vehicle.

- AA. SSN/FEIN – Automatic system default to SSN/FEIN listed for registrant, but with allowance to enter a different SSN/FEIN for specific vehicle
- BB. Dual Plate – Y or N [if Y, class code (two numeric) and plate number (6 character alphanumeric)] with default to N
- CC. Tax Town Code (3 digit number, or xxx)
- DD. Plate Fee – Y or N – (\$5)
- EE. Transfer Fees – Y or N – (\$12 record transfer, \$11 vehicle transfer, \$23 class transfers, \$11 sub-registration)
- FF. CabCard Fee – Y or N – (\$5)
- GG. Late Fee – Y or N – (\$10)

Data fields must have “defaults” as appropriate.

Notes: Preference will be given to a system that “hides” or “suppresses” data fields used by other jurisdictions (that use same IRP System) only, not by Connecticut, which have no bearing on the Connecticut registration process.

Connecticut currently has two types of APPORTIONED dual plates, “Option 1” and “Option 2.” In “Option 1” the apportioned Connecticut registration fee by percentage is calculated, but then zeroed out, with the registrant paying only the calculated foreign registration fees, plus administrative fees. In “Option 2” the calculated Connecticut registration fee is paid by the carrier, as well as the calculated foreign registration fees, plus administrative fees. Currently this difference is handled after fee calculation by fee adjustments. Preference will be given to a system that allows direct calculation of either option type---by selection of dual Option 1 vs. dual Option 2 --- at the vehicle level.

#### 6.2.2.4.2.5 Gross Weight

Every vehicle has associated with it a maximum weight at which the vehicle may operate in each jurisdiction. The system must provide a mechanism to designate this maximum weight in each jurisdiction. Often the maximum weight is the same for all designated jurisdictions. The system must allow for a single entry of this maximum weight that will be listed as the maximum weight for all jurisdictions. The objective is to prevent the user from having to enter all weights per jurisdiction when that weight is the same for all jurisdictions. However, sometimes the maximum weight in a particular jurisdiction differs from the maximum weight in other jurisdictions. The system must then allow for this exception so that the maximum weight of operation in some jurisdictions differs from the maximum weight of operation in other jurisdictions.

6.2.2.4.2.6 Returned Plate Refunds

The System must support processing of credit and refund applications when plates are returned. There must be a mechanism to cancel a vehicle registration specifically for a refund, such that “credit” is not pending in the system, since such “credit” is to be refunded. Such a mechanism must contrast with a delete, whereby credit is pending, and may be used in another transaction during the registration year in the same fleet.

6.2.2.4.3 Credential Processing

6.2.2.4.3.1 CabCard Issue/Print/Reprint

The system must issue and print CabCard credentials and record plate issuance. The system must process reprints of credentials for either a single vehicle by owner equipment number (OEN), all vehicles in a supplement and particular vehicles by owner equipment number range. The system must allow credentials, on an exception basis, to be printed/issued before a payment is posted. The current Cab Card is a cut-sheet form about the 1/3 the size of an 8 1/2 x 11” sheet of paper. The DMV has wanted to use a full sheet (8 1/2 x 11”) to allow for placement of a different mailing than the Carrier’s address, as well as the ability to provide an information block to the Carrier. The DMV has also wanted to include a Postal Bar Code in the envelope window. These are all now requirements of this RFP. The following CabCard information (to be printed on safety paper) is required:

- A. Name and business address of registrant
- B. Name of owner of vehicle
- C. Year of vehicle
- D. Make
- E. Type of vehicle (Truck Tractor, Tractor, Truck, Road Tractor, Semi-trailer, Full-Trailer, Converter Gear and Double Bottom)
- F. Vehicle identification number (VIN)
- G. Owner Equipment Number (OEN)
- H. Model
- I. Unladed weight
- J. Combined gross weight
- K. IRP account number/fleet number
- L. Fuel type (propane, gasoline, diesel)
- M. Effective date of credential (default to current date; examiner may specify specific date at time credential is produced)
- N. Registration plate number
- O. Expiration date
- P. Tax town number
- Q. Connecticut administrative fees paid
- R. Connecticut registration fees paid
- S. Foreign registration fees paid

- T. Jurisdictions
- U. Weight for each jurisdiction
- V. Mailing Address (if different from business address)
- W. Postal barcode in envelope window following all U.S. Postal barcode requirements
- X. US DOT # and associated Carrier Name

NOTE: If the business address is different from the mailing address, preference will be given to a system which allows both business and mailing address to be printed on the CabCard, in such a way that the CabCard can be mailed to the mailing address visible in a window envelope (currently, only business addresses print on the Cab Card).

Current Processing: CabCard(s) are currently produced using the IBM 4230 dot matrix printer and are provided to the carrier with plates and plate sticker. Plates may not be needed if the registration is a renewal or transfer. CabCards are prenumbered. Voided CabCards are recorded in an inventory logbook, where beginning and ending CabCard numbers are recorded each day. CabCard use is monitored monthly using the logbook, data from the cashiering system and a CabCard monthly billing from AAMVA that identifies CabCard usage for the month.

Requirements of this RFP: The current IRP CabCard is impact printed, and the size is approximately 1/3 of a standard 8 1/2 inch by 11 inch letter size sheet. It is the intention of DMV to change to a system of cut sheet laser printing for the CabCards, similar to the system in place for non-IRP registration. In DMV's current system for non-IRP registrations, the registration is the upper 1/3 of a perforated letter size sheet (the lower 2/3's being used as a "carrier" for the mailing address and information associated with the registration).

#### 6.2.2.4.3.2 Replacements

The system must have the ability to process fee and no fee replacement transactions for individual registration plates and must include the exchange of plates (sub-registration) on the same vehicle. The system must process these transactions on a new supplement number. A \$5 plate fee plus an \$11 sub-registration fee are charged.

#### 6.2.2.4.3.3 Replace CabCards

The system must have the ability to process CabCard replacements and must process these transactions under a new supplement number. The CabCard replacement fee is \$5. This fee is not charged at first issuance or at renewal or for a plate replacement (sub-registration). It is charged for a CabCard replacement when an original CabCard is lost, and for most cases of information change (e.g., tax town change, weight change), but not for information corrections due to DMV error.

6.2.2.4.3.4 Transfer Transactions

The system must have the ability to process a transfer of plates to a different vehicle where a fee is assessed and/or credits are calculated and must process these transactions under a new supplement number. The system must allow assessment of an \$11 transfer fee, and must allow the user to enter an appropriate credit amount in case of the transfer from intrastate plate to IRP plate.

6.2.2.4.3.5 Plates

The system must have the ability to process assignments of plates, and must calculate the fees associated with these plates. The system must be able to process these transactions as original, renewal or supplemental applications. A plate fee of \$5 is assessed per set of plates issued.

6.2.2.4.4 Reports and Applications Processing

The system must allow for the generation of standardized reports and applications on a daily, weekly, monthly and yearly (calendar and fiscal) basis. The system must also allow for reports to be generated for a specific date range upon request. The following are required:

6.2.2.4.4.1 CABCARD ISSUANCE REPORT - A report of all CabCard credentials issued must be provided for a specified period upon request. This report is to include plate number, owner equipment number, as well as the name and account/fleet number of the registrant and the type of transaction for which a CabCard was issued (new, renewal, CabCard replacement, information change, etc.). This report is to be used to account for CabCard usage. CabCards have unique "control numbers" preprinted on the forms. The IRP Section has a CabCard logbook, in which each day the beginning and ending CabCard control numbers are listed, and any VOIDS are noted. The system must provide the ability to generate a CabCard Issuance Report that can be reconciled against the CabCard logbook.

6.2.2.4.4.2 INVOICE PRINT REPORT - A report of all invoices generated in a day must be printed at the end of the day. This report is to include name and account/fleet number of registrant, plus total fee of invoice.

6.2.2.4.4.3 IRP MAILING LABELS - Mailing labels must be produced upon request for all registrants renewing in a selected month, or for specific registrants by account number, or for a specific range of registrants by account number range. The label must list the account name and mailing address in a format acceptable to the U.S. Postal Services for mailing purposes.

- 6.2.2.4.4.4 FILE FOLDER LABELS – The system must produce file folder labels, upon request, for new accounts or when accounts are renewed. File folder labels are to include account name, DBA (if any), account number and registration year.
- 6.2.2.4.4.5 IRP RENEWAL APPLICATIONS – The system must produce applications for account renewals, which are currently designated Renewal Schedule B and Renewal Schedule A/E. These applications contain registrant information and vehicle information of record, and also spaces for mileage data to be inserted by registrants for each jurisdiction. Registrants may make changes in the preprinted information at the time of renewal. Renewal applications must be produced upon request for all registrants renewing in a selected month, or for specific registrants by account number, or for a specific range of accounts by account numbers.
- 6.2.2.4.4.6 VEHICLE REPORT – The system must be able to produce a report which lists, for each account/fleet active or deleted in a specified registration year, a listing of all the vehicles active in the account-fleet during that registration year. The report must include at least the following information for each vehicle in the account/fleet: OWNER EQUIPMENT NUMBER, PLATE NUMBER, VIN, TYPE, MAKE, MODEL, WEIGHT, STATUS (renewed, new, deleted), SUPPLEMENT NUMBER (supplement on which vehicle was renewed, added, deleted during the registration year), DATE OF SUPPLEMENT. For each account/fleet, the report must list the full registrant NAME and BUSINESS ADDRESS, as well as the ACCOUNT STATUS (active, cancelled). This report is provided to the auditor.
- 6.2.2.4.4.7 REGISTRANT LOG – The system must be able to produce a report that lists the following items by each registrant account number/fleet number: every registrant by name and address, the account status, SSN/FEIN and US DOT Number.
- 6.2.2.4.4.8 MASTER LOG – The system must be able to produce a report that lists the following items by each registrant account number/fleet number: all power units in each weight group by Owner Equipment Number and all buses by Owner Equipment Number.
- 6.2.2.4.4.9 RECONCILIATION REPORT – The system must be able to produce a report to be used in reconciling the registration system data to the funds received data processed in the cashiering system. The report must break out funds as Connecticut registration fee, total foreign registration fees and Connecticut administrative fees (\$4 Clean Air Act Fee, \$11 Vehicle Transfer Fee, \$12 Record Transfer Fee, \$11 Sub-Registration Fee, \$23 Class Transfer Fee, \$5 Plate Fee, \$5 CabCard Fee and \$10 Late Fee), and must provide a grand total.
- 6.2.2.4.4.10 RECAPS/TRANSMITTALS – The system must be able to provide documentation for the IRP fees collected for all IRP member jurisdictions per

the requirements of the IRP. Information and fees are disbursed monthly to all IRP member jurisdictions and the system must be able to produce a detailed recap of information, as well as a summary recap of transactions. The system must produce a summary transmittal showing the total fee due to each jurisdiction. If a jurisdiction has a tiered fee structure (e.g., the State of Maine has a fee consisting of a registration fee plus excise tax) the recap must provide the tier fee breakdown, as well as the total fee collected. Connecticut generally provides recaps/transmittal for the work processed the previously completed month, rather than every week or every two weeks.

The system must be able to generate more detailed recaps and transmittals (listing miles and percentage of miles of all jurisdictions and whether the miles are actual or estimated) if more detailed reports are required by a jurisdiction. The detailed reports must also include other data as required by Article 3040 of the *IRP Policies and Procedures Manual*.

6.2.2.4.4.11 INVOICE NOT PAID REPORT – The system must be able to provide a report that identifies any account/fleet that have been invoiced, but not yet paid, within a registration year.

6.2.2.4.4.12 DELETED ACCOUNTS – The system must be able to provide a report that identifies any accounts/fleets that have been deleted as active registrants within a specified time period.

6.2.2.4.4.13 ESTIMATED MILEAGE SCHEDULE – The system must be able to provide empirical averages of actual miles of Connecticut carriers for each jurisdiction. These empirical averages are used for the Estimated Mileage Schedule provided to first-time registrants to the IRP Program.

6.2.2.4.4.14 ELECTRONIC TRANSACTION REPORT - a report of total electronic transactions processed must be provided for a specified period upon request. The system must also produce reports by name and account number/fleet number of registrant that include SSN/FEIN and US DOT NUMBER, number of transaction, type of transaction, date of transaction, type of payment and vehicle information.

6.2.2.4.4.15 AD HOC REPORT CAPABILITIES – The system must produce user built *ad hoc* reports when unique situations arise.

#### 6.2.2.4.5 General Financial Processing

The system must calculate registration and administrative fees, allow for the printing of an invoice, posting of a payment, making an adjustment to the invoice, voiding a payment and requesting duplicate invoices. The system must allow for, and assess, a variety of Connecticut administrative fees. These fees must also appear on invoices.

6.2.2.4.5.1 Invoices

The system must provide for two types of invoices:

- A. Jurisdiction Summary - summary of the total fees and percentages for each jurisdiction. The system must print multiple copies (currently 3-part paper is used in GENICOM printer).
- B. Vehicle Fees Summary - summary of the total fees per vehicle.

The following information is required on the invoice:

- A. Account number
- B. Fleet numbers
- C. Supplement number
- D. Invoice number (system generated)
- E. Registration Year
- F. Number of registration months
- G. Number of power units
- H. Number of trailers
- I. Registrant name
- J. Street address (mailing address)
- K. State (mailing address)
- L. Zip code (mailing address)
- M. Apportioned registration fees due Connecticut
- N. Total apportioned registration fees due to foreign jurisdictions
- O. Total apportioned registration fees due
- P. Late fee
- Q. CabCard fee
- R. Transfer fee
- S. Plate fee
- T. Total administrative fees
- U. Less credit applied to registration fees
- V. Payment received (if partial payment accepted)
- W. Total amount due (which must be highlighted in some way)

6.2.2.4.5.2 Payments Processing

The system must allow for partial payments to be posted to a single supplement. The system must not place the transaction on the recaps/transmittals until such time as sufficient funds have been posted to the transaction and the credential is produced. The System must allow the IRP Section to bill out for payment shortages or for additional fees due (e.g., late fee due when the registration is not renewed within five calendar days of expiration).

6.2.2.4.5.3 Registration Credits

Connecticut provides credit toward an IRP plate for a Connecticut non-IRP plate that is returned to the DMV. The system must provide some mechanism for the

examiner to enter non-IRP plate credit. The credit must offset the Connecticut portion of the APPORTIONED fee and must be reflected in the invoice. The system must also provide some mechanism to assess a special \$23 "class transfer fee" (converting from non-IRP to IRP) as an administrative fee. When a registrant is opening a new account, deposit fees are required (\$25 for first vehicle, plus \$10 for each additional vehicle). The system must provide some mechanism to credit these deposit fees against the Connecticut portion of the APPORTIONED fee.

#### 6.2.2.4.6 Audit

An audit module must exist that allows Connecticut to meet the IRP requirement that each jurisdiction perform audits of its registrant fleets at a rate of not less than 3% annually for an average of 15% of the total number of fleets over a 5-year period. The audit module is to allow for single year audits to be performed with the focus of the audit based upon specific registration years, accounts and fleets. The audit module is to allow the user to perform audits on active year records and include the following capabilities:

- 6.2.2.4.6.1 To select accounts for audit based upon, but not limited to, the following criteria: base jurisdiction mileage percentage, total number of vehicles vs. total mileage, vehicle total range, operational type or account number, percentage of dollars paid to Connecticut (vs. other jurisdictions) and dollar amount;
- 6.2.2.4.6.2 To produce a listing of all vehicles, in unit # order, for one or more specific fiscal years, including the mileage year July 1 through June 30, by account number and fleet, for one or more prior registration years, providing for each vehicle added and date deleted;
- 6.2.2.4.6.3 To produce reports which include at least the following elements: account status (active, cancel, etc.), net fees by jurisdiction and recap of fees for Connecticut for each supplement;
- 6.2.2.4.6.4 To produce and maintain audit correspondence, including at least registrant pre-audit and post-audit notification letters and correspondence to foreign jurisdictions;
- 6.2.2.4.6.5 To inquire, by specific registration year(s), account(s) and fleet(s), jurisdictional mileages and percentages;
- 6.2.2.4.6.6 To allow, after completion of an audit during the current registration year, for changes in percentage (%) factors to current year registration calculations;
- 6.2.2.4.6.7 To maintain the text of master form letters and allow text modifications;

6.2.2.4.6.8 To produce consolidated reports of prorated fees by registrant account for supplements issued during the registration year collected for Connecticut and other jurisdictions;

6.2.2.4.6.9 To track refunds/billings that result from audits conducted in Connecticut and in other jurisdictions;

6.2.2.4.6.10 To create non-payment “flags” for non-payments of audit bills; and

6.2.2.4.6.11 To maintain, in a usable format, audit files for at least five years.

The Auditor assigned to review IRP accounts, who is not located with the IRP Section Offices, must have “inquiry only” access to the IRP system. The system must allow the posting of audit results to the account, the production of related correspondence and the monitoring of the account. The system must allow the user to adjust, based on the audit results, the apportioned percentages for the current credential year and the system must apply these adjusted percentages to future transactions processed. In the case of vehicle listings, it is preferred that the audit module either allows “spreadsheet-like” data sorts, or allows for the download of data to Microsoft Excel.

#### 6.2.2.4.7 Inquiry Processing

The system must provide for inquiry on IRP accounts and fleets, including inquiries concerning the registration plate number, vehicle information, weight information, historical information and error correction history. The system must be able to Find an Account Number by: (1) registrant name; (2) account number/fleet number; (3) registration plate number; (4) DBA name; (5) U.S. Department of Transportation number; and (6) FEIN/SSN number. Inquiry access must be provided to current and previous activity accounts and vehicles and the inquiry access must allow specification of Registration Year and Supplement Number.

It is expected that the US DOT number will become increasingly important as a unique identifier of a motor carrier, although multiple registrants may be leased on to the motor carrier and declare the motor carrier’s US DOT Number on their accounts. Inquiry by a Carrier’s US DOT Number would list all registrants operating under the motor carrier’s authority.

#### 6.2.2.4.8 Inventory Management/Table Update Processing

The system must be able to maintain a plate inventory for vehicles processed in the system and generate a report of active plates, canceled plates and plates that are expired but not yet cancelled.

6.2.2.4.9      Audit Netting

The system must support audit netting which was implemented in the IRP on July 1, 2000. It is preferred that a mechanism exists in the audit module to track the results of foreign audit netting.

6.2.2.4.10     IRP Clearinghouse

The system must support the exchange of data with the IRP Clearinghouse.

