



**Request for Proposal
For**

Mobile Driver License Application

Issued by:
IOWA DEPARTMENT OF TRANSPORTATION
Purchasing Section
Proposal No. 17081

Letting Date: September 28, 2016

Must be submitted no later than 1:00 PM Central Time
Proposals received after this date will be rejected

***For information about this notice, and during this procurement,
interested persons shall contact only:***

Carrie May, Senior Purchasing Agent
800 Lincoln Way
Ames, Iowa 50010
Phone: 515-239-1168
Fax: 515-239-1538
E-Mail: carrie.may@dot.iowa.gov

Issued addenda will be posted to internet website:
<http://www.iowadot.gov/purchasing>

Procurement Timetable

The following dates are set forth for informational and planning purposes. However, the Department reserves the right to change the dates. All times listed are Central Time.

| Event/Dates | Section Reference | Date/Time | | |
|---|----------------------|-------------------------------------|------------------------------------|--------------------------|
| Issue RFP | cover | August 30, 2016 | | |
| Number of Copies of Responses Required 1- original technical response, 4 copies, 1 cost proposal | 4.1.3 | | | |
| Vendor's Conference (Pre-Bid) <input type="checkbox"/> <i>Box will be checked when attendance is mandatory</i> | 2.32 | N/A | | |
| DOT Response from Contractor's Conference Questions | 2.32 | N/A | | |
| Responder's Questions, Requests for Clarification, & Changes <i>(no later than)</i> | 2.2/2.5 | September 14, 2016 | | |
| DOT Response to Questions Issued <i>(no later than)</i> | 2.2/2.5 | September 21, 2016 | | |
| Response Due Date | 2.8/2.9 | September 28, 2016 | | |
| Presentations & Demonstrations "Short list" <i>(by invitation only)</i> | 2.24/ 5.3 | Week of October 10, 2016 | | |
| Intent to Award* | 2.24 | October 14, 2016 | | |
| Completion of Contract negotiations <i>(Preparation for execution of the contract)</i> | 2.25 | October 24, 2016 | | |
| Contract Begins | Bid Response/ 6.2 | November 1, 2016 | | |
| Contract Length Start Date/ End Date/ # of Renewals | 6.2 | <u>Start</u> <u>10/10/16</u> | <u>End</u> <u>9/30/2018</u> | <u>Renewals</u> 4 |

***Intent to Award MATCH SECTION 4.2.13**

It is intended that proposals will be evaluated and a notice of intent to award will be issued within thirty (30) days of the deadline for receipt of proposals. Proposal prices, terms and conditions must be held firm for a 180-day period from the date of the notice of intent to award the contract.

Pre-Bid Vendor Conference Details – N/A

Presentation and Demonstrations- TBD



Solicitation Response

| | | | | | |
|---|---|---|--|---------------------------------------|--|
| | | Response Due Date September 28, 2016 | Time 1:00 P.M. | Location 800 Lincoln Way, Ames, IA | |
| Proposal Number 17081 | Description Mobile Driver License Application | | | | |
| Contract Begin Date November 1, 2016 | Contract Completion Date October 31, 2018 | Bid Bond N/A | Performance Bond (Y/N) N | Liquidated Damages N/A | |
| Purchasing Agent assigned Carrie May | E-mail Address Carrie.may@dot.iowa.gov | Phone 515-239-1168 | Fax 515-239-1538 | | |
| RESPONDER INFORMATION | | | | | |
| Company Name | | | Federal Tax ID | | |
| Street Address | | City | State | Zip Code | |
| Contact Name | E-mail Address | | Phone | Fax | |
| Responder agrees to sell goods/services or both at the same prices, terms and conditions to any other Iowa state agency, Regent or Political Subdivision or other North American states upon request. Please check Yes or No. <input type="checkbox"/> Yes <input type="checkbox"/> No | | | Responder is an Iowa Targeted Small Business <input type="checkbox"/> Yes <input type="checkbox"/> No | | |

GENERAL INFORMATION

This solicitation includes the Solicitation Response cover page, Schedule of Prices, Standard Terms and Conditions, Supplemental terms (if any), Specifications, Plans and Drawings, mailing label and all other information needed to prepare and submit a response to the solicitation. Information in the "Solicitation Response" above must be typed or completed in ink, signed, and returned in a flat style envelope along with any other information required in the solicitation prior to the response due date and time. Please use the furnished mailing label, or label the response as "Iowa Department of Transportation, proposal number and response due date on the outside of the return envelope. Responders may personally deliver, mail, or select a carrier that ensures timely delivery. **Faxed or e-mail responses will not be accepted.**

If required, each response must be accompanied by a bid bond in an accepted form, in the percent amount indicated above. Refer to the Standard Terms and Conditions for the accepted forms in which the bid bond requirement may be fulfilled. **Responses without a required bid bond will not be considered for award.** If the intended awarded responder fails to enter into a formal contract within fifteen (15) days after award is made for any reason on their part, the bid bond may be retained by the State.

The entire contents of this solicitation, Addendums, Schedule of Prices, Specifications, Plans and Drawings, Supplemental Terms and Conditions, Standard Terms and Conditions, shall become part of the contract.

We certify that we have not, either directly or indirectly, entered into any agreement or participated in any collusion or otherwise taken any action in restraint of free competition; that no attempt has been made to induce any other person or firm to submit or not to submit a response; that this response has been independently arrived at without collusion with any other responder, competitor, or potential competitor; and that this response has not been knowingly disclosed prior to the opening of responses to any other responder or competitor.

We certify that all materials, equipment goods and/or services proposed meet or exceed the specifications and will be supplied in accordance with the entire contents of this solicitation including delivery schedules. We promise to complete the contract within the contract period, or pay any liquidated damages, if stipulated, for each calendar day as set forth in the solicitation documents.

Signed _____ Date _____

Iowa Department of Transportation
 Schedule of Prices
 Proposal No. 17081

1. Price Proposal – Design and Branding

| Total Lump Sum Cost – Design and Branding Services: | | | |
|--|---|--|---|
| | | | |
| Total Estimated Hours – Design and Branding Services: | | | |
| | | | |
| A. Cost Breakdown by Role/Function | | | |
| Role/Function <i>(add additional roles/ functions, as required)</i> | Hourly Rate <i>(including travel and other expenses)</i> | Percentage of Total Lump Sum Cost | Cost Extension <i>(assumes an hourly rate that includes travel and other expenses)</i> |
| Project Manager | | | |
| Designer | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Totals: | | | |
| | | <i>Above line must equal 100 Percent</i> | <i>Above line must equal Total Lump Sum Cost</i> |
| | | | |
| B. Cost Breakdown by Service Category | | | |
| Service Category <i>(add additional lines, as required)</i> | Cost Extension | | |
| Branding | | | |
| Design | | | |
| Marketing | | | |
| | | | |
| | | | |
| Expenses (including travel) | | | |
| | | | |
| Total Cost: | | | |
| | <i>Above line must equal Total Lump Sum Cost</i> | | |

Iowa Department of Transportation
 Schedule of Prices
 Proposal No. 17081

2. Price Proposal – Implementation and Application Support

| Total Lump Sum Cost | | | |
|---|---|--|---|
| Implementation and Application Support Services: | | | |
| | | | |
| Total Estimated Hours | | | |
| Implementation and Application Support Services: | | | |
| A. Cost Breakdown by Role/Function | | | |
| Role/Function <i>(add additional roles/functions, as required)</i> | Hourly Rate <i>(including travel and other expenses)</i> | Percentage of Total Lump Sum Cost | Cost Extension <i>(assumes hourly rates include travel and other expenses)</i> |
| Project Manager | | | |
| Architect | | | |
| Developer – Android | | | |
| Developer – iOS | | | |
| | | | |
| | | | |
| Totals: | | | |
| | | <i>Above line must equal 100 Percent</i> | <i>Above line must equal Total Lump Sum Cost</i> |
| B. Cost Breakdown by Implementation Service Category | | | |
| Service Category <i>(add additional lines, as required)</i> | Cost Extension | | |
| Project Management | | | |
| Requirements and Solution Design | | | |
| Programming and Development | | | |
| Migration and Deployment | | | |
| Training, Knowledge Transfer and Documentation | | | |
| | | | |
| | | | |
| Expenses (including travel) | | | |
| | | | |
| Total: | | | |
| | <i>Above line must equal Total Lump Sum Cost</i> | | |
| C. Cost Breakdown for Application Support | | | |
| Year | Annual Cost | | |
| Year 1 | | | |
| Year 2 | | | |
| Year 3 | | | |

Iowa Department of Transportation
 Schedule of Prices
 Proposal No. 17081

3. Price Proposal – Independent Testing

| Total Lump Sum Cost – Independent Testing Services: | | | |
|---|---|--|---|
| | | | |
| Total Estimated Hours – Independent Testing Services: | | | |
| | | | |
| A. Cost Breakdown by Role/Function | | | |
| Role/Function <i>(add additional role/ functions, as required)</i> | Hourly Rate <i>(including travel and other expenses)</i> | Percentage of Total Lump Sum Cost | Cost Extension <i>(assumes hourly rates include travel and other expenses)</i> |
| Project Manager | | | |
| Tester | | | |
| | | | |
| | | | |
| Totals: | | | |
| | | <i>Above line must equal 100 Percent</i> | <i>Above line must equal Total Lump Sum Cost</i> |
| | | | |
| B. Cost Breakdown by Service Category | | | |
| Service Category <i>(add additional lines, as required)</i> | Cost Extension | | |
| Test Planning | | | |
| Test Execution | | | |
| Documentation | | | |
| | | | |
| Expenses (including travel) | | | |
| | | | |
| Total: | | | |
| | | | <i>Above line must equal Total Lump Sum Cost</i> |

Iowa Department of Transportation
Schedule of Prices
Proposal No. 17081

4. Price Proposal – Hosting

| A. Annual Hosting Costs | |
|--------------------------------|--------------------|
| Year | Annual Cost |
| Year 1* | |
| Year 2 | |
| Year 3 | |

**begins after full acceptance and deployment*

I HEREBY CERTIFY THAT THIS PROPOSAL MEETS OR EXCEEDS THE MINIMUM REQUIREMENT INCLUDING SPECIFICATIONS AND ADDENDUMS.

(Please Print)

COMPANY NAME: _____ PHONE: _____ FAX: _____

ADDRESS: _____ CITY: _____ STATE: _____ ZIP: _____

CONTACT PERSON: _____ E-MAIL: _____

SIGNATURE: _____ FED TAX ID: _____

AVAILABILITY AFTER RECEIPT OF P.O. (IN DAYS): _____

I ACKNOWLEDGE RECEIPT OF ADDENDUM NUMBERS: _____

**Iowa Department of
Transportation Standard Terms
and Conditions For
Bid Proposals/Contracts
-FORMAL-**

Formal is the procurement process required by Iowa law when the estimated, aggregate amount of the purchase equals or exceeds \$50,000.

The entire contents of this bid proposal shall become a part of a contract or purchase order. In case of a discrepancy between the contents of the bid documents, the following items listed by descending order shall prevail:

- Addendums to the bid proposal
- Bid Proposal-
 - Schedule of Prices
 - Specifications
 - Plans and Drawings
- Supplemental Terms and Conditions
- Standard Terms and Conditions

(Example - if a statement in the specifications contradicts a statement in the Standard Terms and Conditions, the statement in the specifications shall apply)

Preparation of Bid Response: All bid responses must address all aspects of the proposal including clearly answering all questions within the proposal. Bid responses must be typed or completed in ink and submitted on the forms supplied by the Iowa DOT.

Bid responses must be signed and received prior to the bid opening date and time as indicated on the Bid Response cover page or bid opportunity. The signed, submitted quotation or bidder's proposal shall become the official bid response to be considered for award.

No email, fax or web link bid responses will be accepted. Bid responses must be signed, sealed and delivered in person or by a mail courier that ensures timely delivery.

A. Bid Proposal

1. **Bid Opening:** Bid openings are made public and conducted at the Iowa DOT, Ames complex unless otherwise specified. Proposals received after the time of the bid opening will be returned unopened and considered non-compliant.
2. **Communications:** Questions concerning this proposal should be directed to the purchasing agent listed on the bid proposal. Inquiries can be written, phoned, or faxed. In all cases, written communication will take precedence over verbal communication.
3. **Proposal Guaranty:** If required, the bid response page will indicate the amount required to be included in the bid response. A Proposal Guaranty can be supplied in one of the following ways:
(1) Certified check or credit union certified share draft, cashier's check, or bank draft, drawn on a solvent bank or credit union. Certified checks and certified share drafts shall be drawn and endorsed in the amount indicated. Checks or drafts shall be made payable either to the Iowa Department of Transportation (Iowa DOT) or to the bidder. If payable to the bidder, the check or draft shall be endorsed without qualifications to the Iowa DOT by the bidder or an authorized agent.

(2) An insurance or surety company may be retained to provide a bond in fulfillment of the proposal guaranty requirement. A properly completed and signed copy of the Proposal Guaranty (*Form 131084*) must accompany the bid. **The Iowa DOT's Proposal Guaranty form must be used; no other forms or formats will be accepted.**
4. **Pricing and Discount:** Unit prices shown on the bid/proposal shall be quoted as the price per unit (e.g., gal., case, each, etc.) as stated in the bid proposal. If there is a discrepancy between the unit bid prices, extension, or total amount of bid, the unit prices shall prevail. Unless otherwise indicated, prices shall be firm for the duration of the contract or purchase. Discounts for early payment are allowed, but not considered in award of the contract.

5. **Acceptance/Rejection:** The Iowa DOT reserves the right to accept or reject any or all bids and to waive irregularities or technicalities, provided such waiver does not substantially change the offer or provide a competitive advantage to any supplier(s). The Iowa DOT also reserves the right to accept that bid which is deemed to be in the best interests of the state. Any unauthorized changes, additions, or conditional bids including any ties to another bid or proposal or any reservations about accepting an award or entering into a contract, may result in rejection of the bid. Bids must remain available for award for thirty (30) days from date of bid opening.
6. **Bid Results & Disclosure:** A bid tabulation will be sent to all responsive bidders with an award recommendation indicated. At the conclusion of the selection process, the contents of all received bid responses will be placed in the public domain and be open to inspection by interested parties, according to state law. Trade secrets or proprietary information that are recognized as such and are protected by law may be withheld if clearly identified as such in the proposal.
7. **Quality:** All material shall be new and of first quality. Items which are used, demonstrators, refurbished, obsolete, seconds, or which have been discontinued are unacceptable without prior written approval by the Iowa DOT.
8. **Recycled Content:** The Iowa Code encourages purchase of products and materials with recycled content, including but not limited to paper products, oils, plastic products, compost materials, aggregate, solvents, and rubber products. Recycled items or alternatives must be noted in the bid response, if known.
9. **Shipping Terms:** Deliveries shall be F.O.B. Destination unless otherwise specified. All deliveries shall be accompanied by a packing slip indicating the Supplier, quantities shipped, and the purchase order number(s). All deliveries charges shall be included in the bid price and paid by the Supplier. No collect C.O.D. deliveries shall be accepted. When entering into a contract, the Supplier shall notify the freight company that all freight and delivery charges are to be prepaid by the Supplier. Goods delivered to the Iowa DOT Distribution Center at 800 Lincoln Way, Ames, IA shall be received between the hours of 7:30 a.m. and 3:30 p.m. on any day except Saturday, Sunday, or a holiday. For deliveries to other Iowa DOT locations, the Supplier may contact the destination location for available times to deliver as not all Iowa DOT locations have the same business hours. The Iowa DOT will not be liable for any freight claims or unpaid freight bills arising from contract or purchase order issues.

B. Award

The binding agreement (award) may be issued in the form a purchase order or contract or both depending on the requirements and complexity of the agreement.

1. **Method of Award:** Award shall be made to the lowest responsible, responsive bidder whose bid meets the requirements of the solicitation and is the most advantageous to the Iowa DOT unless otherwise specified. An Iowa bidder will be given preference over an out-of-state bidder when bid responses are equal in all aspects and are tied in price. By virtue of statutory authority preference will be given to products and provisions grown and coal produced within the State of Iowa.
2. **Award Protests:** Protests of award recommendations are to be addressed to the Director of Purchasing, and shall be made in accordance with paragraph 761--20.4(6)"e" of the Iowa Administrative Code.
3. **Contracts:** Successful contractor(s) may be sent either a formal Contract, Notification of Award or purchase order as confirmation of acceptance and award. Any of these binding agreements shall be for the term stated in the bid proposal or on a purchase order and may be renewed for additional period(s) under the same terms and conditions upon mutual agreement as defined. The successful bidder may not assign a contract to another party without written authorization from the Iowa DOT Purchasing Section.
4. **Payment Terms:** The Iowa DOT typically pays properly submitted vendor invoices within thirty (30) days of receipt, providing goods and/or services have been successfully delivered, installed or inspected (if required), and accepted. Invoices presented for payment must be only for quantities received by the Iowa DOT and must reference the purchase order number to be submitted for processing.
5. **Default:** Failure of the Supplier to adhere to specified delivery schedules or to promptly replace rejected materials shall render the Supplier liable for all costs in excess of the bid price when alternate procurement is necessary. This shall not be the exclusive remedy and the Iowa DOT reserves the right to pursue other remedies available to it by law or under the terms of the binding agreement.

C. General

1. **Administrative Rules:** For Additional details on the rules governing the actions of the Iowa DOT Purchasing Section, refer to 761 IAC, Chapter 20, Iowa Administrative Code, entitled "Procurement of Equipment, Materials, Supplies and Services".
2. **Affirmative Action:** The Contractor (and also subcontractor, vendor or supplier) is prohibited from engaging in discriminatory employment practices forbidden by federal and state law, executive orders and rules of the Iowa Department of Management, pertaining to equal employment opportunity and affirmative action. Contractor may be required to have on file a copy of their affirmative action program, containing goal and time specifications. Contractors doing business with Iowa in excess of \$5,000 annually and employing 50 or more full time employees may be required to file with the Iowa Department of Management a copy of their affirmative action plan. Failure to fulfill these non-discrimination requirements may cause the contract to be canceled and the contractor declared ineligible for future state contracts or subject to other sanctions as provided by law or rule.
3. **Applicable Law:** The contract shall be governed under the laws of the State of Iowa. The contractor shall at all times comply with and observe all federal and state laws, local laws, ordinances, and regulations which are in effect during the period of a contract and which in any manner affect the work or its conduct. Any legal action relating to a contract shall only be commenced in the Story County, Iowa, District Court or the United States District Court for the Southern District of Iowa.
4. **Conflict of Interest:** No state or county official or employee, elective or appointive shall be directly or indirectly interested in any contract issued by the Iowa DOT, See Code of Iowa 314.2.
5. **Debarment and Vendor Suspension:** By submitting a proposal, the contractor is certifying that it and its Principals and/or subcontractors are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by the State of Iowa or any Federal department or agency.
6. **Equal Opportunity:** Firms submitting bids must be an "Equal Opportunity Employer" as defined in the Civil Rights Act of 1964 and in Iowa Executive Order Number Thirty-four.
7. **Infringement:** Goods shall be delivered free of the rightful claim of any third party by way of infringement. Contractor shall indemnify and save harmless the State of Iowa and the Iowa DOT against all claims for infringement of, and/or royalties claimed under, patents or copyrights on materials and equipment furnished under this bid.
8. **Records Audit:** The contractor agrees that the Auditor of the State of Iowa or any authorized representative of the state, and where federal funds are involved, the Comptroller General of the U.S. Government, shall have access to and the right to examine, audit, excerpt, and transcribe any directly pertinent books, documents, papers, and records of the contractor relating to orders, invoices, or payments of a contract or purchase order.
9. **Targeted Small Businesses:** The Iowa DOT seeks to provide opportunities for women and/or minority small business enterprises. To apply for certification as an Iowa Targeted Small Business, contact the Iowa Department of Inspection and Appeals (515-281-5796). Contractors shall take documented steps to encourage participation from Targeted Small Businesses for the purpose of subcontracting and supplying of good or services or both.
10. **Taxes:** Prices quoted shall not include state or federal taxes from which the state is exempt. Exemption certificates will be furnished upon request.
11. **Termination:**
 - **Termination Due to Lack of Funds or Change in law**

The Iowa DOT shall have the right to terminate this Contract without penalty by giving thirty (30) days written notice to the vendor as a result of any of the following:

 - Adequate funds are not appropriated or granted to allow the Iowa DOT to operate as required and to fulfill its obligations under contract.
 - Funds are de-appropriated or not allocated or if funds needed by the Iowa DOT, at the Iowa DOT's sole discretion, are insufficient for any reason.
 - The Iowa DOT's authorization to operate is withdrawn or there is a material alteration in the programs administered by the Iowa DOT.
 - The Iowa DOT's duties are substantially modified.

Following a 30 day written notice, the Iowa DOT may terminate a binding agreement in whole or in part without the payment of any penalty or incurring any further obligation to the Supplier. Following termination upon notice, the Supplier shall be entitled to compensation upon submission of invoices and proper proof of claim for goods and services under contract up to and including the date of termination.

TABLE OF CONTENTS

- Section 1 Intro**
 - 1.1 Purpose & Overview of the RFP Process**
 - 1.2 Project Background**
 - 1.3 Definitions**
 - 1.4 Acronyms**

- Section 2 Administrative Information**
 - 2.1 Issuing Agent**
 - 2.2 Restrictions on Communication**
 - 2.3 Downloading the RFP from the Internet**
 - 2.4 Procurement Timetable**
 - 2.5 Questions, Requests for Clarification, and Suggested Changes**
 - 2.6 Addendum to the RFP**
 - 2.7 Revisions to a Response**
 - 2.8 Submission of Response**
 - 2.9 Opening of Responses**
 - 2.10 Costs of Preparing a Response**
 - 2.11 Reasonable Accommodations**
 - 2.12 Rejection of Submitted Response**
 - 2.13 Disqualification**
 - 2.14 Nonmaterial and Material Variances**
 - 2.15 Reference Checks**
 - 2.16 Information From Other Sources**
 - 2.17 Verification of Response Contents**
 - 2.18 Criminal History and Background Investigation**
 - 2.19 Clarification Process**
 - 2.20 Disposition of Responses**
 - 2.21 Public Records and Requests for Confidential Treatment**
 - 2.22 Copyrights**
 - 2.23 Release of Claims**
 - 2.24 Evaluation of Submitted Responses**
 - 2.25 Notice of Intent to Award and Acceptance Period**
 - 2.26 Confidential Information**
 - 2.27 No Contract Rights until Execution**
 - 2.28 Restrictions on Gifts and Activities**
 - 2.29 No Minimum Guaranteed**
 - 2.30 Conflicts Between Terms**
 - 2.31 News Releases**
 - 2.32 Responders' Conference**
 - 2.33 Bid Bond**

- Section 3 Specification & Technical Requirements**
 - 3.1 Purpose**
 - 3.2 Overview/Background**
 - 3.3 Current Environment**
 - 3.4 Conceptual Architecture**
 - 3.5 mDL Use Cases**
 - 3.6 Scope of Work**

3.7 Minimum Qualifications

3.8 DOT Responsibilities

Section 4 Form & Content

4.1 Instructions

4.2 Technical Response

4.3 Schedule of Prices – Cost Proposal

Section 5 Evaluation & Selection

5.1 Introduction

5.2 Evaluation Committee

5.3 Overview of Evaluation

5.4 Evaluation Criteria

5.5 Recommendation of the Evaluation Committee

5.6 Protest of Award

Section 6 Contract Terms & Conditions

6.1 Contract Terms and Conditions

6.2 Contract Period

6.3 Contractor Qualification Requirement

6.4 Equipment Delivery Schedule

6.5 Installation and Implementation

6.6 Scope of Work (Services)

6.7 Licenses

6.8 Labor Regulations

6.9 Contract Termination

6.10 Contractor's Insurance Requirements

6.11 Performance Bond

6.12 Force Majeure

6.13 Indemnification by Contractor

6.14 Indemnification by Iowa DOT

6.15 Payment

6.16 Travel Expenses

6.17 Care of Property

6.18 Contractor Conduct

6.19 Public Contract Termination

6.20 Confidential Information

6.21 Contractor Warranties

Appendices A-F

Attachment # 1 – Certification Letter

Attachment # 2 – Authorization to Release Information Letter

Attachment # 3 – Requirements check List

Mailing Label

Section 1 Introduction

1.1 Purpose & Overview of the RFP Process

The purpose of this Request for Proposal (RFP) is to solicit responses from responsible Responders to provide the goods and/or services identified on the RFP cover sheet and described further in Section 3 of this RFP to the Iowa Department of Transportation (Iowa DOT). The Iowa DOT intends to award a contract(s) beginning and ending on the dates listed on the Procurement Timetable, and the Iowa DOT may renew the contract(s) for up to the number of annual renewals identified on the Procurement Timetable at the sole discretion of the Iowa DOT. Any contract(s) resulting from the RFP shall not be an exclusive contract. **See Section 6.2**

Responders are required to submit their responses in hardcopy and (a form of removable media (such as a CD-ROM or flash drive) as indicated on the Procurement Timetable. It is the intention of the Iowa DOT to evaluate Responses from all responsible and timely Responders and award the contract(s) in accordance with Section 5, Evaluation and Selection.

1.2 Project Background

Iowa DOT is seeking a qualified Solution Provider that demonstrates the capabilities, experience, and resources required to provide **the services outlined in section 3 of this proposal**.

1.3 Definitions

The terms used in individual sections of this document are intended to be consistent with those commonly used in the application field in question. When responding, use the terms and acronyms used in this document, and define any terms or conditions that require further clarification.

1.3.1 “Cost Proposal” means the cost of the project as requested on the Schedule of Prices and submitted with the Response under separate cover.

1.3.2 “Contract” or “Resulting Contract” means the contract(s) entered into with the successful Responder(s) as described in section 6.1.

1.3.3 “Responder” means individual, company or entity submitting a response to this RFP.

1.3.4 “Iowa DOT” means the Iowa Department of Transportation identified on the RFP cover sheet as issuer of the RFP. The Iowa DOT will also execute the resulting contract.

1.3.5 “Participating Agency” or “Participating Agencies” means the Political Subdivision, either City, State, County, Boards or Commission, identified on the RFP cover sheet as Participating Agencies, and any other governmental agency that decides to utilize the executed contract.

1.3.6 “Procurement Timetable” (*on the page immediately following the RFP cover*) provide timeline, event and date information.

1.3.7 “Purchase Order” means the documentation issued by the State to the successful Responder(s) for a purchase of goods and/or services in accordance with the terms and conditions of the contract. It may include an identification of

the items to be purchased, the delivery date and location, the address where the successful Responder will submit the invoices, and any other requirements deemed necessary by the State. Any preprinted contract terms and conditions included on Responder's forms or invoices shall be null and void.

1.3.8 "Responsible Responder" means an individual, company or entity that has the capability in all respects to perform the requirements of the RFP specifications and requirements. In determining whether a Responder is responsible and responsive., the Iowa DOT may consider various factors including, but not limited to, the Responder's competence and qualifications to provide the goods or services requested, the Responder's integrity and reliability, the past performance of the Responder relative to the quality of the goods or services offered., the proposed terms of delivery, and the best interest of the Iowa DOT and Participating Agencies.

1.3.9 "Response" means a Responder's response to the RFP that complies with the material provisions listed in the RFP documents.

1.3.10 "RFP" means this Request for Proposal and any attachments, exhibits, schedules or addenda hereto.

1.3.11 "State" means the Iowa DOT, State of Iowa, and Participating Agencies identified on the title page and all state agencies, boards, and commissions, and any political subdivisions making purchases off of the resulting contract as permitted by this RFP.

1.3.12 "Sub-contractor" means every person furnishing materials, equipment or performing labor as a sublet of any part of contract.

1.4 Acronyms the following list contains acronyms used in the RFP.

mDL - Mobile Driver's License

MVD -Motor Vehicle Division

ID -Identification

ISO -International Organization for Standardization

ARTS -Archon Registration Titling System, which is the computer system that acts as the system of record for the issuance of DL/ID credentials.

API -Application Program Interface

BI -Business Intelligence

MAPD -Mobile Application Development Platform

NFC -Near Field Communication

TSA -Transportation Security Administration

DED -Deliverable Expectation Document

SDLC -Software Development Lifecycle

QA -Quality Assurance

UAT -User Acceptance Testing

SLA- Service Level Agreements

HVAC -Heating, Ventilation, Air Conditioning

UPS -Uninterruptible Power Supply

SLR- Service Level Requirements

RAID -Redundant Array of Independent Disks

SAN -Storage Area Network

NAS -Network Attached Storage

DMBS-Database Management System

Section 2 Administrative Information

2.1 Issuing Agent

The Issuing Agent, identified on the cover page is the sole point of contact regarding the RFP from the date of issuance until the notice of intent to award is issued (selection of the successful Responder).

