Part 3 of the Solicitation

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Section 3-A: Instructions to Offerors

1.0 Definition of Terms

As used in these Instructions to Offerors, the terms listed below are defined as follows:

1.1 Arizona Procurement Code; A.R.S.; A.A.C.

"Arizona Procurement Code" means, collectively, Title 41 Chapter 23, *et. sequitur,* in the Arizona Revised Statutes (abbreviated "A.R.S.") and administrative rules R2-7-101 *et. sequitur* in the Arizona Administrative Code (abbreviated "A.A.C.").

NOTE: There are frequent references to the Arizona Procurement Code throughout the Solicitation Documents, therefore, you will need to be familiar with its provisions to be able to understand the Solicitation Documents fully.

The Arizona Department of Administration State Procurement Office provides a reference compilation of the Arizona Procurement Code on its website:

https://spo.az.gov/administration-policy/state-procurement-resource/procurement-regulations

The Arizona State Legislature provides the official A.R.S. online at:

http://www.azleg.gov/ArizonaRevisedStatutes.asp

The Office of the Arizona Secretary of State provides the official A.A.C. online at:

http://www.azsos.gov/rules/arizona-administrative-code

1.2 Clarifications

"Clarifications" means, per A.A.C. R2-7-C313, communications between the Procurement Officer and Offeror for the purpose of providing a greater mutual understanding of the Offer. Clarifications may include demonstrations, questions and answers, or elaborations on previously-submitted information.

1.3 Contract

"Contract" is defined in paragraph 1.2 of the Uniform Terms and Conditions.

1.4 Contract Amendment

"Contract Amendment" is defined in paragraph 1.3 of the Uniform Terms and Conditions.

1.5 Contract Terms and Conditions

Contract Terms and Conditions" is defined in paragraph 1.8 of the Special Terms and Conditions.

1.6 Contractor

"Contractor" is defined in paragraph 1.4 of the Uniform Terms and Conditions.

1.7 Evaluation

"Evaluation" means, per A.A.C. R2-7-316, the process whereby the Procurement Officer will determine which Responsive offers, revised offers, and best and final offers are the most advantageous to State taking into consideration the evaluation factors set forth in the Solicitation Documents.

1.8 Negotiation

"Negotiation" means, per A.A.C. R2-7-101(32), an exchange or series of exchanges between State and an offeror for the purposes set forth in A.A.C. R2-7-C314.

1.9 Not Susceptible for Award

"Not Susceptible for Award" means, per A.A.C. R2-7-C311, that the relevant offer has been determined by the Procurement Officer to fail one or more of the tests and comparisons set forth therein. NOTE: A determination of Not Susceptible for Award and a determination of Responsive are mutually exclusive.

1.10	**Offer: Initial Offer; Revised Offer; Best and Final Offer (BAFO)**	"Initial Offer" means, per A.A.C. R2-7-101(33), Offeror's proposal submitted to State in response to the Solicitation, as initially submitted. "Revised Offer" means any revised versions of the Initial Offer that Offeror has submitted to State at State's request as permitted under A.A.C. R2-7-C314 and R2-7-C315. "Best and Final Offer" ("BAFO") means, per A.A.C. R2-7-101(8), the Revised Offer submitted after negotiations have been completed that contain Offeror's most favorable terms for price, service, and products to be delivered. Reference to "an Offer, "the Offer," or "your Offer" means any of the Initial Offer, a Revised Offer, or the Best and Final Offer.
1.11	**Offeror**	"Offeror" is the Person submitting an Offer; instructions addressed to "you" and references to "your" items are to be construed as being synonymous with "Offeror" and "Offeror's" throughout these Instructions to Offerors.
1.12	**Pricing Document**	"Pricing Document" means Section 2-B of the Solicitation Documents. Also known as Pricing Document as defined in the Special Terms and Conditions.
1.13	**ProcureAZ**	"ProcureAZ" is defined in paragraph 1.16 of the Special Terms and Conditions.
1.14	**Procurement Officer**	"Procurement Officer" means the person, or his or her designee, who has been duly authorized by State to administer the Solicitation and make written determinations with respect to the Solicitation. The Procurement Officer is identified in ProcureAZ.
1.15	**Solicitation**	"Solicitation" means this procurement solicitation, which State is issuing as either: 1. an invitation for bids ("IFB") under A.R.S. § 41-2533; 2. a request for proposals ("RFP") under A.R.S. § 41-2534; 3. a request for quotations ("RFQ") under A.R.S. § 41-2535; or 4. a request for qualifications under A.R.S. §41-2558. Refer to the Solicitation Summary for which of the foregoing is this Solicitation.
1.16	**Solicitation Amendment**	"Solicitation Amendment" means, per A.A.C. R2-7-303, a change to the Solicitation that has been issued by Procurement Officer.
1.17	**Solicitation Summary**	"Solicitation Summary" means Section 1 of the Solicitation Documents.
1.18	**State**	"State" is defined in paragraph 1.11 of the Uniform Terms and Conditions.
1.19	**Subcontract**	"Subcontract" is defined in paragraph 1.13 of the Uniform Terms and Conditions.
1.20	**Subcontractor**	"Subcontractor" is defined in paragraph 1.19 of the Uniform Terms and Conditions.

2.0 Solicitation Inquiries

2.1	**Duty to Examine**	Examine the entire Solicitation, obtain clarification in writing for any questions or concerns by submitting inquiries, then examine your Offer thoroughly and carefully for completeness and accuracy before submitting it. Lack of care in preparing an Offer will not be grounds for modifying or withdrawing it after the due date and time.

2.2 State Contact Person

Direct all inquiries related to the Solicitation to Procurement Officer, including requests for or inquiries regarding standards referenced in the Solicitation. Apart from the ProcureAZ Help Desk, do not contact any State personnel other than Procurement Officer concerning the Solicitation while it is in progress, through and including award.

2.3 Submission of Inquiries

Submit all inquiries related to the Solicitation in ProcureAZ; the Procurement Officer will not respond to inquiries received in any other manner.

1. Submit technical inquiries about submitting proposals in ProcureAZ to the ProcureAZ Help Desk:
   - by phone at (602) 542-7600, option 1; or
   - by email to procure@azdoa.gov.
2. Submit all other inquiries about the Solicitation using the online form under **the "Q&A" tab for the Solicitation in ProcureAZ.** Always refer to the appropriate Solicitation document by page and paragraph number. Except for technical inquiries about submitting proposals, State is not responsible for responding to any inquiries submitted **less than 3 (three) business days before the offer due date and time**.

2.4 Timeliness

Any inquiry or exception to the solicitation shall be submitted as soon as possible and should be submitted at least seven days before the Offer due date and time for review and determination by the State. Failure to do so may result in the inquiry not being considered for a Solicitation Amendment.

2.5 Verbal or Email Responses

An Offeror shall not rely on verbal responses to inquiries. A verbal reply to an inquiry does not constitute a modification of the solicitation.

2.6 Solicitation Amendments

Only a Solicitation Amendment issued in ProcureAZ can change the Solicitation.

2.7 Pre-Offer Conference

A Pre-Offer Conference will be held at the time and place indicated in the solicitation's 'Pre-Bid Conference' field as found within the State's e-Procurement system, ProcureAZ (https://procure.az.gov); attendance is not required. The purpose of the conference will be to clarify the contents of the solicitation in order to prevent any misunderstanding of the State of Arizona's position. Any doubt as to the requirements of the solicitation or any apparent omission or discrepancy should be presented to the State at the conference. The State of Arizona will then determine the appropriate action necessary, if any, and issue a written amendment to the solicitation if required. Oral statements or instructions will not constitute an amendment to the solicitation.

Persons with a disability may request a reasonable accommodation, such as a sign language interpreter, or this document in an alternative format, by contacting the State Procurement Office. Requests should be made as early as possible to allow sufficient time to arrange for accommodation.

3.0 Offer Preparation

3.1 Online Documents

The Solicitation Documents are only provided online in ProcureAZ; State will not provide any printed copies or other formats.

3.2 Electronic Submissions

When submitting an Offer, only include files that are Microsoft Word documents, Excel workbooks, or PowerPoint presentations and Adobe Acrobat documents. Obtain advance approval before submitting files in any other format.

3.3 Deviations in Offer

When submitting an Offer, flag clearly any deviations from the Specifications or other Solicitation technical requirements documents. Any un-flagged deviation will be deemed void upon submission.

NOTE: Deviations are technical exceptions of a significant but not material nature, typically having to do with part/model numbers, details of attachments, mountings, clearances, internal configurations, etc., and are not to be confused with the material exceptions covered in paragraph 3.5.

3.4 Evidence of Intent

Every one of your Offers must contain Attachment 1 [*Offer and Acceptance Form*] with a signature by your duly authorized officer, executive, principal, or agent. The signature will be deemed to signify your intent to be bound by that Offer and the terms of the Solicitation, and your representation that the information you have provided in that Offer is true and accurate.

3.5 Exceptions to Solicitation Documents

If you are submitting an Offer conditioned on exceptions to the Solicitation Documents, indicate "NO" on Attachment 5-B [*Conformance Statement*] **and also indicate that exceptions are being taken under the "Terms & Conditions" tab for the Solicitation in ProcureAZ**. Any exceptions taken elsewhere in an Offer or any of your preprinted or standard terms will be void in that Offer and without force or effect in any resulting contract.

3.6 Insurance and Bonds

Provide the evidence of insurance availability, evidence of insurance in place, evidence of bonding capacity, bonds in hand, or other security that are called for in Attachment 5-C [*Insurance and Bonding Evidence*].

If you intend to withhold or redact any element of your evidence of insurance policy compliance required by Section 6.2 of the Special Terms and Conditions [*Contractor Insurance Requirements*] on the grounds that it is confidential information, then **you must claim it as such and submit the necessary substantiated justification with each Offer using Attachment 5-A** [*Designation of Confidential Information*].

Unless Procurement Officer has determined that your evidence documentation, or some or all your insurance program, is confidential information under paragraph 4.7, refusing after contract award to provide the complete, un-redacted copies of policies as called for in that exhibit will be a material breach of the Contract.

3.7 Identification of Taxes in Offer

State is subject to Arizona Transaction Privilege Tax as well as certain local sales/use taxes, as described in the Contract Terms and Conditions.

3.8 Excise Tax

State is exempt from certain federal excise tax on manufactured goods; State will provide the necessary exemption certificates as evidence to the extent exemption applies to the Work.

3.9 Tax Identification

You must provide to State your federal employer identification number or social security number for the purposes of reporting monies paid under the Contract to appropriate taxing authorities. The submission is mandatory under 26 U.S.C. § 6041A. If the identifier provided is a social security number, State shall only use it for tax reporting purposes and only share it with appropriate government officials.

3.10 Disclosure

If you are submitting an Offer despite having been debarred, suspended or otherwise lawfully precluded from participating in any public procurement activity, including being disapproved as a subcontractor with any federal, state or local government, or if any such preclusion from participation from any public procurement activity is currently pending, then you must provide with that Offer the name and address of the governmental unit, the effective date, duration, and circumstances of the suspension, debarment, or other preclusion, and your justification for State to

consider the Offer despite the suspension, debarment, or other preclusion. Include in your disclosure any suspension, debarment, or other preclusion that is pending, but indicate that it is pending.

3.11 Federal Immigration Laws

By signing an Offer, you will be deemed to have represented that both you and all your proposed subcontractors are in compliance with federal immigration laws and regulations relating to the immigration status of their personnel. State may, at its discretion, demand evidence of compliance during Evaluation, which you must provide promptly. Not providing the evidence will be grounds for Procurement Officer to determine that the Offer is Not Susceptible for Award.

3.12 Cost of Offer Preparation

State will not reimburse to you or any of your prospective subcontractors, suppliers, or consultants any costs associated with responding to the Solicitation.

3.13 Offshore Performance of Work Prohibited

Any services that are described in the specifications or scope of work that directly serve the State of Arizona or its clients and involve access to secure or sensitive data or personal client data shall be performed within the defined territories of the United States. Unless specifically stated otherwise in the specifications, this paragraph does not apply to indirect or 'overhead' services, redundant back-up services or services that are incidental to the performance of the contract. This provision applies to work performed by subcontractors at all tiers. Offerors shall declare all anticipated offshore services in the proposal.

4.0 Submission of Offer

4.1 Required Offer Content

Submit all of the Initial Offer content called for in Section 3-B: Offer Forms (Attachments). To be Responsive, each **Revised Offer or a Best and Final Offer must contain all of the Attachments indicated in the applicable Procurement Officer request** for Revised Offer or request for Best and Final Offer. If Procurement Officer does not request that a Revised Offer or Best and Final Offer include revision of an Attachment from its initial or previously-revised form, as applicable, then (1) Offeror shall not submit any revision of that Attachment with the Revised Offer or a Best and Final Offer, and Procurement Officer will disregard any such unrequested revision and (2) that Attachment be valid in its initial or previously-revised form, as applicable, for the duration of the Revised Offer or Best and Final Offer validity period.

4.2 Attachment Forms

If an Attachment indicates that a “Form” is being provided for an Attachment, then the Solicitation includes the required form and format for submitting the Attachment. No other form or format will be accepted, and your Offer can be determined to be Not Susceptible for Award if you submit an unofficial form.

If, however, the Solicitation Documents indicate that you are allowed to attach additional documents regarding a particular question or line item, then doing so will be acceptable so long as the filled-out Attachment clearly states “See Attachment X Supplement (#1 of 2)”, etc., and the additional document is clearly marked as “Attachment X Supplement (#1 of 2),” etc.

NOTE (1): Each Form has a blank space to list your Attachment Supplements.

NOTE (2): You must upload each such “additional” document as an individual file and name the file to match the document title.

NOTE (3): Attachment Forms cannot be filled-in directly in ProcureAZ; they must be downloaded, edited, and then uploaded (referred to as “attachments” in ProcureAZ) as part of each Offer.

NOTE (4): Do not include non-specific marketing materials in an Offer. If something is not specifically called for, then including it will not be helpful during Evaluation, and might in fact be grounds for down-grading if it does not address your experience and capacity to carry out the work for this Solicitation.

4.3 Pricing

If there are specific "Items" (line items) for the Solicitation in ProcureAZ, then submit pricing for the Offer directly in ProcureAZ for each such Item.

If a Pricing Document has been provided as an Attachment Form, then submit pricing for the Offer in the indicated blanks in that Attachment.

If no specific pricing input or form has been provided with the Solicitation, then submit pricing for the Offer in the form and format specified in Attachment 4 [*Pricing Document*]. If nothing is specified or if no Attachment 4 in included in the Solicitation documents, then submit pricing for the Offer in a form and format of your choosing that coherently and comprehensively presents the pricing being offered.

4.4 Submission

Submit each Offer online in ProcureAZ at https://procure.az.gov before the "Bid Opening Date" indicated for the "Solicitation No." at the top of these Instructions to Offerors. State will not consider a proposal submitted by any other method other than ProcureAZ, and it will be deemed void upon submission. By A.A.C. R2-7-C307, State will not consider later offers. State will give no extension or grace period for delays or incomplete proposals caused by internet connectivity problems, file uploading difficulties, or misunderstanding of the requirements or procedures for online submission in ProcureAZ. If your proposal is not submitted correctly, completely, and in conformance to these Instructions herein, then Procurement Officer may determine it Not Susceptible for Award.

NOTE: Using ProcureAZ requires a certain level of technical competency; select your staff to submit proposals and handle other Solicitation general matters in ProcureAZ carefully, since the ProcureAZ Help Desk cannot do any of the required actions for you.

4.5 Solicitation Amendments

Acknowledge each Solicitation Amendment in ProcureAZ. By A.A.C. R2-7-C303(C), you must acknowledge every Solicitation Amendment issued as of the due date and time for an Offer to be Responsive. If you have submitted your proposal early, you must be alert for subsequent Solicitation Amendments – if one is issued after your submission but before offer due date and time, then the Procurement Officer may determine the Offer to be Not Responsive if you have not acknowledged it.

4.6 Amending or Withdrawing

You cannot amend or withdraw a submitted proposal after the offer due date and time unless expressly permitted under applicable law.

4.7 Confidential Information

If you believe that a portion of your Offer (or a protest or other correspondence) contains a trade secret or other manner of your proprietary information, you must:

1. indicate on Attachment 5-A [*Designation of Confidential Information*] that your proposal contains such claimed confidential information; and
2. designate clearly throughout the Offer each instance of that trade secret or other proprietary information in the other portions of your proposal using the term "confidential."

Simply indicating that the proposal contains confidential information is not sufficient to claim the protections under A.A.C. R2-7-C317 – Attachment 5-A must be accompanied by a detailed explanation as to why **each item or category of items** in the proposal should be designated confidential information.

Procurement Officer shall review your claim of confidentiality and provide a written determination; until a written determination has been made, Procurement Officer

shall not disclose the claimed information to anyone who does not have a legitimate State interest. If Procurement Officer denies the claim of confidentiality, you may appeal the determination to the State Procurement Administrator within the time specified in the determination.

NOTE: Contract terms and conditions, pricing, and information generally available to the public are not and will not be designated confidential information.

4.8 Public Record

Once submitted and opened by Procurement Officer, your Offer is a public record and must be retained by State for 6 (six) years. All offers will be available for public inspection in ProcureAZ after the resulting contracts have been awarded, except for any portions that were determined to be confidential information.

Procurement Officer shall make the names of Persons who submitted offers available in ProcureAZ promptly after the opening date.

4.9 Offeror Certification

By signing the Offer and Acceptance Form (or other official contract form specified by Procurement Officer), you will be deemed to have certified that:

1. you did not engage in collusion or other anti-competitive practices in connection with the preparation or submission of your Offer; and
2. you do not discriminate against any employee or applicant for employment or person to whom you provide services because of race, color, religion, sex, national origin, or disability, and that you comply with an applicable federal, state, and local laws and executive orders regarding employment.

5.0 Responsibility; Responsiveness and Acceptability

5.1 Responsibility

In accordance with A.R.S. 41-2534(G), A.A.C. R27-C312 and R2-7-C316, the State shall consider the following in determining Offeror's responsibility, as well, as the responsiveness and acceptability of their proposals. The State will consider, but is not limited to, the following in determining an Offeror's responsibility as well as susceptibility to Contract Award:

1. Whether the Offeror has had a contract within the last five (5) years that was terminated for cause due to breach or similar failure to comply with the terms of the contract;
2. Whether the Offeror's record of performance includes factual evidence of failure to satisfy the terms of the Offeror's agreements with any party to a contract. Factual evidence may consist of documented vendor performance reports, customer complaints and/or negative references;
3. Whether the Offeror is legally qualified to contract with the State and the Offeror's financial, business, personnel, or other resources, including subcontractors;
4. Legally qualified includes if the vendor or if key personnel have been debarred, suspended or otherwise lawfully prohibited from participating in any public procurement activity, including but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body.
5. Whether the Offeror promptly supplied all requested information concerning its responsibility;

6. Whether the Offer was sufficient to permit evaluation by the State, in accordance with the evaluation criteria identified in this Solicitation or other necessary offer components. Necessary offer components include: attachments, documents or forms to be submitted with the offer, an indication of the intent to be bound, reasonable or acceptable approach to perform the Scope of Work, signed Solicitation Amendments, references to include experience verification, adequacy of financial/business/personal or other resources to include a performance bond and stability including subcontractors and any other data specifically requested in the Solicitation;
7. Whether the Offer was in conformance with the requirements contained in the Scope of Work, Terms and Conditions, and Instructions for the Solicitation and its Amendments, including the documents incorporated by reference;
8. Whether the Offer limits the rights of the State;
9. Whether the Offer includes or is subject to unreasonable conditions, to include conditions upon the State or necessary for successful Contract performance. The State shall be the sole determiner as to the reasonableness of a condition;
10. Whether the Offer materially changes the contents set forth in the Solicitation, which includes the Scope of Work, Terms and Conditions, or Instructions; and,
11. Whether the Offeror provides misleading or inaccurate information.

5.2 Responsiveness and Acceptability

Proposals that do not contain information sufficient to evaluate the proposal in accordance with the factors identified in the solicitation or other necessary proposal components may not be considered responsive and/or acceptable. Necessary components include an indication of the Offeror's intent to be bound, price proposal, solicitation amendments, bond and reference data as required.

Proposal Content. The Offeror shall make a firm commitment to provide services as required and proposed.

- The material contained in the Offer shall be relevant to the service requirements stated in the solicitation.
- It is to be submitted in a sequence that reflects the scope of work section of this document.
- It is to include information relevant to the designated evaluation criteria.
- Failure to include the requested information may have a negative impact on the evaluation of the Offeror's proposal.

5.3 Eligibility for Evaluation and Negotiation

If Procurement Officer determines an offeror is Not Responsible, then he or she is not permitted by A.A.C. R2-7-C314 to give further consideration to its offer or include it in any Negotiation or make Evaluation of its offer. If, however, Procurement Officer determines that an offer is Responsive (i.e., there is no applicable determination of Not Susceptible for Award), then he or she is obliged by A.A.C. R2-7-C314 to make Evaluation of it and include the offeror in the immediate round of Negotiation (if there is any Negotiation).

If Procurement Officer determines subsequently that your Revised Offer is Not Susceptible for Award by virtue of comparison to other revised offers per A.A.C. R2-7-C314(A)(3), then he or she will not include you in any further Negotiation. For clarity of intent, the foregoing means that Procurement Officer may reduce the number of offers that are "susceptible for award" with each successive round of Negotiation, since the purpose of Negotiation is to achieve best value for State.

6.0 Evaluation of Offers

6.1 Offer Validity Period

By submitting an Offer, you agree to hold it open for the validity period specified in the Solicitation Summary. If no validity period is specified therein, then you shall hold your Offer open for 180 (one hundred eighty) days. The specified or default validity period (whichever applies) re-starts upon submission of each Revised Offer or a Best and Final Offer.

6.2 Clarifications

Upon receipt and opening of proposals submitted in response to this solicitation, the State may request oral or written clarifications, including demonstrations or questions and answers, for the sole purpose of information gathering or for eliminating minor informalities or correcting nonjudgmental mistakes in proposals. Clarifications shall not otherwise afford Offerors the opportunity to alter or change their proposal.

6.3 Oral Presentations

The State may request oral presentations. If requested, the Offeror shall be available for oral presentations with no more than ten (10) business days advance notice. Participants in the oral presentations should include the Offeror's key persons. Such oral presentations shall not otherwise afford an Offeror the opportunity to alter or change its Offer.

6.4 Cost or Pricing Data

Submit any cost or pricing data promptly that Procurement Officer requests under A.R.S § 41-2543 per A.A.C. R2-7-702(B)(2). Procurement Officer may make the following preconditions for eligibility and award:

1. submission of appropriate cost or pricing data under A.A.C. R2-7-704;
2. determination that the submitted cost or pricing data demonstrates that pricing is fair and reasonable under A.A.C. R2-7-702(A); and
3. determination that the data is not defective under A.A.C. R2-7-705.

6.5 Evaluation Criteria

In accordance with the Arizona Procurement code A.R.S. § 41-2534, awards shall be made to the responsible Offeror(s) whose proposal is determined in writing to be the most advantageous to the State based upon the evaluation criteria listed below. The evaluation factors are listed in their relative order of importance.

6.5.1 Methodology;

6.5.2 Capacity of Offeror, Experience: and

6.5.3 Cost.

6.6 Negotiations

In accordance with A.R.S. § 41-2534, after the initial receipt of proposals, the Procurement Officer may conduct discussions with those Offerors who submit proposals determined by the State to be reasonably susceptible of being selected for award.

Procurement Officer will request a best and final offer from any offerors with whom negotiation has been conducted, provided that, State may make award made without any Negotiation and therefore every offeror is forewarned to always submit its offer complete and on the most favorable terms initially, and not to assume any opportunity for Negotiation.

6.7 Financial Stability

You must be able to substantiate your financial stability to State's satisfaction as a precondition of any contract award. Procurement Officer may demand documentation such as current and audited financial statements, including income and balance sheets, directly from you or may obtain reports from independent financial rating services. Not providing the evidence will be grounds for Procurement Officer determining your Offer is Not Susceptible for Award.

6.8	**Consideration of Exceptions**	Procurement Officer may determine that your Offer is Not Susceptible for Award if it is conditioned on an exception to a material aspect of the Solicitation. Even if Procurement Officer determines that an exception is one that does not merit Not Susceptible for Award determination, he or she may down-grade your Offer in Evaluation if the exception is significant.
6.9	**Consideration of Deviations**	Procurement Officer may down-grade your Offer in Evaluation if it contains deviations that, in his or her determination, materially reduce the value to State of affected Materials or Services across the life-cycle thereof.
6.10	**Consideration of Prompt Payment Discount**	Procurement Officer may credit any proposed prompt payment discounts for the purpose of evaluating offer prices.
6.11	**Consideration of Taxes**	Procurement Officer shall not include Arizona Transaction Privilege Tax and other sales/use taxes for the purpose of evaluating offer prices.
6.12	**Consideration of Cost**	Regardless of the relative order assigned to cost in the Solicitation Summary, cost is an essential consideration in every award State makes; State's intent is always to obtain the best pricing available and it strives to make its evaluations be a straightforward comparison of best value between the responsible and responsive proposals as far as possible to the extent permissible under the Arizona Procurement Code.
6.13	**Unit Price Prevails**	In the case of discrepancy in your Offer between a unit price or rate and an extension of that unit price or rate, the unit price or rate will prevail.
6.14	**Waiver and Rejection**	Notwithstanding any other provision of the Solicitation Documents, State reserves the right to waive any minor informality, reject any or all offers or portions thereof or cancel the Solicitation.

7.0 Award of Contract

7.1	**Best Advantage to State**	Under A.A.C. R2-7-C317, contracts will be awarded to the responsible offeror whose offer is determined to be most advantageous to the State based on the stated evaluation criteria.
7.2	**Number of Types of Awards**	State may make multiple awards or to award contracts by individual line items or alternates, by group of line items or alternates, or to make an aggregate award, or regional awards, whichever is determined to be most advantageous to State.
7.3	**Contract Inception**	Your Offer does not constitute a contract nor does it confer any right on you to the award of a contract. A contract is not created until your Offer has been accepted for State by Procurement Officer's signature on the Offer and Acceptance Form. Notice of award or of intent to award will not constitute State's acceptance of your Offer.
7.4	**Contract Document Consolidation**	State may, at its option, consolidate the resulting contract documents after contract award. Examples of such consolidation are reorganizing Solicitation Documents and those components of the Accepted Offer not pertaining to the contract's operation and excluding any components of the Accepted Offer that were not awarded. Contract document consolidation will not, however, include or be construed to include any materially change the Solicitation or the Contract.

8.0 Solicitation or Award Protests

Any protest must comply with and be resolved according to Arizona Revised Statutes Title 41, Chapter 23, Article 9, and rules adopted thereunder. Protests must be in writing and be filed with both Procurement Officer and the State Procurement Administrator. Protest of the Solicitation must be received before the offer due date and time. Protest of a proposed award or of an award must be received within 10 (ten) days after Procurement Officer makes the procurement file available for public inspection. In either case, the protest must include:

1. the name, address, email address and telephone number of the interested party;
2. signature of the interested party or its representative;
3. identification of the purchasing agency and the solicitation or contract number;
4. a detailed statement of the legal and factual grounds of the protest including copies of relevant documents; and
5. the form of relief being requested.

9.0 Comments Welcome

SEPARATELY AND APART FROM THIS SOLICITATION, The State Procurement Office periodically reviews these Instructions to Offerors and welcomes any comments the public may have.

Please submit your comments to:

State Procurement Administrator,
State Procurement Office, 100 North 15th Avenue, Suite 201
Phoenix, Arizona, 85007

End of Section 3-A

Section 3-B: Offer Forms (Attachments)

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Attachment 1
Offer and Acceptance Form

SUBMISSION OF OFFER: Undersigned hereby offers and agrees to provide **Access Voter Information Database (AVID)** to in compliance with the Solicitation indicated above and our Offer indicated by the latest dated version below:

Initial Offer:	**1.** June 17, 2017							
	date	initial						
Revised Offers:	**2.** x		**3.** x		**4.** x			
	date #1	initial	date #1	initial	date #1	initial		
	5. x		**6.** x		**7.** x			
	date #4	initial	date #5	initial	date #6	initial		
Best and Final Offer:	**8.** October 20, 2017							
	date	initial						

Sutherland Government Solutions, Inc.	Teresa A. Weipert	
Offeror company name	Signature of person authorized to sign Offer	Initials
11955 Freedom Drive, Suite 710	Teresa A. Weipert	
Address	Printed name and title	
Reston, VA 20190	Senior Vice President, Government Group	
City | State | ZIP	Contact name and title	
47-3805198	Teresa.weipert@sutherlandglobal.com	(585) 489-0190
Federal tax identifier (EIN or SSN)	Contact Email Address	Contact phone number

CERTIFICATION: By signature in the above, Offeror certifies that it:

1. will not discriminate against any employee or applicant for employment in violation of Federal Executive Order 11246, [Arizona] State Executive Order 2009-9 or A.R.S. §§ 41−1461 through 1465;
2. has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted offer. Failure to provide a valid signature affirming the stipulations required by this clause will result in rejection of the Offer. Signing the Offer with a false statement will void the Offer, any resulting contract, and may be subject to legal penalties under law;
3. is not debarred from, or otherwise prohibited from participating in any contract awarded by federal, state, or local government.

ACCEPTANCE OF OFFER: State hereby accepts the initial Offer, Revised Offer, or Best and Final Offer identified by number # at the top of this form, and which was dated date (the Accepted Offer). Offeror is now bound (as Contractor) to carry out the Work under the attached Contract, of which the Accepted Offer forms a part. Contractor is cautioned not to commence any billable work or to provide any material or perform any service under the Contract until Contractor receives the applicable Order or written notice to proceed from Procurement Officer.

State's Contract No. is: ADSPO##-######## **The effective date of the Contract is:** date **Contract awarded** date

	name
Procurement Officer signature	Procurement Officer, Blair Koolick

Attachment 2-A

Experience and Capacity Questionnaire

STATE MAY DETERMINE YOUR PROPOSAL IS NON-RESPONSIVE IF YOU DO NOT ANSWER ALL QUESTIONS FULLY.

The Offeror shall provide a narrative response to each question that demonstrates their understanding of the Scope of Work requirements and describes your company's overall method of approach for providing the service stated in this solicitation. If there is a question that is not applicable to the services required by the Scope of Work, you may mark it N/A.

EXPERIENCE AND CAPACITY QUESTIONS:

Question 1: Company Profile

The Offeror must include a detailed narrative description of its organization. The narrative must include the following:

A) Brief overview of business operations, with an emphasis on experience providing services software/technological solutions.