### 6.2.2.5 Mandatory System Requirements

The following features are mandatory IRP System requirements:

- 6.2.2.5.1 The vendor must ensure the proper, continuing functionality of all components of the IRP system for the processing of vehicle, registration and account data, fee calculations, applications and credentials printing, etc. Availability of assigned personnel for problem resolution is required during PPM. The vendor shall guaranteed response times for problem resolution, and describe the escalation process for unresolved problems. Also provide guarantees for system availability. Describe requirements for scheduled down time.
- 6.2.2.5.2 The system must be, and must remain, fully compliant with the requirements of the IRP Agreement and related IRP requirements established by the State of Connecticut. This compliance must be ensured and maintained by the vendor for the life of the contract and the vendor must state this in the proposal. In this regard, the vendor must perform any and all system modifications that may be required to maintain compliance following changes in any member jurisdiction's statutory requirements pertaining to vehicle registrations, fee structures, etc. and changes in the IRP due to approvals by member jurisdictions of amendments to the Plan.
- 6.2.2.5.3 The system must generate the required fee for each jurisdiction based on the mileage specified for each jurisdiction and total miles and on any other data that may be required by any jurisdiction. The vendor must update the system when fee structures change for jurisdictions. The system must apply fee "proration" of each jurisdiction based on the number of months of the registration being issued, per the policy of each jurisdiction. In Connecticut, registrations issued for 6 months or less are charged ½ the full year fee. The system must keep track of "Credit" per each jurisdiction, per specification of each jurisdiction, and apply credit when appropriate. In Connecticut a "credit" of fees paid on a deleted vehicle may be applied to a vehicle being added even if the vehicle being added is on a different supplement, as long as it is in the same fleet in the same account in the same registration year.
- 6.2.2.5.4 The system must support the exchange of account and transmittal information with the IRP Clearinghouse. (Although Connecticut is not currently a member of the IRP Clearinghouse, as identified under CVISN Level 1 Deployment requirements, Connecticut is planning to join the IRP Clearinghouse. IRP, Inc. administers the IRP Clearinghouse Project that involves establishing processes and a system for electronically sharing IRP recap and transmittal documentation and for the netting and the electronic exchange of fees between IRP jurisdictions. Cost savings for the jurisdictions are expected through the elimination of check processing for the exchange of monies between jurisdictions. The netting portion of the Project will allow for

a single electronic exchange of funds between the Clearinghouse and each member jurisdiction each month, rather than a jurisdiction sending and receiving funds with each other individual jurisdiction each month. Reduced postage, time savings and being in tune with technological advancements also are benefits.)

- 6.2.2.5.5 The system must print recaps/transmittals per jurisdiction upon user demand, which are in a format compliant with the requirements of the IRP agreement. Recaps list, for all accounts and fleets, fees collected by Connecticut for each jurisdiction. Transmittals provide a summary of all fees due for the jurisdiction. The system must sum total dollar amounts for selected jurisdictions, for a selected specific time frame, to correspond to the exact amount of transmittal payment for each jurisdiction. The system must allow for the generation of either a Summary COMBINED Recap/Transmittal (with the minimal data fields as specified in Section 3040 of the *IRP Policies and Procedures Manual*) or a Detailed Recap and Transmittal Report (listing, in addition to the mileage for all jurisdictions, the mileage percentages and whether the mileage is actual or estimated). Whether a jurisdiction receives a Summary COMBINED Recap/Transmittal or a Detailed Recap and Transmittal Report is at the option of the jurisdiction.
- 6.2.2.5.6 The inventory system for issuing and accounting for registration plates must be based on a registration year of May 1 to April 30, for expiration on April 30. Since Connecticut may stagger expirations in the future, the system must allow for migration to a staggered registration system.
- 6.2.2.5.7 The system must allow for the inclusion on an invoice of Connecticut-specific administrative fees. These include: \$4 Clean Air act fee automatically added per power unit per renewal; \$10 late fee charged after 5 days from the expiration per vehicle (system must allow for late fee waiver); \$5 plate fee when new plates are issued; \$11 vehicle transfer fee when previously issued plate is transferred to a different vehicle; \$5 CabCard replacement fee whenever a CabCard is replaced except for the first issuance of vehicle, renewal of vehicle, sub-registration or record transfer of vehicle; \$12 record transfer fee when name is changed (except at renewal); and an \$11 sub-registration fee when lost or stolen plates must be replaced with other plates; \$23 class transfer fee (converting from non-IRP intrastate registration to APPORTIONED IRP registration). The \$4 Clean Air Act must be automatic per the renewal of each power unit. Other fees may be by selection. Financial reports generated by the system must distinguish the Connecticut registration fee from the total of all Connecticut administrative fees. On a monthly basis Connecticut balances the financial data recorded in the IRP System against financial data recorded in the DMV Cashiering System in the following categories:
- Total Connecticut Registration Fees Collected,

- Total Administrative Fees Collected and
- Total of All “Foreign” Fees Collected.

The IRP System must allow for the generation of these monthly financial reports.

- 6.2.2.5.8 Provide for the transfer of fleet-to-fleet vehicle data within a registrant’s account, so that vehicle information does not have to be re-keyed when a vehicle in one fleet is transferred to another fleet in the same account.
- 6.2.2.5.9 The generation of invoices will be based on jurisdictional fee calculations and on the percentages of miles traveled, or estimated, in each jurisdiction. Miles reported in non-IRP jurisdictions are to be counted as Connecticut miles. Miles will be reported as “A” for Actual, or “E” for Estimated.
- 6.2.2.5.10 The system must provide for the production of Renewal Schedules B and A/E specific for each registrant fleet account, with account-specific information printed on the forms. The printed placement of the mailing address must allow for insertion in a window envelope. The system must provide for the generation of invoices (individual invoice to be printed on demand or queued for later batch print) and CabCards upon request. These generated documents must contain current information. The system must also provide for the generation of mailing labels, individually or by batch. Postal barcode requirements as defined in 6.2.2.5.33 must be adhered to for any document that is to be mailed.
- 6.2.2.5.11 The System must provide for the batch printing of renewal applications, invoices and CabCards and for individual, on-demand printouts of applications, invoices and Cabcards. The CabCards must list the maximum weights per jurisdiction, in pounds for U.S. jurisdictions and in kilograms for Canadian jurisdictions. California uses “QUAL” for the weights of all weight group types. Trailer and Bus weight groups are “QUAL” for all jurisdictions. The system must print “QUAL” or the specific weight, depending upon the jurisdictional requirement.
- 6.2.2.5.12 The system must maintain a record of the jurisdictions the registrant prorates with. It is preferred that the entry screen for renewals list the jurisdictions which the registrant prorated with in the previous year (without entry of the jurisdictions by the DMV Examiner), while also allowing for the additions and deletions to this set of jurisdictions. After the entry of mileage data for all jurisdictions is completed, the set of jurisdictions must be subject to a CONTIGUOUS JURISDICTION EDIT, which an Examiner can override. The system must allow for a mileage total check, whereby the addition of the mileage figures entered must equal a sum entered in another data field.

- 6.2.2.5.13 The system must provide for the update of the DMV Vehicle Registration System of new vehicles plate transfers, record transfers, information changes and deletions, etc. on a regular basis.
- 6.2.2.5.14 The system must record proof of payment of HEAVY VEHICLE USE TAX (HVUT) on each vehicle registered at 55,000 pounds or more gross weight at renewal or at the time of the first issuance of registration if the vehicle was purchased more than 60 days from the time of registration.
- 6.2.2.5.15 The system must permit the entry of weights for jurisdictions that are above levels acceptable to jurisdictions, per table of values set for each jurisdiction. The vendor is to maintain the table.
- 6.2.2.5.16 The system must determine pending credits per each jurisdiction, in accordance with the policies of each jurisdiction and apply appropriate credits. Connecticut allows credit for a deleted vehicle or dropping weight on any supplement during the registration period, but only in the same account and fleet. The system must allow for the entry of credit for Connecticut intrastate registrations being converted to APPORTIONED plates, as determined by Connecticut Examiners, and apply the credit only to the Connecticut fee portion.
- 6.2.2.5.17 The system must support “audit netting” which was implemented in the IRP on July 1, 2000. Under “audit netting” the base jurisdiction performing the audit determines the “net” bill/refund to the registrant, of all jurisdictions, provides a single net bill or net refund to the particular registrant, and then adjusts transmittal payments accordingly to each jurisdiction reflecting such amounts either owned to, or to be refunded by, each jurisdiction.
- 6.2.2.5.18 The system must have an audit component with the features described in 6.2.2.4.6 Audits.
- 6.2.2.5.19 The system must allow for the specification of default “estimated mileage” value per jurisdiction. By specifying only “E” for “estimated mileage” for a jurisdiction, the default “estimated mileage” value is registered in the system for that jurisdiction unless a value other than the default is specified. This functionality is currently part of the VISTA/RS.
- 6.2.2.5.20 The system must support concurrent activities. For example, the system must allow for “stop a queued print job” and “delete a queued print job” requests. Other more complex simultaneous activities must be supported. Vendors are encouraged to submit hardware and system recommendations to support this type of environment.
- 6.2.2.5.21 The system must have short (2-3 second) response time to simple inquiries, and acceptable industry-standard response times for processing more complex

transactions. The vendor is to specify guaranteed response times, and typical response times for groups of similar transactions. Each of these statements of response times must state for what transaction volume and number of staff logged on and/or accessing system that the guarantees apply to. The vendor must list several examples of unusual circumstances that might adversely affect response times and recommended solutions. A method or tool must be recommended to allow response times to be reviewed/evaluated in a real-time mode, by onsite system staff. If a tool is recommended, the vendor must provide specific costs involved for tool usage, licensing fees, functionality, etc.

- 6.2.2.5.22 Day-to-day control of the processing functions must be within the IRP Section. Adequate security must be incorporated into the system. User identification is to require the operator to enter a unique password before access is allowed into the system. The system must require that the password be changed after a time interval set by the manager/supervisor of the IRP Section, and/or the System Administrator.
- 6.2.2.5.23 The system must provide for daily, weekly and monthly log generation to list all system accesses by individual user ID, indicating date of access, IP address from where access occurred, type of processing, data accessed and/or updated, etc. Such daily, weekly and monthly log generation may also be used to monitor examiner performance with respect to number of supplements processed, number of renewals processed, number of new accounts processed, etc. The following are the minimum security levels required by the system for each specified user ID:
- ◆ Inquiry Only (audit)
  - ◆ Add/Update/Change/Etc. (Examiner)
  - ◆ Error Correction After Payment (Manager/Supervisor)
  - ◆ System Maintenance (Selected Senior Staff or Super User)

Statistical reporting may be required of these files showing patterns of use, access times and functions, etc. These logs must be electronically retained for a minimum of one year, and need to be included in any archival processes.

- 6.2.2.5.24 The IRP program requires maintenance of records of the current registration year plus the three previous registration years. Registration data older than the previous three registration years may be archived at the discretion of the IRP Section, upon notification of auditors that the year's records are no longer required. In practice, therefore, the system must be able to maintain up to five (5) years of records. An Archival process must be provided which allows archived data to be electronically retained by the IRP Section on a disk, CD, or other "hard" format suitable for archival purposes. The archived data must be in a format that allows printing of data on paper, via Word Processor or some other commonly available software (e.g. Notepad, etc.).

- 6.2.2.5.25 The vendor must provide comprehensive user training and if required, technical training in the use and maintenance of the application software. Training must include both media based and standup delivery modes. One-on-one mentoring assistance must be available. The vendor must provide detailed user manuals and system manuals as part of training and implementation. Reasonable numbers of additional copies of the manuals are to be provided at no additional cost to the State of Connecticut. Electronic copies of manuals in Word format are desirable. Vendors are to provide updates at no cost to documentation (paper and electronic media) to correct errors and to keep up-to-date with system enhancements and changes.
- 6.2.2.5.26 The system must be able to update the foreign exchange rates used to calculate fees in US vs. Canadian dollars.
- 6.2.2.5.27 The system must allow for intrastate Connecticut registrations to be included in an IRP account. The entire Connecticut registration fee (plus any required administrative fees), and ONLY the Connecticut registration fee, is charged for intrastate registrations. The system must be able to maintain independent tracking of intrastate registrations in all IRP accounts and provide separate counts of intrastate and IRP vehicles. The system must allow for accounts that contain ONLY intrastate vehicles
- 6.2.2.5.28 The vendor must provide some level of integration between the IRP system and the DMV Cashiering and/or Financial Management Systems. The DMV cashiering system is a PC-based system in a LAN with cash drawer, mouse and journal printers as peripherals. It has an IBM operating system DOS 6.3 (revision 0), and uses Windows 3.10 as a Windows interface. For hardware, it uses 3270 ICOT (or Attachmate) for communication with the DOIT mainframe. For the network, it runs with Novell 312, with CAT-5 cabling, and IPX-SPX protocol language. This "posting" acknowledges payment receipt with respect to CT and "foreign" fees for credential printing and recap/transmittal reports. Currently, paid invoices are manually "posted" to VISTA-RS after cashiering. The cashiering system is not connected to VISTA-RS, and therefore the separate posting process is necessary to provide VISTA-RS with payment information. The Financial Management system is a DB2 (UDB) based system that interfaces with Cashiering system. Data uploads to the Financial Management System are accomplished with specifically formatted Fixed Block sequential files, whose format can be found in the System library. Copies of file layouts will be maintained in the CVISN Project library.
- 6.2.2.5.29 The system must print 2-dimensional PDF-417 bar codes containing IRP data on registration certificates.
- 6.2.2.5.30 The system must provide means to perform backup and recovery processes. A

full description is required from the vendor.

- 6.2.2.5.31 The system must maintain and allow for print queue management.
- 6.2.2.5.32 Vendors must provide recommendations for business continuity in the event of a disaster, including Disaster Recovery Processing.
- 6.2.2.5.33 The system must provide an electronic means of inventory control for any registration plates or expiration plate stickers assigned as stock inventory for use by electronic registration filers. This electronic inventory system must list plates/stickers assigned to registrant (by plate number and sticker control number, respectively), plate/stickers issued in specified transactions by registrant, and plate/stickers remaining in registrant's stock as yet unused.
- 6.2.2.5.34 The system must produce postal bar codes, in accordance with the requirements of the U. S. Postal Service, on mailing address labels, renewal applications, invoices and CabCards. The generation of reports required by the Post Office required by the Post Office must be provided on an adhoc basis or on request.
- 6.2.2.5.35 The system must provide the means to electronically create a Title transaction if a Connecticut Title is applied for at the time of registration application when a vehicle is added. A Title requires many of the same fields as Registration record, with several additional data elements that will need to be captured during data entry (i.e. lienholder name and address, etc.)

During the design process, the vendor will be expected to work with the State Team to assist in analyzing current legacy system Title interfaces, edits, processes, and functionality, and produce corresponding system documentation. It is envisioned that a Title transaction would need to be built by the new system and integrated with the current Title Examination process.

#### **6.2.2.6 Other Needed System Features**

Although these other IRP System features are not mandatory for compliance with the International Registration Plan, all respondents must address each feature listed below and provide separate cost schedules for each feature listed. It is the vendor's option to include any of these elective features at no cost within the proposed base system functionality. If the vendor opts to include an elective feature within the base system, the vendor must still address the elective feature below, and state where they have included it in the proposal. The State reserves the right to select, or not select, any or all of the solutions proposed by the vendor to these other system features at any time during the term of the contract.

- 6.2.2.6.1 There is a need for weight restriction legends (legends similar to those currently printed on intrastate commercial registration certificates - e.g., "CT

HIGHWAY PERMIT REQUIRED FOR CT OPERATION”) print on the CabCard. Alternatively, some method may be proposed to achieve a fuller integration of DMV registration issuance and DOT OS/OW permit issuance.

- 6.2.2.6.2 It is a need that the system flag registrants whose name appears in the DMV Delinquent Tax listing of the DRIP file, and print on the invoice a legend such as:

BEFORE YOUR IRP ACCOUNT CAN BE PROCESSED MUNICIPAL  
PROPERTY TAX RECEIPT REQUIRED FROM THE  
CITY/TOWN/BOROUGH/FIRE DISTRICT OF xxxxxxxxxxxx.

- 6.2.2.6.3 It is a need that the vendor propose an implementation strategy to convert the current single date expiration system, in which all Apportioned registrations expire on April 30 of each year, to a staggered system, in which some Apportioned registrations expire in each of the twelve months of the year.
- 6.2.2.6.4 By the entry of a Vehicle Identification Number (VIN) in an account, it is required that the system automatically generates, in appropriate fields, the Make, Model and Year encoded in the VIN.
- 6.2.2.6.5 It is a need that the system support electronic filing, by customers, to add, delete and/or renew plates of vehicles in valid fleets.
- 6.2.2.6.6 It is a need that the system allow examiners to place “electronic flags” on accounts when there are one or more outstanding billings (audit billing, temporary authority billing, etc.) or when other fees are owed by the registrant in order to alert examiners at the time of any registration issuance.
- 6.2.2.6.7 Work with the State team to investigate the feasibility of transferring data from the DMV Mainframe Vehicle Registration System to the IRP System. This functionality would avoid the need to rekey data when a vehicle record exists in the DMV Registration System, but the vehicle had not previously been registered in IRP. The transfer of data should be possible by VIN, previous plate number, or Connecticut title number. Vendors are asked to recommend an approach to implementing this functionality.
- 6.2.2.6.8 The system needs to indicate that, for all vehicles in the account that require federal Heavy Vehicle Use Tax (HVUT), appropriate payment documentation has been provided. Individual vehicles also need to have indicators set to “Y” when the account indicator has a “Y” value, but must allow for the manual change to “N” when taxes on specific vehicles are still owed. If either the account field indicator or any vehicle indicator is “N,” the following legend needs to be printed on the invoice (or words similar to the following):  
BEFORE YOUR IRP ACCOUNT CAN BE PROCESSED, YOU MUST

PRESENT PROOF OF PAYMENT OF HEAVY VEHICLE USE TAX TO THE IRS FOR THE CURRENT TAX YEAR (Receipted IRS-2290).