2.2 Restrictions on Communication

The Purchasing Agent will respond only to questions regarding the procurement process. Questions related to the interpretation of this RFP must be submitted in writing to the Purchasing Agent by the deadline found in the Procurement Timetable listed immediately after the cover sheet. Verbal questions related to the interpretation of this RFP will not be accepted. Questions related to the interpretation of this RFP must be submitted as provided in section 2.5. Responders may be disqualified if they contact any state employee other than the Purchasing Agent. Exception: Responders may access the State Targeted Small Business website for issues related to the preference for Targeted Small Businesses. <https://dia.iowa.gov/tsb/>

In NO CASE shall verbal communication override written communications. Only written communications are binding on the State.

The Iowa DOT assumes no responsibility for representations concerning conditions made by its officers or employees prior to the execution of a contract unless such representations are specifically incorporated into this RFP. Verbal discussions pertaining to modifications or clarifications of this RFP shall not be considered part of the RFP unless confirmed in writing. All such requests for clarification shall be submitted in writing. Any information provided by a Responder verbally shall not be considered part of Responder's Response. Only written communications from the Responder as received by the Iowa DOT shall be accepted.

With the exception of the written Response which must be submitted by Responders in accordance with Sections 4 and 5 herein, communications between the Purchasing Agent and Responders may be conducted by regular prepaid US mail, courier service, e-mail or facsimile transmission.

2.3 Downloading the RFP from the Internet

All correspondence for this RFP will be posted on the Iowa DOT's website at: <http://www.iowadot.gov/purchasing/lettingschedule.htm>

Responders will be required to visit the Iowa DOT's website periodically for any and all addendums or other pertinent information.

2.4 Procurement Timetable

The dates listed in the Procurement Timetable (on the page immediately following the RFP cover) are set forth for informational and planning purposes; however, the Iowa DOT reserves the right to change the dates. If a change is made to any of the deadlines for submission of Responses, the Iowa DOT will issue an addendum to the RFP. All times listed are Central time.

2.5 Questions, Requests for Clarification, and Suggested Changes

Responder's are invited to submit written questions and requests for clarifications regarding the RFP. Responder's may also submit suggestions for changes to the requirements of this RFP. The questions, requests for clarifications, or suggestions must be in writing and received by the Purchasing Agent on or before the deadline stated in the Procurement Timetable. **Oral** questions will not be permitted. If the questions, requests for clarifications, or suggestions pertain to a specific section of the RFP must be referenced.

Written responses to questions, requests for clarifications or suggestions will be posted to the Iowa DOT's website on or before the deadline stated in the Procurement Timetable. The Iowa DOT's written responses to questions will be considered part of the RFP. If the Iowa DOT decides to adopt a suggestion, the Iowa DOT will issue an addendum to the RFP and post on the website under the proposal number.

The Iowa DOT assumes no responsibility for verbal representations made by its officers or employees unless such representations are confirmed in writing and incorporated into the RFP.

Each Responder must inform themselves fully of the conditions relating to the RFP. Failure to do so will not relieve a successful Responder of their obligation to furnish all services required to carry out the provisions of RFP and final contract. Insofar as possible, the successful Responder carrying out the work must employ such methods or means as will not cause any interruption of, or interference with the work of any other contract holder.

If a Responder discovers any significant ambiguity, error, conflict, discrepancy, omission, or other deficiency in this RFP, the Responder should immediately notify Purchasing Agent in writing of such error and request modification or clarification of the RFP document.

2.6 Addendum to the RFP

The Iowa DOT reserves the right to revise the RFP at any time. The Responder shall acknowledge receipt of an addendum in their Response. If the addendum occurs prior to the closing date for receipt of Responses, the Iowa DOT may, in its sole discretion, allow Responder's to amend their Response to the addendum.

2.7 Revisions to a Response

Responders who submit Responses in advance of the deadline may withdraw, modify, or resubmit their Response at any time prior to the deadline. . Responders must notify the Purchasing Agent in writing if they wish to withdraw their Response. A Responder must honor their prices prior to the end of the one hundred and eighty (180) day period immediately following the notice of intent to award a contract.

2.8 Submission of Responses

The Iowa DOT, located at 800 Lincoln Way, Ames, Iowa 50010, ATTN: Purchasing Section before the deadline stated in the Procurement Timetable. This is a mandatory requirement and will not be waived by the Iowa DOT. Any Responses received after this deadline will be rejected and returned unopened to the Responder.

Responder's mailing Responses should allow ample delivery time to ensure timely receipt of Responses by the Iowa DOT. It is the Responder's responsibility to ensure that the Response is received prior to the deadline. Postmarking by the due date will not substitute for actual receipt of the Response. **Electronic mail and faxed will not be accepted.**

Responder's must furnish all information necessary to evaluate the Response. Responses that fail to meet the mandatory requirements of the RFP will be disqualified. Verbal information provided by the Responder shall not be considered part of the Responder's Response to the RFP.

2.9 Opening of Responses

The Iowa DOT will open Responses at the deadline stated in the Procurement Timetable. All Responses will remain confidential until the Evaluation Committee has reviewed and considered all successfully submitted Responses and the Iowa DOT has announced a notice of intent to award a contract. See Iowa Code Section 72.3.

The names of the Responders who responded within the timeline will be supplied to any person or persons who requests such information at the time of the opening date. The announcement of names of Responders who submitted a Response **does not** mean that an individual Response has been deemed technically compliant or that it has been accepted for evaluation.

2.10 Costs of Preparing a Response

The costs of preparation and delivery of the Response are solely the responsibility of the Responder.

No payments shall be made by the Iowa DOT to cover costs incurred by any Responder in the preparation of a Response in submission of this RFP or any other associated costs.

2.11 Reasonable Accommodations

The Iowa DOT will provide reasonable accommodations, including the provision of informational material in an alternative format, for qualified individuals with disabilities upon request. If accommodations are required at time of opening of Responses, contact the Purchasing Agent on the cover page.

2.12 Rejection of submitted Response

The Iowa DOT reserves the right to reject any or all Responses in whole and in part, received in response to this RFP at any time prior to the execution of a written contract. Issuance of this RFP in no way constitutes a commitment by the Iowa DOT to award a contract. This RFP is designed to provide Responders with the information necessary to prepare a competitive Response. This RFP process is for the Iowa DOT benefit and is intended to provide the Iowa DOT with competitive information to assist in the selection of a Responder to provide good and services or both as described herein.

It is not intended to be comprehensive and each Responder is responsible for determining all factors necessary for submission of a comprehensive Response.

The Iowa DOT reserves the right to negotiate the terms of the contract, including the award amount with the selected Responder prior to entering into a contract. If contract negotiations cannot be concluded successfully, the Iowa DOT may negotiate with the next highest scoring Responder.

2.13 Disqualification

The Iowa DOT may reject outright and shall not evaluate Responses for any one of the following reasons:

2.13.1 Responder fails to deliver the cost proposal under separate cover.

2.13.2 Responder states that a requirement of the RFP cannot be met.

2.13.3 Responder's Response materially changes a requirement of the RFP or the Response is not compliant with the requirements of the RFP.

2.13.4 Response limits the rights of the Iowa DOT.

2.13.5 Responder fails to include information necessary to substantiate that it will be able to meet a service requirement. A response of "will comply" or merely repeating the requirement is not sufficient. Responses must indicate present capability; representations that future developments will satisfy the requirement are not sufficient.

2.13.6 Responder fails to include a Bid Bond bid security, *if required*. See RFP Solicitation Response Section 2.33.

2.13.7 Responder fails to include any signature, certification, authorization, stipulation, disclosure or guarantee requested in Section 4 of this RFP.

2.13.8 Responder presents the information requested by this RFP in a format inconsistent with the instructions of the RFP or otherwise fails to comply with the requirements of this RFP.

2.13.9 Responder initiates unauthorized contact regarding the RFP with state employees.

2.13.10 Responder provides misleading or inaccurate responses.

2.13.11 Responder fails to attend the mandatory pre-RFP meeting or conference if required.

2.13.12 Responder's Response is materially unbalanced.

2.13.13 There is insufficient evidence (including evidence submitted by the Responder and evidence obtained by the Iowa DOT from other sources) to satisfy the Iowa DOT that the Responder is a Responsible Responder.

2.13.14 The Responder alters the language in:
Attachment 1, Certification Letter
Attachment 2, Authorization to Release Information letter.

2.14 Nonmaterial and Material Variances

The Iowa DOT reserves the right to waive or permit cure of nonmaterial variances in a Reponse if, in the judgment of the Iowa DOT, it is in the Iowa DOT best interest to do so. Nonmaterial variances include minor informalities that do not affect responsiveness; that are merely a matter of form or format; that do not change the relative standing or otherwise prejudice other Responders; that do not change the meaning or scope of the RFP; or that do not reflect a material change in the services. In the event the Iowa DOT waives or permits cure of nonmaterial variances, such waiver or cure will not modify the RFP requirements

or excuse the Responder from full compliance with RFP specifications or other contract requirements upon award. The determination of materiality is in the sole discretion of the Iowa DOT.

2.15 Reference Checks

The Iowa DOT reserves the right to contact any reference provided by the Responder to assist in the evaluation of the Responder, to verify information contained in the Response and to discuss the Responder's qualifications and the qualifications of any subcontractor or partner identified in the Response.

2.16 Information From Other Sources

The Iowa DOT reserves the right to obtain and consider information from other sources concerning a Responder, such as the Responder's capability and performance under other Responders, the qualifications of any subcontractor or partner identified in the RFP, the contractor's financial stability, past or pending litigation, and publicly available information.

2.17 Verification of Response Contents

The content of a Response submitted by a Responder is subject to verification. Misleading or inaccurate responses shall result in disqualification and rejection.

2.18 Criminal History and Background Investigation

The Responder hereby explicitly authorizes the Iowa DOT to conduct criminal history and/or other background investigation(s) of the Responder, its officers, directors, shareholders, partners and managerial and supervisory personnel retained by the Responder for the performance of the contract if in the best interest of the Iowa DOT.

2.19 Clarification Process

The Iowa DOT reserves the right to contact a Responder after the submission of Response for the purpose of clarifying or ensure mutual understanding. This contact may include written questions, interviews, site visits, a review of past performance if the Responder has provided goods or services to the Iowa DOT or any other political subdivision wherever located, or requests for corrective pages in the Responder's Response. The Iowa DOT will not consider information received if the information materially alters the content of the RFP or alters the type of goods and services the Responder is offering to the Iowa DOT. An individual authorized to legally bind the Responder shall sign responses to any request for clarification. Responses shall be submitted to the Iowa DOT within the time specified in the Iowa DOT request. Failure to comply with requests for additional information may result in rejection and the Response will be considered non-compliant.

2.20 Disposition of Responses

All Responders' Responses become the property of the Iowa DOT and shall not be returned to the Responder. At the conclusion of the selection process, the contents of all Response will be in the public domain and be open to inspection by interested parties except for information for which contractor properly requests confidential treatment or is subject to exceptions provided in Iowa Code Chapter 22 or other applicable law.

2.21 Public Records and Requests for Confidential Treatment

The Iowa DOT may treat all information submitted by a Responder as public information following the conclusion of the selection process unless the Responder properly requests that information be treated as confidential at the

time of submitting the Response. The Iowa DOT release of information is governed by Iowa Code chapter 22. Responders are encouraged to familiarize themselves with Chapter 22 before submitting a Response. The Iowa DOT will copy and produce public records as required to comply with the public records laws.

Any request for confidential treatment of specific information must be included in the transmittal letter with the Responder's Response. In addition, the contractor must enumerate the specific grounds in Iowa Code Chapter 22 or other applicable law which support treatment of the material as confidential and explain why disclosure is not in the best interest of the public. **Pricing information cannot be considered confidential information.** The request for confidential treatment of information must also include the name, address, and telephone number of the person authorized by the Responder to respond to any inquiries by the Iowa DOT concerning the confidential status of the materials.

Any Response submitted which contains confidential information must be conspicuously marked on the outside as containing confidential information, and each page upon which confidential information appears must be conspicuously marked as containing confidential information. Failure to properly identify specific confidential information shall relieve the Iowa DOT or State personnel from any responsibility if confidential information is viewed by the public, or a competitor, or is in any way accidentally released. Identification of the entire Response as confidential may be deemed non-responsive and disqualify the Responder.

If the Responder designates any portion of the RFP as confidential, **the Responder must submit one copy of the Responder from which the confidential information has been excised. This excised copy is in addition to the number of copies requested in section 4 of this RFP.** The confidential material must be excised in such a way as to allow the public to determine the general nature of the material removed and to retain as much of the Response as possible.

The Iowa DOT will treat the information marked confidential as confidential information to the extent such information is determined confidential under Iowa Code Chapter 22 or other applicable law by a court of competent jurisdiction. In the event the Iowa DOT receives a request for information marked confidential, written notice shall be given to the Responder seven calendar days prior to the release of the information to allow the contractor to seek injunctive relief pursuant to Section 22.8 of the Iowa Code. The Iowa DOT will release the information marked confidential in response to a request for public record records unless a court of competent jurisdiction determines the information is confidential under Iowa Code Chapter 22 or other applicable law.

The Responder's failure to request confidential treatment of material will be deemed by the Iowa DOT as a waiver of any right to confidentiality, which the Responder may have had.

2.22 Copyrights

By submitting a Response the Responders allows the Iowa DOT permission to copy the Response for purposes of facilitating evaluation or to respond to requests for public records. The Responder consents to such copying by submitting a Response and warrants that such copying will not violate the rights of any third party. The Iowa DOT shall have the right to use ideas or adaptations of ideas that are presented in the Response.

2.23 Release of Claims

By submitting a Response, the Responder agrees that it will not bring any claim or cause of action against the Iowa DOT based on any misunderstanding concerning the information provided herein or concerning the Iowa DOT failure, negligent or otherwise, to provide the Responder with pertinent information as intended by this RFP.

2.24 Evaluation of Submitted Responses

The evaluation and selection of the awarded Responder will be based on but not limited to: the information submitted in the written response, references, required demonstrations or presentations; if any, and cost. If further information is requested by the Iowa DOT for clarification, Responders shall respond clearly and completely to all requirements within three (3) days upon request. Failure to respond completely may be the basis for rejecting a Response.

All compliant Responses will be evaluated using an evaluation matrix. If a demonstration/presentation is in the Evaluation Matrix (see Section 5.4), the Iowa DOT reserves the right to determine which Responders will be "short listed" for further consideration based on the written responses that best meet the requirements of the RFP.

Short-List Upon selection from the overall compliant responses, some Responders shall be selected to move to the Demonstration or Presentation portion of the evaluation. They will be required to demonstrate or make a presentation illustrating their proposed solution as described and required in the RFP. It is recommended Responder's engage key personnel to demonstrate the proposed solution, their authority and reporting relationships within their firm, their expertise and their management style.

The successful demonstration or presentation of the Responder's product(s) and/or service(s) is only one segment of the evaluation criteria and does not solely constitute the overall award.

Selected Responders shall be provided no less than one week's notice for the scheduling of a demonstration or presentation to be held in Ames, Iowa unless otherwise specified. The Iowa DOT may offer a web conferencing method as an alternative if desired.

Detailed notes of demonstrations or presentation may be recorded and supplemental information (such as briefing charts, et cetera) shall be accepted. Additional written information gathered in this manner shall not constitute replacement of response contents. The Iowa DOT reserves the right to record demonstrations or presentations on audio or videotape as desired.

Any cost(s) incidental for the demonstrations or presentations shall be the sole responsibility of the Responder.

2.25 Notice of Intent to Award and Acceptance Period

Notice of intent to award will be posted on the Iowa DOT's website at www.iowadot.gov/purchasing/bidaward. **It is the Responder's sole responsibility to check daily for the final evaluation results.** Final negotiation and execution of the contract(s) shall be completed no later than thirty (30) days from the date of the Notice of Intent to Award or such other time as designated by the Iowa DOT.

If the successful Responder fails to negotiate and deliver an executed contract by that date, the Iowa DOT in its sole discretion may cancel the award and award

the contract to the next highest ranked Responder the Iowa DOT believes will provide the best value to the State.

The award shall be granted to the highest scoring responsive, responsible Responder according to the evaluation matrix in Section 5.

2.26 Confidential Information

Responses containing propriety information must have the specific information considered proprietary clearly marked. All information included in the Response not indicated as proprietary will be open for inspection. All Responses become property of the Iowa DOT.

2.27 No Contract Rights until Execution

The full execution of a written contract shall constitute the making of a contract for services and no contractor shall acquire any legal or equitable rights relative to the contract services until the contract has been fully executed by the successful contractor and the Iowa DOT.

2.28 Restrictions on Gifts and Activities

Iowa Code Chapter 68B restricts gifts which may be given or received by state employees and requires certain individuals to disclose information concerning their activities with state government. Responders are responsible to determine the applicability of this Chapter to their activities and to comply with the requirements. In addition, pursuant to Iowa Code section 722.1, it is a felony offense to bribe or attempt to bribe a public official.

The laws of Iowa provide that it is a felony to offer, promise, or give anything of value or benefit to a state employee with the intent to influence that employee's acts, opinion, judgment or exercise of discretion with respect to that employee's duties. Evidence of violations of this statute will be submitted to the proper prosecuting attorney.

2.29 No Minimum Guaranteed

The Iowa DOT anticipates that the successful Responder will provide services, or services and goods as requested by the Iowa DOT. The Iowa DOT shall not guarantee any minimum compensation will be paid to the contractor or any minimum usage of the contractor's services.

2.30 Conflicts Between Terms

The Iowa DOT reserves the right to accept or reject any exception taken by the Responder to the terms and conditions contained in this RFP. Should a Responder take exception to the terms and conditions required by the Iowa DOT, the Responder's exceptions may be rejected and the entire Response declared nonresponsive. The Iowa DOT may elect to negotiate with the Responder regarding contract terms that do not materially alter the substantive requirements of the RFP or the contents of the Responder's Response.

2.31 News Releases

News releases or other materials made available to the media or the public, the Responder's clients or potential clients pertaining to this procurement or any part of the Response or RFP shall not be made without the prior written approval of the Iowa DOT.

2.32 Responders' Conference

If the Procurement Timetable indicates a Responders' conference will be held in conjunction with this RFP, it will be held at the date, time, and location listed on the Procurement Timetable. If attendance at the Responders conference is a

mandatory requirement, it will be indicated on the Procurement Timetable. The purpose of the Responders' conference is to discuss with prospective Responders the work to be performed and allow prospective Responders an opportunity to ask questions regarding the RFP. Verbal discussions at the Responders' conference shall not be considered part of the RFP unless confirmed in writing by the Iowa DOT and incorporated into this RFP. The conference may be recorded. Questions asked at the conference that cannot be adequately answered during the conference may be deferred and addressed at a later date. A copy of the questions and answers will be sent to Responders who submit a letter of intent to provide a Response.

2.33 Bid Bond (if required)

*The Solicitation Response page will indicate the **fixed percent of the bid security required based on the amount of the Response.** See Standard Terms and Conditions Section A-3 for the types of*

It is the responsibility of the Contractor to notify the surety company of the required amount of the bond. The surety is based on the percentage of the contractors total bid response.

Bid Bond's must be submitted on **Iowa DOT Form No. 131084 or the bid will be rejected.**

The Bid Bond from the qualified responsive Responder will be retained until an executed contract is in place and the required bonds and Insurance Certificates are in the possession of the Iowa DOT after which the bid security will promptly be returned.

Section 3 Specifications and Technical Requirements

3.1 Purpose

The Iowa Department of Transportation (DOT) is seeking qualified vendors to design, brand, develop, deploy, support, maintain and host a new mobile driver's license (mDL) application on the Apple and Google Wallet platforms. This mDL application would complement or be used in lieu of today's plastic driver's license for identity authentication purposes.

3.2 Overview/Background

The Motor Vehicles Division (MVD) of the Iowa DOT administers vehicle registration and driver licensing services for the State of Iowa. Within the MVD, the Office of Driver Services is comprised of several groups that handle driver's licensing, records, and identification credentials for Iowans as well as driver safety education. In addition to the 19 Iowa DOT driver's license issuance sites managed by the office, it supports 81 county treasurer's office locations that also issue driver's licenses and identification cards.

The nature of driver's licensing and identification authentication is becoming more complex. To meet the challenge, this office has focused on taking an innovative approach. For instance, many services are now available online, including license or ID renewal, mailing address changes, driving record access.

In an effort to enhance and strengthen its current driver licensing and identity authentication services and capabilities, the Iowa DOT plans to design, develop and deploy a new mobile application that may complement, or be used in lieu of today's plastic driver's license when a driver is required to verify his/her identity, driving privilege, age, address, etc. A detailed conceptual solution schematic for the mDL is presented in Section 3.4. But, at a high-level the solution to be designed, developed, tested, deployed and supported as a result of this RFP comprises the following basic architectural components:

- mDL application, issued by the DOT and residing on a user's smartphone
- Scanners, readers and other similar devices used to authenticate/validate a user's identity
- Interfaces between the DOT's MVD system of record and the mDL application and authentication/validation devices

The mDL must be designed as a non-proprietary and interoperable solution, so as to encourage future adoption by other jurisdictions beyond the State of Iowa. To help achieve this objective, the vendor(s) selected by the DOT to provide design, development and support services for the mDL solution will be asked to participate in ISO 18013 working group activities and comply with resulting cross-jurisdictional interoperability standards created by this group – including protocols between:

- Smartphone mDL application and readers used by law enforcement officials, merchants, etc. to authenticate and validate the user's identity
- Readers and the authority issuing the mDL

The Iowa DOT has developed a set of use cases and additional supporting functional and technical requirements, as well as a conceptual architecture for an initial release of this new mDL application. The DOT envisions that this initial release of the mDL in time will be expanded to include other scenarios and features – including the potential for pushing messages and notifications to users, receiving messaging from users, granting

users access to services such as license renewal, and associating other government privileges with the mobile identity and credential (e.g., hunting/fishing licenses, school ID's).

The mDL program defined in this RFP encompasses the following four unique scopes of work:

- Design and branding
- Implementation and application support
- Independent testing
- Hosting

Vendors may propose to provide services for one or more of these scopes of work. However, vendors chosen to provide implementation and application support services will be excluded from consideration to provide independent testing services. Each vendor selected through this RFP will be expected to work in a collaborative fashion with the DOT, as well as with other vendors selected to perform related scopes of work.

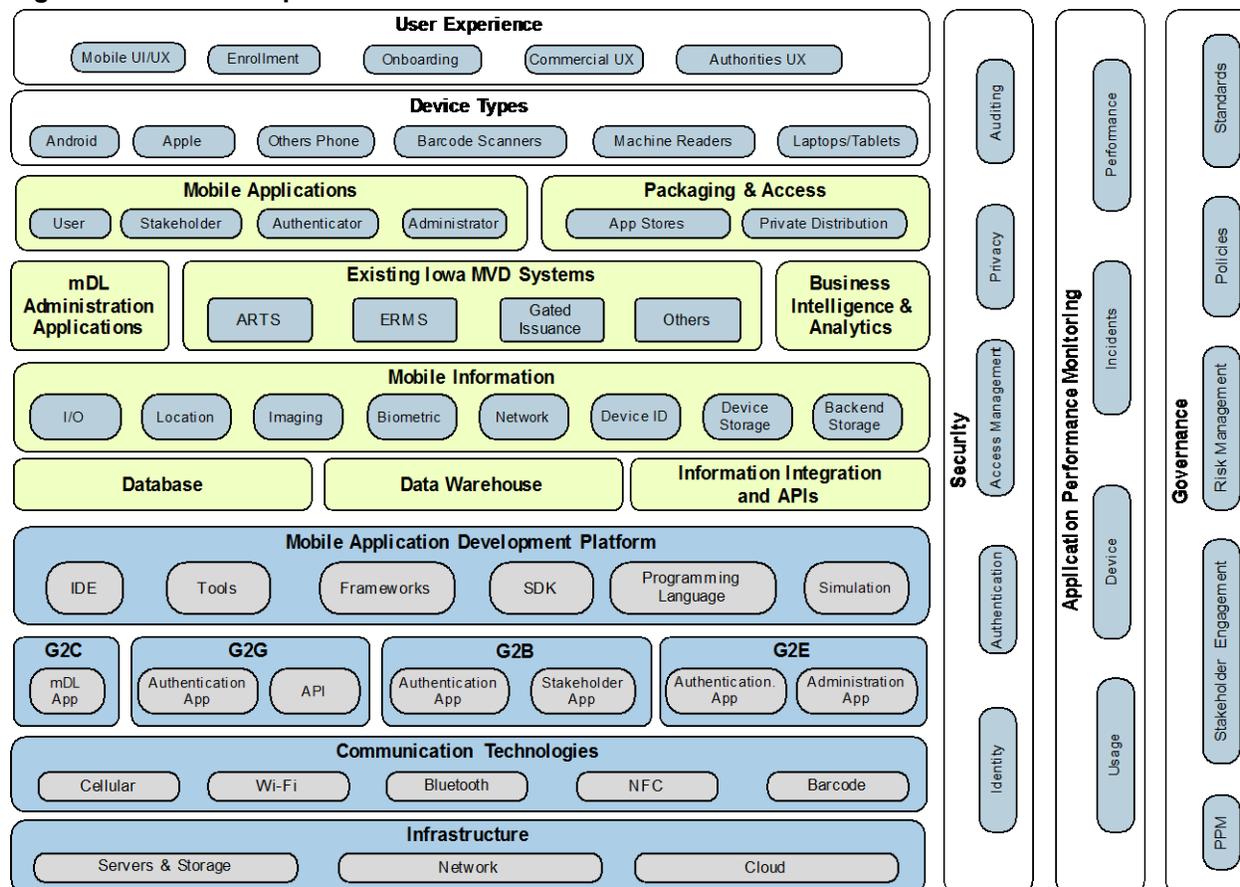
3.3 Current Environment

The Motor Vehicle Division of the Iowa Department of Transportation uses a computer system called Archon Registration Titling System (ARTS) as its system of record for the issuance driver licenses/ID. The mDL infrastructure will need to integrate with ARTS using web service APIs.

3.4 Conceptual Architecture

The Conceptual Architecture presented in Figure X, provides a high level view of the required architectural capabilities for the mDL. A discussion of each of these architecture domains and areas, including constituent components for each, follows below.

Figure 1. mDL Conceptual Architecture



3.4.1 User Experience

User experience (UX) applies to the user interface/UX for the smart phone device where the mDL application resides, as well interfaces for Iowa DOT systems used for enrollment and onboarding new mDL users. User experience is also applicable to devices that may be used by retail/commercial entities and law enforcement officials to authenticate mDL user identity.

3.4.2 Devices

Devices refer to the electronic and computing equipment necessary to enable mDL functionality and interfacing with the mDL “in the field”. Devices include the following:

- Smartphones provide mobility capability in a small form factor type device.
- Barcode scanners interface with DL barcodes to automate information transcription.
- Machine readers interface with the mDL to authenticate and automate information transcription.
- Laptops, tablets or their peripherals may interact with the mDL Program as well in other contexts

3.4.3 Mobile Applications

Refers to the suite of mobile applications available as part of the mDL Program and the method by which these applications are packaged and accessible to end-users. Mobile applications also include software that enables scanners and readers to perform required user authentication and verification functions.

3.4.4 Enterprise, Departmental & BI Applications

This architectural domain refers to applications and systems that play a role in the mDL program, including:

- Applications that will be developed to provide administrative capabilities to support the mDL Program.
- Existing DOT systems and applications that will serve as systems of record for driver information and will need to interface with the mDL application.
- Business Intelligence & Analytics systems providing insight and reporting on the mDL program.

3.4.5 Mobile Information

The mobile information domain refers to information inputs, outputs, sources, sensors and storage methods necessary to support the mDL application. Mobile information may include device ID and location data, biometric and imaging information, and device and back office data storage. As the mDL use cases prescribe, any data used to authenticate/validate a user's identity will be transitory in nature – to be used only for a specific transaction. The DOT will strictly safeguard user privacy and has no intention of maintaining or exchanging user-sensitive data used in the mDL solution.

3.4.6 Mobile Application Development

Mobile application development refers to the tools needed to develop and test applications for use in different mobile devices. Mobile application development platforms (MADPs) may include native toolkits, web toolkits, specialized platforms. However, native toolkits may be preferable to accommodate security constraints and required access to device hardware APIs.

3.4.7 Mobile Services

Mobile services provide for the packaging and delivery of services/functionality to or between one of several target consumers of services, including customers/drivers, other Government departments, business organizations, and DOT employees.

3.4.8 Communications Technologies

Communications technologies that provide accessibility for other devices to interface with mDL devices and include cellular, data networks, Wi-Fi, Bluetooth, NFC and barcodes.

3.4.9 Infrastructure

The infrastructure domain refers to the foundational capabilities for mobile application and end user platform to be most effective and efficient in a mobile environment and include servers, storage, network, cloud etc.

3.4.10 Security

This domain refers to security capabilities central to the management and operations of the mDL Program to ensure a secure and protected mobility environment for mDL users. These capabilities include, but are not limited to: identity, access management, authentication, privacy and auditing.