B) Date established;

C) Ownership (public, partnership, subsidiary, etc.);

D) Location in which the Offeror is incorporated;

E) Office location(s) responsible for performance of proposed tasks;

F) Offeror's organizational chart relevant to this project, specifically identifying the key point of contact for all questions related to the submitted offer;

G) Full disclosure of any potential conflict of interest (e.g. serving as a reseller of computer hardware, software or business relationships between the Offeror and any State employee who functions or has responsibilities in the review or approval of the undertaking or carrying out of the project);

H) A Statement of whether, in the last ten (10) years, the Offeror has filed (or had filed against it) any bankruptcy or insolvency proceeding, whether voluntary or involuntary, or undergone the appointment of a receiver, trustee, or assignee for the benefit of creditors, and if so, an explanation providing relevant details;

I) A Statement of whether there are any pending Securities Exchange Commission investigations involving the Offeror, and if such are pending or in progress, an explanation providing relevant details and an attached opinion of counsel as to whether the pending investigation(s) may impair the Offeror's performance in a Contract under this RFP;

J) A Statement documenting all open or pending litigation initiated by Offeror or where Offeror is a defendant or party in any litigation that may have a material impact on Offeror's ability to deliver the contracted services;

K) A Statement documenting all open or pending litigation initiated by Offeror or where Offeror is a defendant or party in any litigation with a public sector client;

L) Full disclosure of any public sector contracts terminated for cause or convenience in the past five (5) years; and

M) Full disclosure of any criminal or civil offense.

N) Offeror shall provide evidence of any Arizona required business license to provide these services.

O) Offeror shall provide copies of any professional or industry certifications that represent the services detailed in this RFP.

Offeror Response:

Response to Question 1 (A).

Sutherland Government Solutions, Inc. (Sutherland's) mission is to ensure government clients achieve their goal of fully responding to citizen mandates and concentrate on their core work. As a trusted partner, Sutherland equips government clients for success by providing IT solutions and smart, affordable, highly responsive customer care processes. Sutherland currently delivers IT solutions that are fully compliant with government regulations. These include transactions processing, claims, collections, banking transactions, appointing, help desk, and loan processing

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IT and System Integration services provide a key component enabling both the Sutherland customer service solutions, as well as provide efficient and cost-effective IT Solutions directly to our commercial and government clients. By leveraging our internal and partner-based products, platforms, and infrastructure services, we can rapidly deploy fit-for-purpose solutions to meet government requirements. We can scale our support services up and right-size based on relevant, strong commercial platforms and experience.

Response to Question 1 (B).

Sutherland Global was established 1986; Sutherland Government established 2014.

Response to Question 1 (C).

Sutherland Government is a wholly-owned subsidiary of Sutherland Global which is a Minority-owned, sole proprietorship.

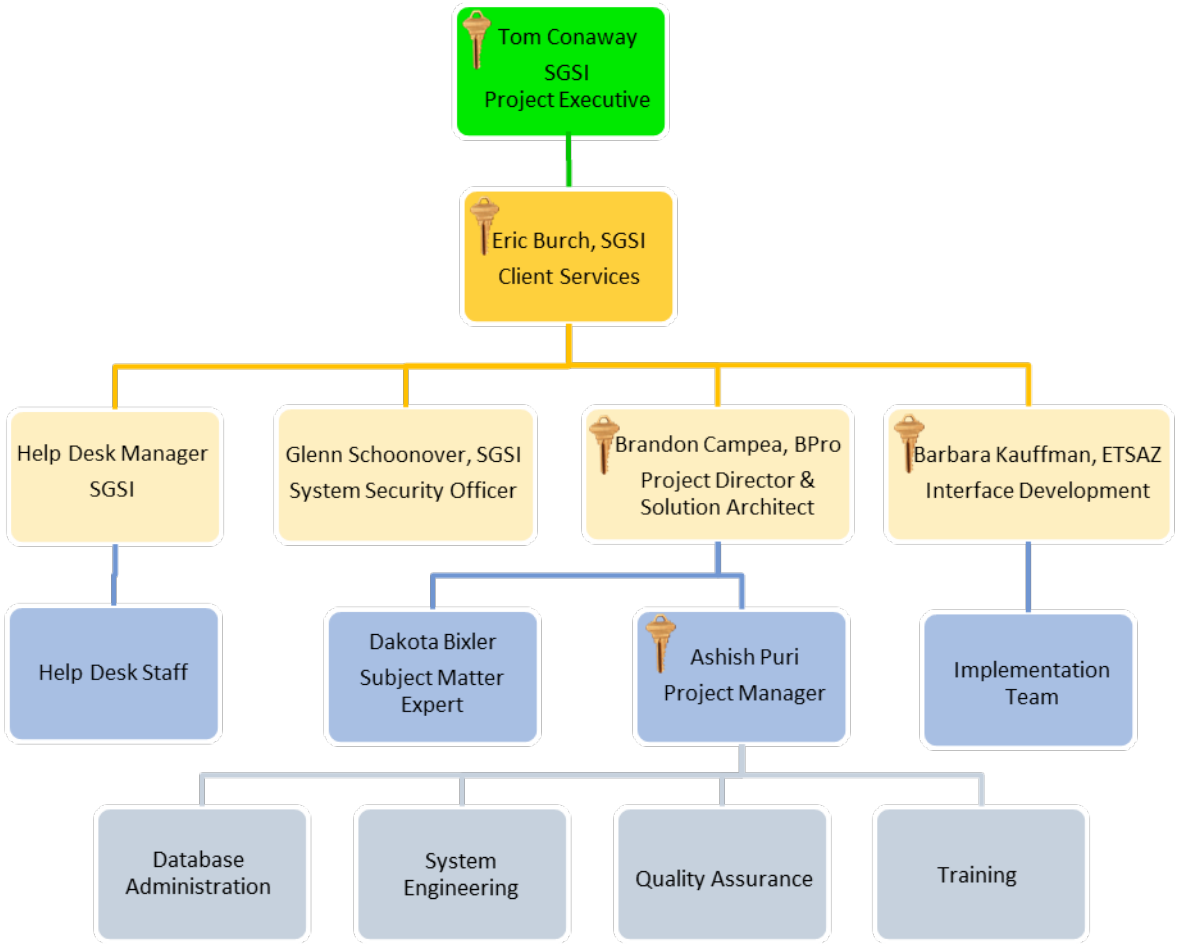
Response to Question 1 (D).

While Sutherland Global Services is incorporated in Rochester, New York, Sutherland Government is incorporated in the State of Delaware. We are partnered for this project with Arizona firm Expert Technology Services, incorporated in Phoenix, AZ.

Response to Question 1 (E).

Team Sutherland will be basing our operations for the AVID project out of the offices of our partner, Expert Technology Services, located in Phoenix, AZ at 10040 North 25th Avenue.

Response to Question 1 (F).



The key point of contact for all questions related to this offer is Mr. Richard J. Hamilton, II. His phone number is (760) 445-5859 and email richard.hamilton@sutherlandglobal.com.

Response to Question 1(G).

Sutherland knows of no conflict of interest existing between any of our employees and any employee of the State of Arizona. Nor do either of our partners for this project, BPro and Expert Technology Services, have any such conflict of interest.

Response to Question 1(H).

Neither Sutherland Global nor Sutherland Government nor its partners, BPro, Inc. and Expert Technology Services (ETSAZ), has filed or had filed against them, any bankruptcy or insolvency proceeding, whether voluntary or involuntary, or undergone the appointment of a receiver, trustee, or assignee for the benefit of creditors within the last ten years.

Response to Question 1(H).

Neither Sutherland Global nor Sutherland Government nor its partners, BPro, Inc. and Expert Technology Services (ETSAZ), has filed or had filed against them, any bankruptcy or insolvency proceeding, whether voluntary or involuntary, or undergone the appointment of a receiver, trustee, or assignee for the benefit of creditors within the last ten years.

Response to Question 1(I).

Neither Sutherland nor Sutherland Government nor its partners, BPro, Inc. and Expert Technology Services (ETSAZ) know of any pending Securities and Exchange Commission investigations.

Response to Question 1(J).

Neither Sutherland nor our partners for this project, BPro, Inc. and Expert Technology Services (ETSAZ), have open or pending litigation, nor are defendant(s) or party(ties) in any litigation that may have a material impact on the companies' ability to deliver the contracted services.

Response to Question 1(K).

Neither Sutherland nor our partners for this project, BPro, Inc. and Expert Technology Services (ETSAZ), have open or pending litigation, nor are defendant(s) or party(ties) in any litigation with a public sector client.

Response to Question 1(L).

Neither Sutherland nor our partners for this project, BPro, Inc. and Expert Technology Services (ETSAZ) have had any contracts terminated for cause or convenience in the past five years.

Response to Question 1(M).

Sutherland and our partners for this project, BPro, Inc. and Expert Technology Services (ETSAZ), have clear records with both the criminal and civil courts.

Response to Question 1(N).

Sutherland has been licensed to conduct business in the state of Arizona since September 2004. Our file number is F11535509. Please find our Arizona State Corporation Commission Corporations Division Business File in the Attached File Name: ***Att 2-1 Supp (1 of 9) SGS AZ Business File.pdf***

We have also attached our certificate of Good Standing as File Name: ***Att 2-1 Supp (2 of 9) SGS AZ Cert Of Good Standing.pdf***

Response to Question 1(O).

The table below shows the Industry Certifications for Sutherland and its partners, BPro, Inc. and Expert Technology Services (ETSAZ).

INDUSTRY CERTFICATIONS	
SUTHERLAND	
New York & New Jersey Minority Supplier Development Council	New York & New Jersey Minority Supplier Development Council – Certificate Number NY03494. File Name: ***Att 2-1 Supp (3 of 9) NYNJNMSDC SGS Cert.pdf***
Trustwave	Sutherland Global Services is enrolled in Trustwave's TrustKeeper® Compliance Validation Service to meet the Payment Card Industry Data Security Standard (PCI DSS). Trustwave and its TrustKeeper Compliance Validation Service has been accredited by all the major card associations' data security programs. File Name: ***Att 2-1 Supp (4 of 9) SGS PCI Level 2 Cert.pdf***
bsi. ISO/IEC 27001 Information Security Management	Sutherland was awarded ISO 27001 Certification which recognizes the customer relationship management through contact center services using voice and e-support media in the domains of technical support, customer care, account management and BPO operations. File Name: ***Att 2-1 Supp (5 of 9) SGS ISO 27001 Cert.pdf***
BPro, Inc.	

Silver Microsoft Partner	Microsoft Silver Partner with Cloud Competency. File Name: ***Att 2-1 Supp (6 of 9) BPro MS Silver Cert.pdf***
EXPERT TECHNOLOGY SERVICES (ETSAZ)	
sitecore Certified Solutions Partner Sitecore CMS 6.5	Website .Net Developer Certification (Sitecore USA) File Name: ***Att 2-1 Supp (7 of 9) ETSAZ Sitecore Cert.pdf***
	System Administrator, Sitecore NA TC 1 (85) File Name: ***Att 2-1 Supp (7 of 9) ETSAZ Sitecore Cert.pdf***
	Sitecore Developer Foundations (Sitecore USA) File Name: ***Att 2-1 Supp (7 of 9) ETSAZ Sitecore Cert.pdf***

Question 2: Company Background

A) Complete the following information regarding the Offeror's organizational background. The State reserves the right to ask for any additional clarification relating to the organizational background information.

Respondents are not to change any of the completed cells in the following table. Any changes to the completed cells in the following table could lead to the disqualification of a respondent.

Table 1. Organizational Background Information

#	Qualification Item	Offeror Response	
1	The Offeror's annual revenue	**$1.3 Billion**	
2	The Offeror's organizational size (number of employees)	**48,000**	
3	The Offeror has experience with public sector voter registration projects of similar size and complexity as the AVID project	**YES** ☒	**NO** ☐

B) If yes to question A, please provide projects in the past five (5) years that demonstrate a similar size and complexity as the AVID project in the tables below

C) Project Name: North Dakota VOICES	**Start Date**	**End Date**
North Dakota VOICES	**2009**	**Present**
Customer Organization: North Dakota Secretary of State's Office	**Customer Contact Name:** Jim Silrum	
	Customer Phone: (701) 328-3660	
Customer Address: 600 East Boulevard Ave, Dept. 108, Bismarck ND 58505-0500	**Customer Fax:** (701) 328-2992	

C) Project Name: North Dakota VOICES	Start Date	End Date
Project Information		
Cost:	Approximately $800,000 to date. Contract is on-going and is for time and materials.	
Total Offeror Staff:	4	

Project Objectives:
North Dakota contracted with BPro in 2009 for the TotalVote™ Election Management System(EMS) and Election Night Reporting(ENR) modules. The State needed a better system for determining voter eligibility, and added Voter Registration(VR) in 2015. After a 12-month development phase, the system went live in January 2016.

Project Description:
In 2009, BPro began building a customized version of TotalVote™ for the state, which is now known as ND VOIC-ES. ND VOICES is a seamless system comprising both election management and voter eligibility modules. The system also includes candidate filing, online candidate filing, canvassing, election night reporting, petition management, the voter information portal, and campaign finance reporting capabilities. The ND VOICES system currently has 10+ users at the North Dakota Secretary of State's office and 100+ county-level administrators.

Offeror's Involvement:
BPro is the sole source developer of ND VOICES and continues to maintain and support the solution.

Project Name: New Mexico SERVIS	Start Date	End Date
New Mexico SERVIS	**2012**	**Present**

Customer Organization: New Mexico Secretary of State's Office	**Customer Contact Name:** Kari Fresquez
	Customer Phone: (505) 827-3600
Customer Address: 325 Don Gaspar Ave #300, Santa Fe, NM 87501	**Customer Fax:** (505) 827-8403

Project Information	
Cost:	Approximately $1.3 million, not including ongoing support and maintenance.
Total Offeror Staff:	7

Project Name: New Mexico SERVIS	**Start Date**	**End Date**
Project Objectives: The State of New Mexico initially contracted BPro to build an Election Management system (EMS) and an Election Night Results (ENR) website. The system has been well received and is currently being enhanced to include Voter Registration. These requests came from both New Mexico counties and the state's Elections Division.		
Project Description: Over an 18-month timeframe, BPro worked closely with all 33 counties and the State to develop and deploy the TotalVote™ EMS and ENR systems, and we are currently enhancing the project to include Voter Registration (VR) module.		
Offeror's Involvement: BPro is the sole source developer and continues to maintain and support the solution.		

Project Name: TotalVote™		**Start Date**	**End Date**
TotalVote™		**2014**	**Present**
Customer Organization: Hawaii Office of Elections	**Customer Contact Name:** Aaron Schulaner		
	Customer Phone: (808) 453-VOTE (8683)		
Customer Address: 802 Lehua Avenue, Pearl City, Hawaii 96782	**Customer Fax:** (808) 453-6006		
Project Information			
Cost:	Approximately $1.2 million, not including ongoing support and maintenance.		
Total Offeror Staff:	5		
Project Objectives: The state of Hawaii contracted with BPro to provide an Online Voter Registration (VR) system. We are now in the process of building a complete Voter Registration System, to be launched on July 1, 2017			
Project Description: We completed the rollout for Hawaii's Online Voter Registration system in nine months. The rollout for the full VR system will take 12 months and we are in the second phase launch period. The VR system was scheduled to launch prior to the 2016 election, but county election administrators decided they would rather not launch a new system right before a presidential election. BPro's flexibility allowed for the rescheduling of the launch.			
Offeror's Involvement: BPro continues to maintain and support the solution.			

Question 3: Company Experience

A. What market(s) are your current clients primarily in?
B. What experience do you have serving clients in Arizona State Business Markets?
C. What is the range in size of your current clients?
D. What type of case studies do you have that exhibit your experience with different clients?
E. How long have you provided services to your longest tenured client?
F. Why did your last three former clients cancel their contracts?
G. With what relevant trade associates are you involved? How does this participation give you an advantage over your competition?

Offeror Response:

Sutherland	BPro	ETSAZ
Response to Question 3-A.		
Sutherland's clients are in the global market arena. We have ongoing relationships of similar and scope in the markets of New York, Nevada, and Texas. The Idaho Secretary of State recently awarded us a Business Services contract.	BPro provides Voter Registration services in numerous markets, including the states of New Mexico, Hawaii and North Dakota. BPro Inc began our first election project in 2007 for the South Dakota Secretary of State's office and we currently have clients using our TotalVote™ system in 10 states. In California, Minnesota and Ohio, BPro works with individual counties in Hawaii, Montana, Nebraska, New Mexico, North Dakota, Oregon and South Dakota, BPro has statewide contracts.	ETSAZ operates primarily in the State of Arizona.
Response to Question 3-B.		
We have not conducted any business with the State, although we work with the following Arizona companies—GoDaddy, Blue Cross Blue Shield of Arizona, Inc. and the University of Arizona Medical Center.	We have not conducted any business with the State, although we do work with the Arizona's Water/Wastewater Agency Response Network.	ETSAZ has the experience of working with multiple government agencies in the State of Arizona. Over the past 10 years we provided consulting services and project development services for Maricopa County Court Technology Services (MCCTS), Arizona Administrative Office of Courts (AOC) and AZ Learning Centers, a part of Arizona Department of Administration. In the process of working on these projects, we have also developed connections and familiarity with the systems and

Sutherland	BPro	ETSAZ
		processes at AZ DPS, Maricopa County Sheriff's office multiple county agencies across the state of Arizona. We are also an approved vendor for the State of Arizona, Staffing Services and we provided consultants for multiple temporary staffing contracts.
Response to Question 3-C.		
Our client AT&T is the largest and is number 7 on the Fortune 50. Our smallest client is Citrix, number 7 on the Fortune 1000.	In elections, our largest customer is the State of Oregon (2.5 million registered voters) and our smallest customer is Aitkin County, MN (10,000 registered voters).	Our clients range from small advertising agencies and PR firms to state government departments with 35,000 users who benefit from the technology and services we provide for education and training management. In the academic education market segment, we have international universities with over 200,000 students who use our online training platform for their day to day learning content access.
Response to Question 3-D.		
Sutherland supports 120 clients in the government and commercial marketplace. 50% of our commercial clients are Fortune 500 corporations, and 40% are Fortune 50. Our clients are leaders across multiple markets including Healthcare, Insurance, Technology, Finance, Mortgage Servicing, Retail and Government. Sutherland operates at a deployment scale well above what can be demonstrated with a few select Past Performance selections. While it is very easy to select several successful, project specific references, it is more important to look at the scale of services provided, and the diversity of successful implementations and	We have not produced any case studies to date.	

Sutherland	BPro	ETSAZ
successes Sutherland provides to Government and Commercial clients alike. Sutherland can provide, upon further request, specific Case Studies for a number of clients across our Commercial Communications, Technology, Retail, Insurance, Mortgage, Financial Services, and Government verticals. These could be from any of our hundreds of clients including: Sony, Lenovo, DHL, Quicken Loans, The Home Depot, AOL, Charter Communications, BBC, Allianz, Sky, Mount Sinai, Palomar Health, Virtua, Guardian Group, Royal Caribbean Cruises Ltd., Petco, EBay, Tesco, Hilton, Etihad Airways, GoDaddy, Altice, Arch Mortgage, Hiscox, or SAS.		
Response to Question 3-E.		
We have enjoyed a 20+ year relationship with our longest tenured client, AT&T.	We have enjoyed a 10 year relationship with our longest tenured client, the State of South Dakota.	Our longest tenured clients have been using our services for nearly 9 years and is ongoing. We have had the opportunity to work for Ridgewood Associates in Tucson and State of Colorado Child Welfare Training Services on multiple projects over the years. We work as a part of the team led by Ridgewood Associates in this team.
Response to Question 3-F.		
None of our former clients cancelled their contracts; rather, the contracts expired.	None of our former clients cancelled their contracts; rather, the contracts expired.	Our last three contracts were successfully completed. We did not have any non-performance issues on our projects in the last several projects. The clients that moved on sometime moved to different software platforms and did not need our services.
Response to Question 3-G.		

Sutherland	BPro	ETSAZ
ACT-IAC Advancing Government The American Council for Technology-Industry Advisory Council (ACT-IAC) is a 501(c)3 non-profit educational organization established to improve government through the effective and innovative application of technology. PSC PROFESSIONAL SERVICES COUNCIL The Professional Services Council (PSC) is the voice of the government technology and professional services industry, representing the full range and diversity of the government services sector. PSC is the most respected industry leader on legislative and regulatory issues related to government acquisition, business and technology. Our involvement with these associations raises our industry profile and strengthens our networking ties with government representatives. The recommendations we make as part of the PSC allows us to share best practices with senior officials.	NASS National Association of Secretaries of State BPro is currently a corporate member of the National Association of Secretaries of States and also attends conferences for county elections officials around the country, including the Election Officials of Arizona conference in Tucson earlier this year. Attending these conferences and developing relationships with state and local elections officials provides us with the opportunity to hear firsthand the priorities, along with the issues, that elections officials are experiencing.	N/A

Question 4: Financial/Accounting Information

A) Offeror must provide evidence of financial stability and capability to fund all costs associated with providing the services throughout the term of the Contract. The latest two (2) years audited annual financial statements including Total Revenue, Net Income, and Total Assets must be submitted with the Offeror's proposal. If audited financial data is unavailable, explain in full the reason, and provide the latest non-audited financial information to include Balance Sheet, Income Statement, as well as Statements of Cash flows and Change in Financial Position. Include information to attest to the accuracy of the information provided.

Offeror shall provide information regarding any irregularities that were discovered in any accounts maintained by the Offeror on behalf of others. Describe the circumstances and disposition of the irregularities.

B) The Offeror shall provide the industry standard D&B Ratings that indicate the firm's financial strength and creditworthiness, assigned to most US and Canadian firms (and some firms of other nationalities) by the US firm Dun & Bradstreet (D&B). These ratings are based on a

firm's worth and composite credit appraisal. Additional information is given in credit reports (published by D&B) that contain the firm's financial statements and credit payment history.

C) The Offeror shall supply evidence of financial stability sufficient to demonstrate reasonable stability and solvency appropriate to the requirements of this procurement. Offerors must submit the most recent audited financial statement including all supplements, management discussion and analysis, and actuarial opinions. At a minimum, such financial statements and reports shall include balance sheet; statement of income and expense; statement of changes in financial position; cash flows; and capital expenditures. If the Offeror is a corporation that is required to report to the Securities and Exchange Commission, it must submit its two most recent SEC Forms 10K, Annual Reports. If any change in ownership is anticipated during the twelve (12) months following the proposal due date, the Offeror must describe the circumstances of such change and indicate when the change is likely to occur.

D) In the following table, please list credit references that can verify the financial standing of your company.

Table 2. Credit References

Institution	Address	Phone Number
1100 Jefferson Road, LLC	400 Andrews St, Ste 500, Rochester, NY 14604	(585) 546- 4866
Northern Development II, LLC	1160 Pittsford-Victor Rd, Pittsford, NY 14534	(585) 851-0512

E) If the Offeror is substantially owned or controlled, in whole or in part, by one or more other legal entities, the Offeror must submit the information required under the “Financial Capacity” section above for each such entity, including the most recent financial statement for each such entity. The Offeror must also include a statement that the entity or entities will unconditionally guarantee performance by the Offeror of each and every obligation, warranty, covenant, term and condition of the contract. If AZSOS determines that an entity does not have sufficient financial resources to guarantee the Offeror’s performance, AZSOS, through Arizona State Procurement office, may require the Offeror to obtain another

acceptable financial instrument or resource from such entity or to obtain an acceptable guarantee from another entity with sufficient financial resources to guarantee performance.

F) The Offeror must confirm that it will obtain and maintain a performance bond during the term of the contract. The bond must:

- Be issued by a surety or other entity duly licensed and authorized to conduct business in the State of Arizona and rated "A" or better by a rating agency acceptable to AZSOS.
- Be in an amount equal to 50% of the Offeror's proposed amount of the project.
- Name AZSOS as a joint loss payee of the bond.
- Be tendered to AZSOS within ten (10) business days after the execution of the contract. Any applicable renewal of the bond must be tendered to AZSOS within ten (10) days of issuance.
- If during the term of the contract AZSOS, in its sole discretion, may determine that there is a business need to increase the bond amount.

Offeror Response:

Response to Question 4(A).

There are no irregularities in any of the accounts.

We have included audited Financial statements for fiscal years 2015 and 2016 as File Name: ***Att 2-1 Supp (8 of 9) SGS Audited Financial Stmt FY16 and FY15.pdf*** (Confidential)

Response to Question 4(B).

Sutherland has chosen to not include our D & B Ratings at this time due to inaccuracies in the file. We are actively working with D & B to resolve these inaccuracies, and will provide AZSOS a copy of this report once the inaccuracies are resolved.

Response to Question 4(C).

Sutherland has provided a Guarantee Letter from Dale A. Sander, Senior Vice President, Sutherland Global Accosting Officer included as File Name: ***Att 2-1 Supp (9 of 9) SGS Financial Guarantee Letter.pdf*** (Confidential)

Question 5: Proposed Project Members and Organization

Utilize Attachment 3-B to identify Key Personnel to be utilized to perform services within a resultant contract.

In addition, also state the Members related experience with large local, state or federal government agencies.

Offeror Response:

All Proposed Project Members Names and Resumes are confidential to Team Sutherland and should not be released to the public.

1	Name:	Tom Conaway	How long with company	5 years
Current position in company:		Vice President of Operations	How long in position?	2 years
Position for the Services:		Project Executive	How much of time will be dedicated to the Services?	10%
What primary functions will be assigned?		Responsible for overall project execution including P&L.		
Describe person's experience in performing services like those that are to be assigned:		Mr. Conaway has 30+ years as a Senior Executive in the federal government market. He also has proven capabilities in managing complex programs, developing effective teams, managing operations and P&L. Mr. Conaway has extensive experience developing and implementing software solutions for real-world business problems.		
List person's job-related training and education:		BS, University of Alabama, Tuscaloosa, AL		
Resume:		File Name: ***Att 3-B Supp (1 of 6) Tom_Conaway_Resume.pdf***		

2	Name:	Eric Burch	How long with company?	New Hire
Current position in company:		Principal	How long in position?	2017-Present
Position for the Services:		Client Services Manager	How much of time will be dedicated to the Services?	100 %
What primary functions will be assigned?		As Client Services Manager, Eric will: • Provide regular updates to clients on the progress of customer service projects and campaigns that directly affect each client • Develop open and effective channels of communication with each client that can be employed by other departments as well • Coordinate internal projects and determine the best utilization of resources to increase customer satisfaction • Encourage revenue growth by inspiring clients to purchase accessories and additional services • Become the reliable point of contact for each customer that is required to establish a strong business relations		

2	Name:	Eric Burch	How long with company?	New Hire
Describe person's experience in performing services like those that are to be assigned:		Eric's most relevant experience is as follows; in various roles, he: • Implemented numerous business process improvement solutions at nation's largest organ donor registry. • Designed and led implementation of safety-based culture change program for General Services Department for the County of San Diego, the nation's 5th largest county. • Leveraged position as former staff to a Republican California Assembly member and crafted key message point helping to secure crucial Republican votes ultimately leading to approval of California Hospital Quality Assurance Fee legislation which increased funding for the state's hospitals by $875,000,000. • Conducted extensive quality assurance evaluation of a North Carolina fire training center delivering 900 courses to 16 fire departments in county per year. Solutions increased revenue by 50% and secured fiscal stability.		
List person's job-related training and education:		Principles of Project Management Certification Training Course Indiana State University • Master of Public Administration - MPA Degree • San Diego State University, San Diego, CA • Bachelor of Arts in Political Science; minor Public Administration - B.A. Degree • San Diego State University, San Diego, CA		
Resume:		File Name: ***Att 3-B Supp (2 of 6) Eric_Burch_Resume.pdf***		

3	Name:	Brandon Campea	How long with company?	16 years
Current position in company:		President/Senior Software Engineer	How Long in Position	16 years
Position for the Services:		Project Director and Solutions Architect	How much of time will be dedicated to the Services?	50%
What primary functions will be assigned?		Brandon will serve on the Project Control Board as the Project Director from BPro. Brandon is the principal owner of BPro and the manager of BPro's portfolio of Elections Products. As Project Director, Brandon will work directly with the Arizona Director of Elections to monitor the project to completion and oversee the implementation teams. As Solutions Architect, Brandon will lead all technical decisions regarding product design and infrastructure. The Project Director serves on the project team throughout the project in a 50% resource commitment.		