- 6.2.2.6.9 It is a need that the system be capable of “reading” bar codes to facilitate data entry in the process of creating a new registration record.
- 6.2.2.6.10 It is a need that, upon the entry of a VIN in the vehicle information reference, a table of the FACTORY PRICE of the vehicle (cost of the vehicle new) would fill the FACTORY PRICE data field, but could be overridden with a value provided by the registrant.
- 6.2.2.6.11 In general, each IRP account is unique at the level of IRP Account Number and the SSN/FEIN listed on the account. An edit is needed to verify the uniqueness of the SSN/FEIN entered for an account, although an Examiner override needs to be allowed. The system needs to note cases of duplicate SSN/FEIN.
- 6.2.2.6.12 It is a need that the system provide pending fleet CREDIT information upon examiner request, before any transaction utilizing this CREDIT occurs.
- 6.2.2.6.13 It is a need that the system provides cursor sensitive Help Screens with the ability to select values from the Help Screens that will populate screen fields. It is also needed that a tool is provided that allows easy creation/modification [by users] of Help Screens to be used for training, documentation, etc...

#### **6.2.2.7 Required Deliverables**

The Award 2 winner is to design, develop (or modify an existing application), integrate, implement and maintain an IRP System that meets all relevant State, CVISN and PRISM business and technical requirements.

The Award 2 winner is to develop, with State staff and the contractor winning Award 1, an acceptable IRP System Project Implementation Plan for design, development, implementation, and roll out. This Plan is to be incorporated into the *CVISN/PRISM Project Implementation Plan*. The Award 2 winner is to update and maintain the IRP System Project Implementation Plan.

The Award 2 winner is to develop, with State staff and the contractor winning Award 1, an acceptable Quality Assurance Plan for the IRP System design and development effort, to assure that the system, as delivered, meets all applicable requirements. The IRP System QA Plan is to be incorporated into the *CVISN/PRISM Project Quality Assurance Plan*. The Award 2 winner is to update and maintain the IRP System Quality Assurance Plan.

The Award 2 winner is to develop, with State staff and the contractor winning Award 1, an acceptable Test Plan for the IRP System. This Test Plan must address unit tests,

system integration tests, CI/CVIEW Interoperability tests, testing procedure for all interfaces, user acceptance tests and production acceptance tests. The development and execution of a Proof of Concept Test as described in Attachment 6.1 Section 6.1.1 is also to be addressed in the Test Plan.

The Award 2 winner is to assist the State Team and the contractor winning Award 1 in developing a list of IRP System stakeholders (estimate: 10). Next, the Award 2, in conjunction with the State Team and the contractor winning Award 1 winner, is to participate in interviews of selected stakeholders. The purpose of these interviews is to document stakeholder expectations in order to confirm that the IRP and CI/CVIEW Systems goals and objectives are consistent with these expectations. The Award 2 winner is to provide written summaries of the interviews for State review and acceptance.

The Award 2 winner will work with the State Team and the contractor winning Award 1 to develop a list of potential users of the IRP System. The Award 2 winner will work with the users to define the requirements and develop an acceptable logical design for the IRP System.

The Award 3 winner will assist the State Team and the contractor winning Award 1 to define the requirements and develop an acceptable logical design for the Credentialing Interface, the credentialing functionality, payments processing and the exchange of credentials information to be included in the CI/CVIEW System.

The Award 2 winner will assist the State Team and the contractor winning Award 1 to document the requirements and develop the logical design for the exchange of credentials and safety information to be included in the CI/CVIEW System.

Once the IRP business requirements have been documented and agreed upon by the State, the data needed to support the required functionality can be identified. This will lead in turn to a list of the systems where this data can be found. In some cases, the required data may be maintained in more than one system. The Award 2 winner is to work with the contractor winning Award 1 to document this information in the CVISN/PRISM Data Dictionary, as described in Section 6.1.1 above.

The Award 2 winner will work with the State Team and the contractor winning Award 1 to develop the physical design for the IRP System and all of its interfaces. As part of the physical design process, the Award 2 winner is to describe the options available for providing any given component of functionality, and recommend the most cost effective option for implementation.

The Award 2 winner is to develop, in conjunction with the State Team and the contractor winning Award 1, a detailed design for the interface and protocol standards for the exchange of data between the CI/CVIEW System and the IRP System. The Award 2 winner is to develop, implement and maintain the IRP System side of the interface with the CI/CVIEW System.

The Award 2 winner is to assist the contractor winning Award 1 in developing the design for a security function within the CI/CVIEW System to provide access only to authorized users of CI/CVIEW System functionality and data. Unauthorized users are to be prevented from accessing the System or the data. The security system is also to prevent unauthorized access to the systems that interface to CI/CVIEW.

In developing the IRP System, the State expects the Award 2 winner to utilize existing applications where possible. A number of states have implemented, or are in the process of implementing, IRP systems. Connecticut hopes to utilize code developed by these states where possible, and in any case, to benefit from "lessons learned" by these leaders.

The Award 2 winner must successfully work with the staff from but not limited to the following DMV units:

- IRP Unit;
- Title;
- Information Systems, for integration with existing hardware, software and communications;
- Commercial Vehicle Safety Division (CVSD);
- DMV Fiscal Services;
- Office of Policy Management (OPM); and
- Department of Information Technology (DOIT)

Each Award 2 deliverable will be reviewed in conjunction with quality assurance activities and, as appropriate, with the Award 1 winner, before the State will issue a formal acceptance. A formal State acceptance is required before payments are authorized. The Award 2 winner will provide at least the following deliverables and services:

1. Initiate, schedule and chair meetings regarding DMV-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manager and Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries
2. Work plan for DMV Systems design, development and implementation.
3. At a minimum, Weekly Progress reports
4. Statements of specifically who will be working on the project both onsite and off, including full resumes outlining experiences and other applicable qualifications.
5. System Development Plan
6. Quality Assurance Plan, developed in conjunction with quality assurance activities, to assure that the system(s), as delivered, meet State requirements
7. System Test Plan, developed in conjunction with quality assurance activities
8. System Implementation Plan
9. Updates to System Development, Quality Assurance, System Test and System Implementation Plans
10. Document identifying stakeholders, and summarization of stakeholder interviews.

11. Statement of vendor's understanding of business functionality. This must include any assumptions being made by vendor, results of user interviews, research and analysis results, etc.
12. System Requirements document. This must include high-level and detail-level system flowcharts of all systems, sub-systems and interfaces; data flow diagrams; entity relationship diagrams; data models; etc.
13. Statement of code generators being used, language environment, database (datastore) definition tools, coding standards, etc.
14. Logical (general) system design document
15. Identification of required (or recommended) hardware, networking needs, etc. to efficiently use vendor's software solution. Remember that seamless integration with CI/CVIEW is required.
16. Physical (detail) system design document(s)
17. Software (code) installation in test environment
18. System Unit Test requirements. This will include at minimum, test scripts identifying all test conditions with expected results, actual results, reasons for difference between expected and actual, corrective measures taken, testing dates (including retests), and assigned staff.
19. System functionality acceptance test. This must outline methods to be employed to perform integration testing, whether simulated, actual, or something else. Similar documentation will be expected as noted for System Unit Test.
20. System Technical Documentation. This must include operations and technical documentation, in a clear and concise manner, with easy-to-use indexes, table of contents, etc.
21. System User Documentation. This must include at minimum, full user instructions, all field values, information explaining relationship of fields, color screen prints with samples of data, etc.
22. Data Dictionary reports
23. Software (code) installation in production environment
24. System production acceptance test
25. System overview suitable for describing (marketing?) system to other states
26. System Integration Services:
  - "Back-end" support for electronic credential and payment processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) System;
  - The development, in conjunction with the Award 1 winner, of detailed designs for the interfaces and protocol standards for the exchange of data between the Award 2 winner's System and the CI/CVIEW System;
  - Accept direction and oversight from the Award 1 winner (responsible for the development, implementation and maintenance of the CI/CVIEW side of the interfaces) concerning the development, implementation and maintenance of the Award 2 System side of the interfaces with the CI/CVIEW System; and

- The development, implementation and maintenance of the Award 2 Systems side of the interfaces with the CI/CVIEW System.

**ATTACHMENT 6.3  
AWARD 3  
DEPARTMENT OF TRANSPORTATION  
  
OVERSIZE/OVERWEIGHT PERMITTING SYSTEM  
WITH BRIDGE RATING  
AND  
AUTOMATIC ROUTING FUNCTIONALITY  
AND  
SYSTEM INTEGRATION SERVICES**

**6.3.1 Background**

**6.3.2 Oversize/Overweight Permitting**

**6.3.2.1 Current Business Processes**

**6.3.2.2 Current Technical Environment**

**6.3.2.3 Mandatory System Requirements**

**6.3.2.4 Required Deliverables**

**6.3.1 Background**

The mission of the Connecticut Department of Transportation is to provide a safe, efficient and cost-effective transportation system that meets the mobility needs of its users. There are approximately 3,560 DOT employees in an organizational structure that includes the Office of the Commissioner, the State Traffic Commission and the Bureaus of Finance and Administration, Aviation and Ports, Engineering and Highway Operations, Policy and Planning, and Public Transportation. The DOT Central Office is located at 2800 Berlin Turnpike, in the town of Newington, Connecticut.

The Motor Transport Services Unit in the DOT Bureau of Engineering and Highway Operations manages and operates the State's heavy and specialized hauling permits program. The mission of the Motor Transport Services Unit is to: issue permits for the movement of oversize, overweight vehicles, radioactive loads and industrial vehicles as defined by the Connecticut General Statutes; collect permit revenue by the most cost-effective means; achieve the highest voluntary compliance level through accurate, efficient and courteous customer service; and perform in a manner which instills public confidence in the integrity, fairness and safety of the State's heavy and specialized hauling permits program.

The Connecticut laws governing oversize and overweight vehicles can be found in Section 14-270 and associated sections of the Connecticut General Statutes (CGS). Radioactive loads are addressed in CGS Section 16a-106, and industrial vehicles in CGS Section 13a-117. Whereas the nature of oversize/overweight vehicles and radioactive loads is relatively obvious, the nature of an industrial vehicle may not be so obvious. An

example of an industrial vehicle would be a fork lift truck that must cross a State road on a regular basis to travel from one building to another. If the travel is less than 1,500 feet an industrial vehicle permit is required for the fork lift to cross the highway. The fork lift must also be registered with DMV, and be issued a special marker plate.

The DOT Motor Transport Services Unit is responsible for safely routing over-dimensional, over weight vehicles and vehicles with radioactive loads into, through and within the state with regards to bridge capacities, vertical clearances, construction areas, and other limitations, and ensuring that the proper fees are collected for the required permits. The Unit staff includes two Transportation Engineers (one of whom manages the Unit), a supervisor and five processing technicians. Annually, the Unit issues approximately 100,000 oversize/overweight single trip permits for non-divisible loads, 3,000 axle weight permits for divisible loads, 350 radioactive trip permits and 150 industrial vehicle permits. Income from the fees charged for these permits totals approximately \$2.3 million per year.

The DOT has been issuing heavy and specialized hauling permits for over thirty years. Until 1996 the permitting process was a paper intensive manual operation. In 1996, staff from the DOT Research Division developed an automated system for issuing these permits. This was done not only to make the permit issuing process more efficient and less labor intensive, but also because the DOT wanted to collect data on bridge use by heavy vehicles. This data would be used to better predict the life of the State's bridges so that rehabilitation strategies could be developed and implemented in a timely fashion.

The different permits issued by DOT have the following characteristics:

An oversize/overweight (OS/OW) permit is issued for a single round trip for a vehicle that is overweight, oversize or both overweight and oversize. An OS/OW permit is good for three days, and the application is typically received less than 3-4 days in advance of the requested move date. The OS/OW permit must be carried in the permitted vehicle.

A radioactive load permit is issued for a one way trip and is good for three days. The application is typically received less than 3-4 days in advance of the requested move date. The radioactive load permit must be carried in the permitted vehicle. A radioactive load that is oversize and/or overweight also requires an OS/OW permit.

Industrial permits are good for one year. All industrial permits are valid from May 1 through April 30 of the next year. In March, the DOT mails renewal notices to all industrial permit holders. Industrial permits must be carried on the permitted vehicle.

OS/OW Permits for hauling construction materials (sand, stone, gravel) are good for one year for travel on all state highways, except travel is forbidden on a number of structures (bridges). When a construction materials permit is issued, a

list of the forbidden structures is included. All OS/OW construction materials permits are valid from May 1 through April 30 of the next year. In March, the DOT mails renewal notices to all OS/OW construction materials permit holders. OS/OW construction materials permits must be carried on the permitted vehicle.

Connecticut based carriers may pay an annual fee for unlimited trips for specified maximum loads from May 1 of the current year to April 30 of the next year. The DOT assigns an account code to each participating vehicle. In March, the DOT mails renewal notices to all carriers participating in the annual fee program. These carriers must still obtain a permit for each trip, but there is no charge for these trip permits. These trip permits do not have to be carried on the permitted vehicle. Each trip permit is assigned a confirmation number that the operator must provide to the police or a safety inspector if the vehicle is stopped.

The Oversize/Overweight (OS/OW) permits system currently used by the Motor Transport Services Unit was written in FoxPro/DOS by engineering coop students working under the supervision of a staff programmer in the Division of Research. After the system was developed, an engineer in the Research Division with a computer science background was assigned to test the system and make it operational. It should be noted that although the system is referred to as the OS/OW permits system, it does support the processing of all three types of permits issued by the Motor Transport Services Unit: OS/OW, radioactive and industrial permits.

For the past few years the number of permits issued by the DOT Motor Transport Services Unit has increased about 10% per year. Because the Unit has not been able to increase its staffing to handle this increasing workload, the necessary increases in productivity have had to come from improvements in automation. In fact, the Unit has lost three staff positions since the automated system was put into production. The DOT has carefully analyzed any proposed system and/or business process changes and used its limited personnel resources to implement those changes that produce the most benefit for the least effort.

Because most permit applications are submitted by for-hire permit services on behalf of their motor carrier clients, one of the earliest improvements in the permitting process was to encourage these permit services to install fax machines in the Motor Transport Services Office. This allowed the services to submit permit applications by fax and receive the issued permit by fax. DOT staff reviewed the applications, keyed the data into the OS/OW Permits System and faxed a copy of the paper permit back to the permit service.

To pay for the permits, each permit service submits a supply of presigned checks made out to the DOT. At the end of each work day, a DOT staff person fills out a check from each permit service for the total of the fees for the permits issued to the corresponding permit service that day. The checks are then deposited and a summary report is forwarded to the DOT Accounts Receivable Section. Accounts Receivable staff enter the

appropriate accounting information into the DOIT BOSS SAAAS accounting system used by DOT.

The next step in improving the permits process was to eliminate the paper from the fax process. This was accomplished by installing a fax server and coupling it with an OCR software program which converted the electronic fax image to alphanumeric character data. The data is then reviewed on a screen and read into the OS/OW Permits System without the need to rekey any data.

At this point, about 25% of all the permits issued are based on applications faxed to the DOT by a permit service, and about 50% are issued based on information provided by a permit service in a telephone call to DOT. Telephone calls direct from carriers account for about 20% of the permits issued, about 4% result from walk-ins and 1% of the permits issued are the result of requests received through the mail.

A goal of the DOT Motor Transport Services Unit is to move to a Web-based email process for submission of permit applications by the permit services, and eliminate faxed and telephone requests from these services. This means that 75% of the permits issued will be the result of applications submitted via email. If motor carriers also take advantage of the email process, then up to 95% of the permits issued would be based on email application submissions. In the initial implementation of the email approach, the issued permits (in electronic form) would still be faxed to the permit service or to the motor carrier. The next step would be to use email to send out the permits to the clients.

For the past year, a coop graduate student has been working in the Motor Transport Services Unit to develop an automated system to maintain information about the registered vehicles of Connecticut based carriers that pay an annual fee for permits. Carriers that participate in this annual fee program can move loads as often as they want; however, they are still required to obtain a permit for each trip, even though there is no fee for each individual trip permit. As long as a carrier provides the information required to keep the data base up to date, DOT staff can process a trip permit without the need to rekey the data. This system, which has been developed in Visual Basic with an Access data base, is expected to be available for production use in the near future. This system is called the Account Code System because an account code is assigned to each load-carrying vehicle maintained by a participating carrier.

The long term goal in making changes to the permitting process is to enable the client to submit an application, make payment and receive the permit, all electronically. This electronic process must be available 24 hours per day, and must be capable of supporting the self-issuance of a large percentage of the permits issued by the Motor Transport Services Unit.

It will probably never be possible for all permits to be self-issued. One reason is that a number of permit requests require bridge analysis to ensure that the load can be safely carried by the bridges on the proposed route. When a permit application requires bridge analysis, the Motor Transport Services Unit forwards a list of structures on the proposed

route to the DOT Bridge Safety Unit. The Bridge Safety Unit is also in the DOT Bureau of Engineering and Highway Operations. Each analysis request is assigned to an engineer who pulls the file for each bridge and performs the required analysis using one of several automated bridge analysis tools. The results are then relayed to the Motor Transport Services Unit and the permit is either issued or not issued depending on the result of the bridge analysis. A goal of the Motor Transport Services Unit is to automate the bridge analysis process to the extent possible.

At the present time routing is done manually. A number of routes have been pre-established for loads within certain "envelopes." The envelope specifies that a certain size load (height and width) within certain weight limits and axle configurations may be assigned to certain routes. Information from a DOT weekly newsletter on construction activity is used to route loads around construction sites. A goal of the Motor Transport Services Unit is to automate the routing process as much as possible.

Although the DOT Research Division developed and continues to support the OS/OW Permits System, Research does not expect to support this system indefinitely. Once the system is capable of providing bridge loading data, DOT expects to turn the support function over to a vendor or to the Information Systems Unit in the DOT Bureau of Finance and Administration. A goal of the Motor Transport Services Unit is to obtain systems support services from a provider that can provide ongoing enhancements and upgrades on a timely basis.

Until recently, the OS/OW Permits System ran in a standalone mode isolated from the DOT network infrastructure. With the advent of the Web, and the need to have Internet access and email, the systems serving the Motor Transport Services Unit could no longer remain isolated. As a result, the systems were tied into the DOT and State network infrastructure for access to the rest of DOT, to other agencies and to outside organizations, including the permit services and motor carriers. The DOT Information Systems Unit and DOIT Network Services now provide network services to the OS/OW Permits System.

The DOT interacts with several other state agencies in order to share information on commercial motor vehicle credentials. State Police and DMV Commercial Vehicle Safety Inspectors require information on DOT-issued heavy and specialized hauling permits for roadside enforcement and scale-house operations. At the present time State Police and DMV personnel contact the DOT Motor Transport Services Unit by telephone to verify permit information. This is only possible during first shift on State work days. At other times the permit information is not available to the roadside inspectors. Before a permit is issued, the DOT would like to verify the validity of vehicle registration information with DMV, and verify with DRS that no taxes are due. At the present time these checks are made by telephone, if at all. DOT expects to automate this data sharing functionality through the CVISN/PRISM Project.