3.4.11 Application Performance Monitoring

This domain refers to capabilities that provide analytics and metrics necessary to continually assess and drive efficiency and effectiveness of mDL solution. The mobile application performance monitoring component must be capable of measuring device characteristics, usage patterns, incidents and crash analysis and mobile application performance.

3.4.12 Governance

The governance domain encompasses stakeholder engagement, project and portfolio management, mobile policies and standards. These governance capabilities help establish a clear shared understanding of how decisions will be made concerning the development and execution of the mDL program.

3.5 mDL Use Cases

The Iowa DOT has prepared a set of detailed and prioritized “core” and “contextual” use cases to help illustrate the desired functionality for the initial release of the mDL application. In developing these use cases, the DOT has attempted to prescribe the basic required process flow and user interaction details without being overly specific as to how the mDL solution will achieve the desired functionality. Detailed core mDL use cases are foundational and represent the minimal functionality required for the mDL to operate. Additionally, core use cases are required to enable the functionality and processes defined in all contextual use cases.

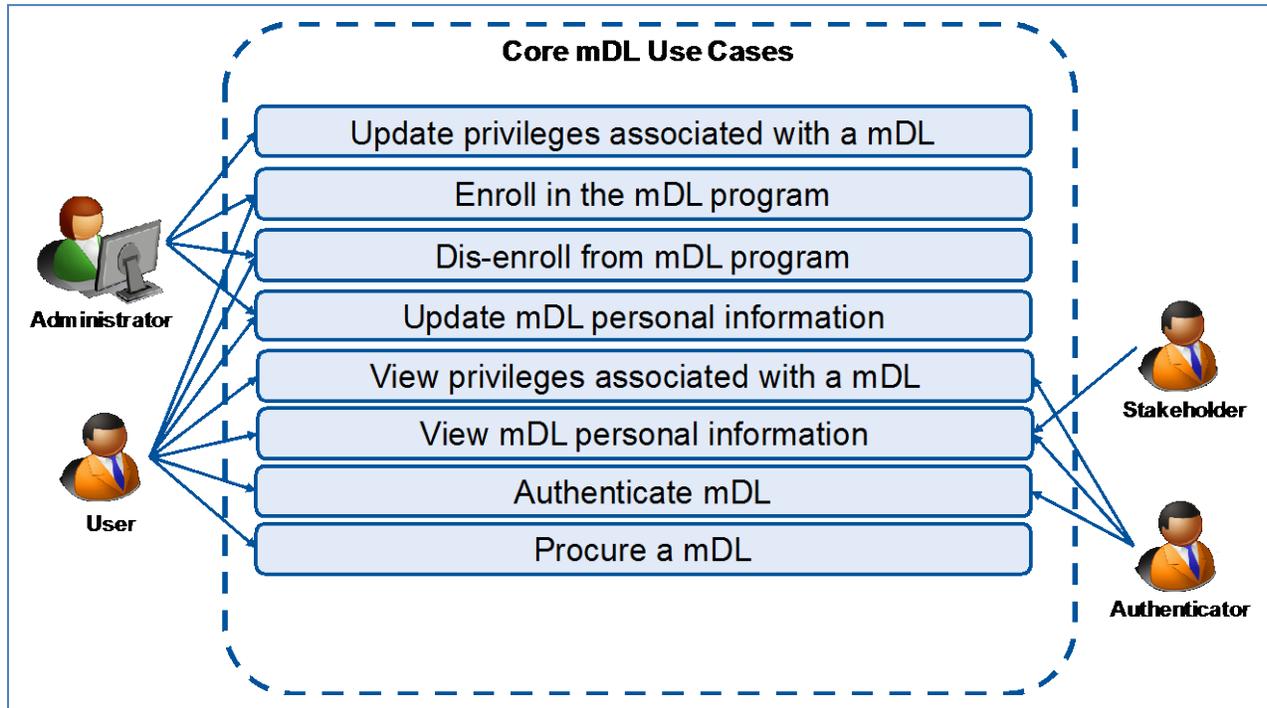
The detailed contextual use cases help define the interactions between mDL users, the Iowa DOT and stakeholders in a number of broader contexts. These use cases include description detailed workflows and identification of relevant contexts.

A set of additional use cases, deemed by the Iowa DOT to be of secondary importance to the initial mDL. These supplemental use cases are less detailed and are provided for information purposes only at this time, as the functionality outlined may be considered for future enhancements of the mDL application.

3.5.1 Core Use Cases

A map of core use cases for the mDL is presented in Figure 2, below. Each of these use cases are in scope for this procurement.

Figure 2. Core Use Case Map for the mDL

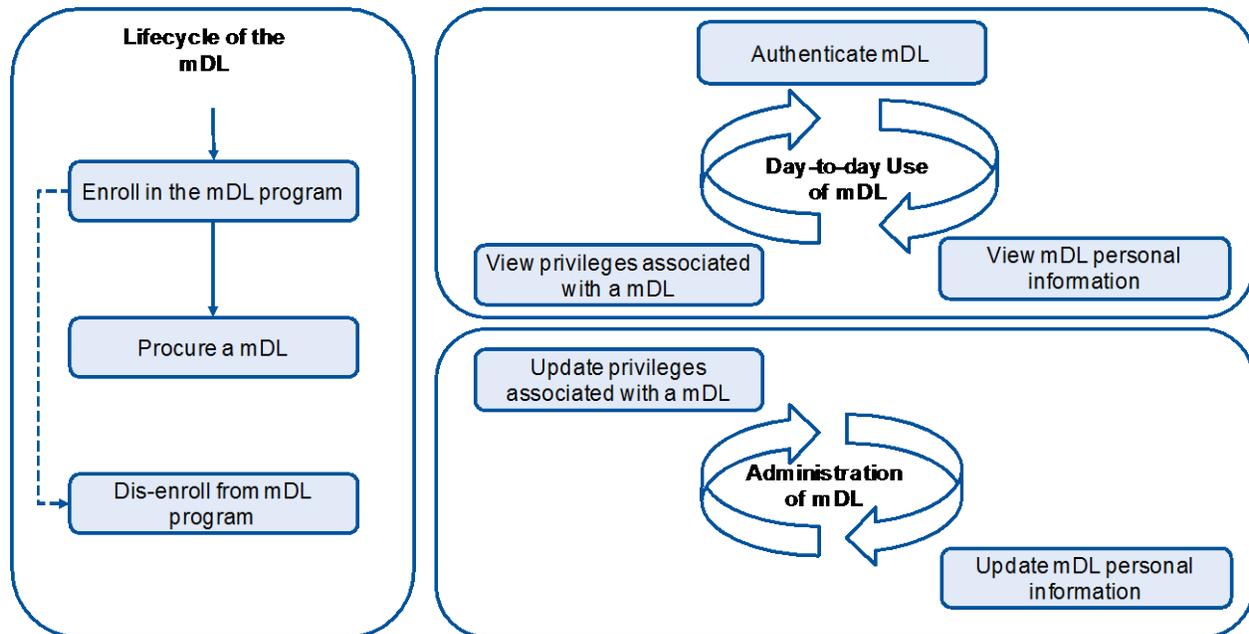


For reference, the high-level “actors” identified in core or contextual use cases include:

- **User.** An individual that is actively engaged in using the mobile driver’s license (mDL).
- **Authenticator.** An individual or organization that is using the mobile driver’s license (mDL) to authenticate a User’s identity and/or validate with customer records maintained by the mDL Administrator.
- **Administrator.** An individual or organization that administers the mobile driver’s license (mDL) program and can create, read, update, provision, and revoke a Users’ mDL.
- **Stakeholder.** An individual or organization that does not authenticate a user’s identity, but still uses or interfaces with the mDL as part of its workflow – for example, to record an mDL user’s information as part of a bank or rental application

Figure 3, provides a lifecycle view of the core mDL use cases, to help clarify the overall mDL process and interrelationship between core use cases.

Figure 3. Core mDL Use Case Lifecycle



3.5.1.1 Core Use Case 1 – Enroll in the mDL Program

| | |
|-------------------------------|--|
| Actor(s) | User, Administrator |
| Purpose and Objectives | To allow a prospective mDL User (mDL Applicant) to enroll in the program. This Use Case is initiated by the end-user and is the first stage in the mDL lifecycle. |
| Trigger Events | The mDL Applicant requests a mDL |
| Precondition | The User not already enrolled in the mDL program and the User owns a compatible mobile device |
| Post Condition | The User is either enrolled or rejected from the mDL program |
| Associations | Procure the mDL |
| Use Case Flow Overview | The User requests to be enrolled in the mDL program, the Administrator determines if the user will be enrolled The Administrator gathers the required information and initiates the issuance of the mDL. The User may also be rejected from enrollment if they are not eligible. |

In-person Enrollment – Process Flow Details

1. The User visits an Iowa DOT office and interacts with an mDL Administrator.
2. The User requests to enroll in the mDL program.
3. The Administrator verifies the User’s identity.
4. The Administrator determines if the User is eligible for the mDL Program.
5. The User reviews and accepts disclaimers, terms and conditions.
6. The User fills out a mDL enrollment form.
7. The Administrator associates the User’s mDL with an existing DOT customer record (e.g. a traditional driver’s license) or creates a new one if an existing DOT customer record does not already exist.

8. The Administrator completes the enrollment.
9. The User receives a secure credential for authenticating the User's identity
10. The User is sent instructions for acquiring the mDL application on various supported platforms.

In-person Enrollment – Alternate Use Case and Termination Conditions

Step 3: The Administrator verifies the User's identity

- If the Administrator is unable to verify the User's identity the Use Case Flow is terminated.

Step 4: The Administrator determines if the User is eligible for the mDL Program.

- If the User is not eligible the Administrator informs the User that they are not eligible and the Use Case flow is terminated.

Step 5: The User reviews and accepts disclaimers, terms and conditions.

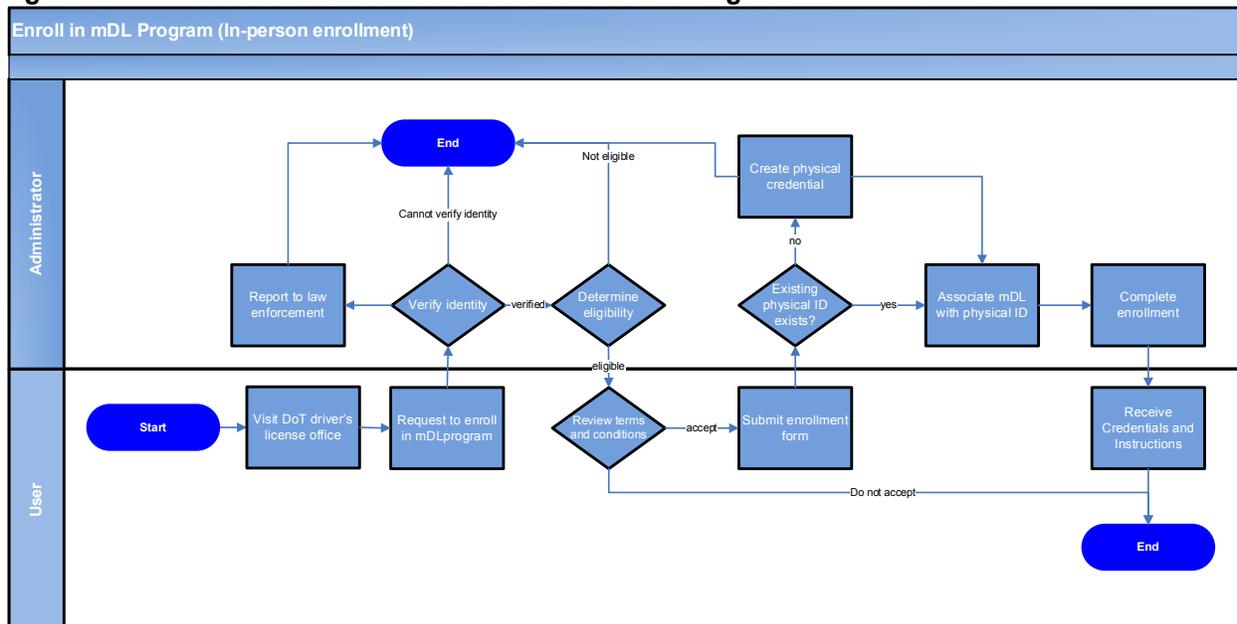
- If the User does not accept the terms and conditions the Use Case flow is terminated.

Steps 1-8: User Cancellation

- The User may withdraw from the enrollment process at any point, in which case the Use Case flow is terminated and any documentation or records created are discarded.

See Figure 4 for the use case flow diagram associated with the above process steps.

Figure 4. In-Person Enrollment – Use Case Flow Diagram



Online Enrollment – Process Flow Details

1. The User uses a web browser to enroll online.
2. The User requests to enroll in the mDL program.
3. The User's identity is verified.
4. The User's eligibility for the mDL Program is checked.

5. The User reviews and accepts disclaimers, terms and conditions.
6. The User fills out and submits a mDL enrollment form.
7. The User's mDL is associated with an existing DOT customer record (e.g. a traditional driver's license) or the User is directed to enroll in-person if an existing DOT issued credential does not exist.
8. The enrollment information is validated and the enrollment is completed
9. The User receives a secure credential for authenticating the User's identity
10. The User receives instructions for procuring the mDL application on various supported platforms

Online Enrollment – Alternate Use Case and Termination Conditions

Step 3: The User's identity is verified

- If verification of the User's identity fails, the Use Case Flow is terminated.

Step 4: The User's eligibility for the mDL Program is checked.

- If the User is not eligible the User is informed that the User is not eligible and the Use Case flow is terminated.

Step 5: The User reviews and accepts disclaimers, terms and conditions.

- If the User does not accept the terms and conditions the Use Case flow is terminated.

Step 8: The enrollment information is validated and the enrollment is completed

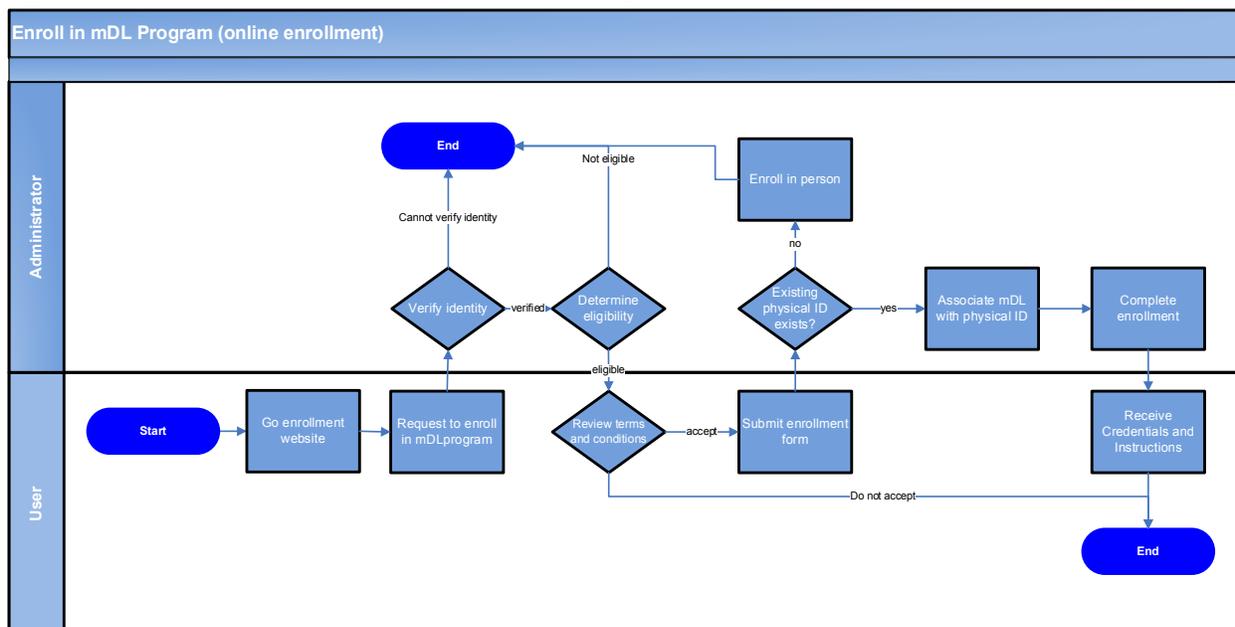
- If the enrollment information is invalid, the User is informed and the Use Case flow is terminated.

Steps 1-8: User Cancellation

- The User may withdraw from the enrollment process at any point, in which case the Use Case flow is terminated and any documentation

See Figure 5 for the use case flow diagram for the online enrollment process.

Figure 5. Online Enrollment – Use Case Flow Diagram



3.5.1.2 Core Use Case 2 – Procure an mDL

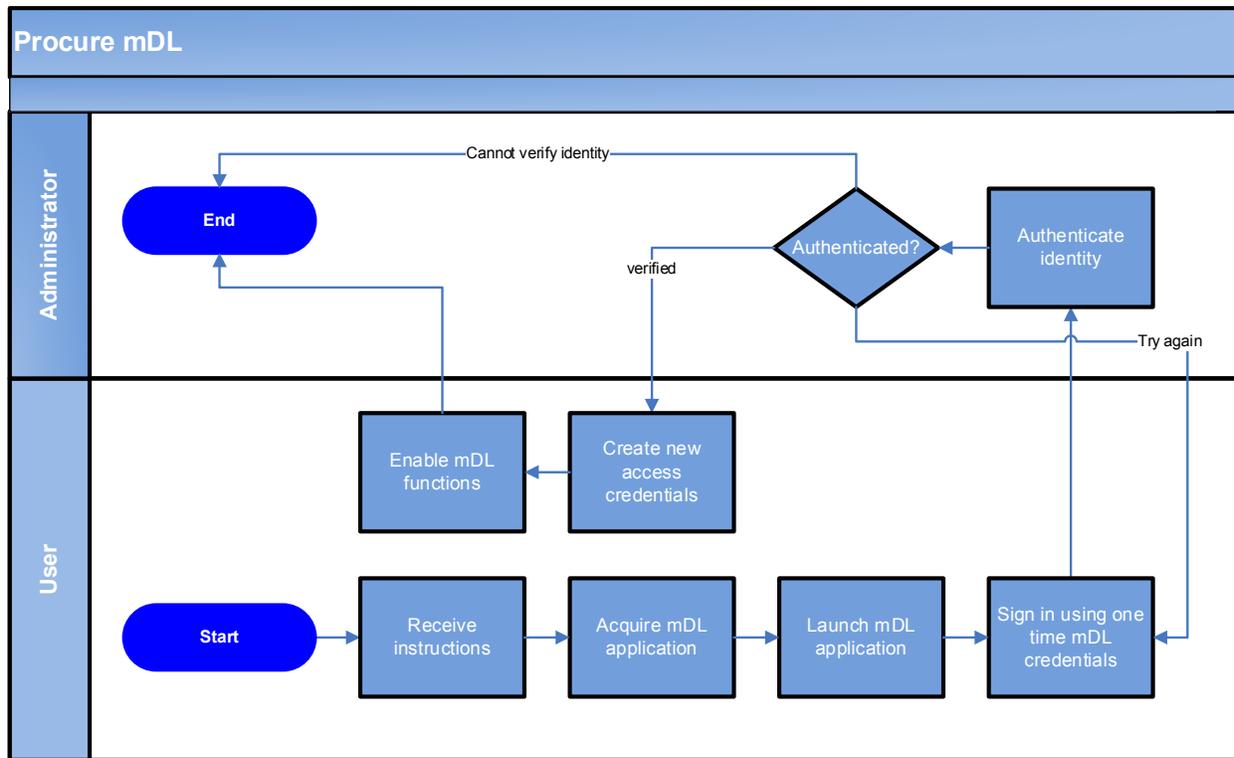
| | |
|-------------------------------|--|
| Actor(s) | User |
| Purpose and Objectives | For a User mDL to reside on the User's mobile device |
| Trigger Events | The User is notified that their mDL has been issued |
| Precondition | The User has been issued the user a mDL |
| Post Condition | The User's mDL identification now resides on the User's mobile device |
| Associations | Enroll in the mDL program |
| Use Case Flow Overview | <ul style="list-style-type: none">• The user receives the instructions and credentials required to load the mDL identification on to their mobile device• The User follows the instructions and succeeds in loading the mDL onto their mobile device. |

Procure an mDL – Process Flow Details

1. The user receives instructions describing to load the mDL identification on to their mobile device
2. The User acquires the mDL application
 - a. This may be built into the mobile platform, in which case the user would have to enable the mDL functionality
 - b. This may be enabled by downloading and installing an app residing in a vendor's app store
3. The User launches the mDL application
4. The User authenticates their identity through the mDL application using the secure credential created during enrollment
5. The User creates a new credential for controlling access to the mDL
6. The mDL display and authentication functions are enabled

See Figure 6 for the use case flow diagram associated with the above process steps for procuring an mDL.

Figure 6. Procure an mDL – Use Case Flow Diagram



3.5.1.3 Core Use Case 3 – Update Privileges Associated with an mDL

| | |
|-------------------------------|---|
| Actor(s) | Administrator, User, Authenticator |
| Purpose and Objectives | To associate the User’s privileges with the User’s mDL |
| Trigger Events | The Administrator is notified that the User has new privileges to be associated with the mDL |
| Precondition | The User has been issued a mDL |
| Post Condition | The required privileges have been associated with the mDL and the authenticity of privileges can be verified by Authenticators |
| Associations | Enroll in the mDL program |
| Use Case Flow Overview | <ul style="list-style-type: none"> ▪ The Administrator associates the privileges with a mDL User ▪ The User is notified that new privileges have been associated ▪ The new privileges can be presented to an Authenticator |

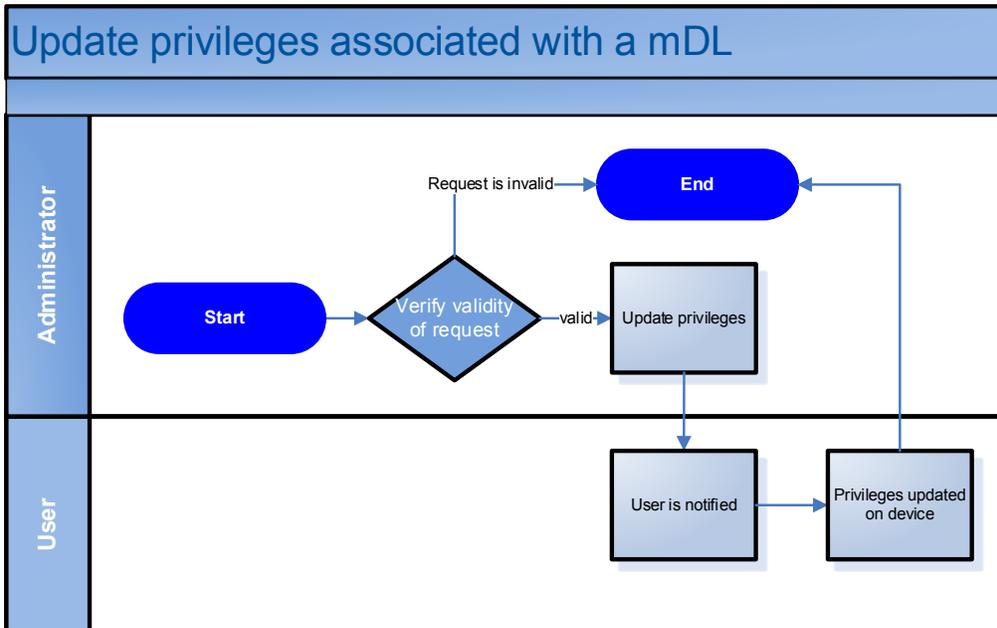
Update Privileges Associated with an mDL – Process Flow Details

1. A request is made to add or remove privileges associated with a User’s mDL. Potential requestors include:
 - a. The User
 - b. An Authenticator
2. The Administrator verifies the validity of the request.
 - a. Alternate Flow: Administrator cannot verify the validity of the request and the Use Case Flow is terminated.

3. The Administrator updates the privileges associated with the mDL.
4. The User's is notified which privileges associated with the mDL have been updated.
5. Added privileges are registered on the mDL such that they can be presented to Authenticators while removed privileges can no longer be presented.

See Figure 7 for the use case flow diagram associated with the above process steps for updating privileges associated with an mDL.

Figure 7. Update Privileges Associated with an mDL – Use Case Flow Diagram



3.5.1.4 Core Use Case 4 – Authenticate an mDL

| | |
|-------------------------------|--|
| Actor(s) | Authenticator, User, Administrator |
| Purpose and Objectives | To verify the authenticity of a mDL credential |
| Trigger Events | The User provides the Authenticator with access to the User's mDL |
| Precondition | The User has the ability to present their mDL |
| Post Condition | The Authenticator has verified the authenticity of the mDL and verified the identity of the mDL owner |
| Associations | Procure a mDL |
| Use Case Flow Overview | The User provides the Authenticator permission to interact with the User's mDL The Authenticator accesses the mDL The Authenticator verifies its authenticity and verifies the identity of the owner Once the interaction is complete, the Authenticator's access to the mDL expires. |

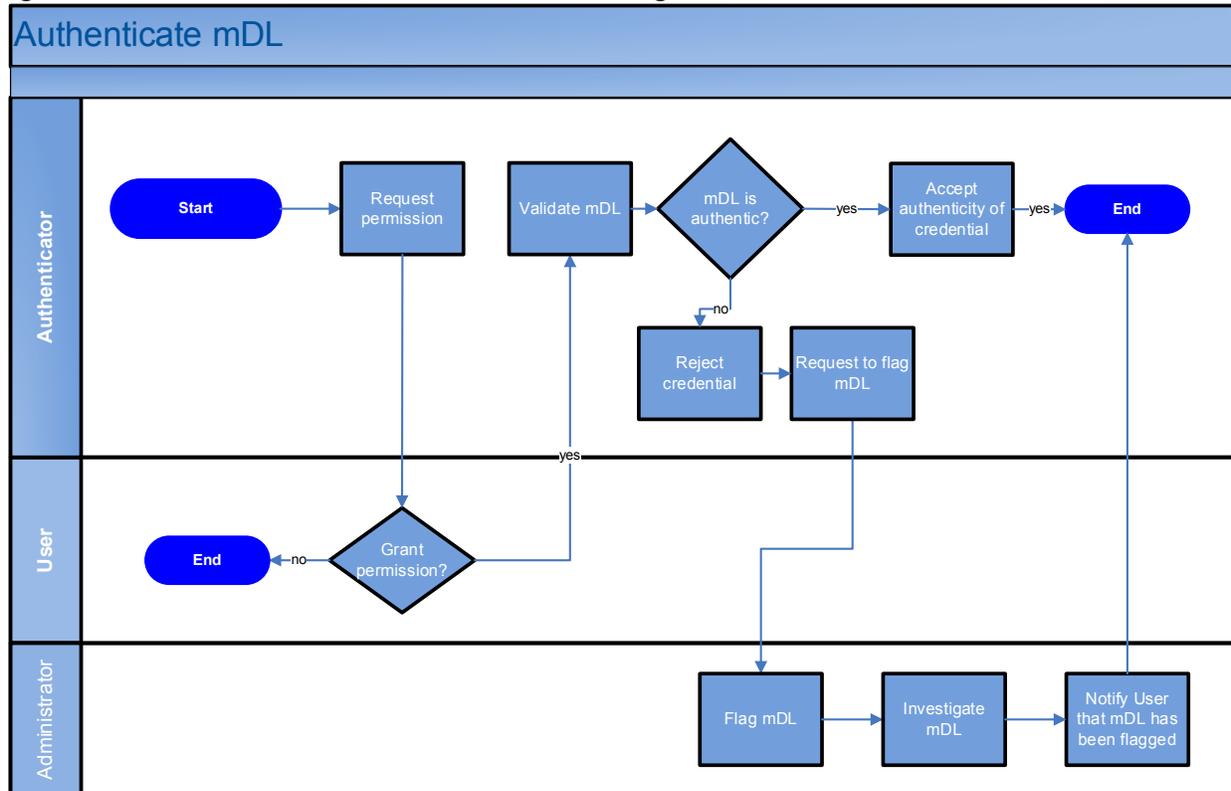
Note: The above is a generic use case that covers the following contexts: connected with digital reader, disconnected with digital reader, disconnected analog. These three specific Use Cases are described in the Contextual Use Cases section.

Authenticate an mDL – Process Flow Details

1. The Authenticator requests permission to authenticate the mDL
2. The User grants the Authenticator permission to authenticate the mDL
 - a. Alternate Flow: User does not grant the Authenticator permission to authenticate the mDL and the Use Case Flow is terminated
3. The Authenticator verifies the authenticity of the mDL
 - a. Alternate Flow: If the mDL is not authentic the mDL will be reported and invalidated by the Administrator
4. The Authenticator verifies the identity of the person presenting the mDL
 - a. Alternate Flow: If the person presenting the mDL is attempting to impersonate an mDL user, the mDL will be reported and invalidated by the Administrator
5. The Authenticator's permission to access the User's mDL expires once the interaction is complete

See Figure 8 for the use case flow diagram associated with the above process steps for authenticating an mDL.