3	Name:	Brandon Campea	How long with company?	16 years
		As Project Leader –he will facilitate custom software projects from the requirements phase through development and ongoing support; act as liaison between development team and client; model and direct efficient and effective strategies.		
Describe person's experience in performing services like those that are to be assigned:		PROJECT MANAGER/SENIOR SOFTWARE ENGINEER- South Dakota Secretary of State: TotalVote™ & CERS (Central Election Reporting System) System. 8/2007 - present. Developing a complete online system for the Secretary of State and County Auditors for voter registration, candidate filing, ballot certification and creation, election night results reporting, and county and state canvassing. The system is used for statewide primary, secondary, special and general elections as well as local elections. Designed in ASP.NET and SQL Server 2012. PROJECT MANAGER/SENIOR SOFTWARE ENGINEER- North Dakota Secretary of State: VOICES (Voting Information & Central Election Systems). 8/2009 - present. Developing a complete online system for the Secretary of State and County Auditors for the central voter file, candidate filing, ballot certification and creation, election night results reporting, and county and state canvassing. The system is used for statewide primary, secondary, special and general. Designed in ASP.NET and SQL Server 2008. PROJECT MANAGER/SENIOR SOFTWARE ENGINEER- Montana Secretary of State: eSERS (Statewide Election Reporting System). 8/2009 - present. Developing a complete online system for the Secretary of State and County Auditors for candidate filing, election night results reporting, and county and state canvassing. The system is used for statewide primary, special and general, and was designed in ASP.NET and SQL Server 2008. PROJECT MANAGER/SENIOR SOFTWARE ENGINEER- Vermont Secretary of State: CERS (Central Election Reporting System). 8/2009 - present. Developing a complete online system for the Secretary of State for candidate filing, ballot certification and creation, election night results reporting, and county and state canvassing. The system is used for statewide primary, special and general. Designed in ASP.NET and SQL Server 2008. PROJECT MANAGER/SENIOR SOFTWARE ENGINEER- Nebraska Secretary of State: CERS (Central Election Reporting System). 8/2009 - present. Developing a complete online system for the Secretary of State and County Clerks for candidate filing, ballot certification and creation, election night results reporting, and county and state canvassing. The system is used for statewide primary, secondary, special and general. Designed in ASP.NET and SQL Server 2008.		
List person's job-related training and education:		BA, Computer Science, Whitworth College, Spokane, WA SOFTWARE PROFICIENCIES: Expert SQL Server, Expert ASP.NET, Expert VB.NET		
Resume:		File Name: ***Att 3-B Supp (3 of 6) Brandon_Campea_Resume.pdf***		

4 Name:	Barbara Kauffman	How long with company?	New Hire
Current position in company:	Project Director	How long in position?	2017 - Present
Position for the Services:	Project Director	How much of time will be dedicated to the Services?	100%
What primary functions will be assigned?	As the Project Director, Barbara will be responsible for coordination of project activities and will assist Mr. Burch as necessary with the activity tracking, resource scheduling and reports for ETSAZ components.		
Describe person's experience in performing services like those that are to be assigned:	A Business and IT Services specialist, Barbara has served as Program Manager for contracts with the Arizona State Department of Revenue and the Maricopa County Clerk of Superior Court. • Responsible for managing several applications and new projects in support of Clerk of the Superior Court day-to-day business: incoming electronic filings from law offices (internal & external), Minute Entries, Orders of Assignment, Marriage Licenses, etc. • Responsible for all aspects of the eFiling Program for Individual and Withholding returns for the State of Arizona. This included providing technical assistance and program guidance to external software developers (Intuit, HR Block, ADP, etc.), and internal business units. • Served as Product Owner and Scrum Master for the multi-year project known as eFile Modernization in which AZDOR was mandated by IRS to upgrade the electronic filing system. • Managed the development and analysis of business requirements for multiple project initiatives through the use of various document formats and Use Cases. Collaborated with Business and IT teams to recommend alternative approaches to satisfying the business requirements by becoming a subject matter expert on the business functionality for the applications. • Played a key role in the successful implementation of a project management office (PMO) inclusive of a repeatable project methodology and associated templates for use in documenting the processes.		
List person's job-related training and education:	Barbara has a BS in Business with a minor in Management from Western International University. She is an Agile Coach and SCRUM Master and is also certified in the following: • MS TFS 2012 for Project Managers • MS TFS 2010 for Project Managers • CSM-certified by Scrum Alliance • CSP-certified by Scrum Alliance • CSPO-certified by Scrum Alliance		
Resume:	Filename: ***Att 3-B Supp (4 of 6) Barbara_Kauffman_Resume.pdf***		

5	Name:	**Ashish Puri**	How long with company?	Contingent Hire
Current position in company:		Project Manager	How long in position?	Hired for this project
Position for the Services:		Project Manager	How much of time will be dedicated to the Services?	100%
What primary functions will be assigned?		Ashish will work directly with the Director of Elections and the State-appointed Project Manager to administer the project to a successful outcome. He will coordinate all activity and resolve issues in conjunction with the project team. Ashish will be the focal point of communication and coordination for all team members, and will be in continuous communication with the State Project Manager.		
Describe person's experience in performing services like those that are to be assigned:		Ashish's most relevant experience is as follows: • Program Manager, Oregon Secretary of State Elections • Project Manager, HP ENTERPRISE SERVICES • Elections Project Manager - Development of HAVA-Compliant Centralized Voter Registration System • Project Manager – Missouri Centralized Voter Registration System (MCVR) • Ashish has 16+ years of experience managing large-scale mission-critical IT projects and business transformations on-time and within budget, with high customer satisfaction and profitability.		
List person's job-related training and education:		MBA Marketing (FSM, New Delhi, India); Bachelor of Engineering (NIT, Kurukshetra, India)		
Resume:		File Name: ***Att 3-B Supp (5 of 6) Ashish_Puri_Resume.pdf***		

Question 6: Project Organization and Staffing Plan

The Offeror must describe the integrated staffing organizational plan required to execute the proposed approach and create the deliverables.

The Offeror must provide a narrative explaining their approach to an integrated staffing organization that includes key staff, subcontractors, AZSOS project staff. The Project Organization and Staffing Plan must

also include a proposaed approach to the organization plan, organization chart, staff retention and succession planning. The plan should be a balanced complement of Offeror and AZSOS resources.

The Offeror plan must detail the number of personnel, level, role and responsibilities, and team reporting relationships. This plan will show proposed Offeror personnel hours by phase, by personnel level, and by role for the entire project.

Offeror Response:

Project Staffing Plan

Our recruiting and staffing approach is simple: we respond quickly to client requests and commit a highly qualified team of subcontractors and personnel in the shortest time. We have established, maintained, and refined our sub-contracting approach and personnel management programs to optimize our staffing practices. Using our extensive industry relationships, we have identified both BPro and ETSAZ to provide key services for AZ AVID.

Team Sutherland has developed a Team Staffing Matrix which shows the resource allocations throughout the life of the program. Please see Attachment File Name: ***Att 3-B Supp (6 of 6) SGS Staffing Matrix.pdf*** (Confidential)

Integrated Management Practices

We quickly identify qualified candidates and acquire skilled technical staff. We further expand the skills and capabilities through training of our resource base which maximize our ability to retain valued employees. Our personnel management programs focus on achieving superior contractual performance and productivity in technical, administrative, financial, and quality areas. To accomplish these goals for AZ AVID, we will employ three staffing strategies:

1. **Maximize the Retention of Key Personnel** - Team Sutherland realizes the value of our key personnel's qualifications, skills, and accomplishments. Many of these staff have been with us for several years and possess valuable institutional, product and industry knowledge that is relevant to the AZ AVID project. We are committed to retaining these staff throughout the life of the contract.
2. **Supplement the Project Staff with Contingent Hires** - Team Sutherland currently has hundreds of employees supporting IT contracts globally. The majority of these staff are assigned and dedicated to current client contracts and commitments. We will supplement these staff with highly-qualified contingent hires to provide direct support on the AVID contract and/or backfill existing positions supporting other clients. These contingent hires have signed letters of commitment, and upon contract award, we will hire and train them immediately to ensure they hit the ground running in direct delivery of this program.
3. **Use New Hires to Complete the Project Staffing** -Team Sutherland uses stringent recruiting and interviewing techniques to carefully screen and identify highly qualified candidates. Only those personnel who pass our extensive background checks will be assigned to the AVID program.

Methods to Hire, Train, and Retain Staff

At Sutherland, we believe creating a dynamic candidate experience is what sets us apart from our competition. By engaging candidates "where they are" through social media and other interactive channels, we cast a wider net. We have a sourcing team dedicated to building a strong brand and sharing it in creative ways through photos, videos, and blog posts from employees that demonstrate life at Sutherland.

We are committed to providing a candidate experience that demonstrates our role as an industry leader in technology and customer service. That includes streamlining application processes to eliminate unnecessary paperwork, allowing candidates to connect to us through social media, and making it easy for our employees to share Sutherland opportunities with their family and friends.

Sutherland's recruiting network locates candidates through various channels including: social media, employee referrals, job boards and internet postings, major colleges and universities, career fairs and open houses, network partnerships with local firms, radio and print media, and professional and civic organizations.

RECRUITING

Team Sutherland's recruiting efforts include employee referral programs, our Alumni Connection, diversity groups, veteran service organizations, and university alliances. Our recruiters continually stay abreast of labor market conditions in Arizona and nationwide. Our recruiting managers maintain knowledge of labor category availability through frequent reviews of area journals and reports published by the Bureau of Labor Statistics (BLS). Based on the intelligence gathered, our recruiting team tailors its efforts to address the current employment situation. As the IT services market continues to grow, we have seen a significant increase in qualified applicants in response to our advertisements, both in the Arizona labor market and nationwide. When unemployment rates are higher, we rely more on social media and other interactive forms of recruiting. Our average time for fill a vacancy is 30 days.

Our first source of talent is our internal staff and those of our teaming partners. We promote from within for key positions which helps employees to develop their potential to assume positions in line with individual career goals and organizational requirements. In addition, we apply an integrated HR system and reach-back process to rapidly identify and transfer needed resources. Both Sutherland and our teaming partners are supporting application development and help desk engagements and they will be utilized to identify potential candidates. Employee referrals, one of our most effective recruiting channels, contribute to our high job acceptance and retention rates. Our program pays referral fees up to $1,500. Team Sutherland offers competitive salaries and compensation packages to all full-time employees. Our team offers varying bonuses and incentives based upon employee performance along with competitive benefits which include: 401(k) Savings Plan; Healthcare (Medical, Dental, Vision, Prescription Drugs); Flexible Spending Accounts (Healthcare, Dependent Care, Parking, Transportation); Short- and Long-Term Disability; Life Insurance/Accidental Death and Dismemberment; Employee Assistance Program; and Tuition Reimbursement. We recognize the importance of creating and maintaining a supportive and productive work environment that provides for employee development. employees enjoy long-term retention, advancement, and motivation through our ability to provide them a viable path for upward professional advancement and resultant increased pay. In addition to competitive salaries and generous benefits, our team also makes use of motivational and incentive tools to retain its exceptional workforce. Our growth is directly dependent on our employees' growth and personal satisfaction. Our exceptional contract performance is directly dependent upon the quality service provided by satisfied employees.

Employees assigned to the AZ AVID program will be skilled, experienced professionals who are full-time employees of Sutherland and our partners. Our recruiting and hiring process puts applicants through a number of screening tests, including technical competency tests, and statistically based behavior profiling tools.

HIRING PROCESS

To ensure that we identify the best possible candidate whose skills and interests match the candidate profile, we follow the hiring process described below:

1. Trained recruiters evaluate applications, resumes, and pre-employment questionnaires, and assess them against pre-determined standards.
2. Candidates are screened by telephone to assess their background, motivation, telephone communication skills. The ability to communicate clearly, which is a primary filter.
3. Candidates are given skill assessments, such as typing tests or technical knowledge tests, to determine competency (if appropriate for program).

4. Those who pass this initial phase are invited for a behavioral interview to assess their ability to perform a specific role. During this step, we discuss job requirements and our expectations of the candidate.
5. A second interview is scheduled with the program manager and/or sales manager depending on hiring requirements. A Human Resources representative may conduct a third interview.
6. We typically perform background checks after the initial behavioral interview.
7. The successful candidate is offered a position.

Our clients and their customers expect—and deserve—superlative customer service and support. To this end, Sutherland uses a thorough interview process and extensive set of recruitment and training processes to identify the most talented, candidates, who can communicate clearly with the customer base they support. We invest heavily in assisting our Help Desk staff to neutralize their accents and pace their rate of speech appropriately to maximize the efficiency of the calls they handle. Our unique approach has produced a workforce that communicates effectively with American business people and consumers.

SKILLS AND QUALIFICATIONS

Sutherland agrees to provide sufficient Technical Staff, Supervisors, Quality Assurance Specialists, Subject Matter Experts, Training Coordinators, and management personnel. We will ensure that all staff are appropriately qualified and have the skills required to perform all tasks, and that they meet all the qualification competencies required for the SOW of this project.

BACKGROUND CHECKS

Sutherland performs background checks on all employees. These checks ensure that prospective employees have clear criminal records as well as satisfactory credit history. Additionally, the investigation may include the following, as applicable for the position and client requirements:

1. **Social Security or Equivalent Verification:** This reveals employment history for an employee over the seven years prior to the employee's hire or engagement by Level 3 or back to age18.
2. **Criminal History Check Based on Place of Residency:** This includes Federal, state, and local records and covers the seven years prior to the employee's hire or engagement by Level 3.
3. **Work Status:** This check determines if a prospective employee is lawfully authorized to work within the United States.
4. **Military Verification:** This confirms the last duty assignment and rank, military job specialty, military education, decorations, medals, badges, citations, and campaign awards, total creditable service, and Foreign Service credited. It will also reveal any disciplinary actions and dishonorable discharge from the military.
5. **Education Verification:** Sutherland confirm an applicant's credentials by verifying that a degree, certificate, or diploma was received. We also confirm professional licenses and related professional certificates commensurate with the position.

PRE-EMPLOYMENT DRUG TESTING

Sutherland has a vital interest in ensuring safe, healthy, and efficient working conditions for all employees. We do not condone the unlawful or improper use of drugs or alcohol in the workplace, and for this reason, have established a Drug Free Workplace Policy. Our onsite testing applies to all external candidates who have verbally accepted an offer of employment. Any offer of employment is contingent upon these results. The pre-employment drug test will be at no additional cost to the government.

BEHAVIORAL ASSESSMENTS SYSTEM

Sutherland's recruiting process includes behavioral analysis to identify potential top performers. These profiles assess more than 38 traits/characteristics. Significant differences exist among categories: Customer Support, Account Management, Sales, Customer Care, and the types of products and services supported, based on industry. Using these assessments, we significantly increase the effectiveness of our specialists, to exceed the required sales conversion rates and other measurements of performance. This method also decreased attrition by as much as 50% within the first 90 days of hire, and decreased the learning curve for associates to achieve expected performance marks.

Retaining Qualified Professional Personnel

The ability of a company to retain personnel is as critical as its ability to recruit and hire personnel. Team Sutherland has found that personnel retention is dependent upon a combination of factors, including competitive salaries and benefits, incentives/bonuses, performance recognition, certifications, career/educational development, and company-sponsored team-building activities.

We recognize that people are our most important resource, and our commitment to attracting and retaining qualified staff is reflected in the Total Compensation Package (TCP) we offer to the employees on the client contract. A key element of our TCP is establishing a salary and wage structure for each position that properly reflects the work to be performed. Team Sutherland maintains competitive wage and salary structures that facilitate successful recruitment and retention of quality employees. We base wages and salaries on local market value, the education and skill level of the employee, and the nature of the job performed. An analysis of each plan component confirms that our compensation and benefits programs are competitive with those prevailing in the state and county where the employee is based. The features and benefits of this approach to total compensation are defined in the following table.

The Team Sutherland Total Compensation Package (TCP)	
Features	**Benefits**
Consistent pay and benefit plan	Positive employee morale and team spirit. No real differentiation among team members
Fair and equitable salary policy	Same pay for same work ensures retention of incumbents
National, external market and team salary survey data used to develop professional rates	Ability to compete effectively for talent to meet programmatic needs
401(k) plan	Provide employees with the flexibility in planning for the future and meet portability requirement of the contract
Recognition and rewards program	Enhance employee commitment to productivity and quality management
Performance incentive bonus	Cost-effective recognition of individual contributions while controlling wage escalations
Uniform team policies and practices	Uniform treatment of personnel raises morale
Common salary structure and rate ranges	Recognize skill differences and job complexities of various operations specialties

BENEFITS

Team Sutherland's compensation plan includes, in addition to our industry competitive salary program, a generous medical, prescription, dental, disability, and life insurance benefits program. We offer paid leave schedule including holidays, vacation, personal, and special circumstances. Lastly, we include a 401(k)-deferred contribution plan.

INCENTIVE AND BONUS PROGRAM

We require that management recognize employees who continually perform their job duties in an outstanding and notable manner, particularly on contract assignments when they provide services "above and beyond" accepted norms to our clients.

Proposed Project Staffing

The Attachment, File Name ***Att 3-B Supp (6 of 6) SGS Staffing Matrix.pdf*** shows our proposed staffing for the project as well as our internal resources available to support our staffing plan. Team Sutherland is committed to delivering the features, functionality, and end-user satisfaction Arizona expects and requires in the solicitation. We will monitor staffing levels against program progress and against the delivery schedule, making adjustments as necessary to deliver a successful program. We base proposed project staffing on our experience providing services consistent with AVID's scope and scale requirements, and can adjust it to meet agreed requirements and delivery schedules.

Team Sutherland's Staffing Plan will ensure that we hire available, qualified employees, and maintain continuity of staff. This will minimize the need for retraining, avoid lost experience, and maximize production goals. The Project Manager will maintain the Staffing Plan throughout the life of the contract.

Question 7: Project Organization Chart

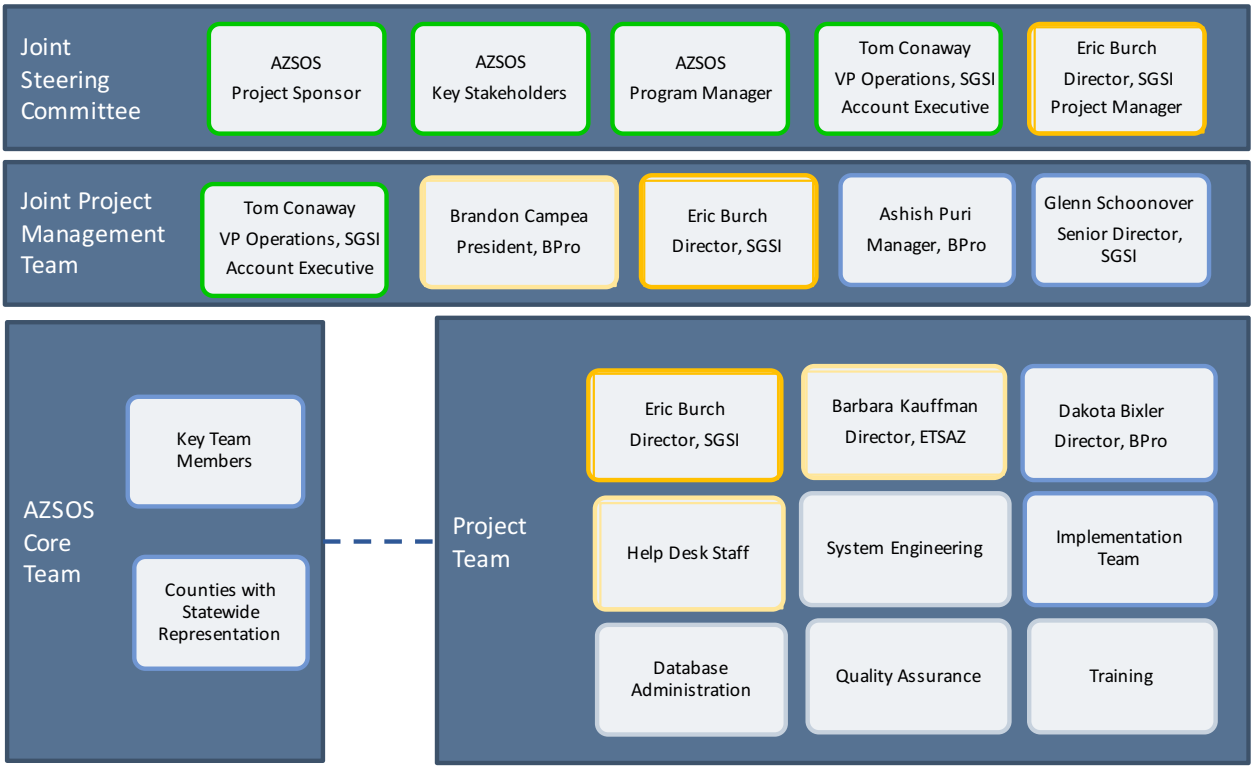
Offeror must provide one or more proposed project organization charts showing both the Offeror staff and their relationship to AZSOS staff that will be required for successful project completion. The organization chart(s) should identify Offeror Key Personnel by both role and name.

For AZSOS project resources, the Offeror must summarize each resource's responsibilities needed for project completion

Offeror Response:

Upon contract award, we will schedule meetings to include all key staff, subcontractors, AZSOS project staff in order to solidify our collective approach to creating an organization plan, organization chart, for our combined resources. During this initial phase, we will mutually agree up the reporting relationships between Team Sutherland and AZSOS

The figure below shows the relationship model between Team Sutherland and AZSOS:



Question 8: Subcontractors

A) Utilize Attachment 3-C to identify Proposed Subcontractors to be utilized to perform services within a resultant contract.

B) Provide a letter from each subcontractor that will be associated with this Contract that is signed by someone authorized to legally bind the subcontractor.

a. The letter must include:

- The subcontractor's legal status, federal tax identification number, D-U-N-S number, and principal place of business address;
- The name, phone number, fax number, email address, and mailing address of a person who is authorized to legally bind the subcontractor to contractual obligations;
- A description of the work the subcontractor will do;
- A commitment to do the work if the Offeror is selected; and
- A statement that the subcontractor has read and understood the RFP and will comply with the requirements of the RFP.

Offeror Response:

Please find attached the requested letters from Sutherland subcontractors, BPro, Inc. and Expert Technology Services (ETSAZ).

- BPro, Inc. – File Name: ***Att 3-C Supp (1 of 2) BPro Sub Letter.pdf***

- Expert Technology Services (ETSAZ) – File Name: ***Att 3-C Supp (2 of 2) ETSAZ Sub Letter.pdf***

Question 9: Staff Contingency Plan

The Offeror must provide a contingency plan that shows the Vendor's ability and process to add more staff if needed to ensure meeting the Project's due date(s).

Offeror must provide a description of their plan to monitor the project and how a determination to deploy contingency staffing will be made.

Offeror must also provide staff retention and succession plans.

Offeror Response:

Our goal is to staff the project effort adequately, based on both our past experience and the proven implementation methodology we have utilized before. Should, for whatever reason, the project fall behind schedule, we will use other resources within the team, or we can go outside the company for additional support to avoid missing a deadline. Some of Sutherland's key strengths are our well-developed employee recruiting and training programs. As an example of this capability, at the beginning of 2016, we hired, trained, and staffed more than 2,000 positions at our newest 300,000 square foot customer contract center in Las Vegas, NV—for five different contracts in less than a year. These positions included Management, Information Technology, and Customer Services roles.

Team Sutherland uses a number of tools to gauge and monitor our projects. The most important areas of focus are the needs of the client, efficiency of development, and team communication. Along with these items Team Sutherland utilizes project management software that provides us with information on project controls, reviews, and an overall project analysis to ensure that we are on track. Team Sutherland has done this type of project many times in the past and has estimates for all aspects of development. When planning a project, Team Sutherland breaks down each deliverable into a number of smaller, more controllable milestones within the deliverable. This allows Team Sutherland to review, test, and monitor the current progress on a more frequent basis. We will know if we are slipping behind in days rather than weeks or months. If a potential delay arises, we have the ability to re-route internal and/or external resources to ensure that the project stays on track, on time, and on budget.

Our software developers have been with our company an average of 8+ years. In the software development field the average is much lower. That statistic speaks volumes to the way we take care of our employees and their needs. We focus on creating an environment that is conducive to productivity and that allows each and every employee to work at their own pace. There are a number of other perks including a generous benefits package, flex time, and team building activities that encourages the employees to achieve a healthy work/life balance. Team Sutherland also knows the importance of spreading the risk and stress for our developers, so for each TotalVote™ module we assign a primary and secondary expert to lead the team. This process allows all developers the flexibility to have time away from the office and helps cultivate a positive work environment. It also ensures continuous project coverage and a seamless transition in the event of personnel changes.

Team Sutherland is always on the search for above average software developers that will excel within our model. We continue to search through the normal channels and receive resumes and applications on a regular basis. Team Sutherland also has great working relationships with a number of independent software developers that will help fill in when they are needed for special projects.

Question 10: Use of AZSOS Resources

The State has provided a description of available AZSOS resources in the RFP. Using that as a guideline, the Offeror shall describe how they will incorporate those resources into the Project to ensure successful completion and delivery of AVID. Additionally, the Offeror shall describe their requirements for facilities,

network connectivity, printers, copiers, and other office equipment that they expect the AZSOS to provide as part of the Project. If the Offeror does not expect AZSOS to provide any of these facility/hardware resources, please indicate that here as well.

Offeror Response:

AZSOS resources will be part of the Joint Steering Committee (JSC) and the Joint Project Management (JPM) team. The JSC which will meet on an as needed basis, generally at project milestones and the beginning and end of project phases. It will also serve as an escalation path for project issues. The JPM will be the primary contact between Team Sutherland and AZSOS. It will meet weekly.

It is envisioned that AZSOS resources including county representatives will be available as the AZSOS Core Team to provide requirements analysis and approval, and User Acceptance Testing (UAT) of the system.

Team Sutherland will conduct work from ETSAZ' offices in downtown Phoenix, where office and meeting space will be available to the team. In addition, Team Sutherland will travel to the AZSOS and to county election offices for meetings.

Team Sutherland does not expect AZSOS to provide any facilities or hardware resources except for onsite meetings, during which we may require internet connectivity and possibly copy services.

in when they are needed for special projects.

Question 11: Time Commitment

AZSOS expects the Offeror Project Manager to be full-time assigned to the Project. AZSOS may reject any Proposal that commits the proposed project manager or any proposed key personnel to other assignments during the term of the contract if AZSOS believes that any such commitment may be detrimental to the Offeror's performance.

Please submit a resource plan that denotes the percentage of time each of the Offeror's staff (key personnel or not) will be dedicated to the Project. The resource plan shall include a chart that clearly indicates the time commitment of the proposed Offeror's project manager and the Offeror's proposed team members for the Project. Please include a statement indicating to what extent, if any, the project manager may work on other tasks or assignments unrelated to the Project during the term of the Contract.

Offeror Response:

Team Sutherland is wholly committed to the success of the proposed AVID System, and our Project Manager, Ashish Puri and Client Services Manager Eric Burch (see resume in Attachment 3-B) will dedicate 100% of their time during implementation to the AVID project.

Project Team Member	Role	Time Commitment	
		Implementation	Maintenance & Operation
Tom Conaway	Project Executive	5%	5%
Eric Burch	Client Services Manager	100%	100%
Glenn Schoonover	Privacy / Security Specialist	3%	5%
Brandon Campea	Project Director /Solution Architect	100%	5%
Ashish Puri	Project Manager	100%	10%
TBD	Development Manager	100%	0%
TBD	Business Analyst	100% (Requirements Analysis)	0%
TBD	Change Managers	100% (Deployment)	0%

Project Team Member	Role	Time Commitment	
		Implementation	Maintenance & Operation
Barbara Kauffman	Technical Lead	100%	5%
Dakota Bixler	Subject Matter Expert	75%	0%
TBD	Developers	100%	25%
TBD	Tester	100%	0%
TBD	Test Lead Manager	100%	0%
TBD	Training Lead Manager	50% (UAT)	0%
TBD	Data Analyst	100%	5%
TBD	Interface Developers	100%	0%
TBD	Database Administrator	50%	5%
Casey Hoffman	Comm. / Network Specialist	25%	0%
TBD	Help Desk Lead	0%	100%
TBD	Help Desk Analyst	0%	100%
Tom Guenther	Systems Administrator	25%	5%

Question 12: Arizona Baseline Security Controls

All offerors must be prepared to comply with a request to submit to a State of Arizona Baseline Security Controls questionnaire. The evaluation committee will require all short-list offeror's to complete the questionnaire. Completed questionnaires will be submitted to ADOA-ASET for review and evaluation. To review the questionnaire, visit the site below. Within the Offeror Response below, please state your willingness to comply with this requirement.

https://aset.az.gov/resources/policies-standards-and-procedures

Offeror Response:

Team Sutherland agrees to comply with this requirement.

Additional Offeror Background Information

Question 1: Offeror Corporate Background

Describe the Offeror's corporate background as it relates to projects similar in scope and complexity to the project described in this RFP.

Offeror Response:

The Idaho Secretary of State project is directly relevant to the AZSOS requirements. Sutherland and our partner Tecuity, Inc. were awarded a Business Services and Government IT solution contract in May 2017. Sutherland's other Federal, State, and Local contract work is described in the Executive Summary. Team Sutherland more than four projects that are directly relevant to the AZSOS project requirements and are similar in size and complexity. These are listed in the Experience Reference section. We have included the corporate background for our partners, BPro, Inc. and ETSAZ below.

BPro Inc is an S-Corporation with its principal location in Pierre, SD, with satellite offices in North Dakota, Minnesota, and Virginia. BPro Inc. is co-owned by Brandon and Abbey Campea. BPro Inc. is a Silver Microsoft Partner with 25 years of experience in Desktop Applications Development and Training and 11 years' experience with Client-Server, Web, and N-Tier Application Development.

BPro began building election software systems in 2007, when the South Dakota Secretary of State selected BPro to build a new Election Management System, Voter Information Portal and Election Night Reporting system. After successfully deploying this system, BPro began working with the North Dakota Secretary of State's office to build a similar system that also included a Voter Registration (VR) module (while North Dakota is a same day registration state and does not have "voter registration," counties still need a system to verify eligible voters on Election Day). Once we launched the VR system in North Dakota, South Dakota added the VR module. In a VR system analysis, New Mexico was most impressed by South Dakota's system and became the third state to partner with BPro to deploy a VR system configured to the unique needs of New Mexico election administrators. In 2014, Hawaii found that the TotalVote™ VR system met their requirements, and selected BPro to build their new VR system, along with an Online Voter Registration portal that checks voter backgrounds in real time.

We configured each of these systems to meet the unique needs of each project and state. These successful deployments showcase BPro's experience and expertise meeting all of our customers' specific requirements.

BPro's proposed solution for Arizona is our TotalVote™ suite of products, which includes comprehensive features covering every aspect of Voter Registration. The daily maintenance of voter records quality is an integral part of the overall success of every election. Our experience providing software to other areas of elections has optimized our comprehension of the importance of properly managing and overseeing voter registrations. We integrate data across all of our modules, providing seamless management of voter districts with our Candidate Filing, Elections and Petition Management, Ballot Entitlement, Ballot Styles, and Election Night Reporting modules. We provide online web information for a wide range of public data, such as voter status, sample ballots, polling place, vote center and ballot drop box information, incumbent information, and election results.

ETSAZ is a professionally managed IT consulting services firm located in Phoenix, AZ that offers turnkey project development, project management, Agile/SCRUM implementation and staff augmentation. ETSAZ uses Agile enterprise technologies to meet the demands faced by the current-day technology enterprise.

ETSAZ' Agile development practice employs stronger interactions between project peers. In an Agile development environment, the team, regardless of the location it is members, is committed to a single list of goals for a sprint. This automatically sets the "control" and "focus" most teams lack.

ETSAZ uses integration products such as Version One, Jira, and Rally which offer hosted solutions for project management and collaboration platforms. This create visibility and tracking from client requirements to individual developer productivity. These solutions are easily accessed by our distributed team and clients and are integrated with development environments such as Visual Studio 2008, 2010 and Eclipse.

Question 2: Customers Served in the Elections and Voter Registration

Describe the customers you have provided voter registration services and, to the extent possible, the nature of those relationships in terms of services provided and duration of the relationship.

Offeror Response:

Integration Assessment and Design. Team Sutherland will work with subject matter experts within the AZSOS to assess the complexity of the data and protocols related to any interfaces required for the solution. We have tools (web services) and templates for field mapping, and protocols we will use to produce the interface design documents necessary to transfer the required information in and out of the system.

We will hold a series of meetings to identify the appropriate protocols, necessary data, and appropriate timing of any required data flows. One of the deliverables from these meetings will be the Interface Assessment and Design Document, which will also be part of the overall project plan. This document will be a specific set of plans, including a detailed analysis of the protocols, fields, and frequencies of all interfaces to and from the new AVID system and any legacy State of Arizona system, as required by the RFP.

BPro currently provides Voter Registration systems in Hawaii, New Mexico, North Dakota, and South Dakota. Each project is very different, because of unique customer requirements and state laws. South Dakota has been using their system since 2012, North Dakota went live in 2015, Hawaii goes live in June, 2017, and New Mexico will go live in December, 2017. Each project is on time and on budget, and each client is happy with our work. All relationships continue to this day, and each successful partnership has led to an expansion to the scope of work of BPro's projects in each state. We are very proud of the relationships we have developed and we plan to continue our partnerships as each state's needs evolve. We expect to develop a similar relationship with the State of Arizona and the 15 counties in the Grand Canyon State.

Question 3: Customers Served in State and Local Government Space

Describe the customers you have served in sectors relevant to Arizona. Describe the nature of those relationships in terms of services provided and duration of the relationship.