While the DOT is generally satisfied with the functionality of the current permitting system, changes will be required in order to support plans to implement improved

business processes. The business processes must be made more efficient so that the Motor Transport Services Unit can accommodate the projected growth in the number of oversize/overweight permits without adding additional staff. The required system changes include expanding the functionality to incorporate automated vehicle routing, bridge analysis, support for self-issuing permits, and the flexibility to incorporate additional functions as needed, in addition to accommodating the administrative requirements that these changes will necessitate. Upgrades are needed in the administrative bookkeeping area of the permit program, especially in management of annual renewals for account code numbers and all affiliated documentation. Upgrades are also required to process electronic credentials for OS/OW, radioactive and industrial permits. Support for electronic payment functionality is required. As a final point, the system will require upgrading to successfully address all CVISN-related data access requests. The successful integration of the Permits System as an integral CVISN component is vital to meeting Connecticut goals for Commercial Vehicle Operations.

### **6.3.2 Oversize/Overweight Permitting**

#### **6.3.2.1 Current Business Processes**

##### **Permit Application Process**

A motor carrier may apply for a DOT permit in one of four ways:

- Hire a permit service to obtain the permit
- Telephone DOT and provide the required information
- Travel to DOT and provide the information over-the-counter
- Mail a request to DOT

If a permit service is used, then the permit service may provide the information to DOT in one of three ways:

- Telephone
- Fax
- Email

##### **Application Screening**

All permit applications are entered into the OS/OW Permits System by processing technicians. The technician entering the data performs screening during the entry process and the Permits System also incorporates screening functionality. The majority of applications are submitted over the telephone (70%) so the technician can interact with the caller to correct problems as they occur.

The Permits System maintains carrier information and data from previously-issued permits. For OS/OW and radioactive load permit applications, the OS/OW

Permits System displays “pick lists” listing frequent users, load descriptions, remarks and number of axles. This stored information can be reused in processing new permit applications.

Applications submitted by fax are converted to text using OCR software. If an error occurs in the conversion process, the application is printed out for review and data entry by one of the processing technicians. Fax applications which are successfully converted to text are placed in an electronic queue for processing by the processing technicians.

Connecticut-based carriers that pay an annual fee for an unlimited number of trip permits typically call the DOT to request a trip permit. When implemented, the Account Code System will be used to speed up this process, since it maintains detailed information about the vehicles used by the carrier. The account code for the vehicle carrying the load will be used as the reference key to access the stored information.

The DOT is currently testing a Web-based email process for submission of permit requests. These requests will be preprocessed by a software program to detect errors and inconsistencies. Rejected applications will be emailed back to the applicant along with an explanation of the problem. Emailed applications passing the prescreening process will be placed in an electronic queue for processing by the processing technicians. This is the same electronic queue currently used for faxed applications.

Permit requests for loads under 200,000 pounds are typically processed and the permit issued within an hour from receipt of the application.

### **Route review/approval**

For OS/OW and radioactive load permit applications, the OS/OW Permits System displays a “pick list” containing pre-approved travel routes. When an applicant requests a travel route that is not on the pre-approved list, DOT permit staff route the vehicle after examining reference maps that indicate construction areas and checking structures for weight, width and/or height restrictions.

Permit requests for loads exceeding 200,000 pounds and self-propelled truck cranes in excess of 110,000 pounds undergo bridge analysis for the structures on the requested travel route. Staff prepare a list of structures on the requested route, and the list, including a description of the vehicle, is forwarded to the DOT’s Bridge Safety Unit. Staff engineers then analyze the structures for their ability to carry the proposed load.

Connecticut permits are generally issued for round trip travel over the proposed route. A round trip requires analysis of two routes - one for each direction of travel. This double analysis is required because the construction areas, structures,

and width and/or height restrictions may be different for the different directions of travel.

### **Permit approval**

To be approved, permits must meet Connecticut statutory and regulatory requirements and be acceptable for passage over the bridges on the route. All fees must be paid before a permit is approved.

The registration procedure for heavy-duty vehicles (above statutory limits) requires motor carriers to initially submit applications to the DOT. After a review of the application, carriers are provided a letter that allows the DMV to register the vehicle at the permitted weight. Carriers are then required to return to the DOT after the DMV has registered the vehicle at the permitted weight and collected the registration fee. After the DOT processes the carriers permit and receives payment, the carrier receives an embossed Oversize/Overweight permit.

### **Payment Processes and Permit Fees**

At this time the DOT accepts only checks in payment for permit fees. Because the permit services submit pre-signed checks as described in the Background Section above, at the present time they provide the sole method for payment of a permit request submitted by telephone, fax, or email. Carriers that telephone permit requests directly to DOT must have one of the permit services agree to pay the fee for the desired permit. Walk-in and mail in applicants must submit checks with their permit requests.

The OS/OW Permits System produces a report at the close of each business day summarizing the permits issued and listing all the fees collected. This report and the associated checks are forwarded to the DOT Accounts Receivable Unit where appropriate entries are made in the accounting system used by DOT.

The Motor Transport Services Unit has attempted to establish processes to support offering its clients additional payment options such as credit cards, debit cards, EFT or draw down accounts. Although a request was forwarded to the DOT Fiscal Unit to establish processes for additional methods of payment, no decision to proceed has been made.

The State's base permit fee for an OS/OW permit is \$23.00, with an additional \$3.00 "wire" fee for permits that are faxed. The State's fee for a radioactive load permit is \$25.00. There is no wire fee for a radioactive load permit. Fees for industrial permits are calculated by the Department of Transportation based on vehicle travel distance. The industrial permit applicant then applies to the Department of Motor Vehicles for a special plate, and DMV collects both the vehicle registration fee and the industrial permit fee. Motor carriers that utilize

one of the for-hire permit services pay a nominal fee to the permit service in addition to the State's permit fee.

Connecticut-based motor carriers that pay an annual fee for an unlimited number of trip permits pay no fee for individual trip permits. Since there is no fee involved, these requests may be called in directly to DOT by the motor carrier without involving a permit service.

### **Permit transmittal**

Permits are typically faxed back to the organization that submitted the application. Faxed permits are maintained in electronic form by the DOT and the issued permit is sent in standard fax file format to the applicant - it is up to the permit service or the carrier to print the hardcopy version. Permits resulting from over-the-counter applications are usually given to the applicant back over-the-counter in hard copy form. Permits are generally mailed to applicants that submitted requests by mail.

### **Information management**

The OS/OW permit system generates daily, weekly, monthly, quarterly and yearly log reports.

During normal office hours, State Police and DMV Commercial Vehicle Safety inspection officers are required to telephone the OS/OW Permit Unit to verify carrier permit information. DOT receives monthly reports from DMV and the State Police that summarize the number of permit violations, the number of vehicles inspected and the types of citations issued as a result of enforcement activities.

#### **6.3.2.2 Current Technical Environment**

The OS/OW Permits System was developed using FoxPro/DOS. The system operates on a LAN in the Motor Transport Services Unit that is part of DOT's Wide Area Network (WAN). The same system used for processing OS/OW permits is used to process radioactive and industrial permits. The system includes two servers that connect a number of workstations, fax machines, modems and printers. Windows NT Workstation 4.0 is the operating system used by each workstation and Windows NT Server 4.0 resides on servers. Electronic mail among DOT users and a number of US DOT users is supported using a Microsoft Exchange Server and Outlook 2000.

The DOT is connected to the Department of Information Technology's Connecticut Administrative Technology Center (CATER) via a 5 Mb fractional T-3 communication line which is used for all interagency and Internet access.

Additional technical information on the OS/OW Permits System follows:

1. Name: Oversize/Overweight (OS/OW) Permitting System “OOPS”
2. Info Source: Richard Hanley, DOT Research Division  
Rudy Kamm, DOT Motor Transport Division
3. Functional overview: Support issuing of OS/OW, Radioactive and Industrial Permits
4. System Owner of Record: DOT Motor Transport Div.
5. Technical Support: DOT Research Div
6. Developed by: Coop Students working under direction of DOT Research Div.
7. Initial install date: 1996
8. Installed version: 4.00G
9. Run location: Servers in Room 1119, DOT Building, Newington, CT
10. OS/TP Environment: DOS emulation under Windows NT 4.0
11. Technical Architecture: Fox Pro version 2.6, BISCOP Fax Server 3000 w/TIF File
12. File/Data Base used: Fox Pro
13. Size Info: File is about 300 Megabytes, grows approximately 60 Mbytes/year
14. Language: Fox Pro
15. Lines of code/modules: 30 Modules, Main program is 6,000 lines, much of the code is printer control language (PCL) used for producing reports
16. User interface: multi-user PC based
17. Y2K status: code is compliant
18. Relation to CVISN: one of the CVISN “family” of systems. Other CVISN users require access to the OS/OW permits data, and the OS/OW users require access to data in CVISN-related systems in other agencies

### **6.3.2.3 Mandatory System Requirements**

Provide an Oversize/Overweight (OS/OW) Permits System with bridge rating and automatic routing functionality that meets all relevant State, CVISN and PRISM business and technical requirements.

Current workloads for the Oversize/Overweight Vehicle Permit Section and the Bridge Safety and Evaluation Unit are challenging, and it is anticipated that future workload increases may adversely impact the timely issuance of the required permits. The acquisition of new software is necessary to improve customer services while ensuring the proper monitoring and protection of highways and bridges in Connecticut.

Vendors must propose an OS/OW Permits System with functionality equivalent to or greater than that offered by the current system. Vendors may propose the rewrite and enhancement of the State's present OS/OW Permits System, or the modification of an existing system to meet Connecticut's requirements. The proposed system must also incorporate functionality equivalent to that offered by the current Account Code System. The proposed system must utilize an Oracle data base management system.

The OS/OW Permits System must be able to automatically select a route for an OS/OW or radioactive load permit application and check all bridges on that route for acceptable clearance and weight ratings. The DOT plans to implement the OS/OW Permits functionality in the short term as part of the CVISN/PRISM Project, and to implement the Bridge Rating and Automatic Routing functionality on a longer term phased approach. This longer term effort will involve a number of DOT units in establishing and maintaining the data bases required to support the Bridge Rating and Automatic Routing functionality.

The OS/OW System must support the exchange of safety and credentials data with the CI/CVIEW System. The winner of Award 3 must develop, in conjunction with the Systems Integrator (Award 1), a detailed design for the interface and protocol standards for this data exchange. The Award 3 winner is responsible for the development, implementation and maintenance of the OS/OW System side of the interface, with the Systems Integrator providing oversight and direction. The Systems Integrator is responsible for developing, implementing, and maintaining the CI/CVIEW side of the interface.

- 6.3.2.3.1 OS/OW and radioactive load trip permit applications are to be filed electronically from permit services and motor carrier facilities;
- 6.3.2.3.2 Permit fees are to be paid electronically;
- 6.3.2.3.3 Permit processes (electronic submission of applications, evaluation, payments processing and application response) are to be supported through electronic exchange of applications data and other government-held records, including carrier/vehicle records;
- 6.3.2.3.4 OS/OW audits are to be accomplished with electronic support;
- 6.3.2.3.5 OS/OW permit credential status information is to be made available electronically to authorized users;

- 6.3.2.3.6 The “paperless” vehicle concept (i.e. electronic credential and supporting electronic documentation are to be accepted in lieu of paper versions, and become primary, while paper records become secondary) is to be supported as allowed by Connecticut statutes and regulations;
- 6.3.2.3.7 Unique, standard identifiers will be adopted for each OS/OW interstate and intrastate carrier and vehicle.
- 6.3.2.3.8 Provide all functionality of the existing OS/OW system, including:
  - 6.3.2.3.8.1 Acceptance of checks for fee payments;
  - 6.3.2.3.8.2 Normal bookkeeping requirements for single trip permits, faxes and account codes;
  - 6.3.2.3.8.3 Computation of annual fees for account codes;
  - 6.3.2.3.8.4 Automated capture of Optical Character Recognition (OCR) permit data from faxes that are received electronically;
  - 6.3.2.3.8.5 Automated conversion of inbound electronic mail-initiated and Web site-initiated permit applications;
  - 6.3.2.3.8.6 Verification of all inbound applications by OS/OW personnel before issuance;
  - 6.3.2.3.8.7 Accept trip permit applications via fax in the existing one page format; and
  - 6.3.2.3.8.8 Issuance of trip permits via automated fax and/or Email.
- 6.3.2.3.9 Support the distribution of OS/OW account and transmittal information about carrier vehicles electronically. This will be provided by, at least, marker number and/or vehicle information number to authorized users.
- 6.3.2.3.10 Support both annual permits and daily trip permits, including:
  - 6.3.2.3.10.1 Computation of annual fees for account codes having multiple tractor and trailer combinations;
  - 6.3.2.3.10.2 Computation of total annual fees and the provision of the associated reports for companies having multiple account codes and/or axle weight permits, along with the required account code documents; and
  - 6.3.2.3.10.3 Editing of vehicle information and generating new fees as information is updated, along with any necessary reports and letters for justification.
- 6.3.2.3.11 Provide a single network address point-of-entry customer interface.
- 6.3.2.3.12 Provide accounting reports including daily, weekly, monthly, quarterly, yearly and other reports as required.

- 6.3.2.3.13 Check application data for rule-based errors.
- 6.3.2.3.14 Allow for the submission of one or more OS/OW permits credentials applications in a single transaction.
- 6.3.2.3.15 Support the electronic automated fax transmission of OS/OW credentials to the permittee and the permit service.
- 6.3.2.3.16 Support the automated routing of permitted vehicles.
- 6.3.2.3.17 Must be capable of interfacing with other database, routing and Geographic Information Systems (GIS) software used by the Department.
- 6.3.2.3.18 Accept and electronically process fees for OS/OW permits payments using, at least, electronic fund transfers.
- 6.3.2.3.19 Must be compliant with the existing Connecticut DOT's Windows NT standard network and network protocols.
- 6.3.2.3.20 Provide data to the CI/CVIEW System to allow for, prior to issuing credentials, the review of credentials and safety performance data, including PRISM-related data, about Connecticut-based and non-Connecticut-based carriers and vehicles via the CI/CVIEW System.
- 6.3.2.3.21 Must provide for the electronic workflow (e.g. bridge analysis requests and results via Department standard software or Microsoft Exchange Email software.

#### **6.3.2.4 Required Deliverables**

The Award 3 winner is to design, develop (or modify an existing application), integrate, implement and maintain a Oversize/Overweight (OS/OW) Permits System that meets all relevant State, CVISN and PRISM business and technical requirements.

The Award 3 winner is to develop, with State staff and the contractor winning Award 1, an acceptable OS/OW System Project Implementation Plan for design, development, implementation, and roll out. This Plan is to be incorporated into the *CVISN/PRISM Project Implementation Plan*. The Award 3 winner is to update and maintain the OS/OW System Project Implementation Plan.

The Award 3 winner is to develop, with State staff and the contractor winning Award 1, an acceptable Quality Assurance Plan for the OS/OW System design and development effort, to assure that the system, as delivered, meets all applicable requirements. The OS/OW System QA Plan is to be incorporated into the *CVISN/PRISM Project Quality Assurance Plan*. The Award 3 winner is to update and maintain the OS/OW System Quality Assurance Plan.

The Award 3 winner is to develop, with State staff and the contractor winning Award 1, an acceptable Test Plan for the OS/OW System. This Test Plan must address unit tests, system integration tests, CI/CVIEW Interoperability tests, testing procedure for all interfaces, user acceptance tests and production acceptance tests. The development and execution of a Proof of Concept Test as described in Attachment 6.1 Section 6.1.1 is also to be addressed in the Test Plan.

The Award 3 winner is to assist the State Team and the contractor winning Award 1 in developing a list of OS/OW System stakeholders (estimate: 10). Next, the Award 3, in conjunction with the State Team and the contractor winning Award 1 winner, is to participate in interviews of selected stakeholders. The purpose of these interviews is to document stakeholder expectations in order to confirm that the OS/OW and CI/CVIEW Systems goals and objectives are consistent with these expectations. The Award 3 winner is to provide written summaries of the interviews for State review and acceptance.

The Award 3 winner will work with the State Team and the contractor winning Award 1 to develop a list of potential users of the OS/OW System. The Award 3 winner will work with the users to define the requirements and develop an acceptable logical design for the OS/OW Permits System.

The Award 3 winner will assist the State Team and the contractor winning Award 1 to define the requirements and develop an acceptable logical design for the Credentialing Interface, the credentialing functionality, payments processing and the exchange of credentials information to be included in the CI/CVIEW System.

The Award 3 winner will assist the State Team and the contractor winning Award 1 to document the requirements and develop the logical design for the exchange of credentials and safety information to be included in the CI/CVIEW System.

Once the OS/OW business requirements have been documented and agreed upon by the State, the data needed to support the required functionality can be identified. This will lead in turn to a list of the systems where this data can be found. In some cases, the required data may be maintained in more than one system. The Award 3 winner is to work with the contractor winning Award 1 to document this information in the CVISN/PRISM Data Dictionary, as described in Section 6.1.1 above.

The Award 3 winner will work with the State Team and the contractor winning Award 1 to develop the physical design for the OS/OW System and all of its interfaces. As part of the physical design process, the Award 3 winner is to describe the options available for providing any given component of functionality, and recommend the most cost effective option for implementation.

The Award 3 winner contractor is to develop, in conjunction with the State Team and the contractor winning Award 1, a detailed design for the interface and protocol standards for the exchange of data between the CI/CVIEW System and the OS/OW System. The

Award 3 winner is to develop, implement and maintain the OS/OW System side of the interface with the CI/CVIEW System.

The Award 3 winner is to assist the contractor winning Award 1 in developing the design for a security function within the CI/CVIEW System to provide access only to authorized users of CI/CVIEW System functionality and data. Unauthorized users are to be prevented from accessing the System or the data. The security system is also to prevent unauthorized access to the systems that interface to CI/CVIEW.

In developing the OS/OW System, the State expects the Award 3 winner to utilize existing applications where possible. A number of states have implemented, or are in the process of implementing, OS/OW systems. Connecticut hopes to utilize code developed by these states where possible, and in any case, to benefit from "lessons learned" by these leaders.