Figure 8. Authenticate an mDL – Use Case Flow Diagram



3.5.1.5 Core Use Case 5 – View Privileges Associated with an mDL

| | |
|-------------------------------|--|
| Actor(s) | Authenticator, User |
| Purpose and Objectives | To verify the privileges of a User using a mDL credential |
| Trigger Events | The User provides the Authenticator with access to view specific privileges associated with the User’s mDL |
| Precondition | The User has provided the Authenticator permission to access the mDL |
| Post Condition | The Authenticator has verified the privileges associated with the mDL |
| Associations | Procure a mDL |
| Use Case Flow Overview | <p>The User provides the Authenticator permission to interact with the User’s mDL and view specific privileges</p> <p>The Authenticator views only the privileges that the User has given permission to view</p> <ul style="list-style-type: none"> ▪ Once the interaction is complete, access to view the mDL and privileges expires |

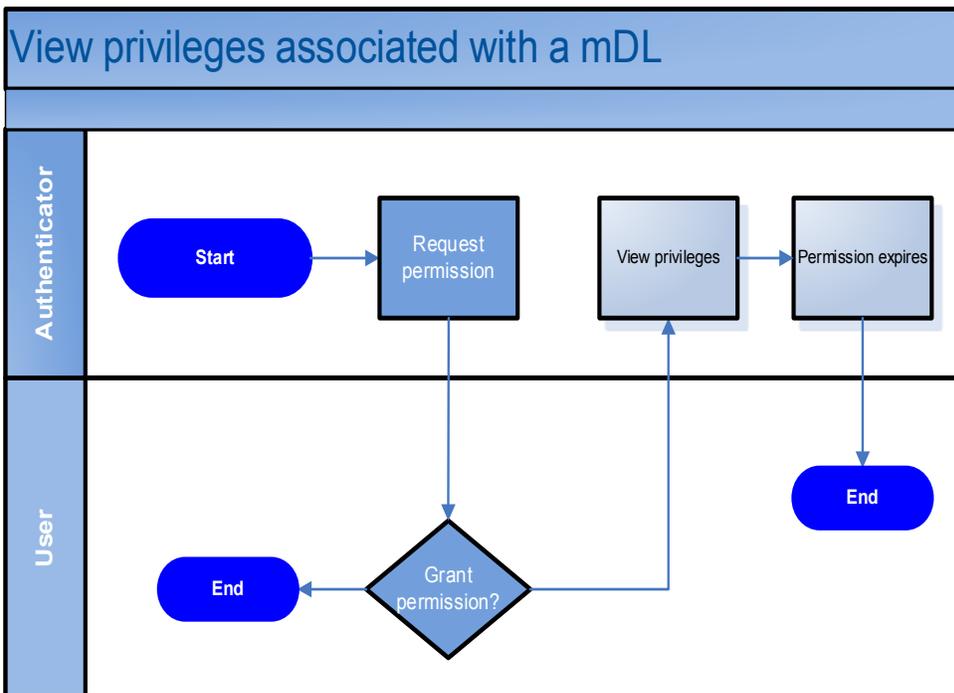
View Privileges Associated with an mDL – Process Flow Details

1. The Authenticator requests permission to access the mDL and view specific privileges associated with the mDL

2. The User grants the Authenticator permission to view the requested privileges
 - a. Alternate Flow: User does not grant the Authenticator permission to view the requested privileges and Use Case Flow is terminated
3. The Authenticator views only the privileges that the user has given permission to view along with a timestamp reflecting the most recent online refresh of these privileges
4. The Authenticator's permission to view the User's privileges expires once the interaction is complete

See Figure 10 for the use case flow diagram associated with the above process steps for viewing privileges associated with an mDL.

Figure 10. View Privileges Associated with an mDL – Use Case Flow Diagram



3.5.1.6 Core Use Case 6 – View mDL Personal Information

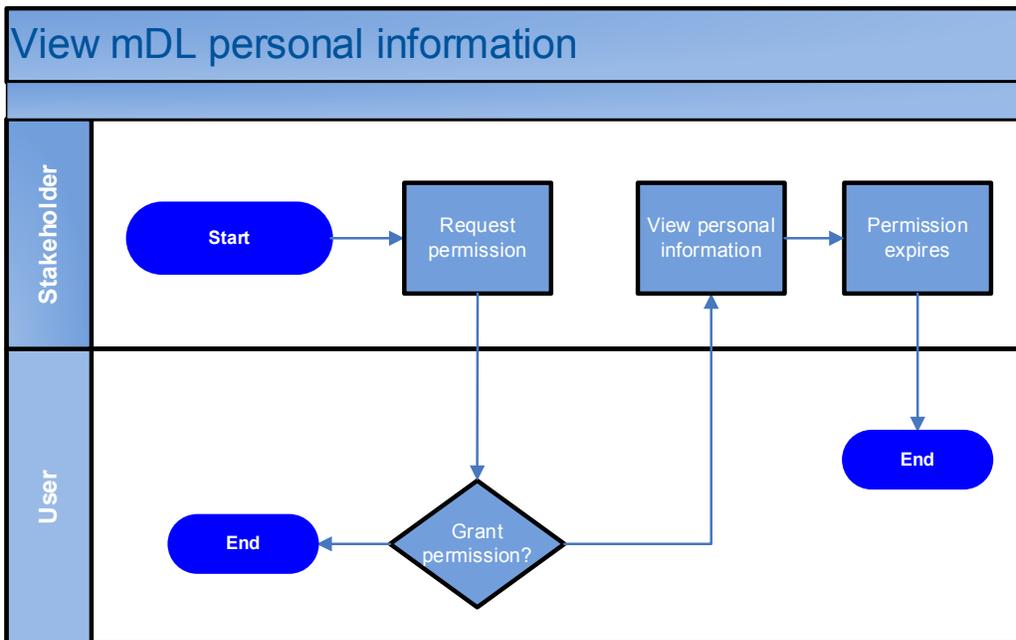
| | |
|-------------------------------|--|
| Actor(s) | Authenticator, User |
| Purpose and Objectives | To view the personal information of a User using a mDL credential |
| Trigger Events | The User provides the Authenticator with access to view personal information associated with the User's mDL |
| Precondition | The User has provided the Authenticator permission to access the mDL |
| Post Condition | The Authenticator has viewed the personal information associated with the mDL |
| Associations | Procure a mDL |
| Use Case Flow Overview | <p>The User provides the Authenticator permission to interact with the User's mDL and view personal information;</p> <p>The Authenticator views the personal information that the User has given permission to view</p> <ul style="list-style-type: none"> ▪ Once the interaction is complete, access to view the mDL and personal information expires. |

View mDL Personal Information – Process Flow Details

1. The Authenticator/Stakeholder requests permission to access the mDL and view specific personal information associated with the mDL.
2. The User grants the Authenticator/Stakeholder permission to view the requested personal information
 - a. Alternate Flow: the User does not grant the Authenticator/Stakeholder permission to view the requested personal information and Use Case Flow is terminated.
3. The Authenticator/Stakeholder views only the personal information that the user has given permission to view.
4. The Authenticator/Stakeholder's permission to view the User's personal information expires once the interaction is complete.

See Figure 11 for the use case flow diagram associated with the above process steps for viewing mDL personal information.

Figure 11 View mDL Personal Information – Use Case Flow Diagram



3.5.1.7 Core Use Case 7 – Update mDL Personal Information

| | |
|-------------------------------|---|
| Actor(s) | Administrator, User |
| Purpose and Objectives | To update personal information associated with a User's mDL |
| Trigger Events | The Administrator is notified that personal information associated with a mDL must be updated |
| Precondition | The User has been issued a mDL |
| Post Condition | The required personal information associated with the mDL has been updated and, Users and Authenticators can verify that the information has been updated |

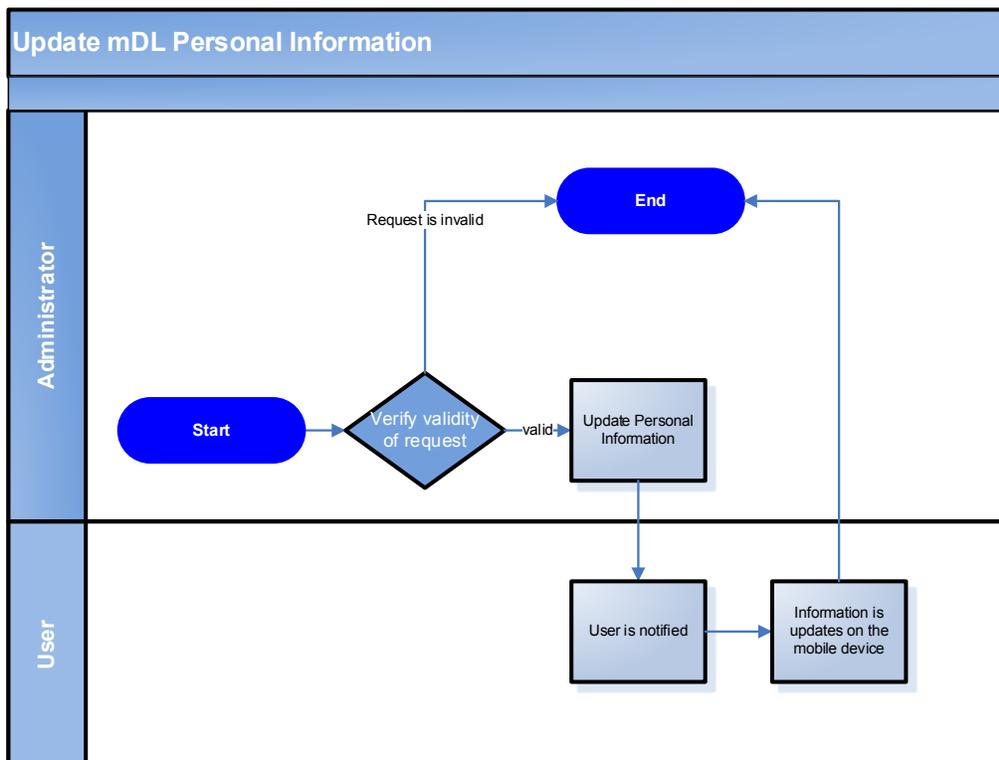
| | |
|-------------------------------|--|
| Associations | Procure a mDL |
| Use Case Flow Overview | <p>The Administrator is notified that personal information associated with a mDL must be updated</p> <p>The Administrator updates the required personal information</p> <ul style="list-style-type: none"> ▪ The user is notified which personal information has been updated |

Update mDL Personal Information – Process Flow Details

1. A request is made to update personal information associated with a User's mDL.
Potential requestors include:
 - a. The User
 - b. The Administrator
 - c. A Stakeholder
2. The Administrator verifies the validity of the request
 - a. Alternate Flow: Administrator cannot verify the validity of the request and the Use Case Flow is terminated.
3. The Administrator updates the personal information associated with the mDL
4. The User is notified which personal information associated with the mDL have been updated
5. The updated personal information is registered on the mDL such that it can be presented to Stakeholders and Authenticators

See Figure 12 for the use case flow diagram associated with the above process steps for updating mDL personal information.

Figure 12 Update mDL Personal Information – Use Case Flow Diagram



3.5.1.8 Core Use Case 8 – Dis-enroll from the mDL Program

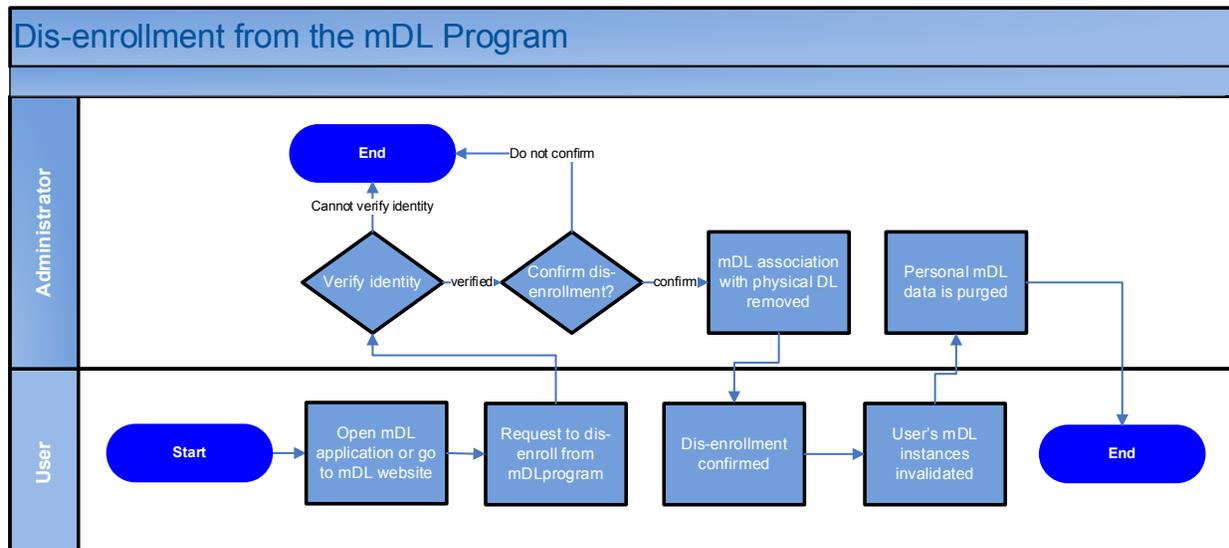
| | |
|-------------------------------|--|
| Actor(s) | User, Administrator |
| Purpose and Objectives | To dis-enroll the mDL Applicant from the mDL program |
| Trigger Events | The mDL Applicant requests to be dis-enrolled from mDL The Administrator decides to dis-enroll a User from the mDL |
| Precondition | The User is enrolled in the mDL program |
| Post Condition | The mDL Applicant is either no longer enrolled in the mDL program |
| Associations | Enroll in the mDL program |
| Use Case Flow Overview | The Administrator is notified that the User should be dis-enrolled The Administrator dis-enrolls the user <ul style="list-style-type: none"> The mDL for the User ceases to exist and cannot be loaded or displayed any more |

Dis-enroll from the mDL Program – Process Flow Details

1. The User opens the mDL application or uses a web browser to dis-enroll online.
2. The User requests to dis-enroll in the mDL program.
3. The User's identity is verified.
4. The User confirms their intent to dis-enroll from the mDL program
5. The User's mDL is no longer associated with an existing DOT issued credential (e.g. a traditional driver's license)
6. The User receives confirmation that they have been dis-enrolled
7. Any mDL instances associated with the User are invalidated.
8. Personal mDL data is purged by the administrator.

See Figure 13 for the use case flow diagram associated with the above process steps for dis-enrolling from the mDL program.

Figure 13 Dis-enroll from the mDL Program – Use Case Flow Diagram



3.5.2 Contextual Use Cases

Contextual use cases describe a series of potential interactions between the mDL user and other individuals and groups, including the following:

- | | | |
|--|--|------------------------------|
| ■ Department of Transportation | ■ Driver's Education | ■ Online Retailers |
| ■ Financial Institutions | ■ TSA and Border Control | ■ Health Care Providers |
| ■ Insurance Industry | ■ Law Enforcement Agencies (in Iowa and elsewhere) | ■ Pharmacies |
| ■ Hunting and Fishing License Agencies | ■ Government and Private Facilities | ■ Social Assistance Agencies |
| ■ Firearms and Ammunition Retailers | ■ Passport and other ID Issuing Agencies | ■ Libraries |
| ■ Weapon Permits | ■ Automobile Dealers | ■ Colleges and Universities |
| ■ Gaming Industry | ■ Auto Rental Agencies | ■ Airlines |
| ■ Alcohol and Tobacco Retailers | | ■ Hotels |
| | | ■ Other travel |

The priority contextual use cases listed below are in scope for this procurement and each are detailed further in the following sections:

1. Scan mDL Barcode
2. Authenticate mDL Manually
3. Authenticate mDL Digitally, in a Disconnected State
4. Authenticate mDL Digitally, in a Connected State
5. Electronically Access mDL Information
6. Record mDL Validation

3.5.2.1 Contextual Use Case 1 – Scan mDL Barcode

| | | | |
|---|--|---|---|
| Example | Allow a law enforcement officer to scan the mDL barcode to retrieve and prepopulate information on a citation associated with the User. | | |
| Benefits | <ul style="list-style-type: none"> • Prepopulate forms • Improve efficiency • Track usage | | |
| Relevant Contexts | <table border="0"> <tr> <td> <ul style="list-style-type: none"> • Department of Transportation • Financial Institutions • Insurance Industry • Hunting and Fishing License Agencies • Firearms and Ammunition Retailers • Weapon Permit • Gaming Industry • Alcohol and Tobacco Retailers • TSA and Border Control Law Enforcement Agencies </td> <td> <ul style="list-style-type: none"> • Passport and other ID issuing agencies • Auto Dealers • Auto Rental Agencies • Health Care Providers • Pharmacies • Social Assistance Agencies • Libraries • Colleges and Universities • Airlines • Hotels • Other travel </td> </tr> </table> | <ul style="list-style-type: none"> • Department of Transportation • Financial Institutions • Insurance Industry • Hunting and Fishing License Agencies • Firearms and Ammunition Retailers • Weapon Permit • Gaming Industry • Alcohol and Tobacco Retailers • TSA and Border Control Law Enforcement Agencies | <ul style="list-style-type: none"> • Passport and other ID issuing agencies • Auto Dealers • Auto Rental Agencies • Health Care Providers • Pharmacies • Social Assistance Agencies • Libraries • Colleges and Universities • Airlines • Hotels • Other travel |
| <ul style="list-style-type: none"> • Department of Transportation • Financial Institutions • Insurance Industry • Hunting and Fishing License Agencies • Firearms and Ammunition Retailers • Weapon Permit • Gaming Industry • Alcohol and Tobacco Retailers • TSA and Border Control Law Enforcement Agencies | <ul style="list-style-type: none"> • Passport and other ID issuing agencies • Auto Dealers • Auto Rental Agencies • Health Care Providers • Pharmacies • Social Assistance Agencies • Libraries • Colleges and Universities • Airlines • Hotels • Other travel | | |
| Actor(s) | Stakeholder, User | | |

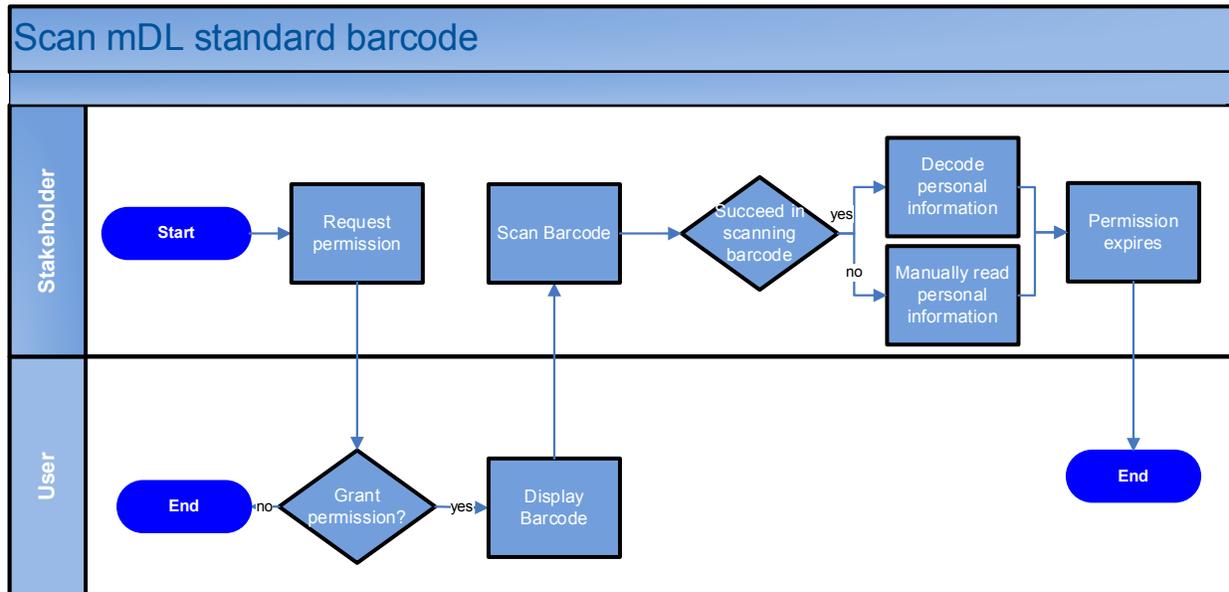
| | |
|-------------------------------|--|
| Purpose and Objectives | To allow the stakeholder to retrieve information associated with the driver's license using a standard 2-d barcode. |
| Trigger Events | The User provides the Stakeholder with the ability to scan a barcode encoding their personal information associated with the User's mDL |
| Precondition | The User has provided the Stakeholder permission to access the mDL |
| Post Condition | The Stakeholder uses a barcode reader to view the personal information associated with the mDL |
| Associations | View mDL personal information |
| Use Case Flow Overview | <ul style="list-style-type: none"> • The User provides the Stakeholder permission to interact with the User's mDL and enables the display of a barcode encoding their personal information; • The Stakeholder scans the barcode and views the personal information that the User has given permission to view • Once the interaction is complete, access to view the mDL barcode expires. |

Scan mDL Barcode – Process Flow Details

1. The Stakeholder requests permission to access the mDL and view specific personal information associated with the mDL
2. The User grants the Authenticator/Stakeholder permission to view the requested personal information and a barcode is displayed which is compatible with the current standard used for the physical DL
 - a. Alternate Flow: the User does not grant the Authenticator/Stakeholder permission to view the requested personal information and Use Case Flow is terminated
3. The Authenticator/Stakeholder scans the barcode which encodes the personal information that the user has given permission to view
 - a. Alternate Flow: if the Stakeholder cannot scan the barcode the will manually read the personal information form the displayed representation of the mDL
4. The Stakeholder's permission to view the User's personal information expires once the interaction is complete

See Figure 14 for the use case flow diagram associated with the above process steps for scanning an mDL barcode.

Figure 14 Scan mDL Barcode – Use Case Flow Diagram



3.5.2.2 Contextual Use Case 2 – Authenticate an mDL Manually

| | |
|-------------------------------|---|
| Example | Allow a law enforcement officer in a rural area without wireless network access to validate a mDL by calling into dispatch and verifying the identity, description and security features of a mDL |
| Benefits | Compatible with existing processes Supported by existing technology Serves as a fall back for situations where digital devices and/or cell network access are not available Also suitable for low risk authentication |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Law Enforcement Agencies ▪ Hunting and Fishing License Agencies ▪ Firearms and Ammunition Retailers ▪ Gaming Industry ▪ Alcohol and Tobacco Retailers ▪ Driver's Education ▪ Auto Dealers ▪ Auto Rental Agencies ▪ Libraries ▪ Colleges and Universities ▪ Hotels |
| Actor(s) | Authenticator, User |
| Purpose and Objectives | To allow the Authenticator to access and validate the authenticity of the mDL, in the absence of digital authentication devices, using visual inspection and traditional means of verification. The material compliance aspects are not reproduced on the mDL. |
| Trigger Events | The User provides the Authenticator with access to the User's mDL |
| Precondition | The User has the ability to present their mDL |
| Post Condition | The Authenticator has verified the authenticity of the mDL and verified the identity of the mDL owner |
| Associations | Authenticate mDL |
| Use Case Flow Overview | The User provides the Authenticator permission to interact with the User's mDL The Authenticator accesses the mDL The Authenticator verifies its authenticity and verifies the identity of the owner using traditional means |

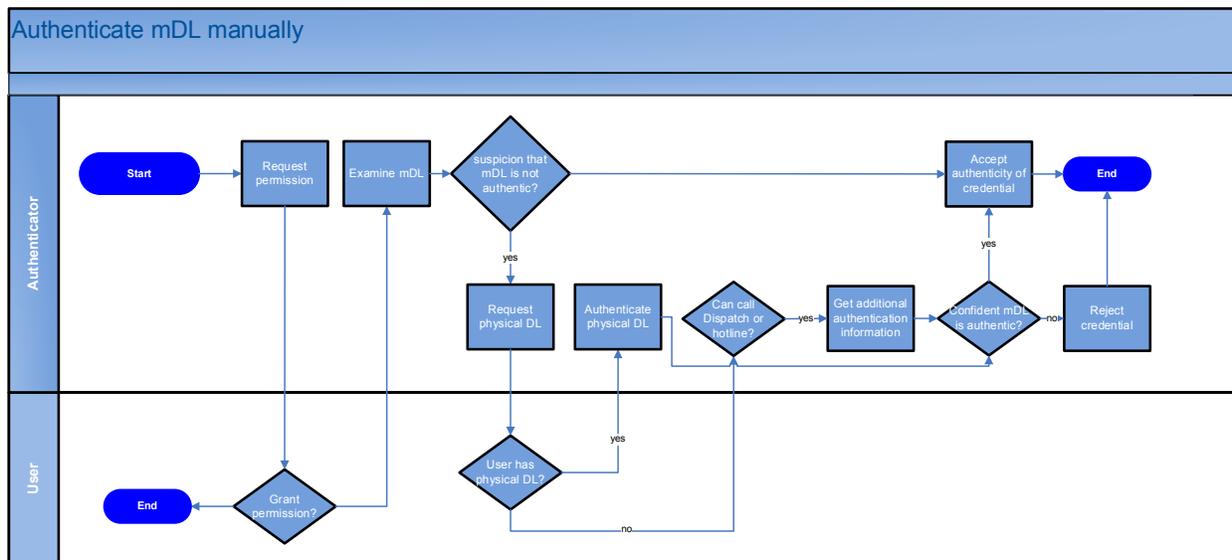
| | |
|--|---|
| | Once the interaction is complete, the Authenticator's access to the mDL expires |
|--|---|

Authenticate an mDL Manually – Process Flow Details

1. The Authenticator requests permission to authenticate the mDL
2. The User grants the Authenticator permission to authenticate the mDL
 - a. Alternate Flow: User does not grant the Authenticator permission to authenticate the mDL and the Use Case Flow is terminated
3. The Authenticator examines the information displayed on the mDL
4. The Authenticator verifies the authenticity of the mDL
 - a. Alternate Flow: If the Authenticator is suspicious that the mDL is not authentic they may request a physical DL or call in to a central dispatch or hotline to obtain additional information to aid in verifying the authenticity of the mDL
 - b. If the DL still cannot be verified, then it is rejected and the Use Case Flow is terminated.
5. The Authenticator verifies the identity of the person presenting the mDL
 - a. Alternate Flow: If Authenticator can still not verify that the person presenting the mDL matches the credential, it will be rejected and the Use Case Flow is terminated.
6. The Authenticator accepts the credential and reads the displayed information.

See Figure 15 for the use case flow diagram associated with the above process steps for manually authenticating an mDL.