Offeror Response:

Sutherland's Idaho Secretary of State project is directly relevant to the AZSOS project. Sutherland is implementing a Business Services and Government IT solution for the SOS Office which similar in scope, complexity and requirements to AZSOS. This project started in May 2017 and, if all option years are exercised, will expire in 2022.

BPro currently provides statewide voter registration systems in Hawaii (2017), New Mexico (2017), North Dakota (2012), and South Dakota (2017). Each state's system is slightly different, but all share components that AZSOS is looking for in the new AVID system. In addition to voter registration systems, BPro provides other election technologies for the Secretaries of State of Montana, Nebraska, and Oregon.

Since 2014, ETSAZ has been providing staffing services for the State of Arizona. ETSAZ has also worked on multiple projects with Maricopa County CTS for the 2009-2011 period. Additionally, for the AZ Administrative Office of Courts and AZ Learning Center, ETSAZ provided services to the AZ Department of Administration for the 2014-2015 period.

Question 4: Offeror's Work Locations

AZSOS does not expect all work described in the RFP will be performed at AZSOS locations. Describe locations where the Offeror proposes performing work associated with this RFP. AZSOS expects that no more than 10% of all staff, including both prime and subcontractor, shall be performing the work on a valid working visa issued by the United States government.

Offeror Response:

Sutherland is headquartered in Rochester, NY, with our Government Solutions office located in Reston, VA. We also have 12 operational facilities across the U.S. All work will be performed in the United States of America. Ninety Nine percent of the work will be performed by U.S. citizens and less than 1% being performed by U.S. Permanent Residents (green card holders). Work will be conducted from Arizona, Nevada, South Dakota and Virginia. Please see table below.

Services Performed	Work Performance Location
Executive PMO	Reston, VA
Help Desk Services	Las Vegas, NV
PMO & Integration Development	Phoenix, AZ
Development & Product Support Services	Pierre, SD

Question 5: Existing Business Relationship with AZSOS

Describe any existing business relationships the Offeror or any of its affiliates and proposed Subcontractors has with AZSOS.

Offeror Response:

Sutherland, BPro and ETSAZ do not have any existing business relationships with the Arizona Secretary of State.

EXPERIENCE REFERENCES:

The State intends to conduct reference checks for account referenced provided by Offerors. It may, at its sole discretion, contact additional clients not presented as references.

Offerors shall provide at least three (3) client references for assignments that replicate or mirror the requirements of this RFP. At least one (1) of the projects referenced must be Arizona government related. ***All assignments shall be for assignments received and completed within the last five (5) years.***

1	Client Company/Address	Contact	Begin Date	End Date
	State of New Mexico	Kari Fresquez	2012	Present

Phone Number	Email Address
(505) 827-3600	Kari.Fresquez@state.nm.us

Project Scope and deliverables, include number of resources engaged in project, timeline of project(major milestones)

The State of New Mexico initially contracted BPro to build an Election Management system and an Election Night Results website. The system has been well received and is currently being enhanced to include voter registration. These requests came from both New Mexico counties and the state's Elections Division. Number of resources provided is 7.

List job positions provided and technologies utilized to supplement services.

Project Manager, Subject Matter Expert, System Architect, Developer, Designer, Trainer, Tester

Microsoft Azure SQL, Cloud Services, Storage, .NET 4.5

2	Client Company/Address	Contact	Begin Date	End Date
	State of Hawaii	Aaron Schulaner	2014	Present

Phone Number	Email Address
(808) 453-8683	aaron.h.schulaner@hawaii.gov

Project Scope and deliverables, include number of resources engaged in project, timeline of project(major milestones)

BPro currently provides Hawaii's Online Voter Registration system and is in the process of building the state's full Voter Registration System, which will launch on July 1, 2017. Originally the VR system was scheduled to launch prior to the 2016 election, but county election administrators decided they would rather not launch a new system right before a presidential election. BPro's flexibility allowed for the rescheduling of the launch and assured that the key stakeholders were all confident in the success of the project. Number of resources provided is 5.

List job positions provided and technologies utilized to supplement services.

Project Manager, Subject Matter Expert, System Architect, Developer, Designer, Trainer, Tester

MS SQL 2014, .NET 4.5, ESRI GIS for Addressing

3	Client Company/Address	Contact	Begin Date	End Date
	State of North Dakota	Jim Silrum	2009	Present

Phone Number	Email Address
(701) 328-3660	jsilrum@nd.gov

Project Scope and deliverables, include number of resources engaged in project, timeline of project (major milestones)

In 2009, BPro began building a customized version of TotalVote™ for North Dakota, which eventually became known as ND Voices. Today, ND Voices provides state and county election administrators with a seamless system that encompasses election management, voter eligibility (ND does not have voter registration but BPro provides the system that determines which ND residents are eligible to vote), candidate filing, online candidate filing, canvassing, election night reporting, petition management, the voter information portal and campaign finance reporting. ND Voices currently has approximately 10 users at the North Dakota Secretary of State's office and over 100 county-level administrators. Number of resources provided is 7.

List job positions provided and technologies utilized to supplement services.

Project Manager, Subject Matter Expert, System Architect, Developer, Designer, Trainer, Tester

MS SQL 2012, .NET 4.5, Melissa Data for Addressing (Verification & Standardization)

4	Client Company/Address	Contact	Begin Date	End Date
	x	x	x	x

Phone Number	Email Address
x	x

Project Scope and deliverables, include number of resources engaged in project, timeline of project (major milestones)

x

List job positions provided and technologies utilized to supplement services.

x

Voter Registration Projects Completed in Last 5 Years:

Provide a listing and contact information for all software development contracts/clients in the voter registration space for the last five (5) years, and denote any that are pending litigation or Terminated for Cause or Convenience and associated reasons. If Offeror uses Subcontractors, associated companies and consultants that will be involved in any phase of this project, Offeror's response shall include pertinent Subcontractor information.

Table 3. Projects Completed in the Last Five Years

Ref #	Project Name	Customer Name	Customer Contact	Business Dispute?
1.	TotalVote™	South Dakota Secretary of State	Kea Warne (605) 773-3537 Kea.warne@state.sd.us	**YES** ☐ **NO** ☒
2.	North Dakota VOICES	North Dakota Secretary of State	Jim Silrum (701) 328-3660 jsilrum@nd.gov	**YES** ☐ **NO** ☒
3.	New Mexico SERVIS	New Mexico Secretary of State	Kari Fresquez (505) 827-3600 Kari.fresquez@state.nm.us	**YES** ☐ **NO** ☒
4.	TotalVote™	Hawaii State Office of Elections	Aaron Schulaner (808) 453-8683 aaron.h.schulaner@hawaii.gov	**YES** ☐ **NO** ☒
5.				**YES** ☐ **NO** ☐

Business Disputes

Instructions: Provide details of any disciplinary actions and denote any that are pending litigation or Terminated for Cause or Convenience and associated reasons. Also denote any other administrative actions taken by any jurisdiction or person against the Offeror. List and summarize all judicial or administrative proceedings involving your sourcing activities, claims of unlawful employment discrimination and anti-trust suits in which you have been a party within the last five years. If Offeror is a subsidiary, submit information for all parent companies. If Offeror uses Subcontractors, associated companies and consultants that will be involved in any phase of this project, Offeror's response shall include pertinent Subcontractor information.

Neither Sutherland nor BPro nor ETSAZ have had any business disputes or faced any disciplinary actions, and there is no pending litigation as the result of services Team Sutherland has delivered. Neither SGSI nor BPro nor ETSAZ have been Terminated for Cause and no jurisdiction or person has taken administrative action against the companies. Sutherland, BPro, and ETSAZ all work closely with each customer to ensure we deliver our systems on time and on budget, which is part of the reason why each customer listed above chose to expand our Scope of Work as our relationship progressed and we completed our initial projects.

Additional Organization Overview:

Instructions: Provide all relevant information regarding the general profile of the Offeror.

Respondents are not to change any of the completed cells in the following table. Any changes to the completed cells in the following table could lead to the disqualification of a respondent.

Table 4. Offeror Organization Profile

Company Name	Sutherland Government Solutions, Inc.
Name of Parent Company	Sutherland Global Services
Industry (NAICS) (North American Industry Classification System)	541519
Type of Legal Entity	Private Corporation
Company Ownership (i.e., private/public, joint venture)	Wholly-owned subsidiary of Sutherland Global Holdings, Inc. which is a minority-owned, sole proprietorship.
Number of full time employees	Sutherland Global has 48,000 employees of which 500 are deployed to the Sutherland Government
Last Fiscal Year Company Revenue	$1,132,121,000 (FY16)
Last Fiscal Year Company Net Income	Operations - $15,145,000
% of revenue from State and Local Government clients in the United States	State contracts: California (Sutherland Healthcare) Department of Public Health ~ $4M; Idaho (Sutherland Government Solutions) ~$3M; Hennepin County, MN (Sutherland Healthcare) ~ $6M; and Los Angeles County (Sutherland Healthcare) ~ $16M for a total of $29M or 0.025%
% of revenue from IT Design and Implementation Services	5%
Number of years in business	31
Number of years Offeror has been providing the type of services specified in RFP	10 years
Number of Employees providing the type of services specified in the RFP	12,000 U.S. based employees
Headquarters in the USA	Sutherland Global's corporate headquarters are in Pittsford, NY. Sutherland Government is headquarters in Reston, VA.
Locations in the USA	**California:** San Francisco, Torrance, CA **Florida:** Coral Springs **Illinois:** Springfield **Nevada:** Las Vegas **New Jersey:** Clifton **New York:** Pittsford, Rochester, Syracuse, New York, NY **Oklahoma:** Tulsa, Oklahoma City **Texas:** Houston **Virginia:** Chesapeake, Reston, Virginia Beach
Office Servicing this Account	Reston, VA

Subcontractor Organization Overview (If applicable)

Instructions: If the proposal includes the use of Subcontractor(s), provide all relevant information regarding the profile of that Subcontractor.

Respondents are not to change any of the completed cells in the following table. Any changes to the completed cells in the following table could lead to the disqualification of a respondent.

Table 5. Subcontractor Organization Profile

Subcontractor Name	BPro, Inc.
Type of Legal Entity	S-Corporation
Company ownership (i.e., private / public, joint-venture)	Private
Headquarters Location	Pierre, SD
Date Founded	1985
Number of employees	13
Last Fiscal Year Company Revenue	$1.162M
Last Fiscal Year Company Net Income	$24k
Services to be provided	BPro, Inc. will implement the TotalVote™ Voter Registration software system, lead the data migration, train Arizona state and county elections administrators, and support AZSOS in maintaining the system.
Experience of Subcontractor in performing the services to be provided	BPro has been performing these services since 2009.
Brief description and number of projects that Offeror has partnered with this Subcontractor	Sutherland reached out to BPro approximately one year ago and we have been working corroboratively ever since in a partnership mode; we have collectively performed a significant amount of internal research and due diligence on our respective companies and technology solutions/capabilities, with the goal of making sure we complement each other's strengths (offsetting any weaknesses), and had the "right fit" culturally. Upon completing this effort, we have recently conducted a series of joint marketing presentations to the States of Washington, Idaho, and New Mexico on possible solutions/systems for each of those States. This is our first formal bid together, but we are confident there will be no issues related to our partnership, as we are both providing services within our area(s) of expertise.
Locations where work to be performed	Arizona, Nevada, South Dakota

Subcontractor Name	**Expert Technology Services (ETSAZ)**
Type of Legal Entity	Limited Liability Corporation (LLC)
Company ownership (i.e., private / public, joint-venture)	Private
Headquarters Location	10040 N 25th Avenue, Suite 111, Phoenix AZ 85021
Date Founded	10/10/2006
Number of employees	20
Last Fiscal Year Company Revenue	$950,000
Last Fiscal Year Company Net Income	$150,000
Services to be provided	Integration and Data Migration
Experience of Subcontractor in performing the services to be provided	ETSAZ specializes in providing systems integration architecture, data migration and business intelligence services. We have developed system integration architecture for statewide systems for multiple departments in the Legal and Law enforcement areas within AZ.
Brief description and number of projects that Offeror has partnered with this Subcontractor	Sutherland reached out to ETSAZ approximately three weeks ago and we have been working corroboratively ever since in a partnership mode; we have collectively performed a fair amount of internal re-search and due diligence on our respective companies and technology solutions / capabilities, with the goal of making sure we complement each other's strengths (offsetting any weaknesses), and had the "right fit" culturally. Upon completing this effort, we have begun working on the RFP response together. And even though this is our first formal bid together, we look forward to leveraging allof their (local) State of Arizona IT experience with the Superior Courts and utilizing their Phoenix offices as a base of operations for this project effort.
Locations where work to be performed	10040 N 25th Avenue, Suite 111, Phoenix AZ 85021

End of Attachment 2-A

Attachment 2-B

Organization Profile

RESERVED – NOT UTILIZED FOR THIS RFP!

End of Attachment 2-B

Attachment 3-A

Method Proposal (Method of Approach)

Describe the Offeror's approach to providing a solution for each process area, by either leveraging or modifying any existing component of the Offeror's existing system. Use these response sections to provide specific details of the proposed approach to meeting AZSOS' functional requirements in each process area. Responses should reference requirements using the appropriate RFP Requirement Numbers from Section 6 of the RFP titled functional requirements matrix, and Section 8 titled Non-Functional Requirements.

Please refer to the Use Cases and additional details in Part 4 of the RFP on the selected functional areas as identified by AZSOS.

Responses in this section must be highly focused on the AZSOS' specific business processes and requirements and not simply provide generic or marketing descriptions of your solution capabilities.

Question 1: Executive Summary.

In the Executive Summary, the Offeror must condense and highlight the contents of their proposal in such a way as to provide the State with a broad understanding of the proposal in no more than five (5) pages. Offerors must provide a concise summary of the proposed products to be utilized in the performance of the project and any proposed services, and how these proposed products and services address the requirements presented in the RFP.

Offerors must present a summary of their planned approach, their past successful public sector assignments that mirror the Scope of Work, and highlight the relevant public sector experience and previous projects worked jointly by all proposed key personnel included in the proposal.

Offeror Response:

Sutherland

Sutherland Global Services (Sutherland) is a privately held, minority owned, U.S. based company. We specialize in process transformations, rethinking and rebuilding processes for the digital age by combining the speed and insight of design thinking with the scale and accuracy of data analytics. For more than 30 years, we have been helping customers across industries from government to financial services and health care achieve greater agility by transforming and automating customer experiences. Headquartered in Rochester, NY, Sutherland employs more than 48,000 professionals, in 60 locations spanning 19 countries around the world.

Since our inception, Sutherland has remained focused on a single mission: "We will deliver measurable results by improving our clients' efficiency and productivity, always focusing on improving their customers' experience." Our teams work along the existing lifecycle continuum, providing inherent realities for our customers to identify IT enhancements or issues that can be resolved by business process improvement within a structured "change management" methodology.

Sutherland Government Solutions, Inc. (Sutherland), is a wholly-owned subsidiary of Sutherland Global Services, whose office is in Reston, VA. Sutherland's mission is to ensure governments will meet their vision of fully responding to citizen mandates. As a trusted solutions partner, Sutherland delivers smart, affordable, highly responsive processes as "integrated services" to enhance the customer experience and deliver results. SGSi has profound expertise in IT Services and system integration. Our agility and relevant, strong commercial platforms can rapidly deploy to meet government requirements. Only Sutherland has the unique combination of

tailored resources and breadth of experience critical for success in the Voter Registration Services and Government IT space.

At the Federal level, some of Sutherland's current and past clients include the Department of Housing and Urban Development (HUD), the Department of Veterans Affairs (VA), the United States Postal Service (USPS), and the Municipal Securities Rulemaking Board (MSRB). At the state and local level, some cur-rent and past clients include: The State of Idaho, Secretary of State; the States of Louisiana and California, Departments of Public Health; the State of Ohio Department of Administration; the University of Pennsylvania Health System; the University of Virginia; and Los Angeles County, California.

Sutherland employs key people with experience related to the IT consulting requirements listed in this RFP, and we have performed work in the following areas: establishing a Project Management Office (PMO), Cloud Services/Application Management, Help-desk Services, and Cyber Security Consulting. We have also assembled a comprehensive partnership with BPro Inc. and Expert Technology Services, LLC, (ETSAZ) to address comprehensively all of the proposed Access Voter Information Database (AV-ID) System requirements and provide the exact level of implementation services requested by Arizona's Secretary of State (AZSOS). Together we are "***Team Sutherland***".

BPro, Inc.

Over the last 20 years, technology has transformed our lives, and the way we shop, work, travel, and even eat. While our lives have changed in so many ways, elections have remained relatively un-changed. There have been small improvements, but the way citizens vote and the systems that sup-port elections have not kept up with the times. This has led to system overloads and outages, lapses in security, and in certain instances has disenfranchised voters.

At BPro, we help jurisdictions embrace technology and enforce security, while honoring the systems and processes that voters have become accustomed to. Our goal is to help election administrators streamline, digitize, and lockdown their systems and processes without disrupting the services that voters have come to expect. Since 2007, BPro's TotalVote™ software has been used by 13 states to improve Voter Registration, Absentee Voting, Early Voting, Poll worker Management, Candidate Filing, Election Night Reporting, and other election tasks. Our TotalVote™ technologies have been successful-ly deployed around the country, yet TotalVote™ remains flexible to the needs of each individual juris-diction's laws, statutes, workflows, and other best practices.

The TotalVote™ Voter Registration module is a web-based system that is accessible to users via any computer with an Internet connection and USB port. Users securely log in through use of an e-token (the same e-tokens currently in use by AZSOS and counties), username and password. Once securely logged in, users are directed to a homepage that displays their county's information, complete with a message board, to-do list, and other information for their convenience. The intuitive home screen will provide users with role-base tasks and access to the system. When a task is complete, the system can automatically route the task on in the process, ensuring a seamless workflow. TotalVote™ also includes a complete and detailed audit trail, which provides 100% accountability for every action taken to a voter file on the administrative side.

Security is one of the strongest assets of the TotalVote™ system and Team Sutherland will work closely with AZSOS and its counties to ensure the highest level of security of both the system and data. This includes multifactor authentication, strong password protocols, role-based access, data encryption, and vigilant security monitoring. Microsoft's Windows Azure cloud provides additional layers of protection to ensure that every TotalVote™ system is protected by the highest levels of security.

Additionally, the advantage of our teaming with Sutherland on this proposal is the fact that we have a cyber Security practice within our Government Solution's group based in Reston, VA, led by Mr. Glenn Schoonover, CISSP. Our cyber security experts have backgrounds with Federal agencies like NSA and Department of

Homeland Security and have the required certifications in this area to be effective. Sutherland also carries insurance coverage of $55 million dollars for any one incident related to cyber security intrusion.

TotalVote™ includes a leading-edge approach to registering non-standard addresses. This feature has helped current customers move from a system based on street files and utilizes GIS to deliver more accurate representations of voting district boundaries. This has been particularly useful in New Mexico, North Dakota and South Dakota to ensure accurate voter registration locations on Indian Reservations and has helped Honolulu register their homeless voters at an actual point on a map, even if that point is a park bench. These are just a few of the unique TotalVote™ features that have already been deployed and will directly benefit Arizona voters and election administrators.

Overall, the implementation of TotalVote™ results in cleaner and more accurate data, as well as more efficient elections management. With faster data verification, mistakes are caught on the front-end and can be immediately addressed and corrected, rather than becoming bigger problems in the future. TotalVote™ reduces paperwork and increases efficiency and accuracy by reducing errors typically committed via the manual processing of voter and election data.

Support for TotalVote™ includes providing the AZSOS with ongoing updates to the system and source code, including bug fixes and enhanced functionality. Normal phone and email support will be provided as follows: Hours of Operation

- Outside of major election windows: 6:00 AM MST to 6:00 PM MST
- During Early Voting period: Starting the week prior to early voting which 50 days prior to an election, 6:00 AM MST to 8:00 PM MST
- Election Day: 4:00 AM MST to 11:00 PM MST

Response time to support requests will be within four hours; during Elections, it will be 15 minutes. Support requests can be emailed or called in and will be typically handled within 2 hours. Critical requests are addressed immediately. BPro staff will monitor all servers and applications during election periods.

One final benefit to note: TotalVote™ is completely configurable. BPro recognizes that election needs are different and unique to each jurisdiction. During the planning phases, BPro and the AZSOS will determine which modifications need to be made to configure TotalVote™ to accommodate all requests. BPro also recognizes that during the configuration phase, additional requests will arise. We build flexibility into our pricing and schedule to ensure the project is completed on time and on budget. The centralized and simplified system encompasses nearly every aspect of election management; it is de-signed to evolve and comply with ever-changing voting and election laws, statutes and regulations.

Expert Technology Services, LLC.

In our efforts to meet the AZSOS's requirements, Team Sutherland has partnered with Expert Technology Services, LLC (ETSAZ), a Phoenix-based Information Technology Services company who will be providing data migration/transfer services for AVID and will also support the entire project by allowing the team to base our operations and work for the State from their local office. ETSAZ has worked with multiple government agencies in Arizona, in both the Judicial and Administrative branches of the State Government. Maricopa County Court Technology Services, AZ Administrative Office of Courts, Arizona Learning Commission (AZALC), and the Brain Injury Alliance of Arizona are among the other prominent local government or government-affiliated agencies within Arizona who are ETSAZ's clients.

ETSAZ has a solid track record of designing and implementing state-of-the-art solutions to resolve clients' critical requirements. Having worked with government and private sector clients at all levels, they are well equipped to handle the data migration efforts central to the AVID's proposed implementation, and will seamlessly move information from the State's existing system into the new one. ETSAZ will clean and properly format all data will be cleaned and properly formatted prior to its transfer.

ETSAZ is incorporated in the State of Arizona as Expert Technology Services LLC, and is currently in good standing. ETSAZ is a recognized contributor to the skill development of locally employable resources in the State of Arizona. To this effect, ETSAZ has launched an apprenticeship and mentorship program approved by the Arizona Department of Economic Security and Arizona at Work. The ETSAZ apprenticeship program has also recently received approval from AZ Veterans Administrator, and is now a recognized program under the Workforce Innovation Opportunity Act.

TEAM SUTHERLAND'S PROPOSAL

Team Sutherland will transform the State's voter registration processes through standardizing, automation, and integration methodology. We are uniquely equipped to do so in a way that better serves the State of Arizona's long-term needs. The TotalVote™ Solution can be configured to meet future requirements; i.e. governments expand or shrink, regulations change, software is enhanced, and technology innovation emerges. Key points of our solution include:

- Hybrid solution interfacing seamlessly with Maricopa and Pima Counties
- Cloud based architecture
- GIS
- Secure
- Role Based
- Ease of Use
- Data Sharing
- Configurable workflows

Team Sutherland's Access Voter Information Database (AVID) solution is built with leading-edge integration technology that adopts the latest Internet standards and is truly next generation. TotalVote™ is a hybrid solution that integrates seamlessly between internal modules and also with outside inter-faces, utilizing standard secured web services. TotalVote™ is a SaaS solution built for the cloud with fully configurable, role-based security and a full audit trail; every action within the system is tracked and recorded. The familiar, intuitive, and consistent interface makes TotalVote™ easy to learn for both customers and new staff. We provide a common web interface with point and click simplicity along with the ability to use keyboard driven operations for the user who is doing "heads down" repetitive work.

TotalVote™ has fail-safe checks throughout the application to present the user with only what is currently active for an election, and give instructive error messages when information is not sufficient to complete processing. Our web interface senses when a user is navigating away from a page and prompts the user when there is updated information that has not been saved to the displayed record.

BPro designed and developed TotalVote™ using state-of-the-art software language and an operating system that embraces the era of internet deployment and mobility support. Data sharing is a central feature of this architecture and will support AVID's future needs through the use of web services, data standards, and automation. Data flows through each TotalVote™ module minimize or even eliminate, data entry errors. Voter registration data populates candidate records, which makes up ballot data. The ballot data is used to setup election returns, results, and canvassing, all without any user input. Innovative features are documented throughout our proposal and we will continuously improve and create, even after TotalVote™ is in production.

We will provide project management services, professional implementation services, data conversion, software configuration, system integration, embedded digital technology, cyber security protections, software training, help-desk support, and cloud/application management services to deliver a fully automated functional enterprise solution to the State of Arizona.

WHY TEAM SUTHERLAND?

Team Sutherland has extensive experience managing complex technology implementations for hundreds of clients, ranging from AT&T to Google and Microsoft, and several Federal, State, and Local agencies. We have decades of experience providing project management, system integration, cloud services, and application management within these environments. We believe we are the only vendor that can leverage our existing agreements with Microsoft to provide the best cloud solution possible for Arizona based on the State's requirements.

We will also bring to Arizona's Secretary of State (AZSOS) offices a large cache of digital technology solutions, which provide a wide set of options for streamlining any inefficient processes without excessive change management issues, while maintaining the best constituent experience possible.

We will work seamlessly with our partner BPro and ETSAZ (locally) to deploy the efficient and effective TotalVote™ System. During the past 10 years BPro's TotalVote™ has been implemented in three partner States: South Dakota, New Mexico, and Hawaii. Additionally, Sutherland was just awarded contracts with the States of Idaho and Ohio; one for Business and Government Services IT Solution for the SOS and the other for a Data Analytics' solution.

Given these facts, we believe that the Arizona Secretary of State's objectives are in full alignment with BPro's TotalVote™ Solution and Team Sutherland's capability to deliver it.

CONCLUSION

We formed Team Sutherland with the basic belief that the best way to provide technology solutions is to work collaboratively with our customers. We believe any project must have a clear definition of success, and that all individuals on the team must understand their roles in achieving that success. We are excited about the opportunity to deploy clear communications edicts throughout our efforts, strong project leadership personnel, a set of highly-skilled software development staff, and proven implementation methodologies to provide the high quality of services anticipated by Arizona's Secretary of State Office for this project.

It's a new day for the State of Arizona. Our transformative processes will provide the State with the ability to choose an innovative solution combining proven statewide capability, full control of your future, and silo-crossing collaboration into software your users and constituents will love and find easy to use. Team Sutherland will provide these capabilities in harmony with the shared core values driving Team Sutherland and Arizona's communities and culture. We will be one team with one goal: transforming Arizona's operations through the successful rollout, adoption, and ongoing support of your Access Voter Information Database (AVID) Solution.

Question 2: Work Plan.

AVID Project Management Approach and Methodology

This section describes the Project Management and Governance Methodology and the Work Plan methodology that Team Sutherland proposes for the development and implementation of the AVID system.

Our project management and delivery methodology is based on a collaborative approach with the AZSOS and builds on 3 key ingredients:

- PMI based project management practices
- Agile and Iterative Approach to application monitoring
- Continuous User Engagement and Stakeholder communication

The Project Management methodology used throughout the project will be industry standard best practices from the Project Management Institute (PMI), Project Management Body of Knowledge (PMBOK). Our Project

Management will continually focus team awareness on Scope, Time, Cost, Quality, Risk, Communication, Integration, Human Resources and standard practices for all project execution.

While our team leaders are highly skilled and bring solutions ready to delivery, this project requires participative leadership from the AVID Team to implement the solution in a manner that has buy-in from your staff, from your decision-makers and stakeholders, and a solution that fits your business process.

The BPro Team looks forward to the opportunity to work with the AZSOS staff to bring technology improvements to your elections mission. BPro is prepared for the AVID Team to actively participate in Planning, Analysis, Requirements Definition, Design reviews, and Acceptance Testing. We are confident that the RFP provides evidence of a strong commitment from Arizona to this project as well.

AVID Agile Software Development Methodology

The standard software development process at BPro is Agile; a process that includes the Product Owner, (which will be AZSOS) in the decisions of the project while the product is being built. Agile allows shorter cycles of demonstrating the product to your team, which provides visibility to your team into how the deliverables fit your goals and fulfill the deliverables. With Agile, the BPro TotalVote™ system is amenable to necessary changes to take advantage of technology opportunities to improve elections, and to meet changing election mandates.

AVID Project Proposed Work Plan

The AVID project will follow the standard SDLC approach with overlaps between phases to optimize engagement. The key phases of the work plan are as under:

- Project Initiation and Planning
- Requirements Analysis (Elaboration, Specifications, RTM)
- Application and Technical Design
- Development
- Testing
- User Acceptance
- Deployment
- Warranty and Transition to M&O
- M&O

In addition to these phases, the following key phases overlap and will be done in parallel:

- Project Management, Monitoring and Reporting (complete project duration)
- Data Conversion (Following Requirements and initial design)
- Infrastructure Setup Readiness (Following Technical and System Requirements)

BPro proposes its successful Agile approach for the development and implementation of the AVID system. With this approach, while the overall project will follow the standard SDLC phases, with the “Build” or “Development” phase that follows the requirements elaboration and design phase, “iterations” or cycles of software development would be one month in length. This means that each month, the software that was completed during that iteration would be demonstrated to the AVID Team for Product Owner input.

Included with this response is an initial Work Breakdown Structure (WBS) for the AVID Project, developed to evaluate the level of work involved to successfully complete the project. Please refer to File Name: ***Att 3-A Supp (1 of 4) AVID Project WBS Work Plan.pdf*** (Confidential)

While the exact number of iterations needed to complete all development may not be known until the gap analysis is completed and the product backlog is compiled, using a general unit of a one month iteration, there could be as many as ten (10) iterations to complete all items in the functional matrix.

Software Maintenance and Enhancements

Team Sutherland will provide a 2-year Base Software Maintenance period starting from the date of confirmation from AZSOS that the project deployment has been successfully completed. As part of the turnover actives, Team Sutherland will communicate and document all software faults that are not a part of the scope of the original development effort during the Software Maintenance period, and deliver a preliminary Enhancement Plan for when these can be accomplished, including gap analysis and cost estimates for implementation.

In addition, Team Sutherland proposes two (2) one-year optional Software Maintenance periods at the expiration of the initial two and half-year Software Maintenance period. The services offered for these optional periods will be similar to those offered in the initial software maintenance period.

AVID Project Team

We are proposing a highly experienced project and technical leadership team for the AVID project.

Our proposed project leadership team has experience in delivering large technology changes to elections including Voter Registration and Election Management (VREMS), Election Night Reporting (ENR), Campaign Finance, Candidate Filing and online public services for our citizens and we stand committed to quality deliveries to our clients. For the day to day execution of the project, we propose two key leadership roles:

1. Project Director and Solution Architect – Brandon Campea
2. Project Manager – Ashish Puri

Between them, these two leaders have engaged as delivery leaders owning complete delivery responsibility in over one third of U.S. states in the implementation or support of HAVA compliant statewide voter registration systems. These systems are currently in production and have been used for conducting successful elections over the last 10 years. As our proposed Project Manager, Ashish has the experience of implementing HAVA compliant statewide voter registration and election management systems in 9 states with over 500 counties including OR, MO, MT, IA, MT, MD, NY, CO, WT and MS and managing the M&O for 13 states nationally. These include both top-down and hybrid system implementations. He is also highly skilled in all aspects of SDLC facilitating and driving requirements elaboration and managing overall application development and delivery.

Brandon Campea is the architect and design lead for the TotalVote™ product. He has been engaged in a leadership role in delivering election solutions to many states and large jurisdictions across the country.