The Award 3 winner must successfully work with the staff from but not limited to the following DOT units:

- OS/OW Permit for oversize/overweight, radioactive and industrial permit credentials;
- Bridge Safety and Evaluation for the selection in software to be used when analyzing the State's structures;
- Information Systems, for integration with existing hardware, software and communications;
- Research, for guidance into advanced routing, bridge loading, optimization and other advanced features; and
- DOT Fiscal for development of payment options.

Each Award 3 deliverable will be reviewed in conjunction with quality assurance activities and, as appropriate, with the Award 1 winner, before the State will issue a formal acceptance. A formal State acceptance is required before payments are authorized. The Award 3 winner will provide at least the following deliverables and services:

1. Initiate, schedule and chair meetings regarding DOT-related systems and their interfaces, with meeting participants to include State personnel, Technical Project Manager and Systems Integrator, other contractors, Federal personnel, as needed, and provide written agendas and summaries
2. Work plan for DOT Systems design, development and implementation.
3. At a minimum, Weekly Progress reports
4. Statements of specifically who will be working on the project both onsite and off, including full resumes outlining experiences and other applicable qualifications.
5. System Development Plan
6. Quality Assurance Plan, developed in conjunction with quality assurance activities, to assure that the system(s), as delivered, meet State requirements
7. System Test Plan, developed in conjunction with quality assurance activities
8. System Implementation Plan

9. Updates to System Development, Quality Assurance, System Test and System Implementation Plans
10. Document identifying stakeholders, and summarization of stakeholder interviews.
11. Statement of vendor's understanding of business functionality. This must include any assumptions being made by vendor, results of user interviews, research and analysis results, etc....
12. System Requirements document. This must include high-level and detail-level system flowcharts of all systems, sub-systems and interfaces; data flow diagrams; entity relationship diagrams; data models; etc....
13. Statement of code generators being used, language environment, database (datastore) definition tools, coding standards, etc....
14. Logical (general) system design document
15. Identification of required (or recommended) hardware, networking needs, etc... to efficiently use vendor's software solution. Remember that seamless integration with CI/CVIEW is required.
16. Physical (detail) system design document(s)
17. Software (code) installation in test environment
18. System Unit Test requirements. This will include at minimum, test scripts identifying all test conditions with expected results, actual results, reasons for difference between expected and actual, corrective measures taken, testing dates (including retests), and assigned staff.
19. System functionality acceptance and interoperability tests. This must outline methods to be employed to perform integration testing, whether simulated, actual, or something else. Similar documentation will be expected as noted for System Unit Test.
20. System Technical Documentation. This must include operations and technical documentation, in a clear and concise manner, with easy-to-use indexes, table of contents, etc....
21. System User Documentation. This must include at minimum, full user instructions, all field values, information explaining relationship of fields, color screen prints with samples of data, etc...
22. Data Dictionary reports
23. Software (code) installation in production environment
24. System production acceptance test
25. System overview suitable for describing system to other states
26. System Integration Services
  - "Back-end" support for electronic credentials and payments processing transactions as passed to the Credentialing Interface/Commercial Vehicle Information Exchange Window (CI/CVIEW) System;
  - The development, in conjunction with the Award 1 winner, of detailed designs for the interfaces and protocol standards for the exchange of data between the Award 3 winner's System and the CI/CVIEW System;
  - Accept direction and oversight from the Award 1 winner (responsible for the development, implementation and maintenance of the CI/CVIEW System side of

the interfaces) concerning the development, implementation and maintenance of the Award 3 System side of the interfaces with the CI/CVIEW System; and

- The development, implementation and maintenance of the Award 3 System side of the interfaces with the CI/CVIEW System.

**ATTACHMENT 7**  
**CVISN REQUIREMENTS**  
**CVISN OPERATIONAL AND ARCHITECTURAL COMPATIBILITY HANDBOOK**  
**(COACH)**  
**OPERATIONAL CONCEPTS AND TOP LEVEL DESIGNS**  
**(Part 1 of Baseline Version of August 2000 – Modified for the State of Connecticut)**

The overall ratings are as follows:

(L1) A CVISN Level 1 compatibility: Connecticut expects to fully implement the operational concept, architectural guideline or system design requirement identified and be ready for the next steps and that between 80% and 100% of the Connecticut systems involved are to be compatible by September 30, 2003.

(E) An **ENHANCED** level of CVISN capability: Connecticut expects to at least demonstrate the feasibility of the concept, architectural guideline or system design requirement identified and that between 50% and 80% of the Connecticut systems involved are to be compatible by September 30, 2005.

(C) A **COMPLETE** level of CVISN capability: Connecticut expects to begin efforts to at least demonstrate the feasibility of the concept, architectural guideline or system design requirement identified and that less than 50% of the Connecticut systems involved are to be compatible by September 30, 2005.

#### 7.1 CONNECTICUT INSTITUTIONAL FRAMEWORK

This section summarizes the institutional and business planning activities that are necessary for the implementation of CVISN architecture and concepts in Connecticut. Initial efforts will focus on the CVISN Level 1 (L1) compatibility requirements identified by the FMCSA CVISN Project Team and other requirements Connecticut has identified, including PRISM-related requirements, to be covered under Connecticut's CVISN Level 1 "umbrella." The listing is based on the ideas outlined in the 1996 *CVISN Model Deployment Request for Information and Request for Application* and the January 1999 letter from the Director, Office of Motor Carrier Safety & Technology on CVISN Workshops.

**(NOTE:** In order to be in alignment with *COACH: Part 1, Section 3: State Institutional Framework* items, the items listed below are numbered as 3.1, etc.)

Connecticut expects that the following concepts and architectural guidelines will be fully implemented under CVISN Level 1 and that Connecticut will be ready for the next steps and that at between 80% and 100% of the Connecticut systems involved are to be compatible by September 30, 2003.

3.1 Connecticut has contacted or has plans to contact State and local transportation officials to explore potential joint-uses of transponders and ensure integration among multiple applications (i.e., CVO, toll, traffic probes, parking management, etc.).

- 3.2 Connecticut has evaluated or has plans to evaluate the data that is being collected for CVISN initiatives to determine if other State and local transportation entities (e.g., traffic management center) outside the CVO community could use the data which is collected under CVISN deployment, consistent with data privacy agreements.
- 3.3 Connecticut has conducted or has plans to conduct outreach to its motor carrier partners about metropolitan and rural ITS initiatives (i.e., web sites on roadway weather information systems, incident management systems and traffic management systems) within Connecticut that could provide benefits to its motor carrier operations.
- 3.4 Connecticut is committed to complete the full cycle of the workshops, and upon completion, to begin deployment of the ITS/CVO systems and services that meet the unique economic, administrative and transportation needs outlined in the *Connecticut ITS/CVO Business Plan*.
- 3.5 A qualified core CVISN Project Team [including the State of Connecticut CVISN Project Manager, the Industry CVISN Project Manager/President of the Motor Transport Association of Connecticut, Inc., the CVISN Technical Project Manager, the CVISN System Architect, the CVISN Management Coordinator; operations staff representing the agencies responsible for Connecticut's major CVO functional areas (i.e., IRP, IFTA, safety information systems, roadside safety inspections, size/weight enforcement and credentials enforcement), staff from the Connecticut Department of Information Technology and the information technology units within the Connecticut CVO agencies, representatives of the Connecticut Department of Transportation; representatives of the FMCSA and FHWA Division Office] has been identified, with selected members participating in workshops.
- 3.6 Appropriate and sufficient staff, equipment and State of Connecticut/other funding are available to carry out the deployment of CVISN and ITS/CVO services, with the CVISN Project having appropriate, sufficient priority (i.e., other high-priority projects are not competing for the same resources).
- 3.7 A *Connecticut ITS/CVO Business Plan*, that outlines the goals, strategies, anticipated benefits/costs, organization, projects, schedules, and resources relevant to achieving the envisioned CVO environment, exists and has been accepted by the FHWA.
- 3.8 A planning and coordination process exists which includes all State agencies involved in any aspect of motor carrier safety and regulation.
- 3.9 The top executives and chief information systems managers of each involved agency have endorsed State CVO plans and given the CVISN Project Manager adequate authority.
- 3.10 A process for resolution of conflicts among participating agencies exists.

- 3.11 State of Connecticut agencies have a strong commitment to customer service and the ability to work with the motor carrier industry in Connecticut.
- 3.12 State of Connecticut agencies involve the motor carrier industry in the planning process.
- 3.13 State of Connecticut agencies conduct education programs to improve the safety performance and regulatory compliance of motor carriers.
- 3.14 State of Connecticut agencies provide periodic forums for obtaining suggestions and concerns from the motor carrier industry.
- 3.15 State of Connecticut agencies actively pursue business process reengineering efforts.
- 3.16 An e-mail system is available among agencies.
- 3.17 Key agency staff members and others have access to the Internet.
- 3.18 The State has adopted an open standard (ANSI ASC X12, for example) for electronic data interchange with the public.
- 3.19 The State's communications infrastructure is sufficiently developed to extend to the kinds of exchanges needed under the CVISN Architecture.
- 3.20 There are no State legislative barriers relative to data privacy, physical signature requirements, data exchange among agencies, data exchange with other states, or other uses of information technology required to implement the CVISN concept of operations.
- 3.21 The Connecticut General Assembly provides adequate resources to support an active ITS/CVO program and deployment of the ITS/CVO services.
- 3.22 State of Connecticut personnel participate in regional CVO forums to assist in developing regional and national interoperable systems and compatible policies and procedures.
- 3.23 Connecticut is willing to provide timely, electronic information to the IRP Clearinghouse and to the IFTA Clearinghouse to support the base state agreements.
- 3.24 State of Connecticut CVISN Project Team members have completed or will complete the ITS/CVO technical training courses [*Introduction to ITS/CVO* (waived for personnel with prior ITS/CVO knowledge and experience), *ITS/CVO Technical Project Management for Non-Technical Managers* and *Understanding ITS/CVO Technology Application*].
- 3.25 Effective procurement plans and processes are in place to acquire services and equipment needed to support the CVISN Project and CVISN Team members are aware of constraints the processes impose.
- 3.26 Effective subcontract management processes that allow timely identification and resolution of performance problems exist.

- 3.27 The CVISN Team has a clear understanding of the Connecticut-specific requirements for information technology projects.
- 3.28 The CVISN Team has a clear understanding of the Connecticut-specific budget cycles and is aware of associated constraints.

## **7.2 STATE OF CONNECTICUT SYSTEMS**

(NOTE: In order to be in alignment with *COACH: Part 1, Section 4: State Systems* items, the items listed below are listed as 4.1, etc.)

### **4.1 GENERAL OPERATIONAL CONCEPTS AND CONNECTICUT SYSTEMS DESIGN REQUIREMENTS**

The general Connecticut safety, credentialing and electronic screening/clearance systems design requirements apply to **all** Connecticut systems and facilitate interoperability and the exchange of information within Connecticut and across jurisdictions.

#### **4.1 General Operational Concepts**

The following concepts are based on Connecticut's interpretation of the guiding principles and the state of existing and emerging technologies today. The elements were originally based on the Key Operational Concepts sections of the *CVISN Operational Concept Document*. The original operational concepts are included in the *CVISN Guide to Top-Level Design* and in the *CVISN Guide to Safety Information Exchange*, the *CVISN Guide to Credentials Administration* and the *CVISN Guide to Electronic Screening*.

- 4.1.1 Good business processes can be improved through improved automated access to accurate information.
- 4.1.2 Authoritative sources are responsible for maintaining accurate information. Each jurisdiction participating in ITS/CVO information exchange identifies the authoritative source for each data item.
- 4.1.3 Sometimes it is practical for authoritative systems to authorize indirect sources to assist in the information exchange process.
- 4.1.4 To enable cross-referencing and standard look-ups in multiple information systems, a common scheme for identifying carriers must be adopted. The Primary Carrier ID should be used in interface agreements (open standards, Internet-based exchanges and custom interface agreements) to facilitate the exchange of carrier information. The system implementers are to determine the manner in which the ID is stored internally outside the interface. As feasible, the ID should be based on the USDOT number for both interstate and intrastate carriers.

- 4.1.5 To enable cross-referencing and standard look-ups in multiple information systems, a common scheme for identifying drivers must be adopted for interstate and intrastate operators. The Commercial Drivers License (CDL) number should be the basis of the Driver ID.
- 4.1.6 To enable cross-referencing and standard look-ups in multiple information systems, a common scheme for identifying vehicles must be adopted for interstate and intrastate operators. The Vehicle Identification Number (VIN) and plate number/jurisdiction should be the primary basis for the identification of power units.
- 4.1.7 To enable cross-referencing and standard look-ups in multiple information systems, a common scheme for identifying international trips must be adopted. The Trip/Load number consisting of DUNS and trip-specific ID should be the basis for identifying international trips. **COMPLETE**
- 4.1.8 Standard information exchange is supported via carrier and vehicle (and eventually driver) snapshots. **Driver is COMPLETE**
- 4.1.9 Flexible implementation/deployment options are accommodated by the ITS/CVO architecture so that the architecture will be able to change as technology changes.
- 4.1.10 Open standards are used for interchanges between public and private computer systems. (DSRC standards for the messages, data link and physical layers are used for vehicle-roadside interactions. While ANSI ASC X12 EDI transactions are used today for some carrier-state information systems' interactions, it is anticipated that XML will be also used.)
- 4.1.11 Enhanced data exchange will allow all activities to focus resources on high-risk operators.
- 4.1.12 Interoperability is assured by a process of architecture conformance checks throughout a project's lifecycle, culminating in the execution of standardized interoperability tests and, if a tested system is changed, the interoperability tests are re-run as part of the re-validation process.
- 4.1.13 The Fair Information Principles for ITS/CVO will be implemented using a combination of policies, procedures, technology and training, with stakeholders included in the discussions of the techniques to be used to implement the principles.
- 4.1.14 Citations are based on a review of real-time conditions and checks with authoritative sources. **COMPLETE**
- 4.1.15 The Internet is used as a wide area network for information exchange.
- 4.1.16 The World Wide Web is used for interactions and information exchanges between private people and government systems (e.g., for credentials applications, commercial vehicle regulations, etc.).

4.1.17 The Connecticut focus is on sharing data among safety, credentialing and screening processes and CVISN in Connecticut encourages the design and deployment of these three elements in parallel.

#### 4.1 – 2 General Connecticut Systems Design Requirements

The following top-level requirements apply to the design of **all** State of Connecticut systems and provide more detail about CVISN Level 1. The *Introductory Guide to CVISN* provides an overview of CVISN Level 1.

4.1.1 Adopt standard identifiers for carriers, vehicles, drivers and transponders to support information exchange. **Driver is COMPLETE**

4.1.1.1 Adopt standard identifiers for interstate carrier, vehicle, driver and transponder.

4.1.1.2 Adopt standard identifiers for intrastate carrier, vehicle, driver and transponder.

4.1.2 Use the World Wide Web for person-to-computer interactions between private citizens and state information systems. **See CRF 1048 Note under Section 4.3 below.**

4.1.3 Use open standards for computer-to-computer exchange of information with other jurisdictions and with the public. **See CRF 1048 Note under Section 4.3 below**

4.1.3.1 Use the recommended ANSI X12 EDI standards for transactions between State of Connecticut information systems and private systems (CV operators, insurance companies, etc.) in the near term.

4.1.3.2 Use the recommended ANSI X12 EDI standards for transactions between State of Connecticut information systems and CVISN Core Infrastructure systems, where available, in the near term.

4.1.3.3. Use, contingent on demonstration of feasibility, XML standards for transactions between state information systems and private systems (CV operators, insurance companies, etc.). **ENHANCED**

4.1.4 Ensure that all information transfers, fee payments and money transfers are authorized and secure.

4.1.5 Exchange safety and credentials data electronically within Connecticut to support credentialing, safety and other roadside functions and, where useful, exchange snapshots.

4.1.5.1 Data for interstate carriers.

4.1.5.2 Data for interstate vehicles.

4.1.5.3 Data for intrastate carriers.

4.1.5.4 Data for intrastate vehicles.

4.1.5.5 Data for drivers. **COMPLETE**

- 4.1.6 Demonstrate technical interoperability by performing Interoperability Tests.
- 4.1.7 Support electronic payments.
- 4.1.8 Receive, collect and archive relevant CVO data for historical, secondary and non-real-time uses.

## **4.2 Connecticut Safety Information Exchange and Safety Assurance Systems**

The Connecticut safety information exchange and safety assurance systems are likely to consist of:

- Inspection (e.g., ASPEN)
- SAFETYNET 2000
- Accident and Citation
- Compliance Review (e.g., CAPRI - Compliance Analysis Performance Review Information)
- Commercial Vehicle Information Exchange Window (CVIEW)

The Connecticut commercial vehicle safety information exchange and safety assurance systems support the enforcement of safety regulations. Connecticut continues to investigate the formation of regional alliances to support these functions and coordinates with other states, regional alliances and CVISN Core Infrastructure systems to support nationwide access to safety information for administrative and enforcement functions.

The following operational concepts are based on Connecticut's interpretation of the guiding principles and the state of existing and emerging technologies today. The elements were originally based on the Key Operational Concepts sections of the *CVISN Operational Concept Document*. The operational concepts are included in the *CVISN Guide to Top-Level Design* and in the *CVISN Guide to Safety Information Exchange*.

### **4.2 Safety Information Exchange and Safety Assurance Operational Concepts**

- 4.2.1 Data is collected to quantify the primary measures of effectiveness related to safety of commercial vehicle operations (accidents and fatalities).
- 4.2.2 Electronic safety records (snapshots) are made available at the roadside to aid inspectors and other enforcement personnel.
- 4.2.3 Inspectors use computer applications to capture, verify and submit intrastate and Interstate inspection data at the point of inspection.
- 4.2.4 Safety data is made available electronically to qualified stakeholders.
- 4.2.5 User access to data is controlled (restricted and/or monitored) where necessary.

- 4.2.6 Mechanisms are made available for operators to dispute safety records held by government systems.
- 4.2.7 Compliance reviews are supported through electronic access to government-held safety records.
- 4.2.8 Safety risk ratings are determined according to uniform guidelines.
- 4.2.9 Jurisdictions support a standard set of criteria for inspection selection.  
**ENHANCED**
- 4.2.10 A comprehensive safety policy, including roadside and desktside activities, is to be implemented to improve safety. **ENHANCED**
- 4.2.11 Carriers are associated with a base state for safety information record storage and credentialing.
- 4.2.12 Compliance reviews are supported through electronic access to carrier-held records. **COMPLETE**

#### **4.2 Connecticut Safety Information Exchange and Safety Assurance Systems Design Requirements**

The following top-level requirements apply to the design of Connecticut safety-related systems and provide more detail about CVISN Level 1. The *Introductory Guide to CVISN* provides an overview of CVISN Level 1.