Figure 15 Authenticate an mDL Manually – Use Case Flow Diagram



3.5.2.3 Contextual Use Cases 3 – Authenticate mDL Digitally, in a Disconnected State

| | |
|-------------------------------|---|
| Example | Allow a law enforcement officer to access and validate a mDL using a digital device without a network connection |
| Benefits | Prevent fraud Improve security <ul style="list-style-type: none"> ▪ Improve confidence |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Law Enforcement ▪ Hunting and Fishing License Agencies ▪ Firearms and Ammunition Retailers ▪ Weapon permit ▪ Gaming Industry ▪ Alcohol and Tobacco Retailers ▪ Government and Private Facilities ▪ Auto Rental Agencies ▪ Health Care Providers ▪ Social Assistance Agencies ▪ Libraries ▪ Colleges and Universities ▪ Airlines ▪ Hotels ▪ Other travel |
| Actor(s) | Authenticator, User |
| Purpose and Objectives | To allow the Authenticator to digitally access and validate the authenticity of the mDL using an electronic device |
| Trigger Events | The User provides the Authenticator with access to the User's mDL |
| Precondition | The User has the ability to present their mDL and the digital authentication device is in a disconnected state |
| Post Condition | The Authenticator has verified the authenticity of the mDL and verified the identity of the mDL owner |
| Associations | Authenticate mDL |
| Use Case Flow Overview | <p>The User provides the Authenticator permission to interact with the User's mDL</p> <p>The Authenticator accesses the mDL use a digital device</p> <p>The Authenticator verifies its authenticity and verifies the identity of the owner</p> <ul style="list-style-type: none"> ▪ Once the interaction is complete, the Authenticator's access to the mDL expires |

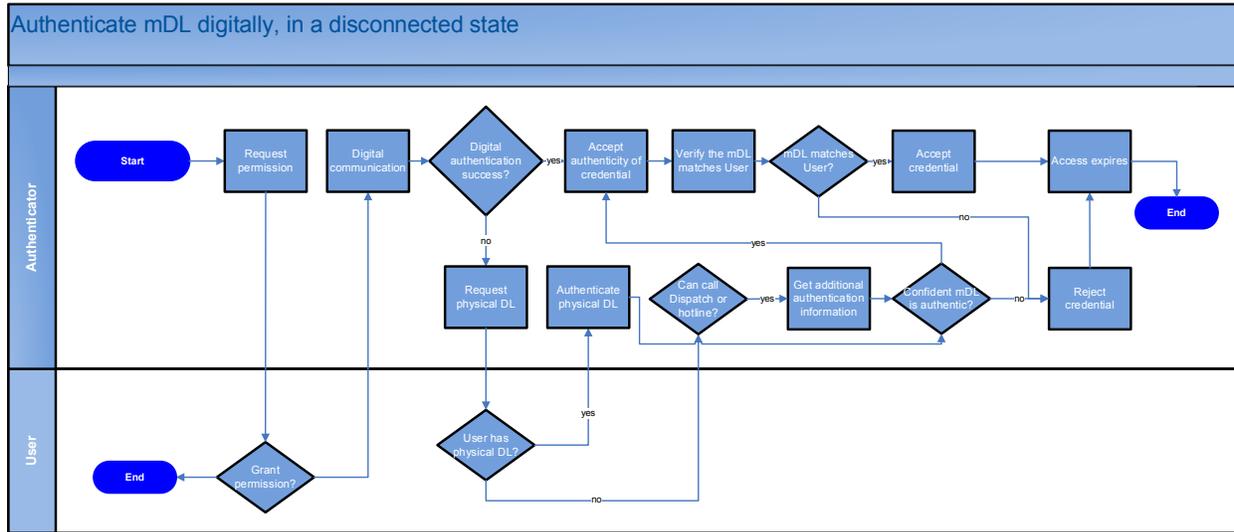
Authenticate mDL Digitally, in a Disconnected State – Process Flow Details

1. The Authenticator requests permission to authenticate the mDL
2. The User grants the Authenticator permission to authenticate the mDL
 - a. Alternate Flow: User does not grant the Authenticator permission to authenticate the mDL and the Use Case Flow is terminated
3. The Authenticator uses a digital device to communicate with the mDL
4. The Authenticator verifies the authenticity of the mDL using the digital device
 - a. Alternate Flow: If the Authenticator is suspicious that the mDL is not authentic they may request a physical DL or call in to a central dispatch or hotline to obtain additional information to aid in verifying the authenticity of the mDL
 - b. Alternate Flow: If the mDL cannot be verified then it is rejected and the Use Case Flow is terminated.
5. The Authenticator verifies the identity of the person presenting the mDL

- a. Alternate Flow: If Authenticator cannot verify that the person presenting the mDL matches the credential, it will be rejected and the Use Case Flow is terminated.
6. The Authenticator's permission to access the User's mDL expires once the interaction is complete

See Figure 16 for the use case flow diagram associated with the above process steps for authenticating an mDL digitally, in a disconnected state.

Figure 16. Authenticate mDL Digitally, in a Disconnected State – Use Case Flow Diagram



3.5.2.4 Contextual Use Case 4 – Authenticate an mDL Digitally, in a Connected State

| | |
|-------------------------------|---|
| Example | Allow a TSA agent to validate a mDL at airport check-points. |
| Benefits | <ul style="list-style-type: none"> ▪ Prevent fraud ▪ Improve security ▪ Improve confidence ▪ Immediate invalidation of impersonated mDL |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ TSA and Border Control ▪ Law Enforcement Agencies ▪ Department of Transportation ▪ Financial Institutions ▪ Insurance Industry ▪ Hunting and Fishing License Agencies ▪ Firearm and Ammunitions Retailers ▪ Weapon permit ▪ Gaming Industry ▪ Alcohol and Tobacco Retailers ▪ Government and Private Facilities ▪ Passport and other ID issuing Agencies ▪ Auto Dealers ▪ Auto Rental Agencies ▪ Health Care Providers ▪ Social Assistance Agencies ▪ Colleges and Universities ▪ Airlines ▪ Hotels ▪ Other travel |
| Actor(s) | Authenticator, User, Administrator |
| Purpose and Objectives | To verify the authenticity of a mDL credential |

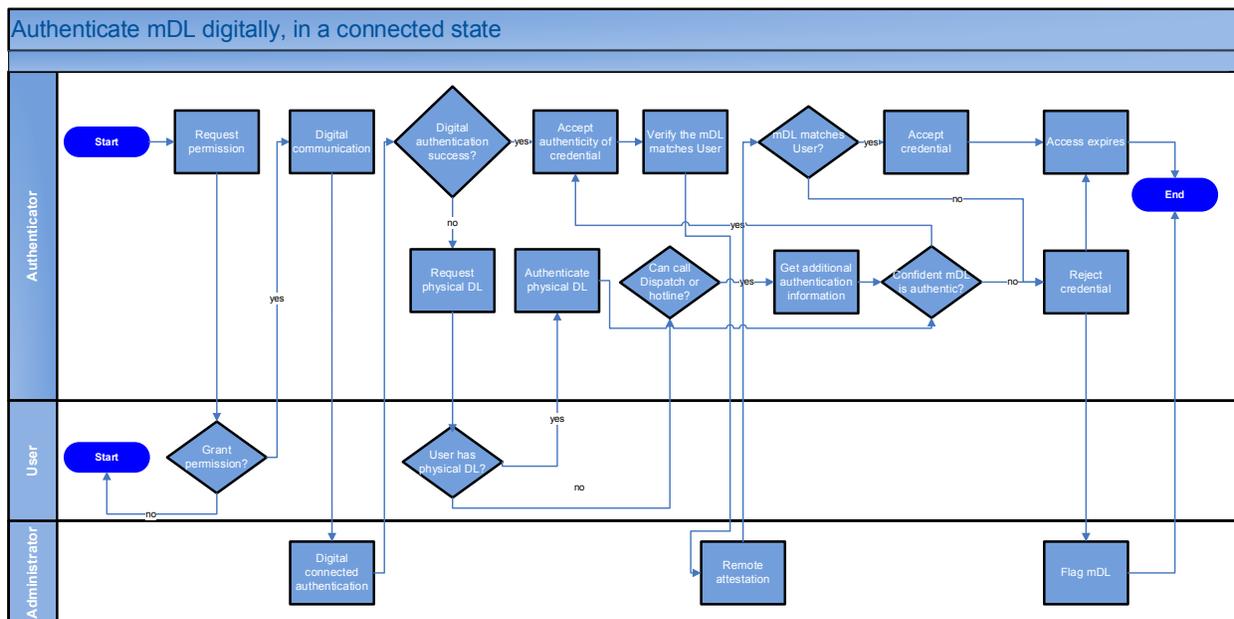
| | |
|-------------------------------|---|
| Trigger Events | To allow the authenticator to access the mDL and to validate the authenticity of the mDL using an electronic device and a remote attestation of the User's identity |
| Precondition | The User has the ability to present their mDL and the digital authentication device is in a connected state |
| Post Condition | The Authenticator has verified the authenticity of the mDL and verified the identity of the mDL owner |
| Associations | Procure a mDL |
| Use Case Flow Overview | <ul style="list-style-type: none"> ▪ The User provides the Authenticator permission to interact with the User's mDL ▪ The Authenticator accesses the mDL ▪ The Authenticator verifies its authenticity and verifies the identity of the owner ▪ Once the interaction is complete, the Authenticator's access to the mDL expires |

Authenticate an mDL Digitally, in a Connected State – Process Flow Details

1. The Authenticator/Stakeholder requests permission to authenticate the mDL
2. The User grants the Authenticator permission to authenticate the mDL
 - a. Alternate Flow: the User does not grant the Authenticator permission to authenticate the mDL and the Use Case Flow is terminated
3. The Authenticator initiates digital communication with the mDL device
4. The Authenticator verifies the authenticity of the mDL by digitally communicating with the Administrator
 - a. Alternate Flow: If the Authenticator is unable to initiate communication, they may request a physical DL or fall back to digital disconnected authentication
 - b. Alternate Flow: If the mDL is not authentic the mDL will be reported and invalidated by the Administrator
5. The Authenticator verifies the identity of the person presenting the mDL by digitally retrieving identification information from the Administrator
 - a. Alternate Flow: If the person presenting the mDL is attempting to impersonate an mDL user, the mDL will be reported and invalidated by the Administrator
6. The Authenticator's permission to access the User's mDL expires once the interaction is complete

See Figure 17 for the use case flow diagram associated with the above process steps for authenticating an mDL digitally, in a connected state.

Figure 17 Authenticate an mDL Digitally, in a Connected State – Use Case Flow Diagram



3.5.2.5 Contextual Use Case 5 – Electronically Access mDL information

| | |
|-------------------------------|---|
| Example | Allow a bank associate to electronically retrieve and prepopulate information associated with the User. |
| Benefits | <ul style="list-style-type: none"> ▪ Prepopulate forms ▪ Improve efficiency ▪ Allows stakeholders to electronically track usage |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Department of Transportation ▪ Financial Institutions ▪ Insurance Industry ▪ Hunting and Fishing License Agencies ▪ Firearms and Ammunition Retailers ▪ Weapon Permit ▪ Gaming Industry ▪ Alcohol and Tobacco Retailers ▪ TSA and Border Control ▪ Law Enforcement Agencies ▪ Passport and other ID Issuing Agencies ▪ Auto Dealers ▪ Auto Rental Agencies ▪ Health Care Providers ▪ Social Assistance Agencies ▪ Libraries ▪ Colleges and Universities ▪ Airlines ▪ Hotels ▪ Other travel |
| Actor(s) | Stakeholder, User |
| Purpose and Objectives | To allow the stakeholder to retrieve information associated with the mDL using electronic communication |
| Trigger Events | The Stakeholder requests permission to electronically access their personal information associated with the User’s mDL |
| Precondition | The User has presented the Stakeholder with an mDL |
| Post Condition | The Stakeholder uses an electronic reader to view the personal information associated with the mDL |
| Associations | View mDL personal information |
| Use Case Flow Overview | <ul style="list-style-type: none"> ▪ The User provides the Stakeholder permission to interact with |

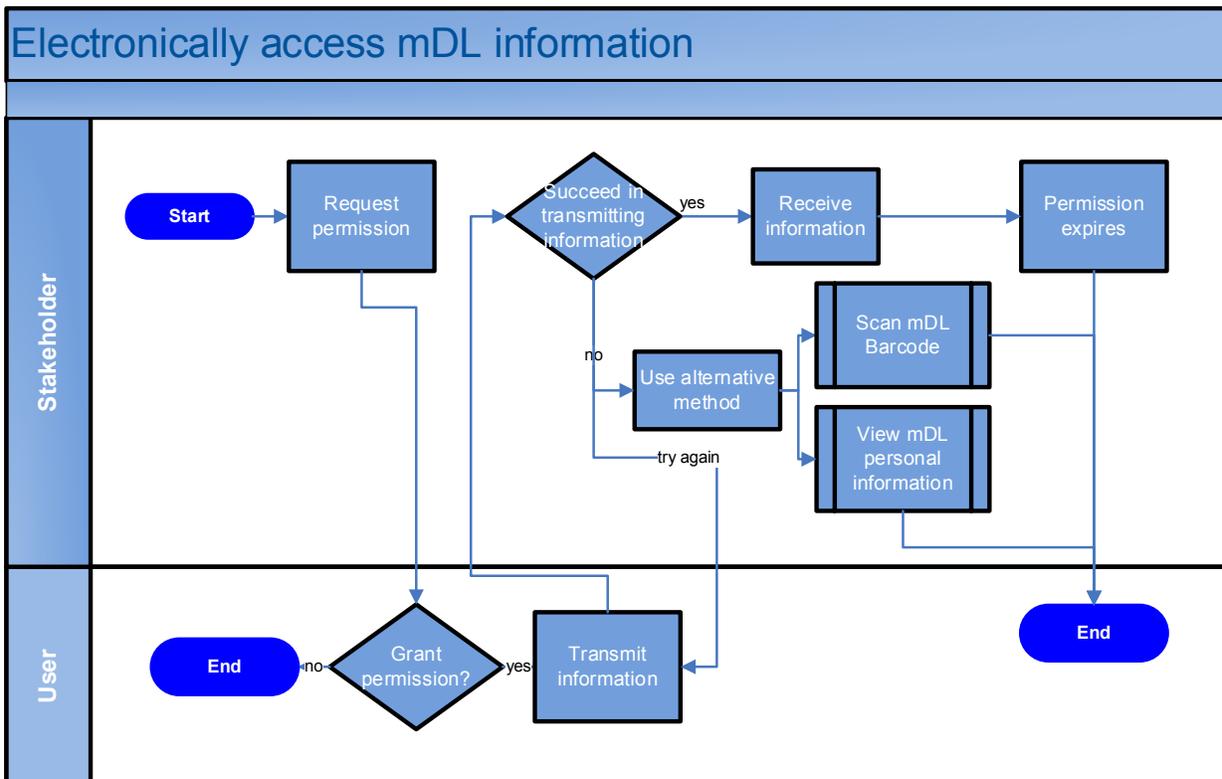
| | |
|--|---|
| | <p>the User's mDL and enables the sharing a subset of their personal information;</p> <ul style="list-style-type: none"> ▪ The Stakeholder receives and views the personal information that the User has given permission to view ▪ Once the interaction is complete, electronic access to view the mDL and its associated information expires. |
|--|---|

Electronically Access mDL information – Process Flow Details

1. The Stakeholder requests permission to access the mDL and view specific personal information associated with the mDL
2. The User grants the Authenticator/Stakeholder permission to view the requested personal information
 - a. Alternate Flow: User does not grant the Authenticator/Stakeholder permission to view the requested personal information and Use Case Flow is terminated
3. The Authenticator/Stakeholder electronically receives only the personal information that the user has given permission to view
 - a. Alternate Flow: if the Stakeholder cannot receive the information they will manually read the personal information from the displayed representation of the mDL or use the barcode scanning functionality
4. The Stakeholder's permission to view the User's personal information expires once the interaction is complete

See Figure 18 for the use case flow diagram associated with the above process steps for electronically accessing mDL information.

Figure 18 Electronically Access mDL Information – Use Case Flow Diagram



3.5.2.6 Contextual Use Case 6 – Record an mDL Validation

| | |
|-------------------------------|---|
| Example | Allow casino security personnel to create an electronic record demonstrating that a particular mDL has been authenticated. |
| Benefits | <ul style="list-style-type: none"> ▪ Demonstrate due diligence ▪ Mitigate risks ▪ Track usage |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Department of Transportation ▪ Financial Institutions ▪ Insurance Industry ▪ Hunting and Fishing License Agencies ▪ Firearms and Ammunition Retailers ▪ Weapon Permit ▪ Gaming Industry ▪ Alcohol and Tobacco Retailers ▪ TSA and Border Control ▪ Law Enforcement Agencies ▪ Passport and other ID Issuing Agencies ▪ Auto Dealers ▪ Auto Rental Agencies ▪ Health Care Providers ▪ Social Assistance Agencies ▪ Libraries ▪ Colleges and Universities ▪ Airlines ▪ Hotels ▪ Other travel |
| Actor(s) | Authenticator |
| Purpose and Objectives | To allow the authenticator to demonstrate that a mDL has been validated |
| Trigger Events | The User provides the Authenticator with access to the User's mDL |
| Precondition | The User has the ability to present their mDL |
| Post Condition | The Authenticator has verified the authenticity of the mDL and verified the identity of the mDL owner |
| Associations | Authenticate mDL |
| Use Case Flow Overview | <ul style="list-style-type: none"> ▪ The Authenticator has validated a mDL ▪ The Authenticator and/or the Administrator store records corresponding to the authentication ▪ The record of authentication is retrieved at a later date to demonstrate that a best efforts have been made to validate a mDL |

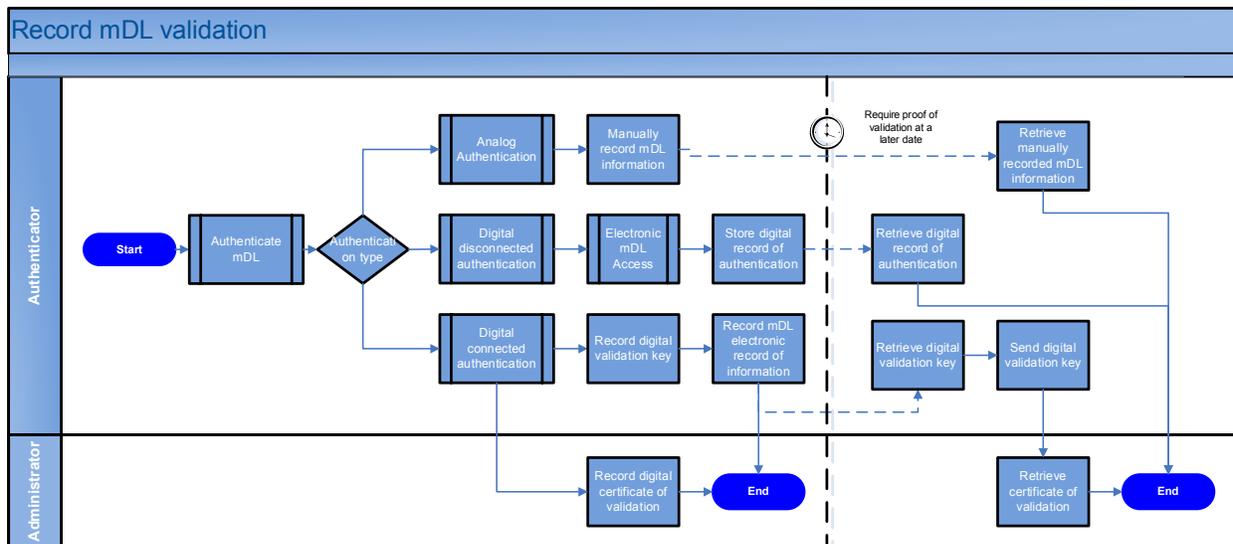
Record an mDL Validation – Process Flow Details

1. An Authenticator verifies the authenticity of the mDL
2. If the Authenticator verifies using:
 - a. Authenticate mDL manually the authenticator manually stores a record of information visible on the mDL
 - b. Authenticate mDL digitally, in a disconnected state the authenticator stores digital record of authentication and information from the mDL
 - c. Authenticate mDL digitally, in a connected state the authenticator stores digital key corresponding to a record of authentication stored by the Administrator. The authenticator may also store information from the mDL.
3. At a later date, proof of the Authenticators best effort may be retrieved

4. The record of authentication is retrieved at a later date to demonstrate that best efforts have been made to validate a mDL
5. The record is retrieved based on the type of authentication used:
 - a. Authenticate mDL manually the authenticator manually retrieves the record of information visible on the mDL
 - b. Authenticate mDL digitally, in a disconnected state the authenticator retrieves the digital record of authentication and information from the mDL
 - c. Authenticate mDL digitally, in a connected state the authenticator retrieves the digital key corresponding to a record of authentication stored by the Administrator. The authenticator retrieves the certificate of authentication for the mDL.

See Figure 19 for the use case flow diagram associated with the above process steps for recording an mDL validation.

Figure 19 Record an mDL Validation – Use Case Flow Diagram



3.5.3 Supplemental Use Cases

The supplemental use cases listed below are not in scope for this procurement. However, as they may be included in future enhancements of the mDL application, they are provided as information that may be considered by vendors in developing the mDL solution architecture.

- Access the mDL from a distance
- Peer mDL Exchange
- Serve as Electronic Identity Credential
- Automated Authentication
- Send Notifications
- License Renewal
- Customer feedback
- Flag mDL abuse

Only basic process flow details are presented for these use cases at this time.

3.5.3.1 Access the mDL from a Distance

| | |
|-------------------------------|---|
| Actor(s) | Authenticator |
| Purpose and Objectives | To allow the authenticator to access the mDL and to validate the authenticity of the mDL at a distance of ten feet or more |
| Example | Allow a law enforcement officer to authenticate and access a mDL from a distance (i.e. their squad car) |
| Benefits | <ul style="list-style-type: none"> ▪ Improve safety ▪ Improve security ▪ Improve confidence |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Law Enforcement Agencies ▪ TSA and Border Control ▪ Government and Private Facilities |

3.5.3.2 Peer mDL Exchange

| | |
|-------------------------------|--|
| Actor(s) | Authenticator |
| Purpose and Objectives | To allow the users or stakeholders to exchange mDL information |
| Example | Allow two mDL Users involved in a traffic accident to exchange license information. |
| Benefits | <ul style="list-style-type: none"> ▪ Convenience ▪ Mitigate risk of fraud |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Insurance Industry ▪ Auto Rental Agency |

3.5.3.3 Serve as Electronic Identity Credential

| | |
|-------------------------------|---|
| Actor(s) | Authenticator |
| Purpose and Objectives | To allow the mDL to serve as a provider of identity for other applications or systems |
| Example | Allow online retailers to prevent fraud by referencing mDL credentials with credit card transactions |
| Benefits | <ul style="list-style-type: none"> ▪ Prevent fraud ▪ Increase confidence ▪ Increase security |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Financial Institutions ▪ Gaming Industry ▪ Online retailers ▪ Insurance Industry ▪ Auto Rental Agencies ▪ Airlines ▪ Other Travel |

3.5.3.4 Automated Authentication

| | |
|-------------------------------|--|
| Actor(s) | Authenticator |
| Purpose and Objectives | To allow for the mDL to be authenticated in an automated manner |
| Example | Allow a 'smart' car to authenticate a potential driver and determine driving privileges and preferences. |

| | |
|--------------------------|---|
| Benefits | <ul style="list-style-type: none"> ▪ Convenience ▪ Improved Security |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Financial Institutions ▪ Insurance Industry ▪ Auto Dealers ▪ Auto Rental Agencies ▪ Government and Private Facilities ▪ Libraries ▪ Colleges and Universities ▪ Airlines ▪ Hotels |

3.5.3.5 Send Notifications

| | |
|-------------------------------|---|
| Actor(s) | Administrator |
| Purpose and Objectives | To allow the Administrator to send messages or notifications to the mDL |
| Example | Allow the DOT to send notifications for missed payments or pending suspensions |
| Benefits | <ul style="list-style-type: none"> ▪ Improved efficiency |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Law Enforcement ▪ Department of Transportation |

3.5.3.6 License Renewal

| | |
|-------------------------------|--|
| Actor(s) | Authenticator |
| Purpose and Objectives | To allow the user to renew and pay for privileges using the mDL |
| Example | Allow a User to renew their mDL privileges or vehicle registration through the mDL application |
| Benefits | <ul style="list-style-type: none"> ▪ Convenience ▪ Improve efficiency |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Department of Transportation ▪ Hunting and Fishing License Agencies ▪ Weapon Permits |

3.5.3.7 Customer Feedback

| | |
|-------------------------------|--|
| Actor(s) | Authenticator |
| Purpose and Objectives | To allow the mDL User to provide customer feedback to the Administrator |
| Example | Allow a mDL user to rate their customer interactions with the DOT |
| Benefits | <ul style="list-style-type: none"> ▪ Convenience ▪ Customer satisfaction ▪ Improve efficiency |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Department of Transportation |

3.5.3.7 Flag mDL Abuse

| | |
|-------------------------------|--|
| Actor(s) | Authenticator |
| Purpose and Objectives | To allow the Authenticator to flag an mDL |
| Example | Allow a retail clerk to flag an mDL being used by an unauthorized user |
| Benefits | <ul style="list-style-type: none"> ▪ Demonstrate due diligence ▪ Mitigate risks ▪ Prevent fraud |
| Relevant Contexts | <ul style="list-style-type: none"> ▪ Financial Institutions ▪ Firearm and Ammunition Retailers ▪ Weapon Permits ▪ Gaming Industry ▪ Alcohol and Tobacco Retailers ▪ Insurance Industry ▪ Auto Dealers ▪ Auto Rental Agencies |

3.6 Scope of Work

The mDL program encompasses services to support the following four unique scopes of work:

- Design and branding
- Implementation and application support
- Independent testing
- Hosting

Vendors may propose to provide services for one or more of these scopes of work. However, vendors chosen to provide implementation and application support services will be excluded from consideration to provide independent testing services. A summary of the scope of work for each set of services is provided in the following sections.

3.6.1 Design and Branding Scope of Work

This work includes all services necessary to effectively brand and market the mDL application and to develop a design with an effective user experience. Specific scope requirements are presented in Table 1.

Table 1. Design and Branding Scope of Work

| mDL Design and Branding Scope of Services | |
|---|--|
| Branding | |
| 1. | Work with Iowa DOT stakeholders to develop a brand strategy for the mDL program |
| 2. | Develop a short, compelling tag line that reinforces the Iowa DOT and mDL brand |
| 3. | Work with Iowa DOT stakeholders to develop brand guidelines for the mDL program that are compatible and complementary to the Iowa DOT's existing brand |
| 4. | Work with the Iowa DOT stakeholders to develop a creative brief to inform and guide design for the mDL program |
| Design | |

| mDL Design and Branding Scope of Services |
|---|
| <ol style="list-style-type: none"> 5. Conduct user and market research 6. Conduct interviews with stakeholders from the Iowa DOT and other mDL stakeholders 7. Propose comprehensive plans for creative services 8. Develop prototypes to rapidly test concepts and gather feedback 9. Refine and iterate designs in response to feedback and to further develop concepts 10. Present concepts through mockups and other conceptual tools 11. Analyze and define mDL business processes 12. Develop detailed requirements documenting the behavior of the mDL application 13. Design a logo for the mDL program and variants for different applications (e.g. light backgrounds, dark backgrounds, grayscale, horizontal orientation, vertical orientation etc.) 14. Develop a font palette for use in the application and in marketing and promotional materials 15. Develop a color palette for use in the application and in marketing and promotional materials 16. Develop templates for documents and stationary for the Iowa DOT mDL program (e.g. business cards, letterhead, envelopes etc.) |
| User Interface |
| <ol style="list-style-type: none"> 17. Develop the mDL user interface to comply with State and Federal accessibility standards and guidelines 18. Design a user interface for both iOS and Android applications 19. Design a user interface for web and administrative consoles 20. Develop user interface wireframe designs and prototypes for review of Iowa DOT stakeholders 21. Conduct usability testing and iterate designs to improve usability |
| User Experience |
| <ol style="list-style-type: none"> 22. Develop the information architecture for the mDL application and administrative consoles 23. Develop mobile-1st brand experience deployment 24. Develop customer/user insights based on qualitative and quantitative research 25. Define and document the customer journey for the mDL program 26. Develop user personas to guide the implementation of the user experience |
| Marketing |
| <ol style="list-style-type: none"> 27. Work with Iowa DOT stakeholders to develop a marketing strategy for the mDL program 28. Work with Iowa DOT stakeholders to develop a marketing plan for the mDL program 29. Develop external and customer communication plans 30. Develop marketing materials and digital marketing assets 31. Develop go-to-market and mDL distribution plan 32. Create promotions strategy and campaigns to drive awareness |

3.6.2 Implementation and Application Support Scope of Work

This work includes all services necessary to develop the mDL application, coordinate testing services, deploy and provide application support services. Specific scope requirements are presented in the Table 2.