The Offeror shall submit a Work Plan that will be used to create a consistent and coherent management plan. This work plan will demonstrate that the Offeror has a thorough understanding for the scope of work and what must be done to satisfy the project requirements.

The Work Plan shall include detail sufficient to give the State an understanding of how the Offeror's knowledge and approach will:

- Manage the Work
- Guide Work execution
- Document planning assumptions and decisions
- Facilitate communication among stakeholders
- Define key management review as to content, scope, and schedule

Functional Requirements:

Question 1: Manage Voter Registration Duplicates

Describe the Offeror's approach to managing duplicate voter registration applications and registered voters moving between counties. Arizona currently has a hybrid environment in which thirteen (13) counties are on a common voter registration system and database while the other two (2) counties each have their own in-house developed system and database. Duplicates and movement of registered voters between counties needs to be addressed from a statewide perspective.

Offeror Response:

The TotalVote™ Voter Registration system has been tested in four states, and is proven to reduce the number of duplicate voter registration records. The simplicity of the TotalVote™ system allows users to spend more time eliminating duplicate records and less time setting up searches for possible duplicates.

TotalVote™ eliminates the need to screen incoming records to determine whether the record is a new or an existing voter record. New records are screened for duplicates as they are being processed. If the record has been received electronically, or created by imaging a document, the system prepopulates the duplicate search criteria.

Identifying information can be used to attempt a match of the records using combinations of fields. The matching rules applied are defined by your system management, and can be changed over time. These fields can include:

- Name (parsed components)
- Date of Birth
- Social Security Number (or SSN4)
- Driver's license number
- Unique Voter Identifier

Matching on these information parameters constitutes a "strong match", meaning there is a very low possibility that the new record is for somebody different. TotalVote™ also supports "weak matches", where only some of the parameters match, like partial name and date of birth. "Weak matches" are helpful in identifying voters who may have had a name change.

TotalVote™ will check for matches through multiple data sources and interfaces. We propose that the records would be verified in the order listed below. After each step, if an existing record is found then the processing would continue as a change to the existing record, and no further match attempts are needed.

1. Existing Arizona Records
2. Statewide Records (transfer)
3. Department of Motor Vehicles
4. Vital Records (if needed for death checks)
5. Felon Records

To verify a match, TotalVote™ presents all the potential match selections to the user in ranked order, with the closest matches first. The user will verify and select the matched record. Alternately, this manual verification can be bypassed if a "strong match" is processed by the system. A "strong match" is configured by Arizona business rules.

When TotalVote™ processes a new voter registration application and identifies a strong match that would cause the voter's registration to change counties, the system automatically cancels the voter's registration in their previous county, notifies the voter's previous county of the cancelation, and updates the voter's record with the new county.

If no match is found, the user can execute further search combinations/attempts, or decide to proceed to create a new voter record.

The system will identify soft matching records as potential duplicates if only part of the personal identification information matches based on a configurable set of fields and thresholds such as name, date of birth, MVD number, or last four digits of the SSN.

The system will identify strong match records based on a configurable set of fields and thresholds such as full last name, first five characters of first name, DOB, MVD, and last four digits of SSN.

If the system identifies a strong match with a new voter registration application that would cause the voter's registration to change counties, then the system will update the voter's registration in the new county, cancel the voter's registration in the old county and notify the old county of the cancelation.

The system will display a queue of potential duplicate records. These records are first filtered for existing records registered within the county of the staff performing the search. They are sorted with the oldest Registration Date first--allowing the staff to verify and delete duplicate records.

The system allows authorized users to configure and define the registration date. For example, the registration date can be defined as the date and time the initial voter registration application is determined to be eligible.

Duplicate validations occur on a continuous basis. Verification of the status of the record is performed against the activity being attempted by the user. Periodically it may also be necessary to validate on a system-wide level for deceased voters, statewide duplicates, and voters who have moved.

If the match is against DMV only, then a new record can be started with pre-populated fields.

TotalVote™ applies reconciliation logic to determine whether the change attempted is allowed against an existing record based on the status of that record and other properties. These rules are developed with AZSOS during requirements gathering. Examples include (but are not limited to), if the record selected is marked as:

- Deceased, only certain actions are allowed, such as Administrative Correction.
- Registered in another Illinois county, a transfer operation is proposed to the user.
- Inactive, prompts the user for special actions.
- Fraud status, routes the document to a special queue.

For this section and the following sections in Attachment 3-A, please refer to the Functional Requirements Matrix in File Name: ***Att 3-A Supp (2 of 4) Functional Requirements Matrix.xlsx*** (Confidential)

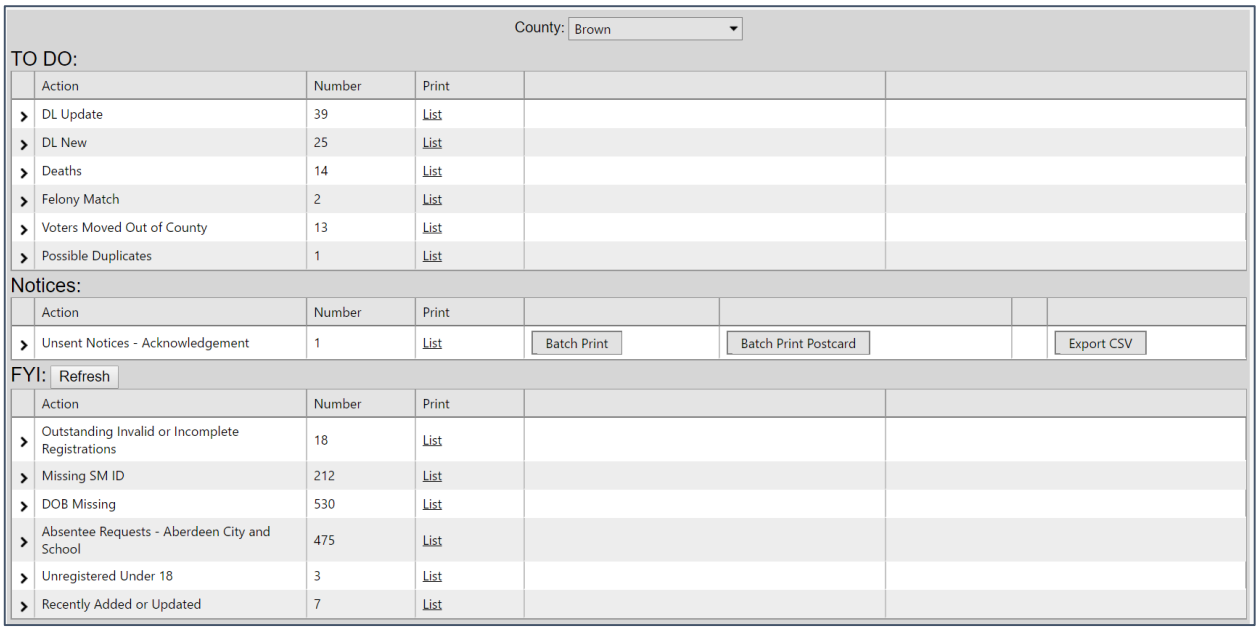
Question 2: Workflow

Describe the Offeror's approach to providing an intuitive user interface for State and county workers. The solution shall provide a logical flow for data entry, carrying forward and populating fields with information, and be intuitive for the ease of use to increase user efficiency and reduce the learning curve of new workers.

Offeror Response:

The familiar, intuitive, and consistent interface makes TotalVote™ easy to learn for any staff with customary Windows-based user skills. Using a common web interface, point and click simplicity is provided along with the ability to use keyboard driven operations for the user who is doing "heads down" repetitive work.

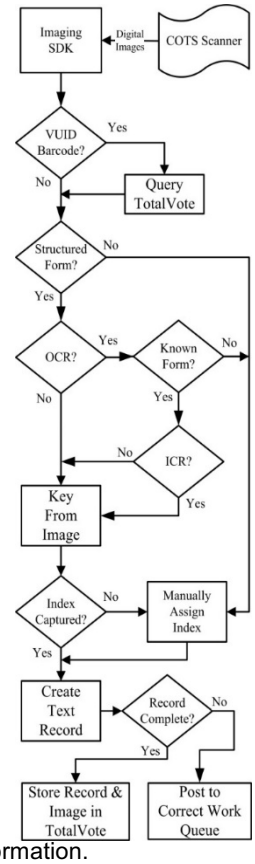
Throughout the product description you will read about work queues. Work queues route work around the office, pairing data with associated images of documents to put them on the desktop of the right person for the most efficient processing. TotalVote™ allows AZSOS to configure the assignment of work queues to different users and define which parameters are used to push work from one work queue to another automatically.



For example, if an incoming image is identified as an Absentee application, it may go to a special work queue with specific users assigned to that queue. Likewise, if an incoming image is marked as a FPCA (Federal Post Card Application) it may go into a more specialized work queue accessed by different users. Business rules can be applied, for example, to push a record to a Supervisor's work queue if it is an Election Judge, Elected Official, or Candidate with a change in registration. Other examples of rule-based work queue assignments include "New Registrations", "Change Registrations," and "Transfers."

TotalVote™ creates workplace efficiencies by allowing multiple users to work from the top of the work queue (first in, first out), or work can be specifically assigned to users. The system can monitor how long a record has been sitting in a queue and provide statistics for workload oversight.

TotalVote™ also has fail-safe checks throughout the application to present the user with only what is currently active for an election, and give instructive error messages when information is insufficient to complete processing. Our web interface senses when a user is navigating away from a page and prompts that user when there is updated information that has not been saved to the displayed record. For example, if an incoming image is identified as an Absentee application, it may go to a special work queue with specific users assigned to that queue. Likewise, if an incomingimage is marked as a FPCA (Federal Post Card Application) it may go into a more specialized work queue accessed by different users. Business rules can be applied, for example, to push a record to a Supervisor's work queue if it is an Election Judge, Elected Official, or Candidate with a change in registration. Other examples of rule-based work queue assignments include "New Registrations", "Change Registrations," and "Transfers."



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Question 3: Constituents Portal

Describe the Offeror's approach to a common portal for the constituents to query general information. AZSOS currently has a public facing portal (VoterView) where constituents can query useful information related to their voting status. These items include:

- Registration information
- Registration status
- Political party association
- Polling place location
- Districts where eligible to vote
- Polling Place
- Name and address of polling location where they are registered to vote
- Status of early ballot
- Status of the provisional ballot

Constituents can access this information from a common portal regardless of the County in which they are registered.

Offeror Response:

TotalVote™ feeds the back-end data for all Public Portal functions. Existing public information entered by the Clerks in TotalVote™ can be searched through the Public Portal so no additional data entry or duplication of

previous effort is required. When on the Public Portal, a public user can search for and interact with registration and election data in the TotalVote™ database. If a member of the public wants to look up their own personal information, they would need to enter a few identifying factors, such as name, address, or date of birth to access their own record. When viewing their own record, they can view the following information:

Voter Registration Information

This includes the voter's registered name, address, party affiliation, county, and precinct.

Registration Status

If the voter has an Active or Inactive status the voter may need to update their voter registration. There may be other statuses available as well (including cancelled registrations, or registration that are pending, e.g.) for underage registrants that are not yet eligible to vote.

Absentee Voting Status

Voters may check to see if they are on the Permanent Early Vote list, so they will know if they will automatically receive ballots for upcoming elections in which they are eligible to vote. If voters have not applied to vote as an absentee, they can download a form to apply for a single-use absentee ballot, or to apply for absentee voting on a permanent basis.

Districts Where Eligible to Vote

The public portal displays the districts that each voter is assigned to, from large statewide districts down to small local districts. This makes it easy for a voter to quickly determine their school or municipal district, for example.

Polling Place Information

Voters can look up information about their assigned polling place, such as polling place name and address. Voters will be able to view their polling place on a map and can retrieve driving directions as well. This information may also apply to vote centers or Early Vote sites.

Sample Ballot

Voters can view their own sample ballot for upcoming elections. Sample ballots as delivered by the ballot contractor will be properly marked and formatted to meet sample ballot guidelines. Pdf files are uploaded to the backend and associated to precinct parts. The associated sample ballot is based on the precinct of the voter. Sample ballots are specific only to the current election.

County Clerk Information

A voter can also look up their County Clerk's office and contact information.

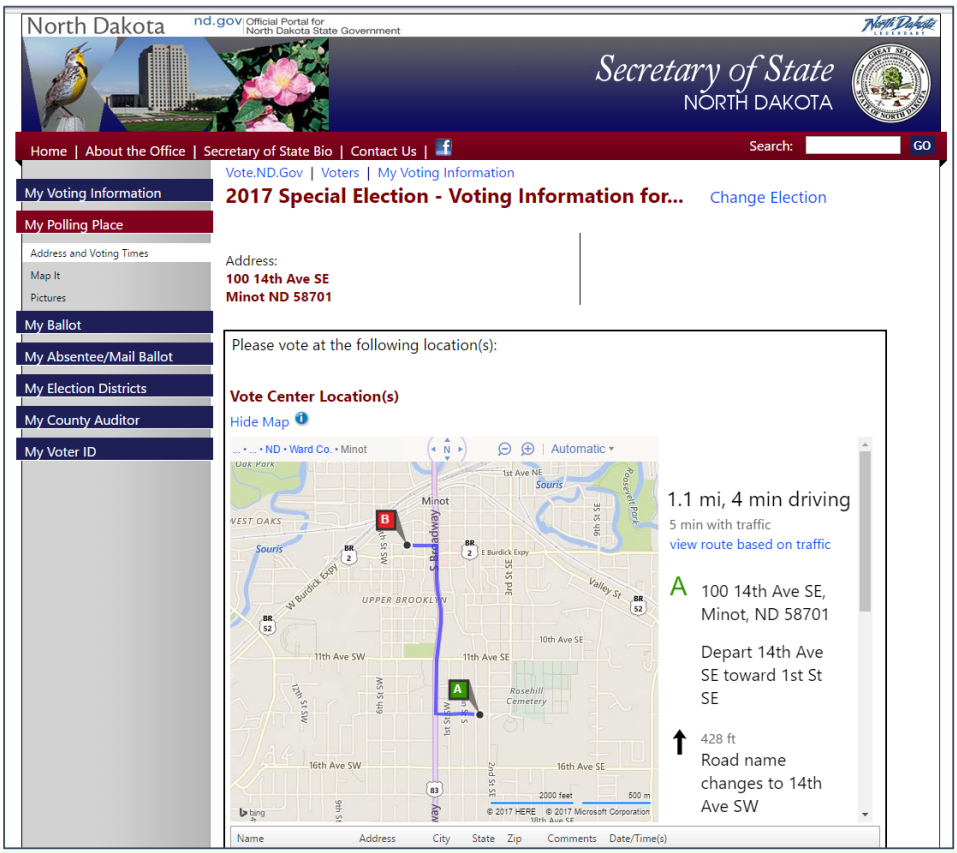
Election-Related Dates

Voters may see the deadlines for upcoming elections, such as the last day they can register to vote or update their registration. They can also see deadlines for the last day to submit an absentee request, or to return an absentee ballot.

UOCAVA Information

For voters who are eligible under the Uniformed and Overseas Citizens Absentee Voting Act, the Public Portal will contain special instructions regarding absentee eligibility and how to access and cast their ballot.

Absentee Ballot Status



Voters who have applied for an absentee ballot can see the date their ballot application was received by their County Clerk, the date their ballot was sent to them, and the date that their ballot was received by the County Clerk.

Provisional Ballot Status

Voters who voted with a provisional ballot in an election may come here to check on the status (Approved, Rejected) of their ballot.

Election Results

Election Results may be posted to the Public Portal following an election, reporting the outcomes of all contests.

The Public Portal is completely mobile-accessible, as many users may be accessing their information from a mobile device. The site is easy to navigate with a clean user interface. Note: Voters are protected under the Address Confidentiality Program and will never appear on the Public Portal.

Question 4: Vote Centers

Describe the Offeror's approach to accommodating vote centers as the nation evolves from precinct-based to vote-center based processes. By vote centers, AZSOS means polling places in

which any eligible voter residing within the jurisdiction holding the election can receive and cast his or her specific ballot-style ballot.

Offeror Response:

Nearly all our existing clients who use TotalVote™ also have vote centers. While a voter may still have one original designated polling place for their home precinct, if that voter lives in a county with vote centers, then he/she may cast a ballot at any available vote center in the county.

Vote Center setup in TotalVote™ is easy. Each county needs to designate whether or not they have vote centers (as all counties in the state may not have vote centers). When that is established, the county can manage its polling locations in TotalVote™, designating these locations as polling places, vote centers, or early vote sites. These locations are connected to precincts (and in the case of split precincts, sometimes even down to the precinct part level). Depending on which precinct a voter is registered in, their polling location for an election will display in TotalVote™ accordingly. This information is not only displayed internally in the voter registration system, but is also displayed on the public portal. In the case of vote centers, polling information may be long, depending on how many vote centers each county has. Large counties may have many places where their voters may vote.

Polling place and vote center information may vary by election, depending how often the County needs to update their polling information. This polling place information is commonly printed on materials sent to the voter, including the voter card issued at the time of registration. Therefore, it is essential that basic polling place information be constantly maintained. For some elections, polling place in-formation may change for various reasons. When it does, the voters affected by the change will be flagged to receive a mailing of updated information.

With each new election, county users can choose to re-link their precincts to the vote centers and/or polling places from the previous election, or flush the existing polling assignments to start from scratch. All vote centers and polling place information is saved in the system, and can easily be deactivated (or reactivated) at any time if needed for future use. TotalVote™ can import these polling locations from your previous voter registration system, so all polling data doesn't need to be re-created manually by your Counties. Minimal effort is required on maintaining this information over time.

Overall, the assignment of vote centers is handled through the Clerk's easy management of the in-formation in TotalVote™ and the ability of the public to view this information on the Public Portal. This information is essential in creating rosters or files for electronic poll-books to display all eligible voters for a single polling location. Also, vote center locations may be captured in voting history, so records are kept of which voters voted at which vote centers. Voter center information is stored in the Total-Vote™ system and includes historical data for each election. This data be reset for future elections created in the system.

Question 5: Epollbook Interfacing

Describe the Offeror's approach to interfacing with electronic pollbooks (epollbooks). Currently, each County in Arizona is responsible for its election equipment, and therefore, a variety of epollbooks is used in Arizona. How will the multiple interfaces for the export as well as import of information from these devices be addressed?

Offeror Response:

TotalVote™ allows customers to provide real-time connectivity to ePollbooks. As part of the Team Sutherland proposal, AVID will have the capability to support the counties with real-time connectivity for respective voter registration information. The system will support all Arizona polling places simultaneously for any given election.

Just prior to each election, Poll Books are prepared. TotalVote™ provides options for both printing paper Poll Books and exporting data into third party Electronic Poll Book software. The information in the TotalVote™ Poll

Book export (both paper and electronic) includes registrant data (name, address, VR ID, DOB, etc.), election setup data, street file data, ballot styles, polling places, and early voting. While Electronic Poll Books are used by more and more jurisdictions, TotalVote™ continues to provide both electronic and paper-based Poll Book options. Both options are simple for an authorized user to access through TotalVote™; TotalVote™ also saves a copy of each roster and the criteria selected in the search. Electronic Poll Book data is exported via Microsoft Excel and users can sort TotalVote™ data in the third party's Poll Book system. If a county chooses to print its Poll Books, the user is presented with several options prior to printing. Examples include printing the entire county or selecting precincts, where to insert page breaks, and active/inactive voters. The user can also save the roster as a PDF prior to printing. All Poll Book rosters created (via print or export) are logged, and users can access information through TotalVote™ about each roster (who created the roster, what data was included, when was it created, how was it exported, etc.).

After each election, counties are able to load signature images and voter history data into the TotalVote™ Voter Registration system. This information can be scanned from paper Poll Books or loaded from Electronic Poll Books and is added to a Voter's file, where it will be available for future elections. Information that can be uploaded at the end of an election includes: election voted in, partisan ballot the voter selected, and at which location and when the voter voted.

Users can print the pollbooks from *Reports>> View Reports >> Select Registration List >> View Report.*

Users can export the pollbooks from *County Utilities >> Poll Book Management.*

Question 6: GIS/Street File Technologies

Describe the Offeror's approach to using GIS overlays in creating a file defining precincts, jurisdictions, and validating registrants addresses. Currently one county (Maricopa) operates its voter registration system based upon its GIS system while all other counties operate and manually maintain a street file system. It is likely that some counties will be able to leverage GIS geocoding in the future while others will not. How will the proposed solution satisfy this requirement in the near and long term?

Offeror Response:

BPro has spent a considerable amount of time over the last three years analyzing the integration architecture for adding GIS functionality to voter registration processes and applications. Careful consideration is required to ensure customer acceptance, flexibility to accommodate changes or updates, maintainability over extended product life, the state of the GIS industry, and availability of higher resolution data. We performed this analysis with the fundamental requirements for voter registration at its core, rather than trying to tailor voter registration to fit GIS. The result of this analysis yielded a well-designed architecture for incorporating GIS functionality into voter registration processes, and will bring considerable improvements in efficiency and accuracy when implementing TotalVote™ as the new Arizona voter registration solution.

Our approach is based on several relevant customer and industry factors listed below:

- Voter Registration department employees are NOT GIS software operators. In the rare instance the Voter Registration department has a skilled GIS operator, our approach takes full advantage of the resource.
- Most Jurisdictions that are interested in integrating GIS functions with Voter Registration systems have a GIS department or group, whether at the State or County level
- For Jurisdictions that do not have a GIS department or group, GIS support can be provided by a third party service bureau, either by a private or public entity.
- The most prevalent GIS software used by States or Counties is ESRI products, but other products are also supported. Existing software licenses can be leveraged to minimize implementation expense.

- GIS-based maps required for integration with Voter Registration (VR) do not change often, so GIS software skills are needed infrequently.
- GIS and Voter Registration products have different revision and update cycles, and must function through defined interfaces allowing the products to be updated independently of one another.
- Address maintenance and precinct assignment are the primary functions of VR/GIS integration.

Embracing these relevant factors, we have developed a robust, near and long term solution for VR/GIS functionality, a standalone software product for managing point address data with the capability of making the historical, error prone street index file obsolete. Our standalone VR/GIS solution sits between GIS software products and TotalVote™. The GIS software product provides the functions necessary to maintain point address data, and accommodates changes over time from both GIS data and Voter Registration requirements. Our product provides interfaces to ingest GIS data and services, present the information to VR operators in an understandable user interface, and supports address maintenance required for management of voter registration rolls over time. VR operators are not required to be skilled GIS operators, and only require typical office-type computer user skills.

To take advantage of existing GIS infrastructure, minimize implementation expense, maintenance, and VR operator skills, all GIS map layers used by our solution are built externally. This building-out can be performed by a variety of resources, including a VR department GIS operator, a County or State level department or group, a service provided by BPro, or an independent third-party provider, who imports constructed map layers into our GIS solution, where they are stored and maintained under revision control. Using Open Source map display tools, users can turn on/off map layers with simple menu selections to present simultaneous layer display and accomplish the task at hand. This approach eliminates the costly licensing fees, hardware infrastructure, and operator expense of GIS software for the VR department.

Our recommendation for initializing our solution with point address data is to purchase commercially available point address data from a third-party provider, which typically provides an over 90% match rate when compared to the existing street index and the remaining address require review by VR officials. Only address points are used to simplify the data management. Any area with no geolocated points (measured locations) uses geocoded points that are estimated locations along a street segment. Our solution tracks these spatially located geocoded points, which is a vast improvement over street index ranges and can be upgraded to geolocated points over time. Upgraded geocoded points can originate from updates to the commercial data source, local GIS departments, and even measurements performed by the VR department using a handheld device. Our solution provides a means for VR operators to compare an existing point to a new point and determine the best representation for VR purposes. This approach supports jurisdictions with sophisticated GIS operations and jurisdictions with no GIS background. TotalVote™ continues to provide support for the traditional street index file but also conversion to a point address system at any time into the future, which matches the potential environment in Arizona. Our architecture will support Maricopa's use of their GIS system, allow other counties to upgrade to a point address solution as part of the new system implementation, and support street file management that can be upgraded in the future at the county's option.

As part of the initialization process, address validation is performed against the existing addresses stored by the VR system. The system generates a comparison report listing the discrepancies between the point address data and the addresses on file. VR operators resolve any discrepancies by updating the point address with any missing addresses, creating Alias street names that are linked to the primary name, identifying business addresses, and creating points or areas that are valid registration locations but do possess traditional address references. An example of the latter is where a homeless citizen claims a resident location, and our solution allows a VR administrator to add a point and treat it like any other address. This capability can also be used when other address questions arise to provide flexibility in the face of exceptions, giving complete control over address management.

Question 7: Interfacing with Election Management Systems

Describe the Offeror's approach to accommodating various interfaces with county Election Management Systems. Each county in Arizona is responsible for its election equipment and software to manage an election. Therefore, Arizona counties differ in their use of EMS systems. How will the proposed solution satisfy these multiple EMS interfaces?

Offeror Response:

Scanning Utility

The scanning utility within TotalVote™ performs the following functions:

- Create digital images of paper-based correspondence, or other paper-based records;
- Extract information from the images, and;
- Associate the information with the correct records stored in the system.

Paper documents or forms are scanned by a Commercial-Off-The-Shelf (COTS) digital scanner that creates a computer-based digital image of the document for storage in TotalVote™. Depending on the form and content, information from the image is extracted using Optical Character Recognition (OCR) and Barcode decoding. Using information extracted from the image or through manually entered information by an operator, the images are "indexed," meaning the digital images are assigned numerical reference to associate it with a particular voter. Indexing allows the digital image to be stored and accessed from the voter record, eliminating the need to store or manually retrieve the paper record for reference.

The TotalVote™ scanning utility is integrated into the voter registration application, but accesses local hardware connected to the workstation PC. Users must log into TotalVote™ and select the Imaging menu item to configure the local scanner that is maintained for future use as part of the user's account on that specific workstation. TotalVote™ is a web-based product, so the scanning utility is also part of the web-based system and the performance of the utility supports single operator scanning batches. If AZSOS encounters situations that involve larger scale scanning operations, additional licensing of the scanning engine may be required to deploy the scanning utility on a local PC to support higher rate of throughout.

Imaging Process

The TotalVote™ scanning utility creates digital images of paper-based correspondence or other paper-based records using the following functional modules provided by an industry leading Software Development Kit (SDK):

- Image capture and image optimization
- Barcode recognition and decoding
- Optical Character Recognition (OCR)

The minimum functionality performed for a paper record is image capture and image optimization: a digital image is created by a Commercial-Off-The-Shelf (COTS) digital scanner and passes an electronic rendering of the document in an industry-standard file format to the scanning utility. The scanning utility optimizes the image by applying de-speckle / de-skew processes to clean up the image. OCR is an engine that converts character images to computer data for storage and manipulation. In some cases, the reference data is used to "index" the image with meaningful information for storage and retrieval. In other instances, any documents received from a voter that is a response to a mailing by Arizona or one of the Counties (e.g. absentee ballot) will include the Voter Unique ID (VUID) in barcode format that provides the document index.

Paper documents that are submitted for imaging for retention as electronic records fall into two categories: structured and unstructured documents. With a structured document, certain information always appears in the same location on the page. For example, a voter application form, the applicant's name or other identifying information always appears in the same box in the same place on the document. In contrast, an unstructured

document has the opposite characteristics – information can appear in unexpected places on the document. Structured documents enable greater levels of automated processing, where unstructured documents require more user interaction. It is expected that the majority of documents to be scanned will be the structured type, which equates to the various forms used by Arizona Counties to collect information from its citizens. Unstructured documents are supported by TotalVote™ however.

The minimum scanning functionality is used for unstructured document and requires manual indexing. There are two possible methods to add a manual index to the imaged document. The first method is to scan the document and the user manually enters an index using the keyboard. The other approach is to add a barcode label to the document before it is scanned that provides the index. Barcoded documents, where the barcode contains meaningful information related to the document, provide machine-readable indexes with a high rate of accuracy. The barcoding approach typically is used if working with documents that involve registered voters that are looked up before scanning and the index is her or his unique identifier.

Structured documents allow the use of OCR technologies for various levels of automated data input that is dictated by the form design, content and configuration of the system. OCR recognizes machine-printed characters on a form. OCR provides a very reliable conversion of type written characters.

The scanning utility also allows for the definition of a fragment of an imaged document for both a predefined template and in a free form manner. The primary purpose of this capability is to extract signatures and is typically referred to as ‘clipping’ the signature. When using a predefined template, the template defines the location on the document and the amount of area to be included in the clipped extraction. If the balance of the image is to be discarded, it is retained until all indexing, validation or verification processes are completed. For an unstructured document, the document image is presented to the operator and by clicking on a location of the image and dragging the mouse pointer, a box definition of a fragment area created. The user is prompted to identify the fragment and identify a storage location.

OCR conversion allows data to be extracted from the image to auto-populate data fields for a voter registration record. Given the analog nature of paper documents, the conversion is not always 100% and a confidence setting is used to determine whether a particular converted piece of information should be reviewed by an operator. If the confidence for a conversion is below the threshold, the image is displayed on a computer screen for an operator, with the questionable text highlighted and the data fields of the document displayed to one side of the image. By displaying the document image with highlighted text next to the data fields, the operator can quickly review the converted values and the original text to make any necessary corrections or confirm the conversion. This approach, known as “key-from-image” provides rapid verification with low error rates. This process can be performed in a batch operation from a remote scanning event if necessary to further improve efficiency.

With data being extracted from the scanned image, an index for the document may be automatically created and the image stored with the correct voter registration record. If an index is not available from the OCR process, an operator must manually enter an index. The Gap Analysis effort for this project will determine documents to be scanned, any index values that are part of the information or establish a process for the addition of an index by an operator.

The figure on the right provides an overview of the process flow for the imaging process and scanning utility. If the document contains a VUID Barcode, the document is indexed to an existing voter registration record. As the document moves through the process flow, performance of data extraction techniques (OCR) increases the amount of known information about the document and increases the level of automated processing. All converted data below the confidence threshold is verified through a Key-From-Image function. This step can be modified over time once conversion confidence levels are established for certain standard forms. The creation of complete records moves the information directly into database storage without operator review, which supports the highest level of automation. This outcome can be supported by posting notices to a queue such that operators are notified of the existence of a new record if preferred by Arizona.

TotalVote™ Imaging Functions

Team Sutherland's recommended imaging solution starts at opening the mail and sorting the documents into structured and unstructured categories. The structured category contains all the known forms that are used as part of managing the voter registration rolls. The structured documents are known to the scanning utility. Using OCR and forms processing, the form will be determined and fields will be read into the system creating a beginning data set of information such as the voter name, date of birth, SSN, Driver's license number, and other available fields. This includes automatically recording the NVRA Source information based on form data or characteristics. The beginning record is linked to the image of the document received so data entry can be completed side-by-side with the image as required. The unstructured documents must be manually processed by an operator who routes them to the appropriate work queue to be further processed by specific operators.