- 4.2.1 Use ASPEN (or equivalent) at all major inspection sites.
  - 4.2.1.1 Select vehicles and drivers for inspection based on availability of inspector, standard inspection selection system, vehicle measures and random process, as statutes permit.
  - 4.2.1.2 Report interstate inspections to SAFETYNET for MCMIS.
  - 4.2.1.3 Report intrastate inspections to SAFETYNET for MCMIS.
  - 4.2.1.4 Submit interstate and intrastate inspections for 90-day storage to SAFER.
  - 4.2.1.5 Periodically check OOS orders issued in Connecticut to focus enforcement and safety assurance activities.
  - 4.2.1.6 To assist in inspection, use DSRC to retrieve summary vehicle safety sensor data, if the driver allows and the vehicle is properly equipped.  
**ENHANCED**

- 4.2.1.7 To assist in inspection, use DSRC to retrieve the driver's daily log, if the driver allows and the vehicle is properly equipped. **COMPLETE**
- 4.2.1.8 Use the electronically-generated driver's daily log, if the driver offers this method as an alternative to a manually-maintained log during an inspection. **COMPLETE**
- 4.2.2 SAFETYNET 2000 submits interstate and intrastate inspections reports to SAFER.
- 4.2.3 Maintain snapshots (or equivalent information) for carriers and make this information available to information systems and users.
- 4.2.3.1 For any given snapshot, there is only one authoritative source (or group of authoritative sources, such as ASPEN units) for each field in that snapshot.
- 4.2.3.2 Only the authoritative source is allowed to update a snapshot data field, with the exception of a "super user" that can update any field and that includes an audit trail that is maintained to record super user updates.
- 4.2.3.3 Validate the sender's identity through some industry-standard means (account ID, IP address, password, security keys, etc.).
- 4.2.3.4 Reject updates attempted by any system other than the authoritative source or a super user and provide a code explaining the reason the update attempt was rejected. The rejection transaction should be returned to the sender in a timely fashion and the rejection should be logged for the snapshot system administrator to review.
- 4.2.4 Use Compliance Analysis Performance Review Information (or equivalent) for compliance reviews and report interstate compliance reviews to SAFETYNET for MCMIS.
- 4.2.5 Collect, store, analyze and distribute citation data electronically and report citations for interstate operators to SAFETYNET for MCMIS. **ENHANCED**
- 4.2.6 Collect, store, analyze and distribute crash data electronically and report interstate crashes as required to SAFETYNET for MCMIS. **ENHANCED**
- 4.2.7 Compute carrier safety risk rating for intrastate carriers based on safety data collected.

- 4.2.8 Identify high-risk drivers based in Connecticut through regular performance evaluation of various factors such as license status, points and inspections.  
**COMPLETE**

### **4.3 Connecticut Commercial Vehicle Administration Systems**

The Connecticut commercial vehicle administrative systems are likely to consist of:

- Interstate & Intrastate Vehicle Registration
- Fuel Tax Credentialing/Tax Return Processing
- Credentialing Interface/Commercial Vehicle Information Exchange Window
- Web Site
- Carrier Registration (SSRS)
- Driver licensing
- Titling
- Treasurer's Office Systems
- HazMat Credentialing/Permitting
- Oversize/Overweight Permitting
- Electronic Screening Systems

These systems perform or will perform administrative functions supporting credentials and tax regulations. Connecticut continues to investigate the formation of regional alliances to support these functions and coordinates with other states, regional alliances and CVISN Core Infrastructure systems to support nationwide access to credentials information for administrative and enforcement functions.

When building a credentialing system, it is useful to think about the process of electronic screening as part of the design criteria. Electronic screening requirements are included in the Electronic Screening section, since enrollment would not occur unless operators wanted to participate in electronic screening.

CRF 1048 authorized updating CVISN documents to reflect the latest FMCSA policy on credentials administration that resulted from analyzing the results of a survey about electronic credentialing interactions between motor carriers and state information systems. That policy is as follows:

- FMCSA requires that states implement either a person-to-computer or a computer-to-computer interface.
- FMCSA recommends that states survey their stakeholders to determine whether both interfaces would be appropriate.
- FMCSA recommends that, in the near term (over the next ~2 years), carriers and states use X12 EDI for computer-to-computer interfaces unless the state has evidence that customers support another approach.
- FMCSA encourages the exploration of XML as an alternative to EDI.

This is a policy regarding CVISN Level 1. If a state chooses to implement only a person-to-computer credentialing approach, then implementation of a computer-to-computer interface is considered an Enhanced capability. Similarly, if a state chooses to implement only a computer-to-computer credentialing approach, then implementation of a person-to-computer interface is considered an Enhanced capability.

The following operational concepts are based on an interpretation of the guiding principles and the state of existing and emerging technologies today. The elements are based on the Key Operational Concepts sections of the *CVISN Operational Concept Document*. The operational concepts are included in the *CVISN Guide to Top-Level Design* and in the *CVISN Guide to Credentials Administration*.

### **4.3 Commercial Vehicle Administration Operational Concepts**

- 4.3.1 Credential applications and fuel tax returns are filed electronically from commercial vehicle operations stakeholder facilities.
- 4.3.2 Internal Connecticut administrative processes are supported through electronic exchange of application data, safety records, carrier background data and other government-held records.
- 4.3.3 IRP and IFTA base state agreements are supported electronically.
- 4.3.4 Credential and fuel tax payment status information for interstate operators are made available electronically nationally to qualified stakeholders.
- 4.3.5 User access to data is controlled (restricted and/or monitored) where necessary.
- 4.3.6 Mechanisms are made available for operators to dispute credentials records held by government systems.
- 4.3.7 Fees and taxes are paid electronically.
- 4.3.8 Electronic access to administrative processes and information is available from “one stop shops” in public sites.
- 4.3.9 Credential and fuel tax payment status information for intrastate operators are made available electronically to qualified stakeholders throughout Connecticut.
- 4.3.10 Carrier audits are accomplished with electronic support.
- 4.3.11 The “paperless vehicle” concept is supported, i.e. electronic records become primary and paper records become secondary.

### **4.3 Connecticut Commercial Vehicle Administration Systems Design Requirements**

The following top-level requirements apply to the design of Connecticut commercial vehicle administration-related systems and provide more detail about CVISN Level 1. The *Introductory Guide to CVISN* provides an overview of CVISN Level 1.

- 4.3.1 Support electronic credentialing (electronic submission of applications, evaluation, payments processing and application response) for IRP.
  - 4.3.1.1 Provide a Web site for a person-to-computer process.
  - 4.3.1.2 Provide a computer-to-computer automated process.
    - 4.31.2.1 Use EDI standards to provide a computer-to-computer automated process. (Note: EDI has been recommended in the near term for computer-to-computer interfaces)
    - 4.31.2.2 Use XML standards to provide a computer-to-computer automated process. **ENHANCED**
- 4.3.2 Proactively provide updates to vehicle snapshots as needed when IRP credentials actions are taken.
  - 4.3.2.1 Interface to SAFER for interstate vehicle snapshots, using the available SAFER interface. (Note: While EDI is currently available, there are plans to provide an XML option)
- 4.3.3 Proactively provide updates to carrier snapshots as needed when IRP credentials actions are taken.
  - 4.3.3.1 Interface to SAFER for interstate carrier snapshots, using available standards. (Note: While EDI is currently available, there are plans to provide an XML option)
- 4.3.4 Provide the IRP Clearinghouse with IRP credential application information (recaps).
- 4.3.5 Review fees billed and/or collected by a jurisdiction and the portion due other jurisdictions (transmittals) as provided by the IRP Clearinghouse.
- 4.3.6 Support electronic state-to-state fee payments via the IRP Clearinghouse.
- 4.3.7 Support electronic credentialing (electronic submission of applications, evaluation, payments processing and application response) for IFTA registration.
  - 4.3.7.1 Provide a Web site for a person-to-computer process.
  - 4.3.7.2 Provide a computer-to-computer automated process.
    - 4.3.7.2.1 Use EDI standards to provide a computer-to-computer

- automated process. (Note: EDI is recommended in the near-term for computer-to-computer interfaces)
- 4.3.7.2.2 Use XML standards to provide a computer-to-computer automated process. **ENHANCED**
- 4.3.8 Proactively provide updates to carrier snapshots as needed when IFTA credentials actions are taken or tax payments are made.
- 4.3.8.1 Interface to SAFER for interstate carrier snapshots, using available SAFER interface. (Note: While EDI is currently available, there are plans to provide an XML option)
- 4.3.9 Provide IFTA Clearinghouse with IFTA credential application information using EDI standards.
- 4.3.10 Support electronic tax filing for IFTA quarterly fuel tax returns.
- 4.3.10.1 Provide a Web site for a person-to-computer process.
- 4.3.10.2 Provide a computer-to-computer automated process.
- 4.3.10.2.1 Use EDI standards to provide a computer-to-computer automated process. (Note: EDI is recommended in the near-term for computer-to-computer interfaces)
- 4.3.10.2.2 Use XML standards to provide a computer-to-computer automated process. **ENHANCED**
- 4.3.11 Provide information on taxes collected by Connecticut and the portion due other jurisdictions (transmittals) to the IFTA Clearinghouse using EDI standards.
- 4.3.12 Download for automated review the demographic information from the IFTA Clearinghouse using EDI standards.
- 4.3.13 Download for automated review the transmittal information from the IFTA Clearinghouse using EDI standards.
- 4.3.14 Retrieve IFTA tax rate information electronically from IFTA, Inc.
- 4.3.15 Support electronic credentialing (electronic submission of applications, evaluation, payments processing and application response) for other credentials.
- 4.3.15.1 Interstate carrier registration (SSRS)
- 4.3.15.2 Intrastate vehicle registration for IRP carriers
- 4.3.15.3 Oversize/overweight permitting
- 4.3.15.4 Vehicle title **COMPLETE**

- 4.315.5 Intrastate vehicle registration for non-IRP carriers **COMPLETE**
- 4.3.16 Proactively provide updates to vehicle snapshots as needed when other credentials actions are taken.
- 4.3.16.1 Intrastate vehicle registration for IRP carriers
- 4.3.16.2 Oversize/overweight permitting
- 4.3.16.3 Vehicle title **COMPLETE**
- 4.3.16.4 Intrastate vehicle registration for non-IRP carriers **COMPLETE**
- 4.3.17 Proactively provide updates to carrier snapshots as needed when other credentials actions are taken.
- 4.3.17.1 Interstate carrier registration (SSRS)
- 4.3.17.2 Intrastate vehicle registration for IRP carriers
- 4.3.17.3 Oversize/overweight permitting
- 4.3.17.4 Intrastate vehicle registration for non-IRP carriers **COMPLETE**
- 4.3.18 Allow commercial vehicle operators, government-operated or third-party systems to submit one or more applications in a single transaction.
- 4.3.19 Provide commercial driver information to other jurisdictions via CDLIS.
- 4.3.20 Evaluate carrier safety performance prior to issuing initial and renewal vehicle registrations (i.e. support PRISM processes or equivalent).
- 4.3.21 Allow carriers to provide information for audits electronically. **COMPLETE**
- 4.3.22 Provide titling information to other jurisdictions via NMVTIS. **COMPLETE**
- 4.3.23 Provide revoked IFTA motor carrier information to other jurisdictions via STOLEN. **COMPLETE**
- 4.3.24 Accept electronic credential and supporting electronic documentation, in lieu of paper versions. **COMPLETE**
- 4.3.25 Proactively provide updates to driver snapshots as needed when credentials actions are taken. **COMPLETE**
- 4.3.27 Interface to SAFER for driver snapshots, using available SAFER interface. **COMPLETE**

#### 4.4 Connecticut Electronic Screening/Clearance Systems

The Connecticut roadside systems involved in electronic screening/clearance consist of:

- Screening System
- Roadside Operations Systems

- Sensor/Driver Communications System
- Electronic Screening Enrollment
- Mainline Automated Clearance System (Model MACS)
- Credentialing Interface/Commercial Vehicle Information Exchange Window

These electronic screening/clearance systems will operate at one or more fixed or mobile commercial weigh and inspection stations in Connecticut. The systems are to perform roadside functions supporting automated carrier, vehicle and driver identification and associated look-ups in infrastructure-supplied data for credentials and safety checks.

When building an electronic screening/clearance system, it is useful to think about the process of electronic screening enrollment as part of the process. Electronic screening enrollment requirements are included in this Electronic Screening/Clearance section, since the enrollment would not occur unless operators wanted to participate in electronic screening/clearance. Electronic screening enrollment requirements are to be considered during the design of safety and information exchange/safety assurance systems and administrative systems.

The following concepts are based on an interpretation of the guiding principles and the state of existing and emerging technologies today. The elements are based on the Key Operational Concepts sections of the *CVISN Operational Concept Document* and the operational concepts are included in the *CVISN Guide to Top-Level Design* and the *CVISN Guide to Electronic Screening*.

#### **4.4 Electronic Screening/Clearance Operational Concepts**

- 4.4.1 Widespread participation in electronic screening programs is encouraged.
- 4.4.2 Jurisdictions disclose practices related to electronic screening/clearance.
- 4.4.3 Electronic screening is provided for vehicles equipped with FHWA-specified DSRC transponders.
- 4.4.4 Jurisdictions and/or e-screening programs provide a single point of contact for motor carriers to request enrollment in all jurisdictions' electronic screening programs.
- 4.4.5 If one jurisdiction or e-screening program provides a transponder to a carrier, it allows the carrier to use that transponder in other jurisdictions' e-screening programs and in other applications, such as electronic toll collection.
- 4.4.6 For an enrolled carrier that has vehicles equipped with compatible transponders, jurisdictions and/or e-screening programs provide a mechanism for participation in electronic screening using those transponders.
- 4.4.7 Credentials and safety checks are conducted as part of the screening/clearance process.
- 4.4.8 Fixed and/or mobile weigh and inspection stations are employed for electronic screening/clearance functions, according to Connecticut's needs and resources.

4.4.9 Jurisdictions support a common set of screening criteria. **ENHANCED**

4.4.10 Screening systems are interoperable with those in different jurisdictions.  
**ENHANCED**

#### **4.4 Connecticut Electronic Screening/Clearance Systems Design Requirements**

The following top-level requirements apply to the design of Connecticut screening-related systems and provide more detail about CVISN Level 1. The *Introductory Guide to CVISN* provides an overview of CVISN Level 1.

4.4.1 Follow FHWA guidelines for Dedicated Short Range Communications (DSRC) equipment.

4.4.1.1 For the immediate future, all CVO and Border crossing projects will continue to utilize the current DSRC configuration (the "ASTM version 6" active tag).

4.4.1.2 Beginning January 1, 2001, all CVO and Border Crossing projects are to use a provisional standard as described below. In addition, this provisional standard will be designed to ensure interoperability with the existing legacy equipment used in CVO that conforms to ASTM Version 6.  
**ENHANCED**

4.4.1.2.1 The new ASTM Physical Layer in the active mode;

4.4.1.2.2 The existing ASTM Version 6 Data Link layer in the synchronous mode; and

4.4.1.2.3 The IEEE 1455 Application Layer.

4.4.2 Use snapshots updated by a CVIEW/SAFER subscription in an automated process to support screening decisions.

4.4.2.1 Carrier snapshots.

4.4.2.2 Vehicle snapshots.

4.4.2.3 Driver snapshots. **COMPLETE**

4.4.3 Implement interoperability policies as they are developed by the Commercial Vehicle Safety Alliance, ITS America, the American Association of State Highway Transportation Officials, the I-95 Corridor Coalition, Advantage CVO, MAPS and HELP, Inc., including AASHTO's Policy Resolution PR-14-97: *Commercial Vehicle Electronic Screening Interoperability*, AASHTO Transportation Policy Book of January 1999

4.4.4 Provide electronic mainline screening/clearance for transponder-equipped vehicles and clear for bypass if carrier and vehicle were properly identified and screening criteria were passed.

- 4.4.4.1. For transponder-equipped vehicles, identify carrier.
- 4.4.4.2 For transponder-equipped vehicles, identify vehicle.
- 4.4.4.3 Use WIM or weight history in making screening decisions.
- 4.4.4.4 Record screening event data.
- 4.4.4.5 For transponder-equipped vehicles, identify driver. **COMPLETE**
  
- 4.4.5 Collect from carriers, or other entities, a list of jurisdictions and/or electronic screening programs in which carriers wish to participate in electronic screening and inform those jurisdictions and/or electronic screening programs.
  
- 4.4.6 Collect from carriers, or other entities, a list of jurisdictions and/or electronic screening programs in which the carriers' vehicles wish to participate in electronic screening and inform those jurisdictions and/or electronic screening programs.
  
- 4.4.7 Record transponder number and default carrier ID for each vehicle that intends to participate in electronic screening.
  
- 4.4.8 Share carrier ID for each carrier that intends to participate in electronic screening with other jurisdiction and/or electronic screening programs as requested by the carrier.
  - 4.4 - 2.8.1 Via SAFER snapshots.
  
- 4.4.9 Share transponder number and default carrier ID for each vehicle that intends to participate in e-screening with other jurisdictions, electronic screening programs or other agencies as requested by the carrier.
  - 4.4.9.1 Via SAFER snapshots.
  
- 4.4.10 Accept each qualified vehicle already equipped with a compatible transponder into the Connecticut electronic screening program without requiring an additional transponder.
  
- 4.4.11 Enable the carrier to share information about the transponder with other jurisdictions, electronic screening programs or agencies.
  
- 4.4.12 Verify credentials/safety information with authoritative sources prior to issuing citations. **COMPLETE**
  
- 4.4.13 If a vehicle illegally bypasses or leaves the commercial weigh and inspection station, alert law enforcement for possible apprehension.
  
- 4.4.14 Report periodically to Connecticut safety information system on the activities conducted at each station (e.g. statistics).

**ATTACHMENT 8**  
**PERFORMANCE AND REGISTRATION INFORMATION SYSTEMS MANAGEMENT**  
**(PRISM)**  
**REQUIREMENTS**  
**(From the December 11, 2000 *PRISM Implementation Planning Guide*)**

Background

PRISM began as a mandate by Congress to explore the potential of linking the commercial vehicle registration process to motor carrier safety. The intent of Congress, as stated in Section 4003 of the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991, was to “link the motor carrier safety information network system of the Department of Transportation and similar state systems with the motor vehicle registration and licensing systems of the states.” The purpose of this effort was to determine the safety fitness of the motor carrier prior to issuing plates and to cause the motor carrier to improve safety performance through an improvement process and, where necessary, apply registration sanctions.