Table 2. Implementation and Application Support Scope of Work

| mDL Implementation and Application Support Scope of Services |
|---|
| Project Management |
| <ol style="list-style-type: none"> 1. Prepare resource-loaded and resource-balanced project schedule (to include both vendor and DOT resources) 2. Provide weekly and monthly status reports to DOT project manager and sponsors 3. Develop staffing plan, to include organization chart, project roles and contact information for project manager and other key personnel 4. Develop risk and issues management plan and maintain risk/issues registers 5. Manage project-related documentation in an electronic repository accessible to the vendor and |

mDL Implementation and Application Support Scope of Services

- DOT project team
6. Develop Deliverable Expectation Documents (DED) to establish agreement on content and criteria for all vendor deliverables
 7. Develop change management plan to document protocol for assessment and approval of all proposed changes in scope, schedule or budget

Architecture

8. Develop and maintain Application Architecture
9. Develop and maintain Application Roadmap
10. Develop and maintain release specific Application Architectures
11. Document Functional Architecture
12. Develop Application Integration Architecture
13. Evaluate, recommend, and select software technologies, packages and tools
14. Develop and maintain High Level (e.g. entity vs field) Logical Data Model for Transactional and Reporting requirements

Requirements and Design

15. Develop and document business requirements
16. Develop functional requirements documents, logical and physical data models
17. Conduct value assessments of functional requirements and generate an impact analysis, including affected systems, alternative design scenarios, etc.
18. Define requirements/design standards, documents, deliverables, and test criteria.
19. Create the high-level Design Document from the Business and Functional Requirements
20. Define design standards and documentation
21. Create the detailed Design Document from the Business and Functional Requirements and high-level design
22. Create design to contain security features in compliance with State of Iowa DOT Security Policies, including external and role based security models
23. Provide planned technology design that specifies all components, program modules, data stores, interfaces, interface components and associated operations procedures for the application
24. Document technical requirements, logical and physical data models
25. Develop unit test cases
26. Define implementation and deployment policies, project schedules and staffing requirements to meet deployment and delivery requirements
27. Specify readers and other devices necessary to support required core and contextual use cases

Programming and Development

28. Establish programming, development, and technical documentation policies, procedures, and standards
29. Establish overall programming and development project schedule
30. Adhere to a rigorous SDLC process which ensures the quality and integrity of the developed system
31. Perform all necessary technical design, programming, development, unit and string testing, scripting, configuring or customizing of application modules as required to develop and implement the design plans and specifications
32. Perform application database administration functions
33. Manage all programming and development efforts using industry-standard project management tools and methodologies
34. Conduct predetermined development status reviews and provide written report on results
35. Correct defects found as a result of testing efforts

Migration and Deployment

36. Correct defects found as a result of testing efforts
37. Perform data migration from development systems to testing and QA systems
38. Perform data transformation/masking to prime development/QA systems
39. Deliver user policies and procedures documentation
40. Coordinate deployment and support activities with infrastructure and support parties
41. Conduct post implementation user acceptance
42. Provide system and user documentation
43. Create detailed "Technical Go-Live" plan
44. Create "go/no-go" checklist and conduct the "go/no-go" meetings
45. Deploy system

| mDL Implementation and Application Support Scope of Services |
|---|
| <ul style="list-style-type: none"> 46. Define operations and administration procedures related to code migration 47. Define test-to-production turnover requirements and instructions for each project or release 48. Report on results from test-to-production activities if applicable 49. Migration of code from development to test on an agreed upon basis 50. Track migration status and notification 51. Participate in environment setup new and changed environments 52. Migrate defect correction code during warranty period |
| Change and Configuration Management |
| <ul style="list-style-type: none"> 53. Recommend and define configuration management policies and procedures 54. Perform configuration management activities throughout the development life cycle 55. Recommend procedures associated with authorized project change requests 56. Document and communicate change management processes and procedures 57. Manage documentation changes to the underlying application development environment 58. Provide impact analysis associated with proposed application changes 59. Manage changes to the baseline, project plan, or committed maintenance or enhancement dates |
| Training and Knowledge Transfer |
| <ul style="list-style-type: none"> 60. Develop training and knowledge transfer plan in the project plan 61. Provide technical training assistance and knowledge transfer to support personnel 62. Provide training materials related to the technical aspects of the application 63. Provide continuing end-user training for improving "how-to-use" skills related to mDL systems and application |
| Documentation |
| <ul style="list-style-type: none"> 64. Provide system specifications and documentation 65. Provide system installation, support, configuration and tuning manuals 66. Provide application hardware and system software requirements documentation 67. Provide logical and physical data model documentation 68. Provide End-User documentation 69. Provide system and application security procedures documentation 70. Provide standard operating procedures documentation 71. Prepare updates and release notes |
| 72. Service Level Requirements (Application Support) |
| <ul style="list-style-type: none"> 73. Completion of critical path milestones by scheduled completion date, 95% of the time 74. Completion of non-critical path milestones by scheduled completion date, 90% of the time 75. Less than 1 error/defects per 1000 lines of code found during UAT 76. 100% of functional requirements met, unless omitted or changed requirements are agreed upon by both the vendor and the Iowa DOT 77. Provide reports to measure actual service level against service level requirements |
| Security |
| <ul style="list-style-type: none"> 78. Develop and review the security architecture of the application and supporting systems 79. Use secure coding practices, processes and tools 80. Use code assurance practices, processes and tools and report on industry standard code quality metrics 81. Use industry standard security frameworks and tools 82. Perform security specific user acceptance and QA testing 83. Use only non-production data for testing 84. Conduct internal reviews and testing of application and transmission security mechanisms, and report the results to the Iowa DOT |

3.6.3 Independent Testing Scope of Work

This work includes all services necessary to work with the DOT and its implementation services vendor to test the mDL application to validate that it satisfies required functionality, usability, security and performance requirements. Specific scope requirements are presented in Table 3.

Table 3. Independent Testing Scope of Work

| mDL Testing Scope of Services | |
|--|---|
| Test Policy and Strategy | |
| 1. | Develop and propose a test strategy to align with the project/service request quality assurance goals |
| 2. | Provide Defect tracking system for all tests |
| 3. | Use the Defect tracking system for all development and test activities, and provide access to State of Iowa DOT to view all test activities as well as input Defects as needed |
| 4. | Provide shared access to the mutually agreed Defect tracking system for purposes of allowing State of Iowa DOT to initiate, track, and report State of Iowa DOT's found Defects (i.e., User acceptance testing) |
| 5. | Develop integration, User acceptance and application security testing plans for new and upgraded equipment, software or services |
| Test Planning | |
| 6. | Create test cases, test scenarios perform all appropriate testing (integration testing, system testing, regression testing, performance testing) |
| 7. | Extract production data as requested by State of Iowa DOT applicable to the Test Scenario and the Project |
| 8. | Prepare Test Data specific to the Project and Testing requirements with inputs from State of Iowa DOT |
| 9. | Review and Approve Test Data specific to the Project and Testing requirements |
| 10. | Create integration (end-to-end), user acceptance, performance, stress and regression test plans that are fully documented and repeatable |
| 11. | Develop a detailed functional test plan |
| 12. | Develop a comprehensive testing schedule |
| 13. | Develop tools and templates to document and discuss various Test Results |
| Test Design, Execution, Monitoring, and Control | |
| 14. | Develop acceptance, entry, and exit criteria for various tests and scenarios |
| 15. | Prepare security/vulnerability test plan |
| 16. | Execute security/vulnerability test |
| 17. | Prepare plan for penetration or intrusion testing |
| 18. | Execute penetration or intrusion testing |
| 19. | Provide State of Iowa DOT with security/vulnerability assessment and penetration test results |
| 20. | Perform all testing lifecycle activities as relevant to the project and agreed on by the Project Manager(s) (Test Strategy and Planning, Test Management, Test Measurement and Reporting) or as per the agreement between the Supplier and State of Iowa DOT |
| 21. | Conduct and support all testing lifecycle phases as relevant to the project and agreed on by the Project Manager(s) (Unit, Integration, Functional, System, Regression, Exception, Destruction, User Acceptance) or as per the agreement between the Supplier and State of Iowa DOT |
| 22. | Review/provide for review sample test cases, scenarios, scripts as and when requested by State of Iowa DOT and its internal or external associates prior to development |
| 23. | Coordinate activities and support the user acceptance testing within the agreed on timelines and entry/exit criteria |
| 24. | Log and report defects found as a result of testing efforts to the Project Manager for remediation |
| 25. | Conduct re-testing of corrected Defects found |
| 26. | Assist in conducting selective random independent testing, where the random selection includes some complex modules (i.e., independent verification and validation testing) |
| 27. | Gather and report Quality metrics and Performance Indicators as identified by State of Iowa DOT |
| Test Management | |
| 28. | Ensure that the Testing phases are neither compressed nor compromised to meet the project schedules without prior consent/approvals from State of Iowa DOT |
| 29. | Provide Testing effort estimations during release/iteration/sprint planning exercise |

| mDL Testing Scope of Services |
|--|
| 30. Participate during Iteration/Sprint review meetings 31. Provide status update and report issues during status meetings as organized by the Project Manager 32. Produce timely Testing Status reports as scheduled or on request by State of Iowa DOT appointed Project Manager or on ad-hoc basis as deemed necessary by State of Iowa DOT 33. Participate in team meetings and discussions geared towards improving overall Testing Quality and Standards at State of Iowa DOT as directed by State of Iowa DOT 34. Support State of Iowa DOT with any activities required during any scheduled Testing Performance Assessments/Audits conducted by State of Iowa DOT or any Third Party appointed by State of Iowa DOT |
| System Testing |
| 35. Perform automation of feature specific test cases 36. Execute Performance Testing to validate the set performance goals 37. Execute Regression Testing (automated/manual) as appropriate 38. Support Usability Testing activities including test data preparation, user account setup, and defect management activities 39. Perform automation of feature specific test cases 40. Execute Performance Testing to validate the set performance goals 41. Execute Regression Testing (automated/manual) as appropriate |
| Security Testing |
| 42. Conduct 3rd party reviews and testing of application, transmission and storage security 43. Provide external penetration and white hat security testing of the mDL application and supporting systems 44. Conduct security-specific user acceptance testing and QA 45. Use non-production data for testing 46. Review and spot-check code to ensure that security specific coding practices and standards are being used consistently |

3.6.3 Hosting Scope of Work

This work includes defining service level agreements (SLAs), policies and procedures in conjunction with the DOT, and providing a high availability and secure facility and services to host mDL program applications. This scope also includes services to monitor application availability and provide data backup and restoration. Specific scope requirements are presented in the Table 4.

Table 4. Hosting Scope of Work

| mDL Hosting Scope of Services |
|---|
| General |
| 1. Define hosting policies and procedures in conjunction with State of Iowa DOT. 2. Provide hosting services that support the mDL program applications and technical requirements 3. Provide high availability and secure data center hosting facility to host mDL program applications 4. Provide server hardware and disk storage as agreed by the State of Iowa DOT 5. Comply with State of Iowa DOT policies and standards and regulations applicable to State of Iowa DOT for information, information systems, personnel, physical and technical security 6. Provide data backup hardware, software and media as agreed by State of Iowa DOT 7. Conform to changes in laws, regulations and policies. Major changes shall be proposed on a project-by-project effort basis to alter the environment to conform to the new requirements. 8. Manage infrastructure event and workload processes 9. Provide technical support for all hardware/equipment of the Hosting computing infrastructure |

mDL Hosting Scope of Services

10. Support infrastructure software (e.g., operating systems, utilities, middleware platforms)
11. Support Hosting network operations within the hosting facility (e.g., systems monitoring, problem diagnostics, troubleshooting, resolution and escalation, security management; and capacity planning/analysis)
12. Provide Database administration, data management and storage services
13. Provide data backup and restoration services in accordance with State of Iowa DOT established policies
14. Provide Disaster Recovery services per State of Iowa DOT recovery requirements
15. Provide and support Hosting related environmental elements (e.g., HVAC, UPS, power, cable plant)
16. Provide FedRAMP compliant hosting

Operations and Administration

17. Participate in developing Operations procedures that meet requirements and adhere to defined policies
18. Define and develop operational documentation requirements (e.g., Contact Lists, Operations scripts etc.)
19. Identify Enterprise System Management tools to monitor the infrastructure
20. Perform event management monitoring of the hosted environment to detect abnormal conditions or alarms, log abnormal conditions, analyze the condition and take corrective action
21. Manage hardware, software, peripherals, services and spare parts to meet SLRs, minimize downtime and minimize State of Iowa DOT resource requirements
22. Interface with Help Desk for Incident & Problem Management activities
23. Provide Level 2 and Level 3 support as required (for system software and Basis)
24. Develop and provide operational reports (Daily, Weekly, Monthly) that provide status of operational activities, production issues, and key operational metrics
25. Manage backup media inventory (Tape, Disk, Optical and other media type) including the ordering and distribution of media
26. Perform component backups and associated rotation of media
27. Archive data media at a secure off-site location
28. Ensure ongoing capability to recover archived data from media as specified (backward compatibility of newer backup equipment)
29. Recover files, file system or other data required from backup media as required or requested by State of Iowa DOT
30. Conduct disaster recovery testing per policies and procedures
31. Audit operations and administration policies for compliance with State of Iowa DOT security policies
32. Provide State of Iowa DOT with a copy of or access to any vendor-supplied documentation (including updates thereto)
33. Support applications test-to-production migration activities
34. Performing and managing file transfers and/or other data movement in a secure fashion.
35. Conduct security patching and all upgrades required to maintain Currency.

Monitoring Operations

36. Develop and document monitoring procedures that meet requirements and adhere to defined policies
37. Provide console monitoring, troubleshooting, repair and escalation of problems in the hosted environment
38. Provide preventative measures for proactive monitoring and self-healing capabilities to limit outages that impact service delivery
39. Monitor systems as scheduled and respond accordingly to system messages
40. Provide job scheduling, job execution, reporting and Resolution, taking into account infrastructure and system interdependencies
41. Resolve or assist in resolving application problems in accordance with Service Level Requirements (SLRs). Escalate as required.

| mDL Hosting Scope of Services |
|--|
| 42. Carry out periodic risk assessments and penetration testing and report results to the Iowa DOT |
| Storage and Data |
| 43. Develop and document procedures for performing storage management that meet requirements and conform to defined policies |
| 44. Provide data storage services (e.g., RAID array, SAN, NAS, tape, optical) |
| 45. Monitor and control storage performance according to data management policies |
| 46. Perform data backups and restores per established procedures and service level requirements |
| 47. Maintain and improve storage resource efficiency |
| Electronic Data Exchange Management |
| 48. Perform data and file backups and restores per established procedures and SLRs |
| 49. Provide input processing, for activities such as loading Third Party media (e.g., tape) and receipt and/or transmission of batch files |
| 50. Identify and implement approved opportunities for simplification, consolidation, automation, de-duplication, cost reduction and improved availability and recovery capability for the supported systems |
| 51. Develop and document procedures for performing electronic data exchange that meet requirements and conform to industry standards |
| 52. Provide and support electronic interfaces between the Provider-hosted environments and Third Parties |
| 53. Execute electronic data exchange production and test distribution according to production schedules |
| 54. Monitor all electronic data exchange transactions to ensure proper completion |
| 55. Rerun transactions as required and escalate non-Resolved electronic data exchange transactions |
| 56. Perform recovery operations for electronic data exchange transactions as required |
| System Administration |
| 57. Develop and document in the standards and procedures manual procedures for performing system administration and security requirements that meet State of Iowa DOT requirements and adhere to defined policies. |
| 58. Set up and manage system, service and computer accounts, perform access control, manage files and disk in accordance with policy, industry standards and best practices. |
| 59. Adopt or develop system administrator auditing, monitoring and reporting procedures. |
| 60. Review, approve and audit systems administration procedures. |
| 61. Provide auditable, accurate usage statistics reports that may be used to support chargeback and other reporting requirements. |
| 62. Monitor and control performance and perform tuning as required. |
| 63. Provide support to other teams and Service Providers as required. |
| 64. Approve pre-emptive and remediation activities for security vulnerabilities and threats. |
| Remote Access Services |
| 65. Develop and document Remote Access Services procedures that meet requirements and adhere to defined policies |
| 66. Install, test, provide technical support, administration and security administration for Remote Access Services Equipment and Software |
| 67. Provide testing support for defined applications that will be made available via remote access |
| 68. Provide technical assistance and subject matter expertise as required by State of Iowa DOT infrastructure staff and Third Party Solution Providers for remote access products and solutions |
| 69. Perform system or component configuration Changes necessary to support Remote Access Services in conjunction with State of Iowa DOT security access plan |
| Database Administration |
| 70. Install database software |
| 71. Perform database upgrades, apply bug fixes and security patches which includes on-site patching |

| mDL Hosting Scope of Services |
|--|
| <p>requirements in accordance with change management process</p> <p>72. Evaluate/Test DBMS Software upgrades, bug fixes and apply security patches</p> <p>73. Install and maintain database performance, monitoring and management tools</p> <p>74. Create Databases</p> <p>75. Manage and maintain database configuration parameters</p> <p>76. Create Database objects, jobs, replication scripts/definition when necessary</p> <p>77. Perform database cloning/refreshes</p> <p>78. Provide authorization and user account management standards, procedures, and processes</p> <p>79. Manage database availability and resources.</p> <p>80. Monitor databases for performance and capacity requirements</p> <p>81. Provide database backup and recovery solutions to improve cost, performance and capability to recover</p> <p>82. Manage database backup schedule</p> <p>83. Monitor database backup success</p> <p>84. Perform Database restores, to recover from hardware or database software problems</p> <p>85. Build and Execute Database changes in support of major application or logical database design changes</p> <p>86. Maintain Operational Database Documentation.</p> |
| Database Security Administration |
| <p>87. Maintain database security accesses at database and object level.</p> <p>88. Setup and retain exclusive use of DBMS System Administration ID & privileges.</p> <p>89. Monitor and report user activity</p> <p>90. Monitor, audit, report database administrator activity</p> <p>91. Provide State of Iowa DOT with audit reports</p> <p>92. Perform system vulnerability administration (software version and configurations, software components, security patches)</p> <p>93. Point out operating system vulnerabilities that relate to DBMS version or setup.</p> <p>94. Report any security incidents, intrusions and data breaches (internal or external).</p> |
| Service Level Requirements (see note below for Severity Definitions) |
| <p>95. Production Servers Availability \geq 99.99%</p> <p>96. Non-Production Servers Availability \geq 95%</p> |
| <p>97. Incident Management response times:</p> <p>Severity 1 Incident: less than 15 minutes response 95% of the time, 100% within 30 minutes</p> <p>Severity 2 Incident: less than 15 minutes response 95% of the time, 100% within 60 minutes</p> <p>Severity 3 Incident: less than 2 elapsed hours response 90% of the time, 100% within 4 hours</p> <p>Severity 4 Incident: less than 4 elapsed hours response 90% of the time, 100% within 6 hours</p> |
| <p>98. Incident Resolution Time:</p> <p>Severity 1 Incident: less than 2 elapsed hours to resolution 95% of the time, 100% within 6 hours</p> <p>Severity 2 Incident: less than 4 elapsed hours to resolution 95% of the time, 100% within 8 hours</p> <p>Severity 3 Incident: less than 1 elapsed days to resolution 90% of the time, 100% within 3 days</p> <p>Severity 4 Incident: less than 5 elapsed days to resolution 90% of the time, 100% within 6 days</p> |
| <p>99. Provide reports to measure actual service level against service level requirements</p> |

Severity Levels referenced in the SLA's above for Incident Management Response and Resolution are defined as follows:

- Severity Level 1 - The Incident has caused a complete and immediate stoppage affecting a Critical Function or infrastructure.

- Severity Level 2 - The system is affected in such a way that business functions are severely degraded, or a Critical Function or infrastructure component is operating a significantly reduced capacity or functionality.
- Severity Level 3 - Infrastructure or a business process is affected in such a way that certain non-critical functions are unavailable to end users or the system is degraded.
- Severity Level 4 - An Incident that has little impacts on normal business processes and can be handled on a scheduled basis. A Work-around is available or there is minimal negative impact on a user's ability to use the application.

In addition to the above requirements, the selected hosting vendor is expected to work collaboratively with other mDL program vendors providing testing or application support. The selected hosting vendor is also expected to work collaboratively with the DOT, should the need arise to transition hosting services to different vendor.

3.7 Minimum Qualifications

Specific mandatory functional and non-functional requirements for the mDL are provided in the Appendices A and B. Responders shall describe how the proposed solution will meet or exceed the minimum qualifications.

3.8 Iowa DOT Responsibilities

The Iowa DOT will provide a project manager for overall contract administration and a team for technical oversight. The Iowa DOT will have final approval and acceptance of all deliverables.

Section 4 Form and Content

4.1 Instructions

The following instructions prescribe the format and content of the RFP. They are designed to facilitate a uniform review process. Failure to adhere to the RFP format may result in the rejection of the Responder's Response.

It is the request of the Iowa DOT that the following section headings be used in the Responder responses to this RFP and that they be arranged in the order as listed in the RFP. Responders should provide a table of contents and should label divider tabs. Responses must be in sufficient detail to permit an understanding and comprehensive evaluation of the Responder's Response.

4.1.1 The Response shall be typewritten on 8.5" x 11" paper (bound securely, double sided is allowed) and sent in a sealed envelope.

4.1.2 The Response shall be divided into two parts: (1) the Technical Response and (2) the Cost Proposal. **The Cost Proposal shall be in a separate sealed envelope.**

Example:

Technical Envelope(s) Contain(s):

Original Technical Response & Copies
Electronic copy of the Technical Response

Cost Proposal Envelope Contains:

Original Cost Proposal & Copies
Electronic Copy of the Cost proposal

Public Copy (if submitted)
Electronic Public Copy on same
removable media (if submitted)

The envelopes shall be labeled with the information found on the cover sheet:

***[RFP Title] [RFP Number]
[Issuing Officer's Name]
[Responder's Name and Address]
Iowa Department of Transportation
800 Lincoln Way
Ames, Iowa 50010***

The Iowa DOT shall not be responsible for misdirected packages or premature opening of Responses if a Response is not properly labeled.

4.1.3 One (1) original, one (1) removable media (example: CD or flash drive) each in a sealed envelope, **and** the additional number of copies of the Response defined on the Procurement Timetable in the cover section, shall be timely submitted to the Issuing Agent.

4.1.4 If the Responder designates any information in its Response as confidential pursuant to Section 2.20, the Responder must also submit one (1) copy of the Response from which confidential information has been excised as provided in Section 2.20 marked "**Public Copy**".

4.1.5 Responders may include promotional materials as company information but they shall not take the place of the Response and will not be considered for the award unless they enhance the response to a specific requirement.

4.1.6 Attachments shall be referenced in the Response.

4.1.7 If a Responder proposes more than one method of meeting the RFP requirements, each shall be labeled and submitted separately. Each will be evaluated separately.

4.2 Technical Response

The following documents shall be included in the Technical Response in the order given below:

4.2.1 Transmittal Letter (Required) An individual authorized to legally bind the Responder shall sign the transmittal letter. The letter shall include the Responder's mailing address, electronic mail address, fax number, and telephone number.

Any request for confidential treatment of information shall be included in the transmittal letter in accordance with the provisions of Section 2.20. In addition to the specific statutory basis supporting the request, an explanation why disclosure of the information is not in the best interest of the public is required. The transmittal letter shall also contain the name, address, electronic mail address and telephone number of the individual authorized to respond to the Iowa DOT about the confidential nature of the information.

4.2.2 Table of Contents Responder's should include a table of contents of its Response and submit the check list of submittals per Attachment # 3.

4.2.3 Executive Summary Responder's shall prepare an executive summary and overview of the services and/or goods offered including all of the following information:

4.2.3.1 Statements that demonstrate that the Responder has read, understands and agrees with the terms and conditions of the RFP including the contract provisions in Section 6.

4.2.3.2 An overview of the Responder's plans for complying with the requirements of this RFP. (Including project management approach).

4.2.3.3 Any other summary information the Responder deems to be pertinent.

4.2.4 Company Background Information: provide the following general background information:

4.2.5.1 Name, address, telephone number, fax number and e-mail address of the Responder including all d/b/a's or assumed names or other operating names of the Responder.

4.2.5.2 Form of business entity, i.e., corporation, partnership, proprietorship, limited liability company.

4.2.5.3 State of incorporation, state of formation, or state of organization.

4.2.5.4 The location(s) (including address and telephone numbers) of the offices and other facilities that relate to the Responder's performance under the terms of the RFP.

4.2.5.5 Local office address and phone number (if any).

4.2.5.6 Number of employees.

4.2.5.7 Type of business.

4.2.5.8 Name, address, e-mail address and telephone number of the Responder's representative to contact regarding all contractual and technical matters concerning the Response.

4.2.5.9 Name, address, e-mail address and telephone number of the Responder's representative to contact regarding scheduling and other arrangements.

4.2.5.10 Name, contact information and qualifications of any sub-Contractors who will be involved with this project.

4.2.5.11 Responder's accounting firm.

4.2.5.12 The successful Contractor will be required to register to do business in Iowa before payments can be made. For contractor registration documents, go to: <http://www.iowadot.gov/purchasing>.

4.2.6 Experience

The Responder must provide the following information regarding its experience:

4.2.6.1 Number of years in business.

4.2.6.2 Number of years' experience with providing the types of goods and/or services sought by the RFP.

4.2.6.3 The level of technical experience in providing the types of goods and/or services sought by the RFP.

4.2.6.4 A detailed list of goods and/or services similar in size and scope to those sought by this RFP that the Responder has provided to other businesses or governmental entities within the past three years.

4.2.6.5 References from three (3) previous or current customers or clients knowledgeable of the Responder's performance in providing goods and/or services similar to the goods and/or services described in this RFP and a contact person, e-mail address and telephone number for each reference.

4.2.7 Personnel

The Responder must provide resumes for all key personnel who will be involved in providing the goods and/or services contemplated by this RFP.

The following information must be included in the resumes:

4.2.7.1 Full name.

4.2.7.2 Education.

4.2.7.3 Years of experience and employment history particularly as it relates to the requirements of the RFP.

4.2.8 Financial Information (short list Responders only)

The Responder may be asked to provide the following financial information:

4.2.8.1 Audited financial statements for the last 3 years. Privately held companies may substitute Credit reports.

4.2.8.2 A minimum of three (3) financial references. Privately held companies may substitute: Letters of Reference from the bank.

4.2.9 Terminations, Litigation, Debarment

The Responder must provide the following information for the past five (5) years: (also see Attachment 1)

4.2.9.1 Has the Responder had a contract for goods and/or services terminated for any reason? If so, provide full details regarding the termination.

4.2.9.2 Describe any damages or penalties assessed against or dispute resolution settlements entered into by the Responder under any existing or past contracts for goods and/or services. Provide full details regarding the incident, including the dollar amount of damages, penalties and settlement payments.

4.2.9.3 Describe any order, judgment or decree of any Federal or State authority barring, suspending or otherwise limiting the right of the Responder to engage in any business, practice or activity.

4.2.9.4 A list and summary of all litigation or threatened litigation, administrative or regulatory proceedings, or similar matters to which the Responder or its officers have been a party, if any. The Responder must also state whether it or any owners, officers, or primary partners have ever been convicted of a felony. Failure to disclose these matters may result in rejection of the Response or in termination of any subsequent contract.

4.2.9.5 Any irregularities discovered in any of the accounts maintained by the Responder on behalf of others, describe the circumstances and disposition of resolving the irregularities.

The above disclosures are a continuing requirement of the Responder. The Responder shall provide written notification to the Iowa DOT of any such matter commencing or occurring after submission of a Response, and with respect to the successful Contractor, following execution of the Resulting Contract.

4.2.10 Certification Letter (Attachment 1)

The Responder shall sign and submit with their Response the document included as Attachment 1 (Certification Letter) in which the Responder shall make the certifications included in Attachment 1.

4.2.11 Acceptance of Terms and Conditions

The Responder shall specifically agree that the Response is predicated upon the acceptance of all terms and conditions stated in the RFP. If the Responder objects to any term or condition, the Responder must specifically take exception per the RFP page and section and provide the reason for the objection. Objections or responses that materially alter the RFP may be deemed non-responsive and result in rejection of the Response.

4.2.12 Authorization to Release Information (Attachment 2)

The Responder shall sign and submit with the Response the document included as Attachment #2 (Authorization to Release Information Letter) in which the Responder authorizes the release of information to the Iowa DOT.

4.2.13 Firm Terms

The Responder shall guarantee in writing the availability of the services and/or goods offered and that all Response terms, including price, will remain firm a minimum of 180 days following the deadline for submitting Responses

4.2.14 Work Plan

The work plan should be the Responder's overall approach to meeting or exceeding the requirements of the RFP. In addition to the detail in Section 3, Responder's work plans should include items such as timeline, additional functionality and any other pertinent information that would assist the evaluators in making the final recommended award.

4.3 Schedule of Prices – Cost Proposal

Responders shall provide a cost proposal for the proposed items listed in the **Schedule of Prices**. If applicable, Responders may submit additional pages to the Schedule of Prices to accurately reflect the overall costs of the goods or services proposed. Items with lump sum costs shall include Project Prep, Design, Build, Test Prep, Test, Go-Live, Expenses.

The Iowa DOT reserves the right to purchase any or all items on the Schedule of Prices either individually or as bundled throughout the contract period.

The amounts should exclude state and federal taxes except for taxes required to be withheld for employment purposes. The Iowa DOT is a tax exempt entity. **Cost proposal must be submitted in a separate envelope.**

Section 5 Evaluation and Selection

5.1 Introduction

This section describes the evaluation process used to determine which Responses provide the greatest benefit to the Iowa DOT based on the evaluation criteria in Section 5.4.

5.2 Evaluation Committee

The Iowa DOT intends to conduct a comprehensive, fair, and impartial evaluation of Bid Proposals received in response to this RFP. The Iowa DOT will use an evaluation committee to review and evaluate the Bid Proposals. The Evaluation Committee shall consist of members with; special expertise in procurement of the product(s) and/or service(s) that are the subject of this RFP, knowledge of the Iowa DOT's requirements for these product(s) and/or service(s), or technical expertise in communications, or data processing. Responders may not contact members of the evaluation team except at the Iowa DOT's request.

5.3 Overview of Evaluation

All responses will be first evaluated to determine if they comply with the mandatory requirements of the RFP. To be deemed a Responsible Responder, any proposed response must comply with the mandatory requirements. Failure to meet the mandatory requirements will result in the response being rejected. In the event that all Responders do not meet the mandatory requirement, the Iowa DOT reserves the right to continue the evaluation of the responses and to select the response most closely meeting the requirements specified in this RFP.

5.4 Evaluation Criteria

The proposal evaluation criteria as described in Appendices C-F. shall be used by the Evaluation Committee for purposes of award. Items are not listed in any particular order of importance. If a demonstration/presentation is included in the evaluation criteria, only those short listed Responders shall be given a point rating and total score to be considered for award.