The data and the image together are routed to a work queue where a VR Staff member verifies the conversion and corrects any low confidence conversions. When the user selects a work item from the work queue list, the image of the document and associated converted data is presented to the user in one screen.

Viewing Attached Images

Registration documents are automatically attached to the voter record. Throughout the TotalVote™ system, an image icon displays with the voter records to indicate that an image is available for viewing. Viewing images attached to records is as simple as clicking on the icon. The image will be launched in a separate window. The user can launch as many image windows as desired.

Images can be printed, faxed or emailed. By default, these images have any redaction applied to "white out" sensitive information when sent. Internal prints are stored without redaction so all information is shown.

Signature Storage

For registration forms, petitions and other signed documents, an image fragment is used for the signature to be excerpted and stored as a separate image that is prominently displayed. For structured forms, the signature area can be automatically framed for separate image storage. The signature is stored as a blob or other file format as selected by Arizona.

Outgoing Communication

TotalVote™ retains an image copy of the all outgoing communication as well. For example, an Incomplete registration notice sent to the voter is also stored to PDF, whether the notice was emailed or printed and mailed. The image is linked to the Correspondence activity and readily retrievable.

Maps and Electronic Records

Voter registration materials of all types are stored as images and linked to records throughout the system, including maps, candidate filings, and sample ballots. The objective is to eliminate all paper filing cabinets so that all information going forward is electronically searchable.

As described above with records received electronically, these records can be stored as attached electronic documents or formatted images linked to the registration activity.

Redaction

With the amount of sensitive information that is contained in many voter materials, Redaction is an important tool. Redaction can block out Social Security Numbers, Driver's License Numbers, Birthdates, Signatures and other sensitive information. Once a document has been redacted, documents can be safely printed, faxed or emailed without revealing this sensitive information.

Question 8: "Undo" Functionality

Describe the Offeror's approach to 'mass updates'. Often a mass update is appropriate for making the same change to multiple records. What is the approach to performing these mass updates and backing them out (undoing them) if the expected result is not completely successful? Describe the use of an "Undo" capability by the proposed solution.

Offeror Response:

TotalVote™ provides many batch processes integrated throughout the product to manage elections events that affect large numbers of voters, such as:

- Poll Book Generation and Printing in preparation for Election Day
- Large volume administrative reports and data exports
  - Export Voter data to third parties
  - Export of NCOA data to an NCOA vendor
  - Import of NCOA data from an NCOA vendor
  - Export of Absentee Data
- Mass updates of voters for:
  - NCOA data
  - Updating voter history, and Inactive to Active
  - Updating Inactive voters to be removed if they have not voted in two successive federal elections.
  - Nightly updating Minors who have turned 18 to Active status
- Generation of batch print jobs, such as:
  - Identification cards of new and changed voters
  - Print Absentee Applications for non-permanent and new Application requests
  - Permanent Absentees:
    - Create records for current election
    - Sending Correspondence in advance
    - Ballot envelopes and labels for sending Absentee Ballots
  - Printing ballot envelopes to send Absentee Ballots for accepted Absentee Applications
  - Verification mailings
  - Polling Place notifications
  - Productivity statistics

Because TotalVote™ maintains a full audit trail of every change and update, the result of a 'mass update' that was run and determined unsuccessful can be undone with the changed data restored to the previous version. Both the 'mass update' and the undoing will also be tracked in each voter's audit trail.

Users with appropriate permission levels also have the capability of rolling back a voter's record to a previous version. If a 'mass update' is ever discovered to contain errors, TotalVote™ allows the appropriate authorized personnel to roll back the changes and restore the last version of data.

Hosting the AZSOS AVID system on Windows Azure platform ensures the previous version will always be available to roll back to. Azure SQL Database automatically creates backups of every active database using the following schedule: full database backup once a week, differential database backups once a day, and transaction log backups every five minutes. The full and differential backups are replicated across regions to ensure availability of the backups in the event of a disaster. Team Sutherland recommends using the Premium Service Tier which supports Geo-Restore, Point in Time Restore, 35-day backup retention period, and the

ability to restore a deleted database. If desired, the databases can also be archived for a virtually unlimited period of time past the 35-day window.

Point in Time Restore is designed to recover a database to a specific point in time within the backup retention period supported by the service tier of the database. Restoring creates a new database with the same service tier that was in use at the chosen restore point and the lowest performance level supported by that tier.

Question 9: Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) Process Approach

Describe the Offeror's approach to accommodating citizens that are military or living abroad. What is the solution workflow for supporting UOCAVA citizens including the registration, requesting an early ballot, processing/receiving their ballot, and casting their ballot? How is a secret ballot ensured?

Offeror Response:

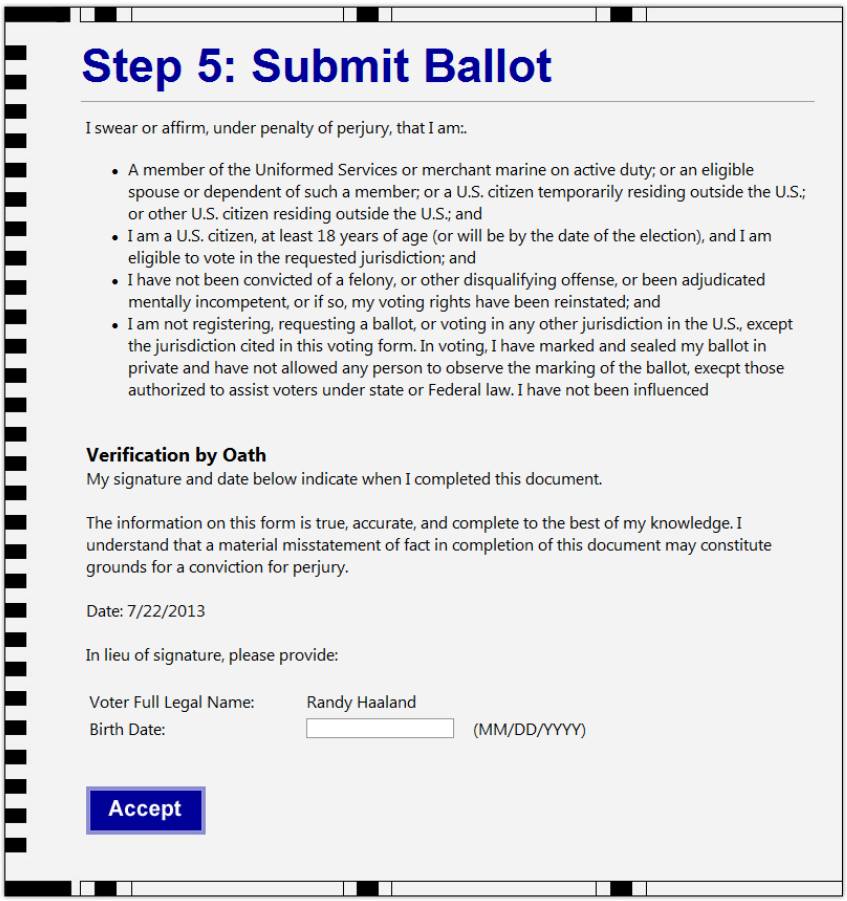
- Ensuring the right to vote for the brave men and women serving our country is one of Team Sutherland's top priorities and has been since before the MOVE Act was passed. BPro has provided the Uniformed and Overseas Citizens Absentee Voting Act (UOCAV) functions to accommodate their needs. Our UOCAVA system has been used by the states of North Dakota and South Dakota since 2009, and in 2014, the State of South Dakota was nominated for an Ideas Award by the National Association of Secretaries of States in recognition. As part of the TotalVote™ system that is deployed in Arizona, the AZSOS, Arizona counties and, most importantly, Arizona's UOCAVA voters will be able to complete the UOCAVA process and access their ballot from anywhere in the world using TotalVote™.

- To become a UOCAVA voter, the eligible U.S. citizen will go online to access the UOCAVA voters page in TotaVote™. The system will display important upcoming election information and dates, a link to the TotalVote™ Voter Information Portal (where the voter can look up their voter status), and explanation of the UOCAVA application process and links to FVAP.gov and the Federal Post Card Application form. TotalVote™ shall give UOCAVA voters the opportunity to register to vote and to sign up to request an early ballot and/or information about the upcoming election. If an eligible UOCAVA voter registers to vote, the information is sent to the voter's county to determine if the UOCAVA voter is eligible. If eligible, TotalVote™ will allow the voter to securely upload important paperwork to the voter, including registration forms, proof of citizenship and early ballots.

For almost 10 years, TotalVote™ has made voting possible for men and women living and serving the United States around the globe

Question 10: Interstate Voter Registration Coordination

Describe the Offeror's future plans regarding managing duplicate voter registrations between the states. Today, Electronic Registration Information Center (ERIC) is attempting a technologically simple periodic



matching. The American Association of Motor Vehicle Administrators (AAMVA) tracks and verifies driver's licenses between states ensuring that the driving record of an applicant in a new state is transferred from his old state and his former driver's license is invalidated. This is done via a system called AAMVAnet. What

does the Offeror envision as the likely future, more comprehensive approach to this issue for voter registrations? How is the problem similar or different from that of driver's licenses?

Offeror Response:

As technology allows people to be more mobile, voters are moving between states on a regular basis and providing new challenges to election officials. TotalVote™ will allow the State of Arizona to manage intrastate voter registrations and ensure that duplicates are flagged, verified and acted upon, and quickly processes NCOA data on voter's moving to Arizona from another state. Team Sutherland currently provides many batch processes integrated throughout the TotalVote™ product to manage elections events that affect large numbers of voters. In New Mexico, TotalVote™ imports NCOA data, which is automatically routed to the appropriate TotalVote™ user's home queue for processing. Team Sutherland will interface TotalVote™ with the Motor Vehicle Division (MVD) to include importing the new voter registrations, signature images and support documentation.

TotalVote™ currently interfaces with ERIC and AAMVAnet to further assist elections officials in identifying potential duplicate, interstate voter registrations and alerting those states when a voter registers in a new state. Currently, there are several organizations attempting to connect state voter databases to help eliminate duplicate voter registration records nationwide. Until there is one proven method for verifying voter registrations across all 50 state lines, TotalVote™ will continue to exchange data with ERIC, AAMVAnet or any other reputable organization that our customers request

Question 11: Performance Indicators

Describe the Offeror's approach to reporting voter registration system performance. One of the benefits of an efficient solution is the capability of becoming more productive and efficient. How will the solution track key metrics to show a positive benefit of implementing the proposed solution? Arizona has identified the following key indicators. Based on these indicators (or others that the Offeror would propose) how will the proposed solution enable Arizona to show the value of implementing the Offeror's system?

- Records in suspense
- Number of provisional ballots cast
- Efficiency of processing early ballots
- Records requests
- Duplicate voter records

Offeror Response:

Arizona has identified Key Performance Indicators (KPIs), and all of them are represented by the data TotalVote™ captures and stores. These performance metrics can be built into a custom report tracking the metrics over time to provide a snapshot at any given time of trending information to highlight system and department performance. TotalVote™ manages many of the VR tasks using workflow techniques that timestamps steps in any process, so that efficiency of a process can be measured and reported. This information can be used to point to human resource constraints or to drive improvement in process workflows. Team Sutherland will work with AZSOS to further define the parameters of the key metrics and develop a 'dashboard' like report to bring visibility to these important system performance indicators to include at a minimum, Records in suspense, Number of provisional ballots cast, Efficiency of processing early ballots, Records requests, and Duplicate voter records.

Another key performance metric is system response time, which has a direct impact on a user's experience, whether that user is a citizen or member of the VR department. TotalVote™ tracks system response time, ensuring a favorable user experience.

Question 12: Offeror's Understanding of Voter Registration

Describe the Offeror's understanding of the elections and voter registration services. Discuss Offeror's strategies and areas of focus within this sector. Discuss key trends affecting this sector in the next three to five years and how your perspective will translate into benefits for the State of Arizona.

Offeror Response:

BPro has successfully grown up in the voter registration industry, organically developing domain expertise and software engineering skills to continue its growth over the last ten years. Our continued growth has been fueled by our foresight into future customer needs and the evolution of technology that could positively impact voter registration systems and operation.

In addition to our organically developed domain expertise, we have added expert resources to our staff for both voter registration and voting systems to augment our scope of understanding. These resources bring a 'customer' perspective to our products and solutions, broadening our vision to encompass both voter registration and elections. Coupled with our technical resources, this experience brings unique customer-centric focus and drives a vision for the future. The success of our election night reporting product throughout the western United States is a historical example, and the introduction of a point-based addressing product exemplifies our forward-looking vision. Our architectural decision to provide a cloud-based voter registration solution that will allow our products to evolve with the rapidly changing Information Technology industry will continue to benefit our customers well into the future.

We are well positioned to address the key trends affecting voter registration over the next three to five years. Below is our opinion of the most important trends for voter registration and how we are positioned to address them.

Security: By far the most important and visible factor for voter registration in the coming years. Our cloud-based product can take advantage of the $246.8 billion dollar industry of managed services that pour billions of dollars annually into improved security by some of the biggest companies in the world. By virtue of our architectural decision, Team Sutherland's product security will keep pace with industry computer security improvements.

Scalability and Cost of Operation: A hallmark characteristic of the voter registration function is the variability of demand. In the months and weeks leading up to an election, demand on a voter registration system is very high, whereas during non-election periods, demand is negligible. Team Sutherland's architectural approach addresses this variable demand requirement in the most cost-effective manner while maintaining rapid system response time. As a cloud-based application, we are able to bring additional computer power online during periods of high demand; likewise, we can scale it back during relatively quiet periods. This allows our customers to pay only for the computing power they need at any particular time to minimize hardware expense.

Voter Registration and GIS: Our opinion is that the traditional street index file is an obsolete practice, and the lack of efficiency and errors associated with this archaic method has ended. BPro has been monitoring the growth of GIS since as far back as 2003 when the introduction of point addressing solutions for voter registration was inhibited by the lack of data. Historically, the best point address data was limited to 911 systems, and the owners of the data were notoriously closed to sharing the information. That time has ended, as the growth of commercially available data (developed for navigation) has gained sufficient resolution to support voter registration. The development of our own point address management product has put Team Sutherland ahead of the rest of the voter registration system providers.

Expanded Web Based Services: The most visible components of this trend are services such as On-Line Voter Registration, Polling Place locators, and election night reporting that drive citizen inclusion. Team Sutherland has components to support these types of services, and will continue to expand our capabilities, adding new ones as our customers evolve.

Availability of Improved Interfaces: Less visible but with a greater impact on the efficiency of the voter registration process are the interfaces to other agencies that generate important data for maintaining accurate voter registration rolls. As other agencies replace existing systems with more modern Information Technology architecture, more efficient data sharing protocols will become available to enable greater efficiency for the management of external data. Team Sutherland has the expertise necessary to take advantage of these new interfaces as they become available.

Use of Social Media: In 2016, Facebook did a voter registration drive without notifying most state and local election officials. Many of BPro's customers were caught somewhat off guard when they noticed a huge spike in online registrations. In Hawaii, due to the time zone, many more requests than usual came in in the middle of the night. Hawaii elections officials initially thought this was malicious until BPro identified the source and that the traffic was valid voter registrations. News can travel quickly with social media and having a secure VR system that can handle unexpected traffic is crucial in the online, connected world we live in today.

Big Data Analytics: Big data analytics is a growing business tool in many industries that is rapidly maturing to support wider implementations for specialized applications, such as voter registration and elections. Big data analytics is the process of examining large and varied data sets to uncover hidden patterns, unknown correlations, market trends, customer preferences and other useful information that can help organizations make more-informed business decisions. Team Sutherland has experience with data analytics, the use of algorithms for problem solving and an interest in the continuing evolution of this technology. Analytics can be used bring insight into seemingly unsolvable problems identified by a jurisdiction. For example, if a particular polling location experiences long lines during periods of the day, analytics could be used to understand why. Possible approaches to examine this situation could combine the time stamps that ballots are cast with the address locations of voters when they check in at the polling place to highlight driving distances used by voters. The results may point to a better or additional polling location to help minimize wait times experienced by voters.

Non-Functional Requirements:

Question 1: Database Architecture

Describe the Offeror's proposed solution approach to load balancing and/or clustering for extended scalability and performance, performance in transaction processing and report processing, Security and Audit.

The design approach for AVID must include three major sets of shared data:

- Real-time Integrated / Centralized Database - Data regarding the registrant's status, ballot status, history, voting place
- Data Warehouse - Data from the real-time integration with Maricopa and Pima counties to be able to provide reporting at the statewide database level in a timely fashion to support statutory reporting and data requests
- Document Repository - The System must have the capability to centrally manage all documents throughout their lifecycle

Offeror Response:

Team Sutherland proposes to host the AZ AVID TotalVote™ solution within the Microsoft Azure cloud-based Infrastructure-as-a-Service (IaaS) environment. Team Sutherland currently hosts and maintain several Commercial and Government applications within Microsoft Azure. Our deployment scale has allowed us to negotiate preferential pricing and connectivity rates with Microsoft that will be reflected in our pricing to the State.

Within Azure, we will deploy TotalVote™ in the North Central U.S. region as primary, with an Active Disaster Recovery region in the South Central U.A. region. All State and Voter data will be stored in Geo-Redundant Storage, and the active-active hosting will ensure we meet the State's 99.99% availability SLA.

We will utilize Azure External Load Balancing to spread the initial web server load between Avail-ability Sets and Regions to effectively balance the incoming load. All compute instances will be provisioned as Azure Windows Virtual Machines and supported with Virtual Hard Drive (VHD) storage. The Webservers will be deployed within a VM Scale Set which automatically increases the number of web server instances during demand spikes to maintain performance and decrease capacity during lulls to reduce costs. The web server instances are supported by application, database and data warehouse servers which support back-end data requests and business data storage. Our architecture is designed to support > 99.99% availability with a Recovery Point Objective (RPO) of less than one hour, and a Recovery Time Objective (RTO) less than four hours depending on the severity of the outage.

Please refer to the Attachment in File Name: ***Att 3-A Supp (3 of 4) AVID Hosting Environment.pdf*** (Confidential) for a technical architecture diagram.

Real-time Integrated / Centralized Database - Data regarding the registrant's status, ballot status, history, voting place

The TotalVote™ system is designed to run on Microsoft Azure Government cloud environment utilizing Cloud Services, SQL Databases, and Azure Storage. Windows Azure is built on proven Windows Server and SQL Server technologies, and is flexible enough to cope with any variations in usage and load. The service replicates multiple redundant copies of data to multiple physical servers to maintain data availability and business continuity.

The AVID voter registration database will reside on Microsoft Azure SQL with geo-redundancy in a second region. Geo-redundant storage maintains six copies of your data. With GRS, your data is replicated three times within the primary region, and is also replicated three times in a secondary region, hundreds of miles away from the primary region, providing the highest level of durability. In the event of a failure at the primary region, Azure Storage will failover to the secondary region. GRS ensures that your data is durable in two separate regions.

Data Warehouse - Data from the real-time integration with Maricopa and Pima counties to be able to provide reporting at the statewide database level in a timely fashion to support statutory reporting and data requests

TotalVote™ has been designed and developed using state-of-the-art software language and an operating system that embraces the era of internet deployment and mobility support. Data sharing is a central feature of this architecture and will support Arizona's future needs through the use of web services, data standards, and automation. All Production Azure SQL Databases will be configured with active geo-replication, which enables

the configuration of up to four readable secondary databases in the same or different data center locations (regions). Secondary databases are available for querying and for failover in the case of a data center outage or the inability to connect to the primary database. Azure SQL Database auto-failover groups is a SQL Database feature designed to automatically manage geo-replication relationship, connectivity, and failover at scale. With it, the customers gain the ability to automatically recover multiple related databases in the secondary region after catastrophic regional failures or other unplanned events that result in full or partial loss of the SQL Database service's availability in the primary region. Additionally, they can use the readable secondary databases to offload read-only workloads. Because auto-failover groups involve multiple databases they must be configured on the primary server. Both primary and secondary servers must be in the same subscription. Auto-failover groups support replication of all databases in the group to only one secondary server in a different region. Active geo-replication, without auto-failover groups, allows up to 4 secondary databases in any region.

If you are using active geo-replication and for any reason your primary database fails, or simply needs to be taken offline, you can initiate failover to any of your secondary databases. When failover is activated to one of the secondary databases, all other secondary databases are automatically linked to the new primary. If you are using auto-failover groups (in-preview) to manage database recovery and any outage that impacts one or several of the databases in the group results in automatic failover. You can configure the auto-failover policy that best meets your application needs, or you can opt out and use manual activation. In addition, auto-failover groups (in-preview) provide read-write and read-only listener end-points that remain unchanged during failovers. Whether you use manual or automatic failover activation, failover switches all secondary databases in the group to primary. After the database failover is completed, the DNS record is automatically updated to redirect the end-points to the new region.

Document Repository - The System must have the capability to centrally manage all documents throughout their lifecycle

All documents, images, and files will be stored in Azure's Geo-Redundant Storage (GRS), which replicates data to a secondary region that is hundreds of miles away from the primary region. If your storage account has GRS enabled, then your data is durable even in the case of a complete regional outage or a disaster in which the primary region is not recoverable.

For a storage account with GRS enabled, an update is first committed to the primary region, where it is replicated three times. Then the update is replicated asynchronously to the secondary region, where it is also replicated three times.

For this section and the following sections in Attachment 3-A, please refer to the Functional Requirements Matrix in File Name: ***Att 3-A Supp (4 of 4) Non_Functional Requirements Matrix.xlsx*** (Confidential)

Question 2: Integration Approach

Describe the system integration approach between the Offeror's proposed solution for AVID and the voter registration systems of Maricopa and Pima Counties.

Outline the proposed type of integration like Web-Services or similar technology.

Offeror Response:

The integration approach includes multiple integration points between AVID and Maricopa/Pima VR systems (Offline Counties). The primary integration interface consists of real-time two-way web services between each of the Offline Counties and AVID to support fundamental voter registration functions. When voters are added/updated in either system, the real-time two-way web services are used to query the other systems to check for the existence of a record for the voter. This service will prevent duplicate registrations. These two web service APIs 'pull' data by making a request to the other system. At the option of Arizona, in situations

where a voter has moved to a new Arizona county, the registration records for an existing voter can be moved to the new registering county with a message posted to the retiring county, notifying the county of the moved voter. In instances of ambiguous information conditions, the web services will post a message to the AVID home cue for research by an operator. A third web service, which is an Offline County-to-AVID real-time web service, is used to update the replicated Offline County voter registration records stored by AVID for HAVA compliance when any added/updated voter registration records are created by the Offline Counties. This process will maintain synchronization between AVID and the Offline Counties. This web service API is of the 'push' type of service, where the simplest method is a 'WebHook' and the Offline Counties push the data to AVID when new data is created. With this process in place, the monthly synchronization files as required in paragraph 3.3.5.6 becomes redundant but can still be generated at the option of the State.

Utilizing existing services, Team Sutherland will develop web services to facilitate AVID's interface with the voter registration systems of Maricopa and Pima Counties. We will work with Integration Assessment and Design subject matter experts within the AZSOS or any other State organization, or with the appropriate outside vendors, to assess the complexity of the data and protocols related to any interfaces that will be required for solution. For real time integrations, we will develop web services or web API as required by the specific integration. Team Sutherland has tools (web services) and templates related to field mapping, and protocols we will use to produce the interface design documents necessary to transfer the required information in and out of the system. An integration layer such as Mulesoft is recommended but not mandatory, and Microsoft .Net WCF or MVC API 2 will be used for developing the web services and API. We will use SQL Server 2012 integration services (SSIS) for all batch mode integrations.

We will hold a series of meetings to determine the appropriate protocols, necessary data, and appropriate timing of any required data flows. One of the deliverables from these meetings, will be the Interface Assessment and Design Document (which will also be part of the overall project plan). As mentioned above, we will craft a specific set of plans that includes a detailed analysis of the protocols, fields, and frequencies of all interfaces to/from the new AVID system and any legacy State of Arizona system, as required by the RFP.

The other integration point is to support the Offline Counties use of the Public Portal. There are two possible approaches for this integration. Our interpretation of the information contained in the RFP suggests that AVID maintains a data store of all information from the Offline Counties that is delivered through the Public Portal to satisfy a citizen's request. This is a viable approach that BPro can support however an alternate approach may provide improved efficiency. Our understanding of the HAVA requirements related to hybrid VR systems is that States must maintain a cumulative data store of voter registrations for the entire state but not required to maintain the election information that is delivered through the Public Portal. The alternate Public Portal integration approach for the Offline Counties would be to provide a real-time web service for the Public Portal that pulls data from the Offline Counties to satisfy a citizen's request. The advantages of this approach are two-fold. First, it reduces unnecessary data traffic to transfer and maintain Offline County election information in AVID and eliminates the associated overhead for data addition and removal. Secondly, if the data is maintained in AVID, it will create a risk of delivering down revision data to the citizen if the connection between AVID and the Offline Counties is off line or if the Offline County database is down. If using the first integration approach with the election data stored in AVID, we would recommend a communication 'health' check be performed between AVID and the Offline Counties before data is served to a citizen through the Public Portal. Both integration approaches are supported by our response and the final architecture can be defined as part of contract negotiations.

Question 3: Configuration

Describe what is configurable in the Offeror's proposed AVID solution and how that configurability is achieved (e.g. table based configuration, scripting, code generation, rules engine, other).

Offeror Response:

Configuration Approach

For the best fit for Arizona, Team Sutherland proposes an initial Analysis and Requirements Phase to collect business process and performance requirement information to customize the solution for Arizona. TotalVote™ is built with configurable parameters to accommodate any changes in AZSOS' business or administrative needs. In most cases the application can be adapted by your staff with minimal configuration changes- without reprogramming. For situations requiring program change, Team Sutherland can readily provide the necessary changes or assist your staff to accomplish needed changes.

Configurable parameters allow your management to alter list selections and code selections and change operation options without reprogramming. Most selection lists are driven by tables that are defined by your System Manager. Operating parameters are also configurable to adapt both to Arizona's current business needs, as well as changing needs. With many combinations of options available, exceptions to the standard rules can be managed and built in. In addition, where necessary in the system, overrides with appropriate security level are available, and these overrides are audited to oversight reports.

Team Sutherland will work directly with AZSOS to build interfaces. We will use standard web services to communicate with other systems, which provides a secure and flexible means of exchanging information.

The following pages detail our tailored TotalVote™ solution for the new Arizona Voter Registration Management System (VRMS) and implementation. The type of system requested in this RFP is complex and requires a unique understanding of not only how elections are run, but how Arizona runs them. As a custom software developer, we will make sure every functional requirement / feature is implemented properly.

Question 4: Application Extensibility

Describe the features of the Offeror's proposed AVID solution that would enable extensions of the application without redesign. Describe how the Offeror's software solution can be extended at the Presentation Layer, Business Logic Layer and Data Access Layer.

Offeror Response:

The extensibility of a software application relates directly to the fundamental design architecture where layers of the application have clearly defined bounties and interfaces that allows for a "high cohesion and low coupling" of the layers. Defined boundaries of layers supports the ability for application changes to be made without re-design since the relationships to existing application functions in other layers are plainly evident through the interfaces that allow the functions to communicate. Extensible design also requires the use of functions with relatively low lines of code counts where the objective is for a code block to perform a single function if possible. This technique also promotes the code 're-usability' principal, which supports the overall extensibility of the application. Another measure of extensibility is the use of industry standard frameworks and TotalVote™ is built on a well-established set of these that will remain in practice and supported for many years into the future. The TotalVote™ frameworks include the .Net Framework, ASP NET Framework, Entity Framework, REST API (the latter is a standard).

BPro has incorporated these software coding practices into TotalVote™ from its inception out of necessity to support the company's commitment of tailored application functionality for their customers. Evidence of this can be found in the field at the different TotalVote™ installations, where variations of the Presentation, Business and Data Layers are running that meet individual customer requirements. These variations are based on the core functionality of TotalVote™ that allow maintained of the code over time and managed through strict configuration control systems.

These same principles that allow Team Sutherland to provide variations of the layer code that allow us to provide customized solutions for customers are the same principles that allow for application extensibility over time within a customer's installation.

Question 5: Externalized Security and Data Visibility

Describe Offeror's proposed approach to Access Management. Outline how the following requirements will be met.

- Authentication is performed through the security mechanism.
- The user's county affiliation(s) and roles are acquired from the security mechanism at the time of login
- Administrators must be able to cancel user's sessions
- Web service access to the solution's inbound web service must be secure
- Single sign-on will be enabled across all components of the solution (main application, reporting, etc.)
- Suppress address information of voters, managed by the registrar, on the user interface and reports for users not authorized to view this data
- Suppress confidential information of voters (such as driver's license and SSN), managed by the registrar, on the user interface for users not authorized to view this data and implement necessary protocols to ensure compliance with the Arizona Election Code regarding the recording and disclosure of all confidential information.

Offeror Response:

TotalVote™ security utilizes two-factor authentication for a single sign-on across all TotalVote™ modules with a strong username/password plus a USB e-token assigned to each user. System access is logged and users will be automatically logged out if no activity is detected for a configurable period of time. Once a user's session is timed out, he/she must repeat the login process to gain access to the system.

When a password is entered by a user, the entered alphanumeric values are replaced with an asterisk "*". Passwords are stored encrypted within the system, not as clear text or a value from which the password may be derived. Passwords policies are configurable and are currently configured to be a minimum of 10 characters long and have at least one digit, at least one capital letter, at least one lower case letter, and at least one special character.

Once authentication has been performed, security credentials will be passed to our TotalVote™ application to provide authorization. Fine grained security (authorization) will be managed inside the TotalVote™ application security to determine what specifically a user can do within the application. Authorization will be implemented through either of these two methods:

- Role-based
- User-based

The roles and permissions are fully configurable by authorized users in TotalVote™. Each role and permission change is logged and roles can be impersonated. This allows administrators the ability to "see" the application through as a different role.