The two major PRISM processes --- Commercial Vehicle Registration (Registration) and Enforcement --- work in parallel to identify motor carriers and to hold them responsible for the safety of their operation. The performance of unsafe carriers is to be improved through a comprehensive system of identification, education, awareness, safety monitoring and treatment.

The *PRISM Implementation Planning Guide* was prepared to assist Connecticut in understanding PRISM Project requirements and preparing the *State of Connecticut PRISM Implementation Plan*. The *PRISM Implementation Planning Guide* provides PRISM background information and implementation requirements.

This Attachment begins with a general overview of PRISM concepts. Specific requirements associated with the two main PRISM modules – Registration and Enforcement, are then addressed. Explanations of each of the requirements are then described. Finally, the associated expected implementation activities to satisfy the requirements are then listed.

8.1 Registration Overview

The Connecticut International Registration Plan (IRP) commercial vehicle registration process provides the Registration framework for Connecticut’s PRISM effort. It serves two crucial functions. First, it establishes a system of accountability by ensuring that no vehicle is to be plated without identifying the carrier responsible for the safety of the vehicle during the registration period. Second, the use of registration sanctions (denial, suspension and revocation) provides a powerful incentive for unsafe carriers to improve performance. The vehicle registration process ensures that all carriers engaged in interstate commerce are uniquely identified through a USDOT number when they register their vehicles. The safety fitness of each carrier can then be checked prior to issuing vehicle registrations. Unfit carriers, as defined by federal procedures, may have their vehicle registrations denied.

The IRP registration process forms the basis upon which PRISM was developed. It provides the mechanism for assigning safety responsibilities for all vehicles engaged in interstate commerce.

It broadens enforcement capabilities by empowering Connecticut registration authorities to deny, suspend or revoke registration privileges to carriers that have demonstrated unacceptable safety performance.

IRP registration is the initial point of contact between the carrier, the registrant, the vehicle owner and the government. The registration process is important because it provides for a mechanism for tying vehicle information to the motor carrier responsible for safety. This linkage between the carrier and vehicle is to enable Connecticut and the federal government to identify the motor carrier(s) responsible for the safety of the vehicle and monitor the safety performance at both the carrier and vehicle levels.

The PRISM Registration process includes the following tasks:

- Identify the motor carrier responsible for the safe operation of each vehicle
- Issue USDOT numbers
- Validate USDOT numbers for motor carrier and registrant
- Collect PRISM-required information (Registration and MCS-150)
- Update the Motor Carrier Management Information System (MCMIS)
- Identify Default Motor Carrier
- Perform PRISM safety checks
- Deny registration to unsafe carriers
- Provide PRISM information
- Issue registration credentials

The following section identifies each specific PRISM Registration module requirement, provides a descriptive explanation of each requirement and outlines the associated expected implementation activities to satisfy each requirement.

8.1.1 To collect and record, prior to the issuance of each initial and renewal commercial vehicle registration, the US DOT Number(s) of the registrant and, as appropriate, the motor carrier responsible for the safe operation of the vehicle, and maintain updated information. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Since all PRISM activities are based upon the actual safety performance of each “motor carrier responsible for the safe operation of each vehicle,” information identifying the legal entity responsible for the safe operation of each vehicle must be obtained and recorded at the time of each initial and each renewal registration. All safety events, including crashes, roadside inspections, Out of Service Orders, etc. must be properly assigned to the “motor carrier responsible for the safe operation of the vehicle” when the safety event occurred. PRISM established the “Default Motor Carrier” as “the person responsible for assigning safety responsibility” in cases where “the motor carrier responsible for the safe operation of the vehicle” cannot be identified or has not been properly identified. In safety event instances where “the motor carrier responsible for the safe operation of the vehicle” cannot be identified or has not been properly identified, the registrant will be used as the Default Motor Carrier and will be responsible to determine the safety responsibility associated with the safety event. For safety event instances where the Default Motor Carrier does not assign the safety responsibility for the event, the event will be associated with the Default Motor Carrier’s safety record.

Implementation Activities:

- 8.1.1.1 To develop procedures to obtain information from registrants concerning the identification of the motor carrier responsible for the safe operation of each commercial vehicle to be registered, and, if during the registration period more than one carrier will be responsible for the safe operation of the vehicle to be registered, the identification of a default motor carrier (which may be the registrant), including a US DOT number for the default motor carrier
- 8.1.1.2 To modify IRP Forms Schedule A and Schedule B such that both include the US DOT Number of the:
- A. Carrier responsible for safety at the vehicle level and
  - B. Registrant at the registrant level and
    - 1) If a short-term lease, the US DOT Number of the registrant at the vehicle level (i.e., default carrier) and
    - 2) If a long-term lease, the US DOT number of the actual motor carrier responsible for the safe operation of the vehicle at the vehicle level
- 8.1.1.3 To develop screen formats to capture the US DOT Number at the vehicle and registrant level
- 8.1.1.4 To obtain an IRP System than can be used to record and maintain the US DOT Number at the vehicle and registrant level
- 8.1.1.5 To deny initial registrations and renewal registrations if required information is not provided
- 8.1.2 To collect and record, prior to the issuance of each initial and renewal vehicle registration, the Federal Employer Identification Number (FEIN) or Social Security Number (SSN) of the registrant and, as appropriate, the motor carrier responsible for the safe operation of the vehicle, and maintain updated information. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: All registrants, in addition to providing a US DOT Number, must provide an FEIN or a SSN on the IRP Vehicle Schedule and the IRP Mileage Schedule and this information must be recorded and maintained.

Implementation Activities:

- 8.1.2.1 To obtain an IRP System that can be used to collect, record and maintain Taxpayer Identification Numbers (FEIN and SSN) at the registrant level and, as appropriate, the motor carrier responsible for the safe operation of the vehicle, and retain this information
- 8.1.2.2 To modify IRP Forms Vehicle Schedule A and Vehicle Schedule C such that both include the FEIN/SSN at the registrant level and, as appropriate, the motor carrier responsible for the safe operation of the vehicle

8.1.3 To collect and record, prior to the issuance of each initial and renewal vehicle registration, an up-to-date US DOT Motor Carrier Identification Report Form (MCS-150)/Connecticut Motor Carrier Identification Report Form (MCS-150CT) for the registrant and, as appropriate, the motor carrier responsible for the safe operation of the vehicle, and maintain updated information. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Completed MCS-150 forms must be collected so that current information is used by the Federal Motor Carrier Safety Administration (FMCSA) to maintain accurate Motor Carrier Management Information System (MCMIS) and Motor Carrier Safety Improvement Program (MCSIP) Target Database information.

Implementation Activities:

8.1.3.1 To notify the FMCSA to send a letter to every interstate Connecticut registrant and as appropriate, the motor carrier responsible for the safe operation of the vehicle, indicating their US DOT Number and to provide USDOT MCS-150 Forms

8.1.3.2 To, when completed MCS-150 forms are received, enter the data or forward the forms to the FMCSA for data entry

8.1.3.3 To, in conjunction with IRP renewals, provide the MCS-150 information to registrants and as appropriate, the motor carrier responsible for the safe operation of the vehicle, for updating

8.1.4 To validate and record, prior to the issuance of each initial and renewal vehicle registration, the US DOT Number(s) of the registrant and, as appropriate, the motor carrier responsible for the safe operation of the vehicle, and maintain updated information. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Connecticut must verify the carrier's name, address and DOT Number provided by each registrant during initial vehicle registrations and registration renewals by matching the information with the Connecticut Motor Carrier Management Information System (MCMIS) Census File accessible from SAFETYNET and, if "no hit," the MCMIS Census File.

Implementation Activities:

8.1.4.1 To develop the program(s) for users to submit interactive inquiries to the Connecticut MCMIS Census File and to receive the appropriate response

8.1.4.2 To develop, in cooperation with the Federal Motor Carrier Safety Administration (FMCSA), procedures for users to make, when an inquiry to the Connecticut MCMIS Census File returns a "no-hit," interactive inquiries to the MCMIS Census File.

8.1.5 To send vehicle registration renewals and US DOT Motor Carrier Identification Report Form (MCS-150)/Connecticut Motor Carrier Identification Report Form (MCS-150CT) to registrants and record returned information, including corrections, prior to the issuance of each renewal vehicle registration. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Connecticut motor carrier census information must be kept current through the IRP renewal process, whereby registrants receive, as part of their renewal package, census information for each different US DOT Number in the fleet and are required to update the information and to verify (through a signature) that the information is accurate.

Implementation Activity:

8.1.5.1 To annually distribute vehicle registration renewal and MCS-150 information for each US DOT Number in a motor carrier's fleet with the registrant's renewal package for updating and confirmation

8.1.6 To record initial and updated US DOT Motor Carrier Identification Report Form (MCS-150)/Connecticut Motor Carrier Identification Report Form (MCS-150) information from registrants into the Motor Carrier Management Information System (MCMIS) Census File. (AWARD 1 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Updated information contained on MCS-150 Forms must be directly entered --- either by Connecticut or Connecticut FMCSA Division Office staff --- into the MCMIS Census File.

Implementation Activity:

8.1.6.1 To develop procedures to receive MCS-150 information from registrants and enter the updated information into the MCMIS Census File

8.1.7 To provide training to all registration staff involved with PRISM. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Connecticut IRP process changes (e.g., to forms, the electronic collection of additional information, the imposition of registration actions against a registrant or motor carrier based on their safety performance reflected in PRISM, etc.) must be made and communicated with registration personnel for a thorough understanding of the changes.

Implementation Activities:

8.1.7.1 To identify all changes in forms, procedures for processing the forms, data entry processes, etc.

8.1.7.2 To develop a PRISM training curriculum for staff that addresses all changes in forms, procedures for processing the forms, data entry processes, etc.

8.1.7.3 To identify all persons attending the training sessions and conduct the sessions

8.1.7.4 To incorporate PRISM information into the *Connecticut IRP Manual*

8.1.7.5 To issue one or more PRISM Program press releases

8.1.8 To have all appropriate staff attend Motor Carrier Management Information System (MCMIS) training. (NOT TO BE PERFORMED BY VENDOR)

Explanation: All appropriate staff must be trained concerning MCMIS policies, procedures, operations, etc. so that MCMIS updating requirements are understood and that proper inquiry capabilities are available.

Implementation Activities:

8.1.8.1 To contact the FMCSA to arrange for MCMIS training for all appropriate staff

8.1.8.2 To send appropriate staff to the FMCSA for MCMIS training

8.1.9 To provide training to all motor carriers involved with PRISM. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Connecticut IRP process changes (e.g., to forms, the electronic collection of additional information, the imposition of registration actions against a registrant or motor carrier based on their safety performance reflected in PRISM, etc.) must be made and communicated, prior to PRISM implementation, with motor carrier personnel for a thorough understanding of the changes.

Implementation Activities:

8.1.9.1 To develop a PRISM training curriculum for motor carriers

8.1.9.2 To develop a PRISM brochure for use with the PRISM carrier training curriculum

8.1.9.3 To develop a PRISM newsletter for motor carriers, with the first edition issued in conjunction with the initial PRISM carrier training session, and subsequent editions issued at least every 3 – 6 months

8.1.9.4 To conduct PRISM carrier training sessions

8.1.10 To issue, using standard operating procedures, USDOT Numbers using online access to the Motor Carrier Management Information System (MCMIS) Census File. (AWARD 1 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: When choosing to issue US DOT Numbers to motor carriers, Connecticut can make a motor carrier name inquiry to the MCMIS Census File to ensure that the motor carrier has never been issued a US DOT Number and, if a US DOT Number is found for the carrier, the carrier can be provided with the number---and the process is complete---or, if a US DOT Number must be issued, Connecticut can use the direct update facility to enter the first seventeen fields of the MCS-150 Form (which is sufficient to issue a US DOT Number) and then continue to enter the remaining information or forward the MCS-150 Form to the FMCSA Headquarters Office for entry of the remaining information.

Implementation Activities:

8.1.10.1 To enter carrier name inquiries into the MCMIS Census File for determining whether carriers have been issued a US DOT Number and, if a carrier has been issued a US DOT number, provide the carrier with the US DOT Number

8.1.10.2 To enter the MCS-150 form fields into the MCMIS Census File for the issuance of a US DOT Number

8.1.11 To examine, prior to the issuance of each initial and renewal vehicle registration, the overall safety status [NOT safety rating results (Unsatisfactory, Satisfactory, Conditional or Not Rated)] of the registrant or, as appropriate, the motor carrier responsible for the safe operation of the vehicle, and, based upon PRISM registration sanctions, process or deny the registration issuance. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: When IRP registrations are processed, the carrier safety status [i.e., Motor Carrier Safety Improvement Process (MCSIP) Step] must be reviewed before registration credentials are issued.

Implementation Activities:

8.1.11.1 To develop the program(s) for Connecticut Motor Carrier Safety Assistance Program (MCSAP) Motor Carrier Census File and Motor Carrier Management Information System (MCMIS) Motor Carrier Census File inquiries

8.1.11.2 To review the overall safety status of each registrant and, as appropriate, the motor carrier responsible for the safe operation of the vehicle, by making inquiries into the Connecticut MCSAP Motor Carrier Census File and the MCMIS Motor Carrier Census File before initial registrations and renewal registrations are issued

8.1.11.3 To refuse to issue initial registrations and renewal registrations for each registrant and as appropriate, each motor carrier responsible for the safe operation of the vehicle, with an unacceptable safety status

8.1.12 To amend current Connecticut statutes to include authority, based upon the overall safety status of the registrant (or, as appropriate, the motor carrier responsible for the safe operation of

the vehicle) and PRISM registration sanctions, to process or deny the registration issuance. (NOT TO BE PERFORMED BY VENDOR)

Explanation: Connecticut, through legislation and/or regulation, must have legal authority to enforce PRISM registration sanctions against carriers, including suspension, revocation and denial, that, due to poor safety performance, have been placed Out-of Service.

Implementation Activities:

8.1.12.1 To, in conjunction with the DMV Deputy Commissioner and the DMV Chief of Legal Services, draft legislation for enforcing PRISM registration sanctions, including suspension, revocation and denial, and provide the draft legislation to the Office of Policy and Management

8.1.12.2 To provide information to members of the Connecticut General Assembly for consideration of the proposed legislative authority

8.1.12.3 To, after the legislation is passed, develop procedures and, as necessary, regulations to implement the legislation

8.1.12.4 To conduct training sessions concerning the legislation, procedures and, as appropriate, regulations

8.1.13 To amend current Connecticut statutes to include authority, based upon the overall safety status of the registrant (or, as appropriate, the motor carrier responsible for the safe operation of the vehicle) and PRISM registration sanctions, to retrieve plates from registrants (or, as appropriate, the motor carrier responsible for the safe operation of the vehicle) whose registration has been suspended, revoked or denied. (NOT TO BE PERFORMED BY VENDOR)

Explanation: Connecticut, through legislation and/or regulation, must have legal authority, based upon the overall safety status of the registrant (or, as appropriate, the motor carrier responsible for the safe operation of the vehicle) and PRISM registration sanctions, to retrieve plates from the registrants (or, as appropriate, the motor carrier responsible for the safe operation of the vehicle) whose registration has been suspended, revoked or denied.

Implementation Activities:

8.1.13.1 To, in conjunction with the DMV Deputy Commissioner and the DMV Chief of Legal Services, draft legislation for enforcing PRISM registration sanctions, including the authority to retrieve plates from the registrants (or, as appropriate, the motor carrier responsible for the safe operation of the vehicle) whose registration has been suspended, revoked or denied, and provide the draft legislation to the Office of Policy and Management

8.1.13.2 To provide information to members of the Connecticut General Assembly for consideration of the proposed legislative authority

8.1.13.3 To, after the legislation is passed, develop procedures and, as necessary, regulations to implement the legislation

8.1.13.4 To conduct training sessions concerning the legislation, procedures and, as appropriate, regulations

8.1.14 To enforce and implement, once authority to suspend, revoke or deny registrations is obtained, sanctions against the registrant (or as appropriate, the motor carrier responsible for the safe operation of the vehicle) prohibited by federal action from conducting interstate operations. (NOT TO BE PERFORMED BY VENDOR)

Explanation: Connecticut enforcement personnel, with proper legal authority to retrieve plates from carriers that have received PRISM registration sanctions (including suspension, revocation and denial) and/or have been placed Out-of Service due to poor safety performance, must enforce, with FMCSA enforcement personnel, the PRISM registration sanctions.

Implementation Activities:

8.1.14.1 To prepare bulletins for notifying law enforcement personnel of the provisions of the legislation and providing a contact point for clarifications

8.1.14.2 To develop curriculum and conduct training sessions concerning the legislation, procedures and, as necessary, regulations to implement the legislation

8.1.14.3 To develop curriculum and conduct training sessions concerning the denial of initial registrations and renewal registrations from motor carriers prohibited from conducting interstate operations by one or more Federal agencies

8.1.14.4 To issue Connecticut Suspension Orders for all vehicles assigned to motor carriers that have been prohibited from conducting interstate operations by one or more Federal agencies

8.1.15 To, using registration and owner information from the Connecticut IRP System, identify registrant (and/or as appropriate, the motor carrier responsible for the safe operation of the vehicle) vehicles that have been placed in the Motor Carrier Safety Improvement Process (MCSIP). (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Since registrants and motor carriers responsible for the safe operation of vehicles are, under PRISM, involved in the safety improvement process by notifying them of a carrier's poor safety performance and the possibility of the suspension of vehicle registration privileges, the DMV must be able to relate the owner of the vehicle and the carrier (by US DOT Number) and the vehicle [by Vehicle Identification Number (VIN) or plate number].

Implementation Activities:

8.1.15.1 To extract the VIN numbers for all vehicles assigned to unfit MCSIP motor carriers

8.1.15.2 To compare the VIN numbers for all vehicles assigned to unfit MCSIP motor carriers with the Connecticut Title File for identifying the names and addresses of vehicle owners

8.1.16 To provide registration and enforcement personnel access to registration data by: registrant; motor carrier responsible for the safe operation of the vehicle; US DOT Number and motor vehicle. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Registration and enforcement personnel must be able to query Connecticut registration files by registrant (name and US DOT Number), motor carrier responsible for the safe operation of the vehicle (name and US DOT Number) and vehicle (plate number and VIN).