Weighting of evaluation categories is not available to Responders prior to the Response Due Date.

5.5 Recommendation of the Evaluation Committee

The final evaluation will be based on the criteria as listed in Appendices Section 5.4.

5.6 Protest of Award

Protest of award shall be made in accordance with the Iowa Administrative Code 761-20.4(6)"e".

Section 6 Contract Terms and Conditions

6.1 Contract Terms and Conditions

The contract(s) award as a result of this RFP will be based upon the Bid Proposal submitted by the successful Contractor and the RFP. The contract between the Iowa DOT and the successful Contractor shall be a combination of the specifications, terms and conditions of the RFP, including the terms contained in the Iowa DOT's attachment(s), the offer of the Contractor contained in the Bid Proposal, written clarifications or changes made in accordance with the provisions of the RFP herein and any other terms deemed necessary by the Iowa DOT, except that no objection or amendment by a Contractor to the RFP requirements shall be incorporated by reference into the Contract unless the Iowa DOT has explicitly accepted the Contractor's objection or amendment in writing.

The contract terms contained in Section 6 are not intended to be a complete listing of all contract terms but are provided only to enable contractors to better evaluate the costs associative with the RFP and the potential resulting contract. Contractors should plan on such terms being included in any contract awarded as a result of this RFP. All costs associated with complying with these requirements should be included in the pricing proposal or any pricing quoted by the contractor.

By submitting a Bid Proposal, each Contractor acknowledges its acceptance of the RFP specifications and the contract terms and conditions without change except as otherwise expressly stated in its Bid Proposal. If a Contractor takes exception to a provision, it must state the reason for the exception and set forth in its Bid Proposal the specific contract language it proposes to include in place of the provision. Exceptions that materially change the contract terms and conditions or the requirements of the RFP may be deemed non-responsive by the Iowa DOT, in its sole discretion, resulting in possible rejection of the Bid Proposal. The Iowa DOT reserves the right to either award a contract(s) without further negotiation with the successful Contractor or to negotiate contract terms with the successful Contractor if the best interests of the State would be served.

6.2 Contract Award

A separate award will be issued for each of the groups or combination of groups as listed on the Schedule of Prices. The successful Responder(s) shall agree that North American states may purchase these services and products under the awarded contract at the same prices and provisions.

6.3 Contract Period

The term of the Contract will begin and end on the dates indicated in the RFP Procurement Timetable, unless extended or terminated earlier in accordance with the termination provisions of this Contract. The Iowa DOT shall have the sole option to renew the Contract for up to the number of annual extensions specified on the Procurement Timetable.

6.4 Contractor Qualification Requirement

Prior to execution of a contract with a contractor, the contractor must qualify to do business with the State of Iowa.

6.5 Additional Cost Items Not In Contract

The Iowa DOT is unaware of any additional Contract terms that would add cost. Notwithstanding, should any Contract items arise that would cost additional monies; those costs shall be borne by the Contractor.

6.6 Equipment Delivery Schedule

The equipment shall be delivered as agreed upon between the successful Contractor and the Iowa DOT.

6.7 Installation and Implementation

Upon award of a Contract, the Iowa DOT shall negotiate an installation and implementation schedule with the successful Contractor. Extended installation time periods may be considered when the extension is in the best interest of the Iowa DOT.

6.8 Scope of Work (Services)

The services to be performed pursuant to and as a result of this contract by the contractor are described in Project Specifications, Section 3, and in the Appendices and are made a part hereof by this reference.

The contractor shall prepare and deliver specifications to the Iowa DOT which will detail the design, technical and functional capabilities, and other attributes related to the project, all as more fully described in Section 3.

Amendments to Scope of Services and Specifications. The parties agree that the Scope of Services and the specifications may be revised, replaced, amended or deleted at any time during the term of this Contract to reflect changes in service or performance standards upon the mutual written consent of the parties.

Industry Standards. Services rendered pursuant to this Contract shall be performed in a professional and workmanlike manner in accordance with the terms of this Contract and with generally acceptable industry standards of performance for similar tasks and projects. In the absence of a detailed specification for the performance of any portion of this Contract, the parties agree that the applicable specification shall be the generally accepted industry standard.

As long as the Iowa DOT notifies the contractor promptly of any services performed in violation of this standard, the contractor will re-perform the services, at no cost to Iowa DOT, such that the services are rendered in the above-specified manner.

Non-Exclusive Rights. This Contract is not exclusive. The Iowa DOT reserves the right to select other contractors to provide services similar or identical to the Scope of Services described in this Contract during the term of this Contract.

6.9 Licenses

The Contractor shall include the cost for all software licenses and annual software maintenance fees require for its work. The Contractor must furnish a written copy of the software Terms and Conditions of software agreement with the submitted proposal.

6.10 Labor Regulations

The Contractor shall give all notices and comply with all codes, laws, ordinances, rules and regulations of any public authority having jurisdiction that bears on the performance of its work.

All contractors, before entering into a contract with the Iowa Department of Transportation, must be registered with the Division of Labor in the Workforce Development Department, 515-281-3606 according to chapter 91C, Code 1993.

6.11 Contract Termination

It is imperative that the contractor consistently provides high quality services. Below are procedures that will be utilized in the event that the contract must be terminated due to the contractor's lack of ability to produce required results:

6.11.1 Immediate Termination by the Iowa DOT

The Iowa DOT may terminate this contract in writing for any of the following reasons effective immediately without advance notice:

6.11.1.1 In the event the contractor is required to be certified or licensed as a condition precedent to providing services, the revocation or loss of such license or certification will result in immediate termination of the Contract effective as of the date on which the license or certification is no longer in effect;

6.11.1.2 The Iowa DOT determines that the actions, or failure to act, of the contractor, its agents, employees or subcontractors have caused, or reasonably could cause, a client's life, health or safety to be jeopardized;

6.11.1.3 The contractor fails to comply with confidentiality laws or provisions;

6.11.1.4 The contractor furnished any statement, representation or certification in connection with this Contract or the RFP which is materially false, deceptive, incorrect or incomplete

6.11.2 Termination for Cause

The occurrence of any one or more of the following events shall constitute cause for the Iowa DOT to declare the contractor in default of its obligations under this Contract.

6.11.2.1 The contractor fails to perform to the Iowa DOT's satisfaction, per Section 3 Project Specification requirements.

6.11.2.2 The Iowa DOT determines that satisfactory performance of this Contract is substantially endangered or that a default is likely to occur.

6.11.2.3 The contractor fails to make substantial and timely progress toward performance and deliverables within the contract.

6.11.2.4 The contractor consistently misses deadlines agreed upon with the Iowa DOT project managers.

6.11.2.5 The contractor replaces key personnel with individuals who have less experience, knowledge and skills in the areas of their responsibilities.

6.11.2.6 The contractor staff's knowledge, skills, and experience are unacceptable to the Iowa DOT and do not reflect what the contractor represented the skill sets of their staff that would be assigned to this engagement.

6.11.2.7 The contractor's staff turnover is unacceptably high to Iowa DOT.

6.11.2.8 The contractor fails to effectively manage contractor staff time and/or assignments.

6.11.2.9 The contractor's quality of work is unacceptable to Iowa DOT (i.e. incorrect results, standards are not followed).

6.11.2.10 The contractor's quantity of work is unacceptable to Iowa DOT. The contractor fails to perform additional assignments as requested.

6.11.2.11 The contractor does not respond to critical issues and/or fails to participate in problem resolution when asked. This includes requests for support in the evenings and weekends.

6.11.2.12 The contractor's deliverable(s) cause a major outage to the Iowa DOT's IT infrastructure.

6.11.2.13 The contractor becomes subject to any bankruptcy or insolvency proceeding under federal or state law to the extent allowed by applicable federal or state law including bankruptcy laws; the contractor terminates or suspends its business; or the Iowa DOT reasonably believes that the contractor has become insolvent or unable to pay its obligations as they accrue consistent with applicable federal or state law.

6.11.2.14 The contractor has failed to comply with applicable federal, state and local laws, rules, ordinances, regulations and orders when performing within the scope of this Contract.

6.11.2.15 The contractor has engaged in conduct that has or may expose the Iowa DOT to liability, as determined in the Iowa DOT's sole discretion.

6.11.2.16 The contractor has infringed any patent, trademark, copyright, trade dress or any other intellectual property right.

6.11.3 Notice of Default

If there is a default event caused by the contractor, the Iowa DOT shall provide written notice to the contractor requesting that the breach or noncompliance be remedied within the period of time specified in the Iowa DOT's written notice to the contractor. If the breach or noncompliance is not remedied by the date in the written notice, the Iowa DOT may either:

6.11.3.1 Immediately terminate the contract without additional written notice.

6.11.3.2 Enforce the terms and conditions of the contract and seek any legal or equitable remedies.

6.11.4 Termination Upon Notice

Following 30 days written notice, the Iowa DOT may terminate this Contract in whole or in part without the payment of any penalty or incurring any further obligation to the contractor.

Following termination upon notice, the contractor shall be entitled to compensation, upon submission of invoices and proper proof of claim, for services provided under this Contract to the Iowa DOT up to and including the date of Termination.

6.11.5 Termination Due to Lack of Funds or Change in Law

The Iowa DOT shall have the right to terminate this Contract without penalty by giving thirty (30) days written notice to the contractor as a result of any of the following:

6.11.5.1 Adequate funds are not appropriated or granted to allow the Iowa DOT to operate as required and to fulfill its obligations under this Contract.

6.11.5.2 Funds are de-appropriated or not allocated or if funds needed by the Iowa DOT, at the Iowa DOT's sole discretion, are insufficient for any reason.

6.11.5.3 The Iowa DOT's authorization to operate is withdrawn or there is a material alteration in the programs administered by the Iowa DOT.

6.11.5.4 The Iowa DOT's duties are substantially modified.

6.11.6 Remedies of the Contractor in Event of Termination by the Iowa DOT

In the event of termination of this Contract for any reason by the Iowa DOT, the Iowa DOT shall pay only those amounts, if any, due and owing to the contractor for services actually rendered up to and including the date of termination of the contract and for which the Iowa DOT is obligated to pay pursuant to this Contract. Payment will be made only upon submission of invoices and proper proof of the contractor's claim. This provision in no way limits the remedies available to the Iowa DOT under this Contract in the event of termination. However, the Iowa DOT shall not be liable for any of the following costs:

6.11.6.1 The payment of unemployment compensation to the contractor's employees.

6.11.6.2 The payment of workers' compensation claims, which occur during the contract or extend beyond the date on which the contract terminates.

6.11.6.3 Any costs incurred by the vendor in its performance of the contract, including, but not limited to, startup costs, overhead or other costs associated with the performance of the contract.

6.11.6.4 Any taxes that may be owed by the contractor in connection with the performance of this Contract, including, but not limited to, sales taxes, excise taxes, use taxes, income taxes or property taxes.

6.11.7 Vendor Termination Duties

The contractor, upon receipt of notice of termination or upon request of the Iowa DOT, shall:

6.11.7.1 Cease work under this Contract and take all necessary and appropriate steps to limit disbursements and minimize costs, and furnish a report within thirty (30) days of the date of notice of termination, describing the status of all work under the contract, including, without limitation, results accomplished, conclusions resulting therein, any other matters the Iowa DOT may require.

6.11.7.2 Immediately cease using and return to the Iowa DOT any personal property or materials provided by the Iowa DOT to the contractor.

6.11.7.3 Comply with the Iowa DOT's instructions for the timely Transfer of any active files and work product produced by the contractor under this Contract.

6.11.7.4 Cooperate in good faith with the Iowa DOT, its employees, agents and contractors during the transition period between the notification of termination and the substitution of any replacement contractor.

6.11.7.5 Issue credit to the Iowa DOT for any payments made by the Iowa DOT for services that were inappropriately billed for services that were not rendered by the contractor.

6.11.7.6 Immediately deliver to the Iowa DOT any and all Deliverables for which the Iowa DOT has made payment (in whole or part) that are in the possession or under the control of the Contractor or its agents or subcontractors in whatever stage of development and form of recordation such property is expressed or embodied as that time.

6.11.8 Unacceptable Deliverables

The contractor shall be required to perform the work for each deliverable in accordance with the terms, conditions, and representations of this Contract.

6.12 Contractor's Insurance Requirements

The resulting Contract will require the successful Contractor to maintain insurance coverage(s) of the type and in the amounts set forth below.

- It shall be the Contractor's responsibility to have liability insurance covering all of the project operations incident to contract completion and the Contractor(s) must have on file with the Contracting Authority a current "Certificate of Insurance" prior to award of contract. The certificate shall identify the insurance company firm name and address, contractor firm name, policy period, type of policy, limits of coverage, and scope of work covered (single contract or statewide). This requirement shall apply with equal force, whether the work is performed by persons employed directly by the Contractor(s) including a subcontractor, persons employed by a subcontractor(s), or by an independent contractor(s).

- In addition to the above, the Contracting Authority shall be included as an insured party, or a separate owner's protective policy shall be filed showing the Contracting Authority as an insured party.

- The liability insurance shall be written by an insurance company (or companies) qualified to do business in Iowa. For independent contractors engaged solely in the transportation of materials, the minimum coverage provided by such insurance shall be not less than that required by Chapter 325A, Code of Iowa, for such truck operators or contract carriers as defined therein. For all other contractors, subcontractors,

independent contractors, and the Contracting Authority, the minimum coverage by such insurance shall be as follows:

- Commercial *General Liability* including Contractual Liability;
- Damage; Occurrence Basis Bodily Injury: Broad Form Personal Injury; Broad Form Property Damage.

Bodily Injury

The contractor will purchase and maintain throughout the term of this contract the following minimum limits and coverage:

- | | |
|----------------------------|-----------|
| • Each person | \$750,000 |
| • Each accident/occurrence | \$750,000 |
| • Workers Compensation | \$750,000 |
| • Statutory Limits | \$750,000 |
| • Employer's liability | \$750,000 |
| • Occupation Disease | \$750,000 |

Operations

- Property Damage \$250,000 each occurrence

The Contractor(s) shall require all subcontractor(s) meet the above insurance requirements.

The Certificate of Insurance must include the following;

- Iowa Department of Transportation must be listed as an additional insured
- Proposal Number
- Proposal Description
- Letting Date and Contract Period

6.13 Performance Bond

Not required for this RFP.

6.14 Force Majeure

Neither Contractor nor the Iowa DOT shall be liable to the other for any delay or failure of performance of this Contract; and no delay or failure of performance shall constitute a default or give rise to any liability for damages if, and only to the extent that, such delay or failure is caused by a "force majeure". As used in this Contract, "force majeure" includes acts of God, war, civil disturbance and any other causes which are beyond the control and anticipation of the party effected and which, by the exercise of reasonable diligence, the party was unable to anticipate or prevent.

Failure to perform by a subcontractor or an agent of the Contractor shall not be considered a "force majeure" unless the subcontractor or supplier is prevented from timely performance by a "force majeure" as defined in this Contract. "Force majeure" does not include: financial difficulties of the Contractor or any parent, subsidiary, affiliated or associated company of Contractor; claims or court orders which restrict Contractor's ability to deliver the goods or services contemplated by this Contract.

If a "force majeure" delays or prevents Contractor's performance, the Contractor shall immediately commence to use its best efforts to directly provide alternate, and to the extent possible, comparable performance. Comparability of performance and the possibility of comparable performance shall be reasonably determined solely by the Iowa DOT.

During any such period, the Contractor shall continue to be responsible for all costs and expenses related to alternative performance.

This Section shall not be construed as relieving the Contractor of its responsibility for any obligation which is being performed by a subcontractor or supplier of services unless the subcontractor or supplier is prevented from timely performance by a "force majeure" as described here.

6.15 Indemnification by Contractor

The Contractor agrees to defend, indemnify and hold the Iowa DOT, and the State of Iowa, its employees, agents, board members, appointed officials and elected officials, harmless from any and all demands, debts liabilities, damages, loss, claims, suits or actions, settlements, judgments, costs and expenses, including the reasonable value of time expended by the Attorney General's Office, and the costs and expenses and attorney fees of other counsel required to defend the Iowa DOT or the State of Iowa related to or arising from: Any violation or breach of this Contract including without limitation any of the Contractor's representations or warranties; or Any acts or omissions, including, without limitation, negligent acts or omissions or willful misconduct of Contractor, its officers, employees, agents, board members, contractors, subcontractors, or counsel employed by Contractor in the performance of this Contract, or any other reason in connection with the goods and services provided under this Contract; or Claims for any violation of any intellectual property right including but not limited to infringement of patents, trademarks, trade dress, trade secrets, or copyrights arising from the any of the goods or service performed in accordance with this Contract; or The Contractor's performance or attempted performance of this Contract; or *Any failure by the Contractor to comply with all local, State and Federal laws and regulations*; or Any failure by the Contractor to make all reports, payments and withholdings required by Federal and State law with respect to social security, employee income and other taxes, fees or costs required by the Contractor to conduct business in the State of Iowa.

The Contractor's duty to indemnify as set forth in this section shall survive the expiration or termination of this Contract and shall apply to all acts taken in the performance of this Contract regardless of the date any potential claim is made or discovered by the STATE.

6.16 Indemnification by Iowa DOT

The State shall, only to the extent consistent with Article VII, Section 1 of the Iowa Constitution and Iowa Code Chapter 669, indemnify and hold harmless the Contractor from and against any and all costs, expenses, loses, claims, damages and liabilities arising directly out of the negligence or wrongful acts or omissions of any employee of the Iowa DOT while acting within the scope of the employee's office of employment in connection with the performance of this Contract.

At the option of the Iowa DOT, the Contractor shall be represented by the Attorney General of the State or special counsel retained by the Iowa DOT or the Attorney General of the State with respect to any litigation brought by or against the Contractor or such persons with respect to any claims, damages, judgments, liabilities or causes of action to which such persons may be subject and to which they are entitled to be indemnified hereunder.

Indemnification under this Section shall survive the termination of this Contract and shall include reasonable fees and expenses of counsel and expenses of litigation. If the Iowa DOT shall have made any indemnity payments pursuant to this Section and the person to or on behalf of whom such payments are made thereafter shall collect any of such amounts from others, such person shall promptly repay such amounts to the Iowa DOT, without interest.

6.17 Payment

Payments shall be based on deliverables or milestones. 5 percent of monthly invoices will be retained from each invoice until final acceptance.

The Iowa DOT will not pay any additional costs, altered from bid price, unless this has been approved by the Iowa DOT, prior to work performed.

6.18 Travel Expenses

Shall be included in the hourly rate in the Schedule of Prices.

6.19 Care of Property

The contractor shall be responsible for the proper custody and care of any the State-owned tangible personal property furnished for the contractor's use in connection with the performance of the contract, and the contractor will reimburse the Iowa DOT for such property's loss or damage caused by the contractor, normal wear and tear excepted.

6.20 Contractor Conduct

The contractor shall adhere to State and other written established work rules. The Iowa DOT Workplace Environment Policies and Procedures will be provided to the contractor. These rules consist of commonly accepted, professional business conduct.

6.21 Public Contract Termination

The Provisions of Iowa Law as contained in Chapter 573A of the Code of Iowa, an Act to provide for termination of contracts for the construction of public improvements when construction or work thereon is stopped because of national emergency shall apply to and be a part of this Contract, and shall be binding upon all parties hereto including sub-contractors and sureties upon any bond given or filed in connection herewith.

Legislative Changes. The Contractor expressly acknowledges that the contracted Deliverables are subject to legislative change by either the federal or state government. Should either legislative body enact measures which alter the project, the Contractor shall not hold the Agency liable in any manner for the resulting changes. The Agency shall use best efforts to provide thirty (30) days' written notice to the Contractor of any legislative change. During the thirty (30) – day period, the parties shall meet and make a good faith effort to agree upon changes to the Contract to address the legislative change. Nothing in this Subsection shall affect or impair the Agency's right to terminate the Contract pursuant to the termination provisions.

Repayment Obligation. In the event that any State and/or federal funds are deferred and/or disallowed as a result of any audits or expended in violation of the laws applicable to the expenditure of such funds, the Contractor shall be liable to the Agency for the full amount of any claim disallowed and for all related penalties incurred. The requirements of this paragraph shall apply to the Contractor as well as any subcontractors.

6.22 Confidential Information

6.22.1 The Contractor's employees, agents and subcontractors may have access to confidential information maintained by the Iowa DOT to the extent necessary to carry out its responsibilities under the Contract.

The Contractor shall presume that all information received pursuant to this Contract is confidential unless otherwise designated by the Iowa DOT. The Contractor shall provide to the Iowa DOT a written description of its policies and procedures to safeguard confidential information. Policies of confidentiality shall address, as appropriate, information conveyed in verbal, written, and electronic formats. The Contractor must designate one individual who shall remain the responsible authority in charge of all data collected, used, or disseminated by the Contractor in connection with the performance of the Contract. The Contractor shall provide adequate supervision and training to its agents, employees and subcontractors to ensure compliance with the terms of this Contract. The private or confidential information shall remain the property of the Iowa DOT at all times.

6.22.2 No confidential information collected, maintained, or used in the course of performance of the Contract shall be disseminated by Contractor except as authorized by law and only with the prior written consent of the Iowa DOT, either during the period of the Contract or thereafter. Any data supplied by the Iowa DOT to the Contractor or created by the Contractor in the course of the performance of this Contract shall be

considered the property of the Iowa DOT. The Contractor must return any and all data collected, maintained, created or used in the course of the performance of the Contract in whatever form it is maintained promptly at the request of the Iowa DOT. The Contractor may be held civilly or criminally liable for improper disclosure of confidential information.

6.22.3 In the event that a subpoena or other legal process is served upon the Contractor for records containing confidential information, the Contractor shall promptly notify the Iowa DOT and cooperate with the Iowa DOT in any lawful effort to protect the confidential information.

6.22.4 The Contractor shall immediately report to the Iowa DOT any unauthorized disclosure of confidential information.

6.22.5 The Contractor's obligations under this section shall survive termination or expiration of this Contract.

6.23 Contractor Warranties

Construction of Warranties Expressed in this Contract with Warranties Implied by Law. All warranties made by the Contractor in all provisions of this Contract and the Bid Proposal by the Contractor, whether or not this Contract specifically denominates the Contractor's promise as a warranty or whether the warranty is created only by the Contractor's affirmation or promise, or is created by a description of the materials and services to be provided, or by provision of samples to the Iowa DOT shall not be construed as limiting or negating any warranty provided by law, including without limitation, warranties which arise through course of dealing or usage of trade. The warranties expressed in this Contract are intended to modify the warranties implied by law only to the extent that they expand the warranties applicable to the goods and services provided by the Contractor.

The Contractor warrants that the all the concepts, materials produced, the work product and the information, data, designs, processes, inventions, techniques, devices, and other such intellectual property furnished, used, or relied upon by the Contractor or the Iowa DOT will not infringe any copyright, patent, trademark, trade dress, or other intellectual property right of the Contractor or others. Any intellectual property provided to the Iowa DOT pursuant to the terms of this Contract, shall be wholly original with the Contractor or the Contractor has secured all applicable interests, rights, licenses, permits, or other intellectual property rights in such concepts, materials and work.

The Contractor represents and warrants that the concepts, materials and the Iowa DOT's use of same and the exercise by the Iowa DOT of the rights granted by this Contract shall not infringe upon any other work, other than material provided by the Iowa DOT to the Contractor to be used as a basis for such materials, or violate the rights of publicity or privacy of, or constitute a libel or slander against, any person, firm or corporation and that the concepts, materials and works will not infringe upon the copyright, trademark, trade name, literary, dramatic, statutory, common law or any other rights of any person, firm or corporation or other entity.

The Contractor warrants that all of the services to be performed hereunder will be rendered using sound, professional practices and in a competent and professional manner by knowledgeable, trained and qualified personnel. The Contractor warrants that the deliverables under this Contract will operate in conformance with the terms and conditions of this Contract.

The Contractor warrants that it has full authority to enter into this Contract and that it has not granted and will not grant any right or interest to any person or entity, which might derogate, encumber, or interfere with the rights granted to the Iowa DOT.

The Contractor warrants that all obligations owed to third parties with respect to the activities contemplated to be undertaken by the Contractor pursuant to this Contract are

or will be fully satisfied by the Contractor so that the Iowa DOT will not have any obligations with respect thereto.

The Contractor warrants that it is the owner of or otherwise has the right to use and distribute the software, the materials owned by the Contractor and any other materials, and methodologies used in connection with providing the services contemplated by this Contract.

The Contractor warrants that any software used in connection with the Internet Service shall not contain any Trojan horses, worms, viruses or other disabling devices.

The Contractor expressly warrants to the standards in the industry all aspects of the goods and services provided by it or used by the Contractor and the Iowa DOT in performance of this Contract.

Contractor warrants that during the term of this Contract and any extension or renewal term, the Contractor shall continually use and integrate the most current and up-to-date technology commercially available into the Internet Service and any components necessary for the Internet Service to function subject to the prior written approval of the Iowa DOT.