The current roles and permissions in TotalVote™ are below:

User Roles/Permissions ROLE →	State Admin	State Power	State User	County Admin	County Power	County User	County Temp1	County Temp2	Public User	Street File Maint
System configuration	X									
Table maintenance	X									
Add or modify users	X			X						
Roles modifications (add or modify) (*)	X									
Permissions assignment (state)	X									
Permissions assignment (county)				X						
Voter Registration										
Register New Voter or Update				X	X	X				
Search for a Voter Record	X	X	X	X	X	X			X	
Scan documents and index to record				X	X	X				
Unmask SSN	X	X		X	X					
View/Print export reports with month/day of birth	X	X		X	X					
View/Print export reports with SSN	X	X		X	X					
Restrict access to images in VR	X	X		X	X					
Print from queue	X	X	X	X	X	X				
Transfer Voter				X	X	X				
Felon Management (run data exchange process)	X	X								
Felon Management				X	X	X				
Deceased Management (run data exchange process)	X	X								
Deceased Management				X	X	X				
Duplicate Record Mgmt				X	X	X				
Record Activity	X	X	X	X	X	X				
Mass change for precinct				X	X					
Modify system generated letters				X	X					
Merge registrations maintaining voter history				X	X					
Public Records Requests	X	X	X	X	X	X				
Purge Process				X	X					
Generate and send "inactive" list to vendor for matching	X	X								
Mark voters as "removable"				X	X					
Confidential Voter	X	X		X	X					
Election Management										
Election Set Up	X	X	X	X	X	X				
Absentee Vote Tracking				X	X	X				
Ballot Management		X		X	X					
Question add or modify	X	X		X	X					
Build/Rebuild Street File				X	X	X				X
Update Existing Street File				X	X	X				X
Rename Street				X	X	X				X
Update a Street Segment				X	X	X				X
Precinct Management				X	X	X				X
Precinct Parts Mgmt				X	X	X				
District Maintenance	X			X	X	X				
Polling Place Mgmt				X	X	X				
Voting Credit and History Updates				X	X	X				
Process the import file for voting credit				X	X	X				
Signature/ Petition Verification	X	X	X	X	X	X				
Roster Preparation				X	X	X				
Election Worker Mgmt				X	X	X				
Data Exchange										
Process records from MVD				X	X	X				
Review of record transfers and audit reports				X	X					
Process transfer records from "ToDo" list				X	X					
Process felon records from "ToDo" list				X	X					
Process deceased records from "ToDo" list				X	X					
Requests export file for tabulator vendor	X	X		X	X					
Access FTP site to upload files	X	X		X	X					
Export records for BOD vendor				X	X					
Import absentee ballot activity				X	X					
Accept payment for records request	X	X	X							

User Roles/Permissions ROLE →	State Admin	State Power	State User	County Admin	County Power	County User	County Temp1	County Temp2	Public User	Street File Maint
Processing of records for ERIC cross-check	X	X								
Generate information for federal elections reporting requirements	X	X	X	X	X					
NVRA										
Place a voter on NVRA status				X		X				
Remove a voter from NVRA status				X		X				
Place a voter on Inactive Status/Confirmation Mailing Reason	X									
Remove a voter from Inactive/Confirmation Mailing				X		X				

Question 6: Reporting Capability

Describe how the proposed AVID solution will meet the reporting requirements.

- The reporting tool is capable of implementing the current reports identified for inclusion within the solution
- The reporting tool contains an ad-hoc query capability to support the AZSOS Election Division and the resident 13 counties with query capability of all data, through an intuitive interface, in support of legislative queries and troubleshooting
- The reporting tool has access to all county-level data and statewide data, governed by security rules
- Report execution will not diminish the overall performance of the system
- Certain reports are printed on special stock; all print output must be able to be batched for different types of stock
- Reports must be able to be run online, or in scheduled (batched) fashion

Offeror Response:

Team Sutherland will provide development for up to 25 custom reports to the AZSOS. These reports will be detailed during the Analysis and Requirements phase of the project. TotalVote™ has many preformatted reports built into the main product because reporting, especially statistical reporting and voter listings are essential to the many facets of management of elections. Reports can be exported to Word (rtf), Excel (csv) or printed to Adobe (pdf) format. Reports provided with TotalVote™ include (but are not limited to):

- Voter lists for any combination of status (active, inactive, cancelled) and Election Districts, Precincts, or T/W/P.
- Listings and Statistical Reports of Absentee Reports of applications received, and ballots issued and returned by T/W/P
- Statistical Reports of Voters Registered, and Voted, with breakdown of how voted, for any election. This can also be broken down by Precinct or Election Districts, including T/W/P.
- Statistical reports and Voter Listings of Voters with specific Activity within a selected date range.
- Summary statistics and detail statistics on work throughput for users and work queues for any date range.
- Summary and detail statistics on Elections measures for a single election by selections of:
  - Elections District
  - Polling Place

- Precinct
- Ballot style
- How voted
- User

The TotalVote™ Report Manager tool works with the Data Manager. Data Manager is used to select the data to include in the report, and Report Manager is used to format the report. Report Manager allows the user to choose a template format and sort order. Report templates can be saved for further use. Statistical and detail templates can be created.

The BPro Data Manager tool allows users to configure and select the content of reports and data exports, and we recommend most exports be sent to csv, or Excel. When the data is exported to Excel, the first sheet of the Excel file created will contain a data dictionary. Parent and child tables can be exported to separate sheets of the Excel file.

In some cases, export files are too large for Excel, and in this case, can be exported to csv. In addition, within the application, many of the Search Results grids are exportable to Excel. In this manner, the user can employ a familiar tool to manipulate data, and create reports.

TotalVote™ provides real time view of most reports before they are printed, and most reports can be immediately printed. However large batch reports are printed as batch work, and progress is monitored by viewing the system work list.

Special Print applications, such as ID cards are set up for print throughout the day as processing occurs to trigger an ID card. However, the actual printing of the card is done in a batch process.

Other batch print jobs include:

- Print Absentee Applications for non-permanent and new Application requests
- Permanent Absentees:
  - Create records for current election
  - Sending Correspondence in advance
  - Ballot envelopes and labels for sending Absentee Ballots
- Printing ballot envelopes to send Absentee Ballots for accepted Absentee Applications
- Verification mailings
- Polling Place notifications
- Productivity statistics

Question 7: Imaging

Describe how the proposed AVID solution will meet the requirements for scanning supporting documentation into voting files as images.

Core imaging requirements are:

- Importing the signature captured at the MVD on the application
- Capturing signature images for submission with voter applications to AVID that are not provided through MVD
- Attaching supporting document images for inclusion with the voter file
- Retrieving document images from within the context of the voter file

Offeror Response:

Scanning Utility

The scanning utility within TotalVote™ performs the following functions:

- Create digital images of paper-based correspondence, or other paper-based records;
- Extract information from the images, and;
- Associate the information with the correct records stored in the system.

Paper documents or forms are scanned by a Commercial-Off-The-Shelf (COTS) digital scanner that creates a computer-based digital image of the document for storage in TotalVote™. Depending on the form and content, information from the image is extracted using Optical Character Recognition (OCR), Intelligent Character Recognition (ICR), Optical Mark Recognition (OMR), and Barcode decoding. Using information extracted from the image or through manually entered information by an operator, the images are "indexed," meaning the digital images are assigned numerical reference to associate it with a particular voter. Indexing allows the digital image to be stored and accessed from the voter record, eliminating the need to store or manually retrieve the paper record for reference.

The TotalVote™ scanning utility is integrated into the voter registration application, but accesses local hardware connected to the workstation PC. Users must log into TotalVote™ and select the Imaging menu item to configure the local scanner that is maintained for future use as part of the user's account on that specific workstation. TotalVote™ is a web-based product, so the scanning utility is also part of the web-based system and the performance of the utility supports single operator scanning batches. If AZSOS encounters situations that involve larger scale scanning operations, additional licensing of the scanning engine may be required to deploy the scanning utility on a local PC to support higher rate of throughout.

Imaging Process

The TotalVote™ scanning utility creates digital images of paper-based correspondence or other paper-based records using the following functional modules provided by an industry leading Software Development Kit (SDK):

- Image capture and image optimization
- Barcode recognition and decoding
- Optical Character Recognition (OCR)
- Intelligent Character Recognition (ICR)

The minimum functionality performed for a paper record is image capture and image optimization: a digital image is created by a Commercial-Off-The-Shelf (COTS) digital scanner and passes an electronic rendering of the document in an industry-standard file format to the scanning utility. The scanning utility optimizes the image by applying de-speckle / de-skew processes to clean up the image. OCR and ICR are engines that convert character images to computer data for storage and manipulation. In some cases, the reference data is used to "index" the image with meaningful information for storage and retrieval. In other instances, any documents received from a voter that is a response to a mailing by Arizona or one of the Counties (e.g. absentee ballot) will include the Voter Unique ID (VUID) in barcode format that provides the document index.

Paper documents that are submitted for imaging for retention as electronic records fall into two categories: structured and unstructured documents. With a structured document, certain information always appears in the same location on the page. For example, a voter application form, the applicant's name or other identifying information always appears in the same box in the same place on the document. In contrast, an unstructured document has the opposite characteristics – information can appear in unexpected places on the document. Structured documents enable greater levels of automated processing, where unstructured documents require more user interaction. It is expected that the majority of documents to be scanned will be the structured type, which equates to the various forms used by Arizona Counties to collect information from its citizens. Unstructured documents are supported by TotalVote™ however.

The minimum scanning functionality is used for unstructured document and requires manual indexing. There are two possible methods to add a manual index to the imaged document. The first method is to scan the document and the user manually enters an index using the keyboard. The other approach is to add a barcode label to the document before it is scanned that provides the index. Barcoded documents, where the barcode contains meaningful information related to the document, provide machine-readable indexes with a high rate of accuracy. The barcoding approach typically is used if working with documents that involve registered voters that are looked up before scanning and the index is her or his unique identifier.

Structured documents allow the use of OCR and ICR technologies for various levels of automated data input that is dictated by the form design, content and configuration of the system. OCR recognizes machine-printed characters on a form and ICR is used for hand-printed characters. OCR provides a very reliable conversion of type written characters where ICR is generally less accurate due to variability in handwriting. ICR accuracy is heavily dependent on the form design and it is likely that some level of form redesign will be required for higher volume forms to take advantage of the ICR benefits. The spacing between data fields and constrained text boxes are two of the form design features that maximize ICR accuracy.

A form must be initialized in the scanning utility, where the data fields in the form are identified through predefinition. Predefinition is accomplished by the use of “templates” in the scanning utility, where a blank document is scanned and a user must identify “zones” that will contain information of interest. The user assigns a definition to the zone (i.e. address) and the OCR/ICR engine processes the information in the zone to automatically populate the corresponding data field. The use of templates and scanning zones is generally a part of “Forms Processing” technology that is well practiced in the imaging industry.

The scanning utility also allows for the definition of a fragment of an imaged document for both a predefined template and in a free form manner. The primary purpose of this capability is to extract signatures and is typically referred to as ‘clipping’ the signature. When using a predefined template, the template defines the location on the document and the amount of area to be included in the clipped extraction. If the balance of the image is to be discarded, it is retained until all indexing, validation or verification processes are completed. For an unstructured document, the document image is presented to the operator and by clicking on a location of the image and dragging the mouse pointer, a box definition of a fragment area created. The user is prompted to identify the fragment and identify a storage location.

OCR/ICR conversion allows data to be extracted from the image to auto-populate data fields for a voter registration record. Given the analog nature of paper documents, the conversion is not always 100% and a confidence setting is used to determine whether a particular converted piece of information should be reviewed by an operator. If the confidence for a conversion is below the threshold, the image is displayed on a computer screen for an operator, with the questionable text highlighted and the data fields of the document displayed to one side of the image. By displaying the document image with highlighted text next to the data fields, the operator can quickly review the converted values and the original text to make any necessary corrections or confirm the conversion. This approach, known as “key-from-image” provides rapid verification with low error rates. This process can be performed in a batch operation from a remote scanning event if necessary to further improve efficiency.

With data being extracted from the scanned image, an index for the document may be automatically created and the image stored with the correct voter registration record. If an index is not available from the OCR/ICR process, an operator must manually enter an index. The Gap Analysis effort for this project will determine documents to be scanned, any index values that are part of the information or establish a process for the addition of an index by an operator.

The figure on the right provides an overview of the process flow for the imaging process and scanning utility. If the document contains a VUID Barcode, the document is indexed to an existing voter registration record. As the document moves through the process flow, performance of data extraction techniques (OCR/ICR) increases the amount of known information about the document and increases the level of automated

processing. All converted data below the confidence threshold is verified through a Key-From-Image function. This step can be modified over time once conversion confidence levels are established for certain standard forms. The creation of complete records moves the information directly into database storage without operator review, which supports the highest level of automation. This outcome can be supported by posting notices to a queue such that operators are notified of the existence of a new record if preferred by Arizona.

TotalVote™ Imaging Functions

Team Sutherland's recommended imaging solution starts at opening the mail and sorting the documents into structured and unstructured categories. The structured category contains all the known forms that are used as part of managing the voter registration rolls. The structured documents are known to the scanning utility. Using OCR/ICR and forms processing, the form will be determined and fields will be read into the system creating a beginning data set of information such as the voter name, date of birth, SSN, Driver's license number, and other available fields. This includes automatically recording the NVRA Source information based on form data or characteristics. The beginning record is linked to the image of the document received so data entry can be completed side-by-side with the image as required. The unstructured documents must be manually processed by an operator who routes them to the appropriate work queue to be further processed by specific operators.

The data and the image together are routed to a work queue where a VR Staff member verifies the conversion and corrects any low confidence conversions. When the user selects a work item from the work queue list, the image of the document and associated converted data is presented to the user in one screen.

Viewing Attached Images

Registration documents are automatically attached to the voter record. Throughout the TotalVote™ system, an image icon displays with the voter records to indicate that an image is available for viewing. Viewing images attached to records is as simple as clicking on the icon. The image will be launched in a separate window. The user can launch as many image windows as desired.

Images can be printed, faxed or emailed. By default, these images have any redaction applied to "white out" sensitive information when sent. Internal prints are stored without redaction so all information is shown.

Signature Storage

For registration forms, petitions and other signed documents, an image fragment is used for the signature to be excerpted and stored as a separate image that is prominently displayed. For structured forms, the signature area can be automatically framed for separate image storage. The signature is stored as a blob or other file format as selected by Arizona.

Outgoing Communication

TotalVote™ retains an image copy of the all outgoing communication as well. For example, an Incomplete registration notice sent to the voter is also stored to PDF, whether the notice was emailed or printed and mailed. The image is linked to the Correspondence activity and readily retrievable.

Maps and Electronic Records

Voter registration materials of all types are stored as images and linked to records throughout the system, including maps, candidate filings, and sample ballots. The objective is to eliminate all paper filing cabinets so that all information going forward is electronically searchable.

As described above with records received electronically, these records can be stored as attached electronic documents or formatted images linked to the registration activity.

Redaction

With the amount of sensitive information that is contained in many voter materials, Redaction is an important tool. Redaction can block out Social Security Numbers, Driver's License Numbers, Birthdates, Signatures and other sensitive information. Once a document has been redacted, documents can be safely printed, faxed or emailed without revealing this sensitive information.

Question 8: Security

Describe the Offeror's proposed approach to support technical controls and technology solutions that must be secured to ensure the overall security of AVID, including:

- Provide security-related input into IT infrastructure, system and application design.
- Leverage published industry standards and models to apply security best practices.
- Support, enable and extend the security policy by providing specific security-related guidance to decision-makers
- Contain the capability to provide user and site authentication
- Support Virtual Private Network (VPN) access
- Include the ability to recover from a failure of any single element
- Be easily serviceable
- Support the establishment and active management of data sensitivity levels
- Include application and system hardening processes

Offeror Response:

The Total Vote Voter Registration module is not only a statewide voter registration list, but a full voter administration package. The system includes several confidential fields, including driver license numbers, dates of birth, partial social security numbers and other information. Providing functionality and security for the system is a high priority.

The data stored in the TotalVote™ Voter Registration module is private and Team Sutherland takes multiple precautionary security measures to ensure data safety. Proof of authenticity is required when accessing the system through username, password and a unique one-time code provided by a USB eToken assigned to each user. Without even one of these pieces of information, access to the Voter Registration module will be denied. While the verification process may seem tedious, definitive security of all voter information is paramount. Audit trails are provided on all data changes and include user id and a date/time stamp.

The data stored in TotalVote™ is private and Team Sutherland takes multiple precautionary security measures to ensure data safety. Proof of authenticity is required when accessing the system through username, password and a unique one-time code provided by a YubiKey (USB eToken, https://www.yubico.com) assigned to each user. Without even one of these pieces of information, access to TotalVote™ will be denied. While the verification process may seem tedious, definitive security of all voter information is paramount. Audit trails are provided on all data changes and include user id and a date/time stamp.

Security of TotalVote™ on the Microsoft Cloud is paramount. Microsoft's solution is extremely secure with its infrastructure and networking being managed in data centers with world-class security practices, tools, technology. However, the cloud intrinsically exposes more surface area for your application that can be potentially exploited by attackers. This is because many cloud technologies and services are exposed as end points vs. in-memory components. Windows Azure storage, Service Bus, SQL Database (formerly SQL Azure), and many other services are accessible via their endpoints over the wire.

You can also define an event of interest, be notified in real-time when the event occurs, and perform actions based on the events. Windows Azure allows you to configure your application to automatically scale up or down to match the current demands while minimizing costs with auto scale rules. Health and availability monitoring, auto scaling, and alerting are available at no additional cost while in preview.

Question 9: Identity and Access Management (IAM)

Describe the Offeror's proposed approach to support IAM, including:

- Enable the State and Counties to identify users in different contexts so that user preferences can be applied consistently
- Deliver an integrated login experience for users
- Enable coherent audit trails and chain of custody records needed for security forensics and compliance requirements

Offeror Response:

Team Sutherland's TotalVote™ includes a native Identity Access Management (IAM) module which is integrated between all system components. This module specifically supports authentication and authorization based on the user's county affiliation(s) and roles as acquired from the IAM module at the time of login. System administrators have the capability to monitor logins, invalid login attempts and account locks. They can force log-out users as necessary. The IAM module is the enabling authentication source supporting single sign-on.

Data suppression and redaction is managed based on the IAM defined user roles and managed by the registrar within the IAM user interface. This includes suppression and redaction of confidential information in compliance with the Arizona law, federal and State standards regarding the recording and disclosure of all confidential information and the safeguarding of data.

Question 10: Data Encryption

Describe the Offeror's proposed approach to support Data Encryption, including:

- Encryption of data-at-rest, within in database structures, backup files and data exchange files. AZSOS prefers that this encryption is based on a product-based implementation (software or infrastructure) rather than application-level encryption.
- Encryption of data-in-motion between endpoints.
- Encryption of network communication between user and the servers, preferably at the session layer (or lower) to secure communication streams that traverse un-trusted networks.
- Key management for secure creation, storage, and retrieval of encryption keys.

Offeror Response:

Team Sutherland understands that security is a critical concern for the development, implementation and management of the AVID system and security is at the core of the solutions we offer our customers. Our strategy for addressing this concern is two-fold:

- Secure coding practices ensure that the code is structurally sound and free of any major structural issues that could cause the data, applications, or systems to be exposed to a high-level of risk
- Implement an active, dynamic security architecture consisting of technology and process that creates an active, operational paradigm for managing security and mitigating risks.

Secure coding will focus on developing code that minimizes and securely authorizes access to code objects, applications, and data to ensure that access is coming from a trusted source, whether that source is other internal code, other components, or system administrators/users. Data encryption will be employed to ensure that voter registration data is secure while being stored in the database, manipulated as a part of a function, or

in transit from one function to another to ensure that only authorized functions, procedures, or users can gain access to that data. Input checks and validations will be performed at all ingress points into the application whether through direct input received from the web front-end interface or through transfers from function to function or component to component to ensure that no malicious code can infiltrate the system in any way through application ingress points. These coding practices, coupled with the following five-part approach to implementing and managing the information security architecture for the system, will provide the most effective and efficient level of protection and the highest level of risk mitigation.

This five-part approach is comprised of the following:

1. Vulnerability Management and Remediation
2. Event Monitoring
3. Privilege Management & Auditing
4. Computer Incident Handling
5. Security Architecture Design & Implementation

Data Encryption at Rest

Azure Storage provides a comprehensive set of security capabilities which together enable developers to build secure applications. Data can be secured in transit between an application and Azure by using Client-Side Encryption, HTTPs, or SMB 3.0. Storage Service Encryption provides encryption at rest, handling encryption, decryption, and key management in a totally transparent fashion. All data is encrypted using 256-bit AES encryption, one of the strongest block ciphers available.

SSE works by encrypting the data when it is written to Azure Storage, and can be used for Azure Blob Storage and File Storage. It works for the following:

- Standard Storage: General purpose storage accounts for Blobs and File storage and Blob storage accounts
- Premium storage
- All redundancy levels (LRS, ZRS, GRS, RA-GRS)
- Azure Resource Manager storage accounts (but not classic)
- All regions.

Data Encryption in Motion and Network Communications

Microsoft is using encryption to protect customer data when it's in-transit between customers and the application and database servers. More specifically, Microsoft Azure utilizes Transport Layer Security (TLS) for all connections. There are numerous benefits to using TLS including strong authentication, message privacy, and integrity (enables detection of message tampering, interception, and forgery), interoperability, algorithm flexibility, ease of deployment and use.

Perfect Forward Secrecy (PFS) is also employed so that each connection between customers' client systems and Microsoft's cloud services use unique keys. Connections to Microsoft cloud services also take advantage of RSA based 2,048-bit encryption key lengths.

The combination of TLS, RSA 2,048-bit key lengths, and PFS makes it much more difficult for someone to intercept and access data that is in-transit between Microsoft's cloud services and our customers, than previously employed encryption technologies. Since no encryption suite is truly unbreakable, the goal of these protections is to make it extremely time consuming and expensive for would-be eavesdroppers to intercept and decrypt data that is transmitted between client devices and Microsoft datacenters. I have included some references at the bottom of this article if you are interested in learning more about PFS and TLS, and how Windows clients negotiate encryption protocols when connecting to servers. Besides using a newer version of

Windows, there isn't any action customers need to do to secure data in-transit between them and Microsoft's cloud services.

Encryption Key Management

Secure key management is essential to protect data in the cloud. Team Sutherland uses Azure Key Vault to encrypt keys and small secrets like passwords that use keys stored in hardware security modules (HSMs). Our Security team utilizes Azure Key Vault to import and generate keys in HSMs, while Microsoft stores the encryption keys in FIPS 140-2 Level 2 validated HSMs (hardware and firmware).

Question 11: Data Backup

Describe the Offeror's proposed approach to support data backup, including:

- Database and application backup procedures must be updated to include backups for AVID
- Full online data backups must occur, as well as offline backups using tape storage

Offeror Response:

Microsoft Azure provides data replication for all storage tiers to ensure durability and high availability. Team Sutherland configures the TotalVote™ System to replicate copies the data within the same data center as well as to a second data center. The local data replication protects State data and preserves application up-time in the event of transient hardware failures. Remote replication to a second data center protects State data from a catastrophic failure in the primary location. Team Sutherland is experienced with providing fault tolerant hosting for both Government and Commercial clients and will configure the AVID TotalVote™ system to utilize the following Data Replication options at a minimum:

Locally Redundant Storage

Locally redundant storage (LRS) replicates data three times within a storage scale unit, which is hosted in a datacenter in the Production region, North Central US. A write request returns successfully only once it has been written to all three replicas. These three replicas each reside in separate fault domains and upgrade domains within one storage scale unit.

A storage scale unit is a collection of racks of storage nodes. A fault domain (FD) is a group of nodes that represent a physical unit of failure and can be considered as nodes belonging to the same physical rack. An upgrade domain (UD) is a group of nodes that are upgraded together during the process of a service upgrade (rollout). The three replicas are spread across UDs and FDs within one storage scale unit to ensure that data is available even if hardware failure impacts a single rack or when nodes are upgraded during a rollout.

Team Sutherland uses locally redundant storage when for high performance access is required to transient data or data which is not State-specific and can easily be recovered from the Configuration Management system.

Geo-redundant Storage

Geo-redundant storage (GRS) replicates AVID Business Data to a secondary region that is hundreds of miles away from the primary region. With GRS replication, data is durable even in the case of a complete regional outage or a disaster in which the primary region is not recoverable.

Data updates are first committed to the primary Production region, North Central US, where it is replicated three times. Then the update is replicated asynchronously to the secondary region, South Central US, where it is also replicated three times.

With GRS, both the primary and secondary regions manage replicas across separate fault domains and upgrade domains within a storage scale unit as described with LRS.

The asynchronous replication involves a delay; in the event of a regional disaster it is possible that changes that have not yet been replicated to the secondary region will be lost if the data cannot be recovered from the primary region. This delay creates our Recovery Point Objective (RPO). Team Sutherland is proposing an RPO of 1 hour.

Replicated Data Usability

The replicated data is typically not available unless Microsoft initiates failover to the secondary region. If Microsoft does initiate a failover to the secondary region, the failover copies of AVID TotalVote™ will read and write that data after the failover has completed. Team Sutherland will work with the State to determine accessibility requirements for this replicated data and has the option of providing read access to the secondary region by enabling the optional Read-access Globally-redundant Storage (RA-GRS) at an additional cost within Azure.

Data usability and maintainability outside the System

Data within TotalVote™ is accessible by the State upon request. The data schemas will be provided to the State, and programmatic or periodic export of the data to State systems is available if required.

SQL Server Backups

SQL Database automatically creates database backups and uses Azure read-access geo-redundant storage (RA-GRS) to provide geo-redundancy. These backups are created automatically.

SQL Database uses SQL Server technology to create full, differential, and transaction log backups. The transaction log backups generally happen every 5 - 10 minutes, with the frequency based on the performance level and amount of database activity. Transaction log backups, with full and differential backups, allow you to restore a database to a specific point-in-time to the same server that hosts the database. When you restore a database, the service figures out which full, differential, and transaction log backups need to be restored.

We can extend the built-in retention period by configuring the Long-Term Backup Retention (LTR) policy for individual databases. This allows us to extend the built-it retention period from 35 days to up to 10 years.

Once you add the LTR policy to a database using Azure portal or API, the weekly full database backups will be automatically copied to your own Azure Backup Service Vault. If your database is encrypted with Transparent Data Encryption (TDE), the backups are automatically encrypted at rest. The Services Vault will automatically delete your expired backups based on their timestamp and the LTR policy.

Question 12: Disaster Recovery

Describe the Offeror's general approach to reestablishing operations in the event of a catastrophe, as well as its approach to providing AZSOS with a disaster recovery plan. Provide specifications on any hardware and software components utilized by the proposed security and disaster recovery solutions. Include the required components, configurations and procedures to enable a recovery.

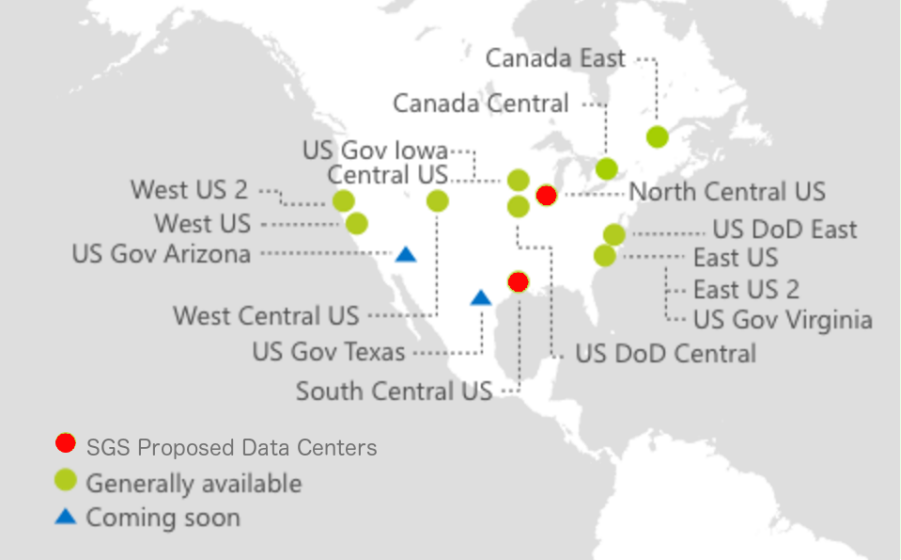
Offeror Response:

Sutherland Global Services (Sutherland) is ISO 27001 certified company heavily invested in Business Continuity Initiatives designed to mitigate the risk of long-term operational failures. Team Sutherland has a fully documented Disaster Recovery (DR) / Business Continuity (BC) plan in place. Our DR/BC plan adheres to the Professional Practices published by the Disaster Recovery Institute International under the internationally recognized NFPA1600 standard.

This plan serves as the foundation for our program-specific recovery plans which detail the site-level and enterprise-level recovery procedures to be followed by program personnel. The plan also includes escalation

processes and contact information. Shortly after implementation of services Team Sutherland will create a customized DR/BC plan for AVID that will include contacts and processes in the event of emergency.

Team Sutherland will deploy TotalVote™ for AVID within the Microsoft Azure cloud. Within Azure, we will deploy a passive database instance in the South-Central U.S. region to accept business data replication in near-real-time for Disaster Recovery (DR) purposes. Our architecture is designed to support > 99.99% availability with a Recovery Point Objective (RPO) of less than one hour, and a Recovery Time Objective (RTO) less than four hours depending on the severity of the outage. The following image shows the proposed Team Sutherland Azure Data Centers and their geo-diversity.



Due to the size and proprietary / client data contained with the DR/BC tests and result documents, Team Sutherland will provide AZ representative test results upon request at time of contract negotiations and/or award.

Session-based Resiliency

End users expect web-based systems to be available, services to always function, and are largely intolerant of data or session lost resulting in having to repeat steps within a workflow. To reduce the probability of disruption occurring due to a failure with a VM instance, we deploy multiple web servers and balance session load between the instances. Since Azure automatically restarts instances that fail on new hardware, a redundant pair of web servers will maintain the end-users state on both servers. This ensures that, should a failure occur, sessions will failover to the alternate server, providing session resiliency while Azure restarts the instance, and returns service to normal operating parameters. As application and database servers are transactional based and do not maintain the end-user's state, a VM instance failure resulting in a restart will only cause a momentary service lapse. This brief reboot may require a data retry, and will often go unnoticed by the end-user.

Region-based Resiliency

Microsoft Azure Cloud Services provides services and infrastructure to build reliable, fault-tolerant, and highly available systems in the cloud. While these qualities have been designed into the cloud services, system architecture features to achieve service level fault-tolerance must be used explicitly and correctly. Team Sutherland is experienced with providing fault tolerant hosting for both Government and Commercial clients.

In an Azure environment, server operating systems, applications, and configurations are stored within core VHD blocks assigned to each VM instance. While the VHD blocks are largely fault-tolerant, periodic snapshots

are made to enable rapid server replication and restoration should an outage occur within the environment. Transactional data is stored by the database on VHD as well. Geo-redundant storage (GRS) replicates the VHD data to a secondary region that is hundreds of miles away from the primary region. By enabling GRS, Team Sutherland ensures that transient and static data is durable even in the case of a complete regional outage or a disaster in which the primary region is not recoverable.

In this way, should there be a regional failure, we can restore TotalVote™ in its entirety in a separate region utilizing replicated web and application server snapshots simply by starting the web and application servers in a new region, and pointing them to the replicated database. We estimate this effort to take less than twelve hours, establishing our RTO. GRS replicates data at a frequency of one hour or less which establishes our RPO. We propose both the RTO and RPO being sensitive to the State's budget, and can adjust during contractual negotiations per direction from the State.

Exercising the Plans

There are four tests for checking and validating the various segments of the Disaster Recovery Plan. The tests include, but are not limited to:

- Notification Testing (Call Tree)
- Organization and Responsibility Testing
- Resource Testing
- Operations Testing

The first three tests listed above are known as "dry" tests, and may be performed as often as necessary to ensure the proper results. A dry test may require a simple "paper or exercise walk-through" where recovery personnel are asked to simulate their roles. Further, in a similar test setting, test facilitators may introduce barriers to the simulated disaster to judge how participants resolve situations.