Implementation Activity:

8.1.16.1 To develop the program(s) for inquiries, by registration and law enforcement personnel, to Connecticut registration files for the following elements:

- A. For registrants: By name and US DOT Number
- B. For motor carriers: By name and US DOT Number
- C. For vehicles: By plate number and VIN

8.1.17 To record, during initial and renewal vehicle registrations, vehicles that are to be leased on a short-term or long-term basis. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Registrants must provide information when leasing their vehicle to a motor carrier whether a short-term (vehicle leased to more than one motor carrier during the registration period or long-term lease (vehicle leased to the same motor carrier for the duration of the registration period) exists.

Implementation Activities:

8.17.1 To develop procedures for identifying whether leased vehicles will be operated under short-term (less than 30 days) leases or long-term leases

8.17.2 To modify forms for including whether (Y or N) more than one carrier will operate vehicles during the registration period

8.17.3 To obtain an IRP System so that the US DOT Number, if the motor carrier will not change during the registration period, can be incorporated, at the vehicle level, into, in accordance with AAMVA-approved standards, a PDF 417 barcode on the vehicle registration

8.1.18 To incorporate PRISM requirements into Temporary Authority Permit processes. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Connecticut must incorporate PRISM requirements into temporary authority processes so that carriers that are granted temporary registration privileges can be held accountable for safety events that occur under the temporary registration.

Implementation Activity:

8.1.18.1 To obtain an IRP System so that vehicles to be registered with temporary authority comply with all PRISM requirements

8.1.19 To provide assistance to the Federal Motor Carrier Safety Administration (FMCSA) for finding the correct addresses of registrants and motor carriers responsible for the safe operation of the vehicles. (NOT TO BE PERFORMED BY VENDOR)

Explanation: Since "Warning Letters" mailed by the FMCSA are sometimes returned as "undeliverable," Connecticut registration files must provide the carrier's current address, and, when a current address is unavailable, Connecticut registration and enforcement personnel must coordinate with Connecticut FMCSA Division Office staff to obtain the correct mailing address, and, when the correct address is obtained, Connecticut registration staff are to update the MCMIS Census File.

Implementation Activities:

8.1.19.1 To access Connecticut registration files for current carrier addresses

8.1.19.2 To, when current carrier addresses are not available, make Connecticut resources available for coordinating research efforts with FMCSA Division Office personnel

8.1.20 To update the Motor Carrier Safety Improvement Process (MCSIP) Target Database at least daily with registration information concerning vehicles assigned to motor carriers in MCSIP. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Connecticut must provide the Connecticut MCSIP Vehicle File that contains registration information on each vehicle assigned to a motor carrier in MCSIP at least daily so that the MCSIP Vehicle Files from all PRISM states can be combined to update the MCSIP Target Database at least daily.

Implementation Activities:

8.1.20.1 To develop the program(s) for retrieving, on at least a daily basis, current vehicle and registration information for all vehicles assigned to carriers in MCSIP from the Connecticut MCSIP Vehicle File

8.1.20.2 To develop the program(s) to send, on at least a daily basis and according to a published schedule, the Connecticut MCSIP Vehicle File to the MCSIP Target Database

8.1.21 To update the Motor Carrier Safety Improvement Process (MCSIP) Target Database at least daily with leased vehicle registration information obtained through Compliance Reviews concerning vehicles assigned to motor carriers in MCSIP. (NOT TO BE PERFORMED BY VENDOR)

Explanation: Since enforcement personnel involved with compliance reviews are to receive a complete list of vehicles assigned to motor carriers, including vehicles registered in non-PRISM states, Connecticut must enter, for all vehicles registered in non-PRISM states, registration and vehicle information into the PRISM Vehicle File, including registration and vehicle information,

Implementation Activity:

8.1.21.1 To collect, for vehicles registered in non-PRISM states, vehicle and registration data and provide the data to the MCSIP Target Database.

8.1.22 To provide enforcement personnel access to registration data, including all vehicles and registration data on the vehicles, by registrant and by the motor carrier responsible for the safe operation of the vehicles. (NOT TO BE PERFORMED BY VENDOR)

Explanation: Connecticut will provide enforcement personnel involved with Compliance Reviews with a listing, containing registration and vehicle information, of all vehicles assigned to motor carriers in the Motor Carrier Safety Improvement Process (MCSIP).

Implementation Activity:

8.1.22.1 To provide, for vehicles assigned to a specific carrier, vehicles and registration data to enforcement personnel for conducting Compliance Reviews

8.1.23 To create a *Connecticut Motor Carrier Data Quality Improvement Plan*. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Connecticut must, since the quality of the Motor Carrier Safety Status Measurement System (SafeStat) rankings is only as accurate as the carrier safety data reported, develop a written, approved, approach to improve the quality of the safety and credentials data collected and reported (including coordinating the validation of US DOT Numbers and MCS-150 data by registration and enforcement personnel).

Implementation Activity:

8.1.23.1 To develop a *Connecticut Motor Carrier Data Quality Improvement Plan* that reviews data collection processes, identifies processes to be targeted for improvement and includes at least the following components:

- A. To barcode registration information on the CabCard and the Temporary Authority Permit and, using the PDF-417 standard, carrier information
- B. To automate the roadside collection of accident, inspection and citation data by developing consensus on automated inspection, accident and

citation forms and, where feasible, to utilize bar code technology for completing the inspection, accident and citation forms for improving data quality and reducing the time to complete the forms

- C. To include, for the bar coding of carrier information or the subsequent identification of motor carriers, US DOT Numbers on accident, inspection and citation reports
- D. To use, when bar coding of carrier information is used, bar code readers for registration issuance for ensuring the accuracy and quality of the bar coded information

8.1.24 To utilize, when applying PRISM-related processes for Connecticut intrastate carriers, an enhanced VIN check program to determine if the motor vehicle being registered meets the 10,001 pounds or more threshold. (AWARD 1 AND AWARD 2 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Connecticut, when including intrastate carriers in PRISM-related processes, including registration, is to utilize an enhanced VIN check program and include vehicles at or more than 10,001 pounds.

Implementation Activity:

8.1.24.1 To incorporate an enhanced VIN check program into the IRP System

8.1.25 To assure, when utilizing PRISM-related processes for Connecticut intrastate carriers, that registrations, based on actions of a Connecticut agency, may be suspended, revoked or denied. (NOT TO BE PERFORMED BY VENDOR)

Explanation: Connecticut, through legislation and/or regulation, must have legal authority to enforce PRISM registration sanctions against intrastate carriers, including suspension, revocation and denial, that, due to poor safety performance, have been placed Out-of Service.

Implementation Activities:

8.1.25.1 To, in conjunction with the DMV Deputy Commissioner and the DMV Chief of Legal Services, draft legislation for enforcing PRISM registration sanctions for intrastate carriers, including suspension, revocation and denial, and provide the draft legislation to the Office of Policy and Management

8.1.25.2 To provide information to members of the Connecticut General Assembly for consideration of the proposed legislative authority

8.1.25.3 To, after the legislation is passed, develop procedures and, as necessary, regulations to implement the legislation

8.1.25.4 To conduct training sessions concerning the legislation, procedures and, as appropriate, regulations

8.1.26 To amend current Connecticut statutes to include authority, based upon the overall safety status of the registrant, or, as appropriate, the motor carrier responsible for the safe operation of the vehicle, and PRISM registration sanctions, to retrieve plates from Connecticut intrastate registrants or, as appropriate, the motor carrier responsible for the safe operation of the vehicle, whose registration, based on safety fitness, has been suspended, revoked or denied. (NOT TO BE PERFORMED BY VENDOR)

Explanation: Connecticut, through legislation and/or regulation, must have legal authority, based upon the overall safety status of the registrant, or, as appropriate, the motor carrier responsible for the safe operation of the vehicle, and PRISM registration sanctions, to retrieve plates from Connecticut intrastate registrants or, as appropriate, the motor carrier responsible for the safe operation of the vehicle, whose registration, based on safety fitness, has been suspended, revoked or denied.

Implementation Activities:

8.1.26.1 To, in conjunction with the DMV Deputy Commissioner and the DMV Chief of Legal Services, draft legislation for enforcing PRISM registration sanctions for intrastate carriers, including the authority to retrieve plates from the registrants or, as appropriate, the motor carrier responsible for the safe operation of the vehicle, whose registration has been suspended, revoked or denied, and provide the draft legislation to the Office of Policy and Management

8.1.26.2 To provide information to members of the Connecticut General Assembly for consideration of the proposed legislative authority

8.1.26.3 To, after the legislation is passed, develop procedures and, as necessary, regulations to implement the legislation

8.1.26.4 To conduct training sessions concerning the legislation, procedures and, as appropriate, regulations

## 8.2 Enforcement Overview

Under PRISM, the second main process is Enforcement --- the means by which carrier safety is systematically tracked and improved. The process is designed to improve the safety performance of carriers with demonstrated poor safety through accurate identification, performance monitoring and treatment. When a carrier is identified as needing improvement in safety practices, the carrier enters the Motor Carrier Safety Improvement Process (MCSIP). Carriers in MCSIP that do not improve their safety performance face penalties that are progressively more stringent. These penalties may culminate in a Federal Out of Service Order and possible denial, suspension and/or revocation of vehicle registrations by Connecticut. Within MCSIP, carriers with potential safety problems are to be identified and prioritized for an on-site review using the Motor Carrier Safety Status Measurement System (SafeStat) prioritization methodology developed for PRISM. SafeStat makes maximum use of readily available safety performance and compliance data in four Safety Evaluation Areas. The four Safety Evaluation Areas --- Accident, Driver, Vehicle and Safety Management --- are used to develop an overall indicator that can be used to prioritize carriers for a possible on-site review.

Two mechanisms to improve the level of safety on Connecticut's highways by helping carriers identify and correct safety problems include education/awareness and data quality improvement. Under the education/awareness component, carriers, registrants and owners are given information about safety performance so that concerned personnel can take steps to improve safety and better understand how safety performance can impact the ability to operate. As an example, when a registrant registers a vehicle with a carrier that is in the MCSIP, the registrant can be notified of the carrier's MCSIP status and is given information about the MCSIP. Under the data quality improvement component, SafeStat and MCSIP are data-driven processes. Increasing the quality and accuracy of the available data improves the accuracy and effectiveness of these programs. Efforts are also made within MCSIP to keep safety and census data current. As an example, when vehicles are registered in PRISM states, the USDOT number assignment and census data are verified to assure the accuracy of the data.

The following section identifies each specific PRISM Enforcement module requirement, provides a descriptive explanation of each requirement and outlines the associated expected implementation activities to satisfy each requirement.

8.2.1 Seek authority to stop and inspect vehicles based on the safety fitness of the motor carrier assigned to the vehicle. (This applies specifically to *probable cause* states). (NOT TO BE PERFORMED BY VENDOR)

Explanation: Since enforcement resources in PRISM states are focused on carriers with the worst safety records and the vehicles registered to carriers in the Motor Carrier Safety Improvement Process are given priority for safety inspections, *probable cause* states may need to seek and adopt special legislative authority to target, stop and inspect such vehicles.

Connecticut is not a *probable cause* state and, as such, Connecticut agencies identified as having inspection authority (14-8, 14-103 and 14-163c of the *Connecticut General Statutes*) may stop and verify the safety/weight of commercial vehicles.

8.2.2 To provide enforcement personnel at fixed and mobile enforcement locations and in Vehicles, access to the Connecticut Motor Carrier Safety Improvement Process (MCSIP) Vehicle File by name, VIN, plate number/state and USDOT Number for identifying MCSIP vehicles for targeted, prioritized inspections. (AWARD 1 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Since enforcement personnel must access the Connecticut MCSIP Vehicle File that contains information on all motor carriers in MCSIP and to the vehicles assigned to those carriers, Connecticut must provide access to the Connecticut MCSIP Vehicle File --- or, through NLETS, to the MCSIP Target Database --- by automated methods or by manual queries.

Implementation Activities:

8.2.2.1 To coordinate with the MCSIP Target Database to receive a copy of the Connecticut MCSIP Vehicle File, using Connecticut's Safety And Fitness Electronic Record (SAFER) Mailbox, at least daily

8.2.2.2 To develop the program(s) to retrieve the Connecticut MCSIP Vehicle File for use by personnel at weigh and inspection facilities

8.2.2.3 To develop the program(s) to support inquiry capability (Carrier and Vehicle Status Request/Response) from at least one weigh and inspection station and from dispatchers

8.2.2.4 To develop program(s) to support inquiry capability through NLETS for the NLETS Carrier and Vehicle Status Request/Response to support enforcement personnel

8.2.3 To perform Level 2 Analysis of Identification Safety Status Measurement System (SafeStat) and Monitor SafeStat recommendations, including motor carriers recommended for "Warning Letter," "Compliance Review" and "Return to Pool," to determine the appropriateness of the recommended action. (NOT TO BE PERFORMED BY VENDOR)

Explanation: Enforcement personnel, once Identification SafeStat identifies a carrier as being in need of improvement of safety performance or Monitor SafeStat indicates a change in a carrier's Motor Carrier Safety Improvement Process (MCSIP) Step, will conduct a Level 2 Analysis to determine, since responsible agencies may desire to override the automatic actions of the SafeStat programs, the appropriateness of the recommended action.

Implementation Activities:

8.2.3.1 To authorize the Headquarters Office of the U.S. DOT Federal Motor Carrier Safety Administration (FMCSA) to use, in conjunction with the FMCSA logo, the State of Connecticut DMV logo on Warning Letters

8.2.3.2 To coordinate with the FMCSA for performing, as a result of Identification and Monitoring SafeStat runs, Level 2 Analysis

8.2.4 To provide PRISM training to enforcement personnel. (AWARD 1 VENDORS ARE TO NOTE THIS PRISM REQUIREMENT)

Explanation: Enforcement personnel will need to receive PRISM-specific training including general PRISM concepts and operations, such as the PRISM-related systems checks and Motor Carrier Safety Improvement Process (MCSIP) procedures.

Implementation Activities:

8.2.4.1 To develop a PRISM training curriculum for enforcement personnel

8.2.4.2 To develop PRISM training curriculum-related materials, including a PRISM brochure

8.2.4.3 To conduct PRISM training sessions for enforcement personnel

8.2.5 To coordinate activities concerning required Motor Carrier Safety Improvement Process (MCSIP) Step updates with the Connecticut State Director of the Federal Motor Carrier Safety Administration (FMCSA). (NOT TO BE PERFORMED BY VENDOR)

Explanation: Coordination between the State of Connecticut FMCSA Division Office personnel must take place since: 1) Level 2 activities performed by Connecticut enforcement personnel must be conducted in accordance with federal guidelines---and with assistance from FMCSA Division Office personnel, 2) MCSIP Step updates performed by Connecticut enforcement personnel must be coordinated with FMCSA Division Office personnel and 3) some MCSIP Step updates---such as registration suspensions, revocations and reinstatements, Post Compliance Review activities, carrier complaints and due process appeals---will occur outside Level 2 procedures.

Implementation Activity:

8.2.5.1 To have enforcement and registration personnel coordinate the serving of suspension orders, revocation orders and plate pickup orders with US DOT FMCSA personnel

8.2.6 To develop and implement standard operating procedures for identifying events that are improperly assigned and for obtaining and recording the correct information. (NOT TO BE PERFORMED BY VENDOR)

Explanation: Since all PRISM actions are based on the actual safety performance of motor carriers, it is critical that all safety events, including crashes, roadside inspections, etc., be properly assigned to motor carriers responsible for the safe operation of vehicles at the time of the safety events.

Implementation Activity:

8.2.6.1 To indicate a field for the US DOT Number of the motor carrier responsible for the safe operation of the vehicle on forms so that safety inspection, accident, citation and misdemeanor forms can be properly completed

8.2.7 To provide, from inspection reports completed during traffic enforcement, information concerning operator moving violations. (NOT TO BE PERFORMED BY VENDOR)

Explanation: Connecticut must record safety events data discovered during inspections occurring from traffic enforcement --- such as moving violations--- on inspection reports so that the quality and accuracy of safety data is improved.

Implementation Activity:

8.2.7.1 To upload driver moving violations from Inspection Reports that are completed during traffic enforcement activities

8.2.8 To coordinate activities concerning the sharing of leased vehicle information and the tracking of leased vehicles in the Motor Carrier Safety Improvement Process (MCSIP) with the Connecticut State Director of the Federal Motor Carrier Safety Administration (FMCSA). (NOT TO BE PERFORMED BY VENDOR)

Explanation: Since all PRISM actions are based on the actual safety performance of motor carriers, it is critical that all safety events (crashes, roadside inspections, etc.) be properly assigned to the motor carrier responsible for the safe operation of the vehicle at the time of the event. One of the main reasons that safety events have been improperly assigned to motor carriers is that vehicles are often leased to multiple motor carriers throughout the registration period. Compliance Reviews are one type of carrier contact in which leased information can be updated so that motor carriers responsible for the safe operation of vehicles can be properly identified at safety event sites.

Implementation Activity:

8.2.8.1 To require, during Compliance Reviews, carriers (in consent orders) to provide a list of vehicles leased by the carrier and, if vehicles are added or deleted, provide notification of changes for use by registration personnel

8.2.8.2 To collect and provide, for vehicles leased by the carrier and, if vehicles are added or deleted, vehicle and registration data into the MCSIP Target Database

8.2.9 To respond to "Warning Letter" inquiries. (NOT TO BR PERFORMED BY VENDOR)

Explanation: Since Warning Letters --- based on the carrier's safety record, SafeStat score and subsequent decisions by the Federal Motor Carrier Safety Administration (FMCSA) Division, produced by the FMCSA and sent to motor carriers --- will generate inquiries, Connecticut must have qualified personnel respond to questions concerning the Warning Letter process.

Implementation Activity:

8.2.9.1 To ensure that motor carrier enforcement personnel can properly respond to Warning Letter questions from carriers

8.2.10 To have Connecticut enforcement personnel, with assistance from Connecticut Federal Motor Carrier Safety Administration (FMCSA) Division Office personnel and with required training, supplies and equipment (including laptop computers, vehicles, etc.) conduct, in accordance with Federal guidelines, Compliance Reviews. (NOT TO BE PERFORMED BY VENDOR)

Implementation Activities:

- 8.2.10.1 To conduct Compliance Reviews in accordance with Federal guidelines
- 8.2.10.2 To train and properly equip personnel that conduct Compliance Reviews