Appendix A High Level Requirements Traceability Matrix

| No | Requirement The System Shall... | Area | Sub-Area | Use Case | Comments |
|----|---|-------------------|-------------------------|---|----------|
| 1 | Allow an administrator to enroll new users for the mDL program | Core Functions | Administrative Function | Enroll in the mDL Program | |
| 2 | Allow an administrator to associate an existing traditional driver's license with | Core Functions | Administrative Function | Enroll in the mDL Program | |
| 3 | Allow an administrator to view existing mDL enrollments | Core Functions | Administrative Function | Enroll in the mDL Program | |
| 4 | Provide the ability to determine if a prospective user is eligible for enrollment into the mDL program | Core Functions | Administrative Function | Enroll in the mDL Program | |
| 5 | Allow an administrator to cancel the mDL enrollment process | Core Functions | Administrative Function | Enroll in the mDL Program | |
| 6 | Capture requests for enrollment into the mDL program | Core Functions | User Functions | Enroll in the mDL Program | |
| 7 | Present disclaimers, terms and conditions for new enrollments in to the mDL program | Core Functions | User Functions | Enroll in the mDL Program | |
| 8 | Ensure that disclaimers, terms and conditions for new enrollments in to the mDL program have been accepted before enrolling the user | Core Functions | User Functions | Enroll in the mDL Program | |
| 9 | Create a record that the disclaimers, terms and conditions for new enrollments in to the mDL program have been accepted | Core Functions | User Functions | Enroll in the mDL Program | |
| 10 | Allow new users enroll in the mDL program | Core Functions | User Functions | Enroll in the mDL Program | |
| 11 | Provide the user with a single use secure credential to be used for initially authenticating the user's identity through their mobile device | Core Functions | User Functions | Enroll in the mDL Program | |
| 12 | Deliver instructions for acquiring and configuring the mDL application to the | Core Functions | User Functions | Enroll in the mDL Program | |
| 13 | Capture requests for enrollment into the mDL program | Core Functions | User Functions | Enroll in the mDL Program | |
| 14 | Allow the user to cancel the mDL enrollment process | Core Functions | User Functions | Enroll in the mDL Program | |
| 15 | Notify a user that their mDL has been issued | Core Functions | User Functions | Procure a mDL | |
| 16 | Provide a means for the user to install or enable mDL application on their mobile device | Core Functions | User Functions | Procure a mDL | |
| 17 | Provide a means for the user to access the mDL application on their mobile | Core Functions | User Functions | Procure a mDL | |
| 18 | Authenticate a user's secure single use credential | Core Functions | User Functions | Procure a mDL | |
| 19 | Allow initial login to the mDL application using a single use credential | Core Functions | User Functions | Procure a mDL | |
| 20 | Ensure that a user creates new credentials after their first login to the mDL | Core Functions | User Functions | Procure a mDL | |
| 21 | Enable display of mDL only after a user has logged in using their credentials | Core Functions | User Functions | Procure a mDL | |
| 22 | Enable authentication of mDL only after a user has logged in using their | Core Functions | User Functions | Procure a mDL | |
| 23 | Associate privileges with a user mDL | Core Functions | Administrative Function | Update privileges associated with a mDL | |
| 24 | Allow administrators to add associated privileges to a user mDL | Core Functions | Administrative Function | Update privileges associated with a mDL | |
| 25 | Allow administrators to remove associated privileges from a user mDL | Core Functions | Administrative Function | Update privileges associated with a mDL | |
| 26 | Allow administrators to suspend privileges associated with a user mDL | Core Functions | Administrative Function | Update privileges associated with a mDL | |
| 27 | Allow administrators to reinstate privileges associated with a user mDL | Core Functions | Administrative Function | Update privileges associated with a mDL | |
| 28 | Notify a user that the privileges associated with their mDL have been updated | Core Functions | User Functions | Update privileges associated with a mDL | |
| 29 | Update the privileges displayed on a mDL to reflect updates made by | Core Functions | User Functions | Update privileges associated with a mDL | |
| 30 | Update the privileges that can be presented with a mDL to reflect updates made by administrators | Core Functions | User Functions | Update privileges associated with a mDL | |
| 31 | Prevent authentication of the mDL unless the user permits it | Core Functions | User Functions | Authenticate mDL | |
| 32 | Prevent access to the mDL unless the user authenticates using secure | Core Functions | Technical | Authenticate mDL | |
| 33 | Allow an authenticator to validate an mDL | Core Functions | Authentication Function | Authenticate mDL | |
| 34 | Allow an authenticator to flag abuse of a mDL | Core Functions | Authentication Function | Authenticate mDL | |
| 35 | Notify the administrator of mDLs that have been flagged for abuse | Core Functions | Administrative Function | Authenticate mDL | |
| 36 | Notify a user that their mDL has been flagged for abuse | Core Functions | User Functions | Authenticate mDL | |
| 37 | Allow an administrator to invalidate a mDL that has been flagged | Core Functions | Administrative Function | Authenticate mDL | |
| 38 | Allow an administrator to reinstate a mDL that has been flagged | Core Functions | Administrative Function | Authenticate mDL | |
| 39 | Periodically synch and update the status of a mDL | Core Functions | Technical | Authenticate mDL | |
| 40 | Present a timestamp on the mDL demonstrating the last update of the mDL | Core Functions | Technical | Authenticate mDL | |
| 41 | Prevent access to view the privileges associated with the mDL unless the user permits it | Core Functions | User Functions | View privileges associated with a mDL | |
| 42 | Display privileges associated with the users mDL | Core Functions | User Functions | View privileges associated with a mDL | |
| 43 | Allow a user to select the subset of privileges to display | Core Functions | User Functions | View privileges associated with a mDL | |
| 44 | Display personal information associated with the users mDL | Core Functions | User Functions | View mDL personal information | |
| 45 | Allow a user to select the subset of personal information to display | Core Functions | User Functions | View mDL personal information | |
| 46 | Prevent access to view the personal information associated with the mDL unless the user permits it | Core Functions | User Functions | View mDL personal information | |
| 47 | Notify the user that a request to update their mDL information has been | Core Functions | Administrative Function | Update mDL Personal Information | |
| 48 | Allow the administrator to review requests for mDL information updates | Core Functions | Administrative Function | Update mDL Personal Information | |
| 49 | Allow the administrator to approve or deny requests for mDL information | Core Functions | Administrative Function | Update mDL Personal Information | |
| 50 | Display updated information on a users mDL | Core Functions | User Functions | Update mDL Personal Information | |
| 51 | Provide administrators with the ability to dis-enroll existing users from the mDL program | Core Functions | Administrative Function | Dis-enroll from the mDL Program | |
| 52 | Provide users with the ability to dis-enroll from the mDL program | Core Functions | User Functions | Dis-enroll from the mDL Program | |
| 53 | Ensure that users are authenticated when dis-enrolling from the mDL program | Core Functions | User Functions | Dis-enroll from the mDL Program | |
| 54 | Ensure that users confirm their intent to dis-enroll from the mDL program | Core Functions | User Functions | Dis-enroll from the mDL Program | |
| 55 | Provide a confirmation once a user has been dis-enrolled from the mDL | Core Functions | User Functions | Dis-enroll from the mDL Program | |
| 56 | Disable all mDL authentication and display functions on the user's devices once a user is dis-enrolled | Core Functions | User Functions | Dis-enroll from the mDL Program | |
| 57 | Purge any mDL related data that is stored remotely once a user is dis-enrolled | Extended Function | Technical | Dis-enroll from the mDL Program | |
| 58 | Display a 2-d barcode that encodes the user's driver's license information | Extended Function | Stakeholder Functions | Scan mDL barcode | |
| 59 | The displayed 2-d barcode must be compliant with the existing standard used for physical driver's licenses | Extended Function | Technical | Scan mDL barcode | |
| 60 | Ensure that displayed 2-d barcode can be scanned with a barcode scanner (maximize brightness and contrast of the screen) | Extended Function | Technical | Scan mDL barcode | |
| 61 | Display the driver's license information of the user's mDL to an authenticator | Extended Function | Authentication Function | Authenticate mDL manually | |
| 62 | Display the user's driver's license picture to an authenticator | Extended Function | Authentication Function | Authenticate mDL manually | |
| 63 | Display security features (like a randomized token) that can be used by an authenticator to manually validate a mDL by calling into a hotline or dispatch | Extended Function | Technical | Authenticate mDL manually | |
| 64 | Provide the ability to authenticate with another digital device | Extended Function | Technical | Authenticate mDL digitally, in a disconnected state | |
| 65 | Provide the ability to communicate with another digital device | Extended Function | Technical | Authenticate mDL digitally, in a disconnected state | |
| 66 | Request permission from the user before initiating communication with another device | Extended Function | Technical | Authenticate mDL digitally, in a disconnected state | |
| 67 | Automatically revoke further access to communicate with a user's mDL after the interaction with the authenticator is complete | Extended Function | Technical | Authenticate mDL digitally, in a disconnected state | |
| 68 | Allow the mDL to remotely authenticate | Extended Function | Technical | Authenticate mDL digitally, in a connected state | |
| 69 | Provide secure remote attestation of user identity to digital authentication devices | Extended Function | Technical | Authenticate mDL digitally, in a connected state | |
| 70 | Allow the authenticator to remotely retrieve privileges associated with the mDL | Extended Function | Technical | Authenticate mDL digitally, in a connected state | |

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|-----|--|-------------------|--------------------------|--|--|
| 71 | Allow the authenticator to remotely retrieve information associated with the mDL | Extended Function | Technical | Authenticate mDL digitally, in a connected state | |
| 72 | Allow a stakeholder or authenticator to digitally retrieve privileges associated with the mDL | Extended Function | Technical | Electronically access mDL information | |
| 73 | Allow a stakeholder or authenticator to digitally retrieve information associated with the mDL | Extended Function | Technical | Electronically access mDL information | |
| 74 | Request permission from the user to transmit privileges associated with the mDL to another device | Extended Function | Technical | Electronically access mDL information | |
| 75 | Request permission from the user to transmit information associated with the mDL to another device | Extended Function | Technical | Electronically access mDL information | |
| 76 | Automatically revoke further access to communicate with a user's mDL after transmission of information associated with the mDL to another device is | Extended Function | Technical | Electronically access mDL information | |
| 77 | Automatically revoke further access to communicate with a user's mDL after transmission of privileges associated with the mDL to another device is | Extended Function | Technical | Electronically access mDL information | |
| 78 | Notify a user that a request has been made to digitally transmit privileges associated with the user's mDL | Extended Function | Use Functions | Electronically access mDL information | |
| 79 | In order to facilitate interoperability across jurisdictions, the mDL, the mDL reader, and its related infrastructure will comply where possible with draft ISO18013 technical requirements. Any variances where the solution does not follow the draft ISO18013 technical requirements will be documented by the vendor and subject to Department approval. | Extended Function | Technical | Electronically access mDL information | |
| 80 | Notify a user that a request has been made to digitally transmit information associated with the user's mDL | Extended Function | User Functions | Electronically access mDL information | |
| 81 | Store a record certifying that a mDL has been digitally validated | Extended Function | Technical | Record mDL validation | |
| 82 | Return a key to the authenticator which corresponds to the record certifying that a mDL has been digitally validated | Extended Function | Technical | Record mDL validation | |
| 83 | Retrieve a record corresponding to an authentication key certifying that a mDL has been digitally validated | Extended Function | Technical | Record mDL validation | |
| 84 | Provide access to appropriate functions for mDL users, administrators, stakeholders and authenticators | Non-Functional | Accessibility | N/A | |
| 85 | Provide a user interface that is navigable by and accessible to all users of supported mobile platforms (including those with disabilities) | Non-Functional | Accessibility | N/A | |
| 86 | Integrate with the Iowa DoT's existing licensing and administrative systems, preserving their roles as systems of record | Non-Functional | Architecture/Integration | N/A | |
| 87 | Be developed using an advanced approach to interoperability using web services and Service Oriented Architecture (SOA) allowing for all major administrative functions to be completed through Web Service APIs | Non-Functional | Architecture/Integration | N/A | |
| 88 | Consist of a number of components and services that are compliant with industry standards for service-oriented architecture and Web Services (W3C, OASIS, etc.) to facilitate reuse, adaptability and interoperability | Non-Functional | Architecture/Integration | N/A | |
| 89 | Ensure secured access to services based on defined security rules | Non-Functional | Architecture/Integration | N/A | |
| 90 | Interface with Iowa DoT's systems of record through Web Service APIs and enable mDL program functions to be incorporated into the workflows of those | Non-Functional | Architecture/Integration | N/A | |
| 91 | Provide audit-tracking reports for user access and usage logs including a detailed audit trail for a select set of system transactions, activities and actions, including date, time and author | Non-Functional | Audit | N/A | |
| 92 | Have the ability to provide an audit trail for changes, additions and deletions to data, including operational and security data | Non-Functional | Audit | N/A | |
| 93 | Be available for use 999% of the time (no more than 88 hours of downtime per | Non-Functional | Availability/Capacity | N/A | |
| 94 | Operate 24 hours per day, 7 days per week, and 52 weeks per year | Non-Functional | Availability | N/A | |
| 95 | Have the ability to support transparent failover using high-availability processor architectural options | Non-Functional | Availability | N/A | |
| 96 | Be able to continue to operate despite failure or availability of individual technology components such as a server platform or network connection | Non-Functional | Availability | N/A | |
| 97 | Be able to handle the initial launch storage and processing loads while growing to serve growth of the user base | Non-Functional | Capacity | N/A | |
| 98 | Maintain compatibility with major supported mobile platforms (Android, iOS) and a defined range of OS versions | Non-Functional | Device Compatibility | N/A | |
| 99 | Be compatible with leading devices (Apple iPhone, Samsung Galaxy S series, etc.) which support the hardware requirements of the mDL application | Non-Functional | Device Compatibility | N/A | |
| 100 | Be compatible with a well defined range of mobile screen sizes, resolutions and form factors | Non-Functional | Device Compatibility | N/A | |
| 101 | Be implemented such that the mDL application is not degraded as a result of minor OS version updates (e.g. use stable APIs, avoid deprecated features, avoid niche or dated 3rd party libraries etc.) | Non-Functional | Device Compatibility | N/A | |
| 102 | Make use of platform standards and features developed by mobile platform makers (e.g. digital wallet APIs, biometric features, push notifications etc.) | Non-Functional | Device Compatibility | N/A | |
| 103 | Be implemented to efficiently use the mobile battery and avoid unnecessary drain on the mobile devices processing resources | Non-Functional | Device Compatibility | N/A | |
| 104 | Ensure the mDL application functions in a various states of connectivity (cellular data, wifi, disconnected etc.) | Non-Functional | Device Compatibility | N/A | |
| 105 | Preserve data integrity, fail safe and trap bad data and faults | Non-Functional | Integrity | N/A | |
| 106 | Be designed for ease of maintenance and readily allow future functional enhancements | Non-Functional | Maintainability | N/A | |
| 107 | Be adequately flexible to keep up with ever changing technology and | Non-Functional | Maintainability | N/A | |
| 108 | Provide a high levels of performance, with acceptable response and processing times and application responsiveness at all times | Non-Functional | Performance | N/A | |
| 109 | Be built to scale such that large increases users and usage can be accommodated in the future | Non-Functional | Performance | N/A | |
| 110 | Provide response times of less than 5 seconds at all times | Non-Functional | Performance | N/A | |
| 111 | Have seamless disaster recovery and backup processes | Non-Functional | Recovery | N/A | |
| 112 | Adhere to all applicable legal, statutory, and regulatory requirements | Non-Functional | Regulatory & Policy | N/A | |
| 113 | Have a low defect/failure rate | Non-Functional | Reliability | N/A | |
| 114 | Provide reporting capabilities scalable to accommodate changes in system scale including changes in user population, transaction volume, throughput and geographical distribution | Non-Functional | Reporting | N/A | |
| 115 | Provide the ability to build reports and save report templates These reports will have filtering capabilities and must be easy to build and modify by the | Non-Functional | Reporting | N/A | |
| 116 | Provide business intelligence tools to allow for searching, reporting, and reviewing data for management purposes | Non-Functional | Reporting | N/A | |
| 117 | Will allow users to quickly and easily develop and customize reports and queries to their own specific needs within a profile aligned to the analytic role | Non-Functional | Reporting | N/A | |

| | | | | | |
|-----|---|----------------|-----------|-----|--|
| 118 | Be implemented with a security infrastructure and tools for protection of programs and data from intentional unauthorized access attempts as well as security breaches due to accidental causes | Non-Functional | Security | N/A | |
| 119 | Implement security controls in accordance with all Federal and State security policy and regulations and industry best practices | Non-Functional | Security | N/A | |
| 120 | Allow for controlled access to participant records. Administrators and authorities will be able to view subsets of mDL related data based on user | Non-Functional | Security | N/A | |
| 121 | Maintain a level of security that is commensurate with the risk and magnitude of the harm that could result from the loss, misuse, disclosure, or modification of information | Non-Functional | Security | N/A | |
| 122 | Protect against possibly malicious user authentication attempts using an appropriate mechanism (e.g. locks the account/node until released by an administrator, locks the account/node for a configurable time period, or delays the next login prompt according to a configurable delay algorithm) | Non-Functional | Security | N/A | |
| 123 | Provide the ability to identify certain information as confidential (e.g. PII) and only make that accessible by appropriately authorized users | Non-Functional | Security | N/A | |
| 124 | When storing private information on any device intended to be portable/removable (e.g. smartphones, portable computers, portable storage devices), support use of a standards based encrypted format using 3DES, AES | Non-Functional | Security | N/A | |
| 125 | Provide the capability to integrate with existing authentication and authorization mechanisms used by the Iowa DoT | Non-Functional | Security | N/A | |
| 126 | Provide the capability to monitor events on the system, detect attacks, and provide identification of unauthorized use of the system | Non-Functional | Security | N/A | |
| 127 | Implement advanced security through biometric functions taking advantage of functions built into leading mobile phone platforms | Non-Functional | Security | N/A | |
| 128 | Prevent unauthenticated access to the mDL application | Non-Functional | Security | N/A | |
| 129 | Bind biometric authentication methods to an instance of the mDL application to prevent impersonation of a user through the use of the mDL application | Non-Functional | Security | N/A | |
| 130 | Communicate with other devices or networks only through encrypted | Non-Functional | Security | N/A | |
| 131 | Provide user interfaces that are easy and efficient to use and well as conform to look and feel standards | Non-Functional | Usability | N/A | |
| 132 | Support user-friendly navigation and interaction features that are easy to learn by a new end-user | Non-Functional | Usability | N/A | |

Appendix B -Minimum Qualifications by Item

| No. | Minimum Qualification | Design & Branding | Implementation & Application Support | Testing | Hosting |
|-----|---|-------------------|--------------------------------------|----------|----------|
| 1 | Responder has at least five (5) years of application design experience for iOS and Android platforms, and at least (5) years digital marketing experience for public sector organizations | X | | | |
| 2 | Responder has been developing and implementing citizen-facing solutions for state and local government agencies with a state population of at least \$3M within the last (10) years | | X | | |
| 3 | Responder has successfully implemented a mobile applications similar to the proposed solution for a government organization with a budget of at least USD \$500 million | | X | | |
| 4 | Responder has been providing comparable services to state and local governments for the last ten (10) years | | X | X | X |
| 5 | Responder has been advising on and implementing mobile application solutions over the last five (5) years | | X | X | |
| 6 | Responder lead program manager has a minimum of ten (10) years experience leading full lifecycle implementations for state and local government agencies | | X | | |
| 7 | Responder is able to demonstrate a partnership with either Apple and Google and an understanding of the process to deploy a solution via iOS/Android mobile wallet functionality | X | X | | |

Appendix C: Design and Branding

| Evaluation Criteria | Evaluation Sub-criteria |
|--|---|
| Responder Strategic Business Direction | <ul style="list-style-type: none"> • Responder long-term viability (financial strength and analysis) • Core products and service offering alignment • Commitment to partner with government organizations |
| Resources and Capacity to Meet Project Schedule | <ul style="list-style-type: none"> • Responder resources • Individual resumes of members of the Proposer's project team • Proposed project plan • Staffing allocation • Quality assurance measures • Risk mitigation strategies • Ability to meet schedule |
| Firm and Individual Track Record and Experience with Similar Size Projects | <ul style="list-style-type: none"> • Responder references • Proposed project team references • Articulation of team roles and responsibilities |
| Proposed Design Approach | <ul style="list-style-type: none"> • Ability to meet DOT design requirements • Previous customer examples • Prototype designs and rationale |
| Proposed Branding Approach | <ul style="list-style-type: none"> • Ability to meet DOT branding requirements • Previous customer examples • Marketing and adoption plan |
| Cost | <ul style="list-style-type: none"> • Design cost • Branding cost • Potential future costs (based on rate card) • Cost assumptions and approach |
| Presentations/Demonstrations | <ul style="list-style-type: none"> • Quality of Preparation and Presentation • Consistency with Written Approach • Compliance with DOT Demonstration and Presentation Use Case Requirements • Responsiveness to DOT Questions on Written Responses • Quality of Personnel |

Appendix D: Implementation and Application Support

| Evaluation Criteria | Evaluation Sub-criteria |
|--|---|
| Responder Strategic Business Direction | <ul style="list-style-type: none"> • Responder long-term viability (financial strength and analysis) • Core products and services offering alignment • Commitment to partner with government organizations |
| Resources and Capacity to Meet Project Schedule | <ul style="list-style-type: none"> • Responder resources • Individual resumes of members of the Proposer's project team • Proposed project plan • Staffing allocation • Quality assurance measures • Risk mitigation strategies • Ability to meet schedule |
| Firm and Individual Track Record and Experience with Similar Size Projects | <ul style="list-style-type: none"> • Responder references • Proposed project team references • Articulation of team roles and responsibilities |
| Product and Operational Support Capacity, including Service Levels | <ul style="list-style-type: none"> • Ability to meet service level requirements • Maintenance and support capabilities • Problem management and resolution |
| Technical Design and Architecture of Proposed Solutions | <ul style="list-style-type: none"> • Technical approach and viability • Support and Training • Security |
| Cost | <ul style="list-style-type: none"> • Recurring costs • Total cost of ownership • Potential future costs (based on rate card) • Cost assumptions and approach |
| Presentations/Demonstrations | <ul style="list-style-type: none"> • Quality of Preparation and Presentation • Consistency with Written Approach • Compliance with DOT Demonstration and Presentation Use Case Requirements • Responsiveness to DOT Questions on Written Responses • Quality of Personnel |



Appendix E: Testing

| Evaluation Criteria | Evaluation Sub-criteria |
|--|--|
| Responder Strategic Business Direction | <ul style="list-style-type: none">• Responder long-term viability (financial strength and analysis)• Core products and services offering alignment• Commitment to partner with government organizations |
| Resources and Capacity to Meet Project Schedule | <ul style="list-style-type: none">• Responder resources• Individual resumes of members of the Proposer's project team• Staffing allocation• Quality assurance measures• Risk mitigation strategies• Ability to meet schedule |
| Firm and Individual Track Record and Experience with Similar Size Projects | <ul style="list-style-type: none">• Responder references• Proposed project team references• Articulation of team roles and responsibilities |
| Testing Approach | <ul style="list-style-type: none">• Testing approach and viability• Proposed testing plan• Proposed testing tools |
| Cost | <ul style="list-style-type: none">• Initial costs• Recurring and potential future costs (based on rate card)• Total cost of ownership• Cost assumptions and approach |
| Presentations/Demonstrations | <ul style="list-style-type: none">• Quality of Preparation and Presentation• Consistency with Written Approach• Compliance with DOT Demonstration and Presentation Use Case Requirements• Responsiveness to DOT Questions on Written Responses• Quality of Personnel |



Appendix F: Hosting

| Evaluation Criteria | Evaluation Sub-criteria |
|--|---|
| Responder Strategic Business Direction | <ul style="list-style-type: none">• Responder long-term viability (financial strength and analysis)• Core products and service offering alignment• Commitment to partner with government organizations |
| Resources and Capacity to Meet Project Schedule | <ul style="list-style-type: none">• Responder resources• Individual resumes of members of the Proposer's project team• Proposed project plan• Staffing allocation• Quality assurance measures• Risk mitigation strategies• Ability to meet schedule |
| Firm and Individual Track Record and Experience with Similar Size Projects | <ul style="list-style-type: none">• Responder references• Proposed project team references• Articulation of team roles and responsibilities |
| Product and Operational Support Capacity, including Service Levels | <ul style="list-style-type: none">• Ability to meet service level requirements• Maintenance and support capabilities• Problem management and resolution |
| Cost | <ul style="list-style-type: none">• Recurring costs• Total cost of ownership• Potential future costs• Cost assumptions and approach |
| Presentations/Demonstrations | <ul style="list-style-type: none">• Quality of Preparation and Presentation• Consistency with Written Approach• Compliance with DOT Demonstration and Presentation Use Case Requirements• Responsiveness to DOT Questions on Written Responses• Quality of Personnel |

Attachment # 1 – Certification Letter

Alterations to this document are prohibited (see Section 2.12.15)

Note: Effective Date follows signature of last page

Ms. Renee R. Shirley, Purchasing Director
Iowa Department of Transportation
Office of Finance
Purchasing Section
800 Lincoln Way
Ames, Iowa 50010

Re: PROPOSAL CERTIFICATIONS

Dear Ms. Shirley:

I certify that the contents of the Bid Proposal submitted on behalf of authorized Vendor/Contractor Company name designated in response to Iowa Department of Transportation's Request for Proposal (RFP) designated on the cover page and specified following the signature line of this document are true and accurate. I also certify I have not knowingly made any false statements in its Bid Proposal as the representative for the Vendor/Contractor.

Certification of Independence

I certify that I am a representative of the Contractor expressly authorized to make the following certifications on behalf of the Contractor. By submitting a Bid Proposal in response to the RFP, I certify on behalf of the Contractor the following:

1. The Bid Proposal has been developed independently, without consultation communication or agreement with any employee or consultant to the Iowa DOT or any Participating Agency, or with any person serving as a member of the evaluation committee.
2. The Bid Proposal has been developed independently, without consultation, communication or agreement with any other contractor or parties for the purpose of restricting competition.
3. Unless otherwise required by law, the information found in the Bid Proposal has not been and will not be knowingly disclosed directly or indirectly prior to the Iowa DOT's issuance of the Notice of Intent to Award the contract.
4. No attempt has been made or will be made by the Contractor to induce any other Contractor to submit or not to submit a Bid Proposal for the purpose of restricting competition.
5. No relationship exists or will exist during the contract period between the Contractor and the Iowa DOT or any Participating Agencies that interferes with fair competition or constitutes a conflict of interest.

Certification Regarding Debarment

6. I certify that, to the best of my knowledge, neither Contractor nor any of its principals: (a) are presently or have been debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by a Federal Agency or State Agency; (b) have within a three year period preceding this Bid Proposal been convicted of, or had a civil judgment rendered against them for commission of fraud, a criminal offense in connection with obtaining, attempting to obtain, performing a public (federal, state, or local) transaction or contract under a public transaction, violation of antitrust statutes commission of embezzlement, theft, forgery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are presently indicted for, or criminally or civilly charged by a government entity (federal, state, or local) with the commission of any of the offenses enumerated in (b) of this certification; and (d) have not within a three year period preceding this Bid Proposal had one or more public transactions (federal, state, or local) terminated for cause. This certification is a material representation of fact upon which the Iowa DOT has relied upon when this transaction was entered into. If it is later determined that the Contractor knowingly rendered an erroneous certification, in addition to other remedies available, the Iowa DOT may pursue available remedies including suspension, debarment, or termination of the contract.

Certification Regarding Registration, Collection, and Remission of Sales and Use Tax

7. Pursuant to Iowa Code Sections 423.2(10) and 423.5(8) (2009) a retailer in Iowa or a retailer maintaining a business in Iowa that enters into a contract with a state agency must register, collect, and remit Iowa sales tax and Iowa use tax levied under Iowa Code chapter 423 on all sales of tangible personal property and enumerated services. Contractors are required to certify their compliance with sales tax registration, collection, and remission requirements and provides potential consequences if the certification is false or fraudulent.

By submitting a Bid Proposal in response to (RFP), the Contractor certifies the following: (check the applicable box)

Contractor is registered with the Iowa Department of Revenue, collects, and remits Iowa sales and use taxes as required by Iowa Code chapter 432; or

Contractor is not a “retailer” or a “retailer maintaining a place of business in this state” as those terms are defined in Iowa Code subsections 423.1(42) and (43).

Contractor also acknowledges that the Iowa Department of Transportation may declare the Contractor’s Bid Proposal or resulting contract void if the above certification is false. The Contractor also understands that fraudulent certification may result in the Iowa Department of Transportation or its representative filing for damages for breach of contract in addition to other remedies available to Iowa Department of Transportation.

Sincerely,

[Signature of authorized representative]

[Print Name and Title]

[Printed Name of Contractor Organization]

[Date]

Request for Proposal Number: _____

Attachment #2 – Authorization to Release Information Letter

Alterations to this document are prohibited (see Section 2.12.15)

Note: Effective Date follows signature of last page

Ms. Renee R. Shirley, Purchasing Director
Iowa Department of Transportation
Office of Finance
Purchasing Section
800 Lincoln Way
Ames, Iowa 50010

Re: AUTHORIZATION TO RELEASE INFORMATION

Dear Ms. Shirley:

I certify that I am an authorized representative of the Vendor/Contractor and hereby authorize the Iowa Department of Transportation or a member of the Evaluation Committee to obtain information regarding its performance on other contracts, agreements or other business arrangements, its business reputation, and any other matter pertinent to evaluation and the selection of a successful Contractor in response to Request for Proposal Number (RFP) designated on the cover page and specified following the signature line of this document.

The Contractor acknowledges that it may not agree with the information and opinions given by such person or entity in response to a reference request. The Contractor acknowledges that the information and opinions given by such person or entity may hurt its chances to receive contract awards from the State or may otherwise hurt its reputation or operations. The Contractor is willing to take that risk. The Contractor hereby releases, acquits and forever discharges the State of Iowa, the Iowa DOT, Participating Agencies, their officers, directors, employees and agents from any and all liability whatsoever, including all claims, demands and causes of action of every nature and kind affecting the undersigned that it may have or ever claim to have relating to information, data, opinions, and references obtained by the Iowa DOT or the Evaluation Committee in the evaluation and selection of a successful Contractor in response to the RFP.

The Contractor authorizes representatives of the Iowa DOT or the Evaluation Committee to contact any and all of the persons, entities, and references which are, directly or indirectly, listed, submitted, or referenced in the Contractor's Bid Proposal submitted in response to the RFP.

The Contractor further authorizes any and all persons, entities to provide information, data, and opinions with regard to its performance under any contract, agreement, or other business arrangement, its ability to perform, business reputation, and any other matter pertinent to the evaluation of the Contractor's Bid Proposal. The Contractor hereby releases, acquits and forever discharges any such person or entity and their officers, directors, employees and agents from any and all liability whatsoever, including all claims, demands and causes of action of every nature and kind affecting the Contractor that it may have or ever claim to have relating to information, data, opinions, and references supplied to the Iowa DOT or the Evaluation Committee in the evaluation and selection of a successful contractor in response to the RFP.

A photocopy or facsimile of this signed Authorization is as valid as an original.

Sincerely,

[Signature of authorized representative]

[Print Name and Title]

[Printed Name of Contractor Organization]

[Date]

Request for Proposal Number: _____

Attachment # 3 Requirements Check List

| Section | RFP REFERENCE | PAGE NUMBER IN RESPONDER'S RESPONSE |
|----------|---|-------------------------------------|
| Cover | Bid Response Sheet | |
| 4.3 | Schedule of Prices | <i>In separate sealed envelope.</i> |
| 2.3/2.6 | Vendor signed Addenda <i>if issued</i> . Posted on internet website: www.iowadotpurchasing.com | |
| 3 | Mandatory/Desired Requirements | |
| 4.1.3 | One Original hard copy for each Tech. and Cost), one removable media for each and the number of copies as specified in Procurement Timetable. | |
| 4.1.4 | One (1) Public Copy with Confidential Information Excised – If Applicable | |
| 4.2.1 | Transmittal Letter | |
| 4.2.5 | Background Information | |
| 4.2.5.10 | Sub-Contractors | |
| 4.2.6 | Experience – Including 3 References | |
| 4.2.7 | Personnel | |
| 4.2.9 | Termination, Litigation, Debarment | |
| 4.2.10 | Certification Letter (Attachment 1) | |
| 4.2.11 | Acceptance of Terms and Conditions | |
| 4.2.12 | Authorization to Release Information (Attachment 2) | |
| 4.2.14 | Work Plan | |

This page is supplied as a checklist and is not intended to be used as an all-inclusive bid proposal requirement

Responder _____

SEALED RESPONSE

PROPOSAL NO: _____

PROPOSAL
DESCRIPTION: _____

RESPONSE DUE DATE: _____

**Iowa Department of Transportation
PURCHASING – SEALED RESPONSE
800 Lincoln Way
Ames, Iowa 50010**