The Operations Test, also known as a "wet" test, is exhaustive and somewhat expensive relative to the resources required in performing this test. It requires mobilizing personnel and activating alternative recovery sites, including the remote hot-site (if this is a strategy that has been employed) for each critical business process. This test provides full assurance that the entire plan is in working order.

Team Sutherland performs at least one test annually for each program and will vary the type, scale, and scope from year to year to ensure coverage of all support areas and new risks identified within the operating environment.

Guidelines for All Tests

All tests are scheduled and conducted at the discretion of the Disaster Recovery Planner with concurrence from the Disaster Recovery Command Team Director. The makeup of the "test teams" will vary and are dependent on the nature of each test. However, all Disaster Recovery Command and Support Team members must participate in at least one test per year. The tests are monitored and analyzed by Sutherland's Internal Auditors and selected non-participating members of the Disaster Recovery Team. At times, an independent consultant/auditor/facilitator may also be engaged.

Within 10 Business days after the conclusion of any test, the Test Teams meet with the test auditors, facilitators and Disaster Recovery Planner for a debriefing meeting. At this meeting, the test proceedings and test results are discussed and recorded test information is collected.

All test information is analyzed, summarized and recorded for inclusion in the "Business Continuity Planning Test Book." The Test Book is maintained by the Disaster Recovery Planner, and contains all documents including test objectives/schedules/audit reports/work papers associated with tests over a five-year span (previous four and current year).

Within 30 business days after the conclusion of any test, an auditor's report is prepared and submitted to the Disaster Recovery Command Team and the Executive Team (if appropriate). The report indicates the type of

test performed, its effectiveness, and any constructive changes – "lessons learned" required in the Disaster Recovery Plan and/or the Plan Testing Procedures. These reports are a joint effort/responsibility of the Disaster Recovery Planner and Internal Audit Team.

Azure Disaster Recovery

By providing customers with compliant, independently verified cloud services, Microsoft makes it easier for customers to achieve compliance for the infrastructure and applications they run in Azure. Microsoft provides Azure customers with detailed information about our security and compliance programs, including audit reports and compliance packages, to help customers assess our services against their own legal and regulatory requirements.

In addition, Microsoft has developed an extensible compliance framework that enables it to design and build services using a single set of controls to speed up and simplify compliance across a diverse set of regulations and rapidly adapt to changes in the regulatory landscape. More information on specific compliance programs is available here:

- ISO 27001/27002
- SOC 1/SSAE 16/ISAE 3402 and SOC 2
- Cloud Security Alliance CCM
- FedRAMP
- FISMA
- FBI CJIS (Azure Government)
- PCI DSS Level 1
- United Kingdom G-Cloud
- Australian Government IRAP
- Singapore MTCS Standard
- HIPAA
- EU Model Clauses
- Food and Drug Administration 21 CFR Part 11
- FERPA
- FIPS 140-2
- CCCPPF
- MLPS

Azure has been granted a Provisional Authority to Operate (P-ATO) from the Federal Risk and Authorization Management Program (FedRAMP) Joint Authorization Board (JAB) at a Moderate impact level based upon the FIPS 199 classification. Following a rigorous security review, the JAB approved a provisional authorization that an executive department or agency can leverage to issue a security authorization and an accompanying Authority to Operate (ATO). This will allow U.S. federal, state, and local governments to more rapidly realize the benefits of the cloud using Azure.

FedRAMP is a mandatory U.S. government program that provides a standardized approach to security assessment, authorization, and continuous monitoring for cloud services.

The FedRAMP audit included the Information Security Management System (ISMS) for Azure, encompassing infrastructure, development, operations, management, support, and in-scope services. Government agencies can request the Azure FedRAMP security package.

- For Cloud Services, we guarantee that when you deploy two or more role instances in different fault and upgrade domains, your Internet facing roles will have external connectivity at least 99.99% of the time.
- For SQL Databases, we guarantee at least 99.99% of the time customers will have connectivity between their Microsoft Azure SQL Database and our Internet gateway.
- For Azure Storage, we guarantee that at least 99.99% of the time, we will successfully process requests to read data from Read Access-Geo Redundant Storage (RA-GRS) Accounts, provided that failed attempts to read data from the primary region are retried on the secondary region.

Hardware/Software Specifications:

The following questions pertaining to Software and Hardware components must be answered.

Question 1: Proposed Packaged Software Technical Specification

Instructions: Please list all the specifications of the proposed Packaged Software in the table below.

Respondents are not to change any of the completed cells in the following table. Any changes to the completed cells in the following table could lead to the disqualification of a respondent.

Table 6. Proposed Packaged Software

Software Item #	Software Item	Environment (e.g., Development, Test, Training, Production)	Manufacturer	License Type (e.g., enterprise, per user, per server)	Brand Name	Module Name	Version Number	Utility/ Systems Mgmt Software, DBMS, Data Warehouse, Other	Detailed Description (e.g., functionality, purpose)	OS	Earliest Proposed Purchase Date
1	Item 1	Development, Test, QA, Prodction, DR	BPro	Enterprise	TotalVote™				AVID	Windows Server 2016	
2	Item 2	Development, Test, QA, Prodction, DR	Microsoft	Azure	SQL Server Enterprise 2016			DBMS		Windows Server 2016	
3	Item 3										

<The Offeror may insert additional rows as required>

Question 2: Proposed Hardware Technical Specification

Instructions: Please list all the specifications of the proposed Hardware in the table below.

Respondents are not to change any of the completed cells in the following table. Any changes to the completed cells in the following table could lead to the disqualification of a respondent.

Table 7. Proposed Hardware

Hard-ware Item #	Hardware Item	Environment (e.g., Development, Test, Training, Production)	Manufacturer	Detailed Description (e.g., number of processors, amount and type of storage and memory, type of network card)	Operating System	Earliest Proposed Purchase Date
1	VoterView Application Server	Production (Active Site 1)	Microsoft Azure	A2: 2 vCPU, 4 GB RAM, 490 GB HD	Windows Server 2016	2/1/19
2	VoterView Database Server	Production (Active Site 1)	Microsoft Azure	P2: 250 DTUs, 500 GB DB, 2 GB OLTP Storage, 400 concurrent worker requests, 400 concurrent logins, 30000 concurrent sessions	Windows Server 2016	2/1/19
3	AVID Voter Registration Application Server	Production (Active Site 1)	Microsoft Azure	A2: 2 vCPU, 4 GB RAM, 490 GB HD	Windows Server 2016	2/1/19
4	AVID Voter Registration Database Server	Production (Active Site 1)	Microsoft Azure	P2: 250 DTUs, 500 GB DB, 2 GB OLTP Storage, 400 concurrent worker requests, 400 concurrent logins, 30000 concurrent sessions	Windows Server 2016	2/1/19
5	VoterView Application Server	Disaster Recovery (Active Site 2)	Microsoft Azure	A2: 2 vCPU, 4 GB RAM, 490 GB HD	Windows Server 2016	2/1/19
6	VoterView Database Server	Disaster Recovery (Active Site 2)	Microsoft Azure	P2: 250 DTUs, 500 GB DB, 2 GB OLTP Storage, 400 concurrent worker requests, 400 concurrent logins, 30000 concurrent sessions	Windows Server 2016	2/1/19
7	AVID Voter Registration Application Server	Disaster Recovery (Active Site 2)	Microsoft Azure	A2: 2 vCPU, 4 GB RAM, 490 GB HD	Windows Server 2016	2/1/19
8	AVID Voter Registration Database Server	Disaster Recovery (Active Site 2)	Microsoft Azure	P2: 250 DTUs, 500 GB DB, 2 GB OLTP Storage, 400 concurrent worker requests, 400 concurrent logins, 30000 concurrent sessions	Windows Server 2016	2/1/19

Hard-ware Item #	Hardware Item	Environment (e.g., Development, Test, Training, Production)	Manufacturer	Detailed Description (e.g., number of processors, amount and type of storage and memory, type of network card)	Operating System	Earliest Proposed Purchase Date
9	Application Test Server	Test UAT	Microsoft Azure	A2: 2 vCPU, 4 GB RAM, 490 GB HD	Windows Server 2016	9/1/17
10	Database Test Server	Test / UAT	Microsoft Azure	S1: 20 DTUs, 250 GB DB, 90 concurrent worker requests, 90 concurrent logins, 900 concurrent sessions	Windows Server 2016	9/1/17
11	Development Server	Development	Microsoft Azure	A1: 1 vCPU, 2 GB RAM, 225 GB HD	Windows Server 2016	12/1/17

<The Offeror may insert additional rows as required>

End of Attachment 3-A

Attachment 3-B

Key Personnel Proposal

Answer all questions thoroughly in the spaces provided. **Complete this form in full for each one of the key personnel proposed to be involved in carrying out the Work**. Insert or attach a separate resume if desired, but any attached resumes are supplemental to this form and do not substitute for this form. If there are more than three (3) Key Personnel, please utilize the same form for each additional Personnel.

All Proposed Key Personnel Names and Resumes are confidential to Team Sutherland and are not to be released to the public.

1	**Name:**	**Tom Conaway**	How long with company?	5 years
	Current position in company:	Vice President of Operations	How long in positon?	2 years
	Position for the Services:	Project Executive	How much of time will be dedicated to the Services?	5%
	What primary functions will be assigned?	Responsible for overall project execution including P&L		
	Describe person's experience in performing services like those that are to be assigned:	Mr. Conaway has 30+ years as a Senior Executive in the federal government market. He also has proven capabilities in managing complex programs, developing effective teams, managing operations and P&L. Mr. Conaway has extensive experience developing and implementing software solutions for real-world business problems.		
	List person's job-related training and education:	BS, University of Alabama, Tuscaloosa, AL		
	Resume:	File Name: ***Att 3-B Supp (1 of 6) Tom_Conaway_Resume.pdf***		

2	**Name:**	**Eric Burch**	How long with company?	New Hire
Current position in company:		Principal	How long in positon?	2017-Present
Position for the Services:		Client Services Manager	How much of time will be dedicated to the Services?	100 %
What primary functions will be assigned?		As Client Services Manager, Eric will: • Provide regular updates to clients on the progress of customer service projects and campaigns that directly affect each client • Develop open and effective channels of communication with each client that can be employed by other departments as well • Coordinate internal projects and determine the best utilization of resources to increase customer satisfaction • Encourage revenue growth by inspiring clients to purchase accessories and additional services • Become the reliable point of contact for each customer that is required to establish a strong business relations		
Describe person's experience in performing services like those that are to be assigned:		Eric's most relevant experience is as follows; in various roles, he: • Implemented numerous business process improvement solutions at nation's largest organ donor registry. • Designed and led implementation of safety-based culture change program for General Services Department for the County of San Diego, the nation's 5th largest county. • Leveraged position as former staff to a Republican California Assembly member and crafted key message point helping to secure crucial Republican votes ultimately leading to approval of California Hospital Quality Assurance Fee legislation which increased funding for the state's hospitals by $875,000,000. • Conducted extensive quality assurance evaluation of a North Carolina fire training center delivering 900 courses to 16 fire departments in county per year. Solutions increased revenue by 50% and secured fiscal stability.		
List person's job-related training and education:		Principles of Project Management Certification Training Course • Indiana State University • Master of Public Administration - MPA Degree • San Diego State University, San Diego, CA • Bachelor of Arts in Political Science; minor Public Administration - B.A. Degree • San Diego State University, San Diego, CA		
Resume:		File Name: ***Att 3-B Supp (2 of 6) Eric_Burch_Resume.pdf***		

3	Name:	Brandon Campea	How long with company?	16 years
Current position in company:		President/Senior Software Engineer	How long in positon?	16 years
Position for the Services:		Project Director and Solutions Architect	How much of time will be dedicated to the Services?	100 %
What primary functions will be assigned?		Brandon will serve on the Project Control Board as the Project Director from BPro. Brandon is the principal owner of BPro and the manager of BPro's portfolio of Elections Products. As Project Director, Brandon will work directly with the Arizona Director of Elections to monitor the project to completion and oversee the implementation teams. As Solutions Architect, Brandon will lead all technical decisions regarding product design and infrastructure. The Project Director serves on the project team throughout the project in a 50% resource commitment. As Project Leader–he will facilitate custom software projects from the requirements phase through development and ongoing support; act as liaison between development team and client; model and direct efficient and effective strategies.		

3	Name:	Brandon Campea	How long with company?	16 years
	Describe person's experience in performing services like those that are to be assigned:	PROJECT MANAGER/SENIOR SOFTWARE ENGINEER- South Dakota Secretary of State: TotalVote™ & CERS (Central Election Reporting System) System. 8/2007 - present. Developing a complete online system for the Secretary of State and County Auditors for voter registration, candidate filing, ballot certification and creation, election night results reporting, and county and state canvassing. The system is used for statewide primary, secondary, special and general elections as well as local elections. Designed in ASP.NET and SQL Server 2012. PROJECT MANAGER/SENIOR SOFTWARE ENGINEER- North Dakota Secretary of State: VOICES (Voting Information & Central Election Systems). 8/2009 - present. Developing a complete online system for the Secretary of State and County Auditors for the central voter file, candidate filing, ballot certification and creation, election night results reporting, and county and state canvassing. The system is used for statewide primary, secondary, special and general. Designed in ASP.NET and SQL Server 2008. PROJECT MANAGER/SENIOR SOFTWARE ENGINEER- Montana Secretary of State: eS-ERS (Statewide Election Reporting System). 8/2009 - present. Developing a complete online system for the Secretary of State and County Auditors for candidate filing, election night results reporting, and county and state canvassing. The system is used for statewide primary, special and general, and was designed in ASP.NET and SQL Server 2008. PROJECT MANAGER/SENIOR SOFTWARE ENGINEER- Vermont Secretary of State: CERS (Central Election Reporting System). 8/2009 - present. Developing a complete online system for the Secretary of State for candidate filing, ballot certification and creation, election night results reporting, and county and state canvassing. The system is used for statewide primary, special and general. Designed in ASP.NET and SQL Server 2008. PROJECT MANAGER/SENIOR SOFTWARE ENGINEER- Nebraska Secretary of State: CERS (Central Election Reporting System). 8/2009 - present. Developing a complete online system for the Secretary of State and County Clerks for candidate filing, ballot certification and creation, election night results reporting, and county and state canvassing. The system is used for statewide primary, secondary, special and general. Designed in ASP.NET and SQL Server 2008.		
	List person's job-related training and education:	BA, Computer Science, Whitworth College, Spokane, WA SOFTWARE PROFICIENCIES: Expert SQL Server, Expert ASP.NET, Expert VB.NET		
	Resume:	File Name: ***Att 3-B Supp (3 of 6) Brandon_Campea_Resume.pdf***		

4	Name:	Barbara Kauffman	How long with company?	New Hire
	Current position in company:	Project Director	How long in positon?	2017 - Present
	Position for the Services:	Project Director	How much of time will be dedicated to the Services?	100%
	What primary functions will be assigned?	As the Project Director, Barbara will be responsible for coordination of project activities and will assist Mr. Burch as necessary with the activity tracking, resource scheduling and reports for ETSAZ components.		
	Describe person's experience in performing services like those that are to be assigned:	A Business and IT Services specialist, Barbara has served as Program Manager for contracts with the Arizona State Department of Revenue and the Maricopa County Clerk of Superior Court. • Responsible for managing several applications and new projects in support of Clerk of the Superior Court day-to-day business: incoming electronic filings from law offices (internal & external), Minute Entries, Orders of Assignment, Marriage Licenses, etc. • Responsible for all aspects of the eFiling Program for Individual and Withholding returns for the State of Arizona. This included providing technical assistance and program guidance to external software developers (Intuit, HR Block, ADP, etc.), and internal business units. • Served as Product Owner and Scrum Master for the multi-year project known as eFile Modernization in which AZDOR was mandated by IRS to upgrade the electronic filing system. • Managed the development and analysis of business requirements for multiple project initiatives through the use of various document formats and Use Cases. Collaborated with Business and IT teams to recommend alternative approaches to satisfying the business requirements by becoming a subject matter expert on the business functionality for the applications. • Played a key role in the successful implementation of a project management office (PMO) inclusive of a repeatable project methodology and associated templates for use in documenting the processes.		
	List person's job-related training and education:	Barbara has a BS in Business with a minor in Management from Western International University. She is an Agile Coach and SCRUM Master and is also certified in the following: • MS TFS 2012 for Project Managers • MS TFS 2010 for Project Managers • CSM-certified by Scrum Alliance • CSP-certified by Scrum Alliance • CSPO-certified by Scrum Alliance		
	Resume:	File Name: ***Att 3-B Supp (4 of 6) Barbara_Kauffman_Resume.pdf***		

End of Attachment 3-B

Attachment 3-C
Proposed Subcontractors

Check "NO" if you WILL NOT subcontract any portion of the Work and will therefore be carrying out all of the Work with your own personnel.

☒	NO, the Offeror will not subcontract any portion of the Work.

If you WILL subcontract any portion of the Work, check "YES" below and list name of persons or companies you propose to use as subcontractors.

1. Fill in the information for every significant subcontractor – indicate the type of work the subcontractor will perform under the Contract, and their approximate percentage of the total Contract work.
2. Provide copies of relevant certifications each one possesses in the Attachment Supplements section.
3. Provide description of quality assurance methods and quality control measures that you will use to ensure that Subcontractor work meets the Contract requirements.
4. State may demand additional information about proposed subcontractors as a precondition of award.

X	YES, the Offeror will use the Subcontractors listed below:

	Name and contact information	Small Business	Work to be performed	%**
1.	BPro, Inc. Mr. Brandon Campea Phone: (605) 224-8114 Email: brandon@bpro.com	NO	BPro will implement the TotalVote™ Voter Registration software system, lead data migration train Arizona state and county election administrators, and maintain the	33
2.	Expert Technology Services ("ETSAZ") Mr. Sarit Kommineni Phone: (602) 595-9898 Email: sarit@etsaz.com	YES	ETSAZ will be performing systems integration with State agencies and will develop web services and data integration jobs. ETSAZ will also provide data migration, project coordination, and project management services.	7
3.	Name	select		
4.	Name	select		
5.	Name	select		
6.	Name	select		
7.	Name	select		
8.	Name	select		
9.	Name	select		

****These percentages include the implementation, base and all option years.**

End of Attachment 3-C

Attachment 3-D

Performance Guarantee

RESERVED

End of Attachment 3-D

Attachment 3-E

Boycott of Israel Disclosure

All materials submitted as part of a response to a solicitation are subject to Arizona public records law and will be disclosed if there is an appropriate public records request at the time of or after the award of the contract. Recently legislation has been enacted to prohibit the state from contracting with companies currently engaged in a boycott of Israel. To ensure compliance with A.R.S. §35-393.01. This form must be completed and returned with the response to the solicitation and any supporting information to assist the State in making its determination of compliance.

As defined by A.R.S. §35-393.01:

1. "Boycott" means engaging in a refusal to deal, terminating business activities or performing other actions that are intended to limit commercial relations with Israel or with persons or entities doing business in Israel or in territories controlled by Israel, if those actions are taken either:
   (a) In compliance with or adherence to calls for a boycott of Israel other than those boycotts to which 50 United States Code section 4607(c) applies.
   (b) In a manner that discriminates on the basis of nationality, national origin or religion and that is not based on a valid business reason.
2. "Company" means a sole proprietorship, organization, association, corporation, partnership, joint venture, limited partnership, limited liability partnership, limited liability company or other entity or business association, and includes a wholly owned subsidiary, majority-owned subsidiary, parent company or affiliate.
3. "Direct holdings" means all publicly traded securities of a company that are held directly by the state treasurer or a retirement system in an actively managed account or fund in which the retirement system owns all shares or interests.
4. "Indirect holdings" means all securities of a company that are held in an account or fund, including a mutual fund, that is managed by one or more persons who are not employed by the state treasurer or a retirement system, if the state treasurer or retirement system owns shares or interests either:
   (a) together with other investors that are not subject to this section.
   (b) that are held in an index fund.
5. "Public entity" means this State, a political subdivision of this State or an agency, board, commission or department of this State or a political subdivision of this State.
6. "Public fund" means the state treasurer or a retirement system.
7. "Restricted companies" means companies that boycott Israel.
8. "Retirement system" means a retirement plan or system that is established by or pursuant to title 38.

All offerors must select one of the following:

X My company **does not** participate in, and agrees not to participate in during the term of the contract, a boycott of Israel in accordance with A.R.S. §35-393.01. I understand that my entire response will become public record in accordance with A.A.C. R2-7-C317.

_____ My company **does** participate in a boycott of Israel as defined by A.R.S. §35-393.01.

By submitting this response, proposer agrees to indemnify and hold the State, its agents and employees, harmless from any claims or causes of action relating to the State's action based upon reliance on the above representations, including the payment of all costs and attorney fees incurred by the State in defending such an action.

Sutherland Government Solutions, Inc.	Teresa A. Weipert
Company Name	Signature of Person Authorized to Sign
11955 Freedom Drive, Suite 710	Teresa A. Weipert
Address	Printed Name
Reston, VA 20190	Senior Vice President, Government Group
City State Zip	Title

End of Attachment 3-E

Attachment 4

Pricing Sheet

Offeror shall complete attachment Part 5; Section 5 titled “Cost Workbook”

Please find Sutherland’s Cost Workbook in File Name: ***Att 4 Supp (1 of 1) SGS Cost Workbook.xlsx*** (Confidential)

End of Attachment 4

Attachment 5-A

Confidential Information Designation

All materials submitted as part of a response to a solicitation are subject to Arizona public records law and will be disclosed if there is an appropriate public records request at the time of or after the award of the contract. Recognizing there may be materials included in a solicitation response that are proprietary or a trade secret, a process is set out in A.A.C. R2-7-103 (copy attached) that will allow qualifying materials to be designated as confidential and excluded from disclosure. For purposes of this process the definition of "trade secret" will be the same as that set out in A.A.C. R2-7-101(52).

Complete this form return it with your Offer along with the appropriate supporting information to assist State in making its determination as to whether any of the materials submitted as part of your Offer should be designated confidential because the material is proprietary or a trade secret and therefore not subject to disclosure.

STATE WILL NOT CONSIDER ANY MATERIAL IN YOUR OFFER "CONFIDENTIAL" UNLESS DESIGNATED ON THIS FORM.

Check one of the following – if neither is checked, State will assume that as equivalent to "DOES NOT":

☑	This response DOES NOT contain proprietary or trade secret information. I understand that my entire response will become public record in accordance with A.A.C. R2-7-C317.
X	This response DOES contain trade secret information because it contains information that: 1. Is a formula, pattern, compilation, program, device, method, technique or process, AND 2. Derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; AND 3. Is the subject of efforts by myself or my organization that are reasonable under the circumstances to maintain its secrecy.

NOTE: Failure to attach an explanation may result in a determination that the information does not meet the statutory trade secret definition. All information that does not meet the definition of trade secret as defined by A.A.C. R2-7-101(52) will become public in accordance with A.A.C. R2-7-C317. State may make its own determination on materials in accordance with A.A.C. R2-7-103.

If State agrees with Offeror's designation of trade secret or confidentiality and the determination is challenged, the undersigned hereby agrees to cooperate and support the defense of the determination with all interested parties, including legal counsel or other necessary assistance.

By submitting this response, Offeror agrees that the entire Offer, including confidential, trade secret and proprietary information may be shared with an evaluation committee and technical advisors during the evaluation process. Offeror agrees to indemnify and hold State, its agents and employees, harmless from any claims or causes of action relating to State's withholding of information based upon reliance on the above representations, including the payment of all costs and attorney fees incurred by State in defending such an action.

Sutherland Government Solutions, Inc.	Teresa A. Weipert
Offeror Company Name	Signature of Authorized Person
11955 Freedom Drive, Suite 710	Teresa A. Weipert
Address	Printed Name
Reston, VA 20190	Senior Vice President, Government Group
City State Zip	Title

End of Attachment 5-A

Copy of A.A.C. R2-7-103 [Confidential Information] as was current at time of Solicitation issuance

PROVIDED FOR REFERENCE ONLY

A. If a person wants to assert that a person's offer, specification, or protest contains a trade secret or other proprietary information, a person shall include with the submission a statement supporting this assertion. A person shall clearly designate any trade secret and other proprietary information, using the term "confidential". Contract terms and conditions, pricing, and information generally available to the public are not considered confidential information under this Section.

B. Until a final determination is made under subsection (C), an agency chief procurement officer shall not disclose information designated as confidential under subsection (A) except to those individuals deemed by an agency chief procurement officer to have a legitimate state interest.

C. Upon receipt of a submission, an agency chief procurement officer shall make one of the following written determinations:

1. The designated information is confidential and the agency chief procurement officer shall not disclose the information except to those individuals deemed by the agency chief procurement officer to have a legitimate state interest;

2. The designated information is not confidential; or

3. Additional information is required before a final confidentiality determination can be made.

D. If an agency chief procurement officer determines that information submitted is not confidential, a person who made the submission shall be notified in writing. The notice shall include a time period for requesting a review of the determination by the state procurement administrator.

E. An agency chief procurement officer may release information designated as confidential under subsection (A) if:

1. A request for review is not received by the state procurement administrator within the time period specified in the notice; or

2. The state procurement administrator, after review, makes a written determination that the designated information is not confidential.

Attachment 5-B

Conformance Statements

STATE WILL NOT CONSIDER ANY EXCEPTIONS UNLESS DESIGNATED ON THIS FORM.

READ PARAGRAPH 6.8 OF THE INSTRUCTIONS TO OFFERORS BEFORE TAKING ANY EXCEPTIONS – TAKING EXCEPTIONS CAN BE GROUNDS FOR STATE REJECTING OR DOWN-GRADING YOUR OFFER IN EVALUATION.

CONFORMANCE TO THE INSTRUCTIONS:
(PART 3 OF THE SOLICITATION)

Check one of the following – if neither is checked, State will assume that as equivalent to "YES":

X YES – Offeror acknowledges that it has read and understands the Instructions to Offerors in Section 3-A of the Solicitation Documents and attests that it's Offer complies with both.

☐ NO – Offeror acknowledges that it has read and understands the Instructions to Offerors in Section 3-A of the Solicitation Documents, and attests that it's Offer complies with both EXCEPT FOR the exceptions listed in **Attachment 5-B Supplement 1**.

CONFORMANCE TO THE SCOPE AND PRICING DOCUMENTS:
(PART 2 OF THE SOLICITATION)

Check one of the following – if neither is checked, State will assume that as equivalent to "YES":

X YES – Offeror acknowledges that it has read and understands the Scope Document and the Pricing Document in Part 2 of the Solicitation Documents and attests that its Offer complies with both.

☐ NO – Offeror acknowledges that it has read and understands the Scope Document and the Pricing Document in Part 2 of the Solicitation Documents and attests that its Offer complies with both EXCEPT FOR the exceptions listed in **Attachment 5-B Supplement 2**.

CONFORMANCE TO THE CONTRACT TERMS AND CONDITIONS:
(PART 2 OF THE SOLICITATION)

Check one of the following – if neither is checked, State will assume that as equivalent to "YES":

X YES – Offeror acknowledges that it has read and understands the Special Terms and Conditions and the Uniform Terms and Conditions, along with their respective Exhibits and Appendices, in Part 2 of the Solicitation Documents and attests that its Offer complies with both.

☐ NO – Offeror acknowledges that it has read and understand the Special Terms and Conditions and the Uniform Terms and Conditions, along with their respective Exhibits and Appendices in Part 2 of the Solicitation Documents and attests that its Offer complies with both EXCEPT FOR the exceptions listed in **Attachment 5-B Supplement 3**.

ATTACHMENT 5-B Supplement No. 1:

Exceptions to Instructions

Article / Paragraph or Exhibit Reference	Proposed Changes / Alternate Language	Rationale for Proposed Change
Section 3-A: Instructions to Offerors		
x	N/A	x
x	x	x
x	x	x

Sutherland Government Solutions, Inc.

Company Name

Signature of Person Authorized to Sign

ATTACHMENT 5-B Supplement No. 2:

Exceptions to Scope of Work and Pricing

Article / Paragraph or Exhibit Reference	Proposed Changes / Alternate Language	Rationale for Proposed Change
Section 2-A: Scope of Work		
x	N/A	x
x	x	x
x	x	x
x	x	x
x	x	x
Section 2-B: Pricing Document		
x	x	x
x	x	x
x	x	x
x	x	x
x	X	x

Sutherland Government Solutions, Inc.

Company Name

Signature of Person Authorized to Sign

ATTACHMENT 5-B Supplement No. 3:

Exceptions to Contract Terms & Conditions

Article/ Paragraph or Exhibit Reference	Proposed Changes / Alternate Language	Rationale for Proposed Change
Section 3-A: Special Terms & Conditions		
x	N/A	x
x	x	x
x	x	x
x	x	x
x	x	x

Article/ Paragraph or Appendix Reference	Proposed Changes / Alternate Language	Rationale for Proposed Change
Section 3-B: Uniform Terms & Conditions		
x	N/A	x
x	x	x
x	x	x

Sutherland Government Solutions, Inc.

Company Name

Signature of Person Authorized to Sign

End of Attachment 5-B

Attachment 5-C

Insurance and Bonding Evidence

Please provide a copy of your current insurance certificate that meets or exceeds the requirements set forth in Special Terms and Conditions, Section 6.2, Contractor Insurance Requirements.

Sutherland has provided Contractor Insurance Certificate in File Name ***Att 5-C Sup (1 of 1) SGS Insurance Cert.pdf***

End of Attachment 5-C

Attachment 5-D
Offer Checklist

STATE MAY DETERMINE YOUR PROPOSAL IS NON-RESPONSIVE IF YOU DO NOT SUBMIT ALL ATTACHMENTS.

	DOCUMENT	SUBMITTED
1.	Attachment 1: Offer and Acceptance Form	☒ YES ☐ no
1.	Attachment 2-A: Experience and Capacity Questionnaire	☒ YES ☐ no
2.	Attachment 2-B: Organization Profile	☒ YES ☐ no
3.	Attachment 3-A: Method Proposal	☒ YES ☐ no
4.	Attachment 3-B: Key Personnel Proposal	☒ YES ☐ no
5.	Attachment 3-C: Proposed Subcontractors	☒ YES ☐ no
6.	Attachment 3-D: Performance Guarantee	☒ YES ☐ no
7.	Attachment 3-E: Israel Boycott Disclosure	☐ YES ☐ no
8.	Attachment 4: Pricing Sheet	☒ YES ☐ no
9.	Attachment 5-A: Confidential Information Designation	☒ YES ☐ no
10.	Attachment 5-B: Conformance Statements	☒ YES ☐ no
11.	Attachment 5-C: Insurance and Bonding Evidence	☒ YES ☐ no
12.	Attachment 5-D: Offer Checklist	☒ YES ☐ no

End of Attachment 5-D

End of Part